

APPENDIX B

ATO Safety ZNY Operational Review

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> May 25, 2011	<u>Total Time:</u> +15	<u>Area:</u> Stand up Operational Briefing	<u>Sector(s):</u> All
---------------------------------------	------------------------------	---------------------------	--	--------------------------

The team was provided a quick tour of the facility by the Support Safety Manager.

Stand up Operational Briefing: (3:05 p.m. to 3:20 p.m.)

The facility conducts operational stand up briefings every day at 7:05 a.m. and 3:05 p.m.

I attended the 3:05 p.m. briefing. The briefing went very well. I observed the following:

A discussion ensued on equipment outages.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

No discussion occurred on this allegation.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

They started by briefing the weather which was located over the mid west moving towards the Northeast. New York Center had SWAP in effect to assist the mid west facilities. They discussed the plan of the evening shift using the facility SWAP Playbook.

There was a discussion that all "Areas" need to ensure compliance on broadcasting SIGMET/AIRMETS/HIWAS during the evening weather events.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

They discussed one operational issue on late handoffs from ZDC.

Allegation 4 – Functional Training/Inadequate Training:

None noted

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Then, they discussed staffing and none of the individuals had any issues to report. The briefing appeared to be a normal daily briefing that was operationally focused and informative for the management team.

ATO Safety ZNY Operational Review

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> May 25, 2011	<u>Total Time:</u> 1+40	<u>Area:</u> A	<u>Sector(s):</u> All
---------------------------------------	------------------------------	----------------------------	-------------------	--------------------------

I completed both direct observations in Area A. Overall this observation went very well and the controllers seemed relaxed. (4:10 p.m. to 5:50 p.m.)

I observed the Frontline Managers (FLM) standing behind and assisting the operational positions. They spent more time on the floor than at the desk. There were no "Miles in Trail" restrictions placed on the sectors. The controllers used a "break board" control breaks. Most of the controllers turned down breaks several times.

I did observe three (3) different times that the required two (2) minute overlap was not accomplished during the position debrief. The controllers did record the debriefing. Before going to the Area A, I also observed the Operational Managers complete a recorded debrief. It appeared to be complete and normal.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

The controller that I monitored used standard phraseology. He was "by-the-book" the entire time I monitored the position. There were several times that he transposed aircraft numbers but he corrected it almost immediately.

Several other controllers were observed making simple phraseology errors such as leaving "November" off the general aviation call signs. I did not see any consistent discrepancies. (FAA JO 7110.65, para. 2-3-4)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

I observed the individual working the Flight Data position distributed a "HIWAS Strip" with weather information to the controllers on position. Each controller read it on the frequency and passed it to the next controller in the area.

Allegation 3 - Air Traffic Coordination - Point outs, Handoffs, APREOs, AITs:

I observed multiple point outs with adjacent sectors. All were in compliance with hand book requirements. The only comment would be almost ever aircraft that came out of the Philadelphia TRACON had to be pointed out to another sector on the climb.

All individuals observed identified their sector/position during radio and interphone communication and ended with their operating initials.

Allegation 4 - Functional Training/Inadequate Training:

No training observed during this session.

Allegation 5 - Traffic Management Incentives and Work Slowdowns:

I observed the controller have American Airlines NORDO. The controller called him three (3) times and then immediately started checking with other sectors and found him on another frequency. Good handling.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u>	<u>Date:</u>	<u>Total Time:</u>	<u>Area</u>	<u>Sector(s):</u>
██████████	5/25/11	3+45	Oceanic (f)	

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Observed ATOP Sector .

Observed Radar Sector – 1 CPC session and one training session

Occasional dropping of “center” on initial contact (FAA JO 7110.65, para. 2-4-19)

Occasional dropping of controller initials during intra facility and intra facility coordination and when terminating message. (FAA JO 7110.65, para 2-4-12, 2-4-13)

Standard phraseology used for point outs, hand offs and APREQs.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Observed the supervisors were in the area walking around and standing behind sectors with heavy traffic and weather routes deviations.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREQs, AITs:

Several point outs, handoffs and APREQs were observed and completed in accordance with the FAA JO 7110.65.

Did not observe any sector/boundary violations.

Allegation 4 – Functional Training/Inadequate Training:

Only 30 minutes of the training session was observed. Good phraseology and positive interaction between the OJTI and OJT. Positive discussions about different options were discussed when a new scenario/pilot request was asked by the pilot. .

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Not observed

Additional notes:

All three relief briefings were done using the Position Relief Checklist.

All three relief briefing had the required the 5 minute overlay time per facility order. (ZNY SOP 7200.1G Chg 1, Section 11-d-d)

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 5/25/11	<u>Total Time:</u> 2+00	<u>Area:</u> B	<u>Sector(s):</u> R39
---------------------------------------	-------------------------	----------------------------	-------------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Observed minor phraseology discrepancies involving facility identification on frequency, sector ID on hand-off, controller initials, and point-out phraseology. These discrepancies were not consistent by any one controller, but by multiple controllers parts of the time, indicating the knowledge of proper usage but choosing not to use it due to workload or attitudinal reasons.

(FAA JO 7110.65, para. 2-4-2, 2-3-4, 2-4-12, 2-4-13, 2-4-19, 5-4-3)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

There were no advisories to disseminate during this session.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Observed afternoon stand up briefing at watch desk. Discussion was thorough and operationally focused. SWAP. Playbooks. Operational issue regarding late handoffs with ZDC was mentioned to watch for and remind controllers not to get in a bind and to report any problems to watch desk and to communicate with fellow FLMs in ZDC to prevent incidents. Good initiative.

Allegation 4 – Functional Training/Inadequate Training:

Observed OJT on Radar position. Developmental was new to R training and got behind and confused priorities. Instructor let the developmental work out of it while intervening to fix the priority issue. Good training session. Asked for help in a timely manner for the sector so OJT could continue.

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Additional Comments or Observations:

Observed Area B at the sector and FLM desk. Observed sector relief briefings including Radar Associate position being assigned to help an R-Side who was getting busy. Controllers held over for two minutes about half the time before leaving. (ZNY SOP, 7200.1G Chg1, Section 11-d-d)

R-side did provide Radar Associate coming in a briefing on what was going on when they sat down.

Overall, atmosphere was relaxed among the area controllers with good dialogue with FLM when entering or exiting the area. Dinner breaks were coordinated and known.

Observed the FLM working from the Area Desk the entire time; only leaving it to go to the sectors when necessary. There is an item to mention for consideration in ZNY domestic Ops regarding the floor layout. At ZNY the Area Desk is across the aisle from the sectors under the FLM direct

ATO Safety

ZNY Operational Review

supervision. This places the FLM when at the desk in a position where they are at a distance greater than desirable and provided to most other Area Desks in the ARTCCs in the NAS. No known technical reason for this alignment, but ZNY is a unique building structure. This should be considered for realignment so the FLM when desk work is necessary can be closer to the operation.

The FLM shared a FLM seniority list that reflected the experience level at ZNY of the FLM staff. Currently, the areas are working short with only 5-6 FLMs per area and out of 44 FLMs, 8 were temporary promotions, and there were only 5-6 FLM with more than 10 years experience in the position. The vast majority of FLMs had less than 5 years experience in the position. This could be a contributing factor to the management confidence in promoting the proper working atmosphere and aggressively providing on the spot corrections.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 5/26/11	<u>Total Time:</u> 3+00	<u>Area</u> Area A	<u>Sector(s):</u> 22
---------------------------------------	-------------------------	----------------------------	-----------------------	-------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Three different controller sessions observed.

Occasional dropping of "center" on initial contact (FAA JO 7110.65, para. 2-4-19)

Occasional dropping of controller initials during intra facility and inter facility coordination and when terminating message. (FAA JO 7110.65, para 2-4-12, 2-4-13)

Standard phraseology used for point outs, hand offs and APREQs.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Numerous and all severe weather notifications were read by the controller in a timely manner and in accordance with FAA JO 7110.65

Observed the supervisors and the A positions passing the weather information to each sector.

Observed the supervisors were in the area walking around and standing behind sectors with heavy traffic and weather routes deviations.

Allegation 3 - Air Traffic Coordination - Point outs, Handoffs, APREQs, AITs:

Numerous Point outs, Handoffs and APREQs were observed and completed in accordance with the FAA JO 7110.65.

Did not observe any late handoffs or sector/boundary violations.

Allegation 4 - Functional Training/Inadequate Training:

Not Observed. No training took place during time of observation.

Allegation 5 - Traffic Management Incentives and Work Slowdowns:

MIT incentives were in effect for the Area, did not observe any violations.

No MIT requests were initiated for the purpose of issuing weather information.

Additional notes:

All three relief briefings were done using the Position Relief Checklist.

All three relief briefings had the required the 5 minute overlay time per facility order. (ZNY SOP 7200.1G Chg 1, Section 11-d-d)

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 5/26/11	<u>Total Time:</u> 1+30	<u>Area</u> Safety- Crew Briefing	<u>Sector(s):</u> N/A
---------------------------------------	-------------------------	----------------------------	---	--------------------------

Observed the Safety Crew Briefing

Topics of Discussion-
Special Interest Flights
Airspace Redesign
Severe/Hazardous Weather Briefing (Domestic)
Severe/Hazardous Weather Briefing (Oceanic)

Approximately 60 controllers attended the briefing. The controllers were very engaged and asked many questions. All briefings were well received.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

The briefing reviewed several replays of operational errors from ZNY and other facilities where weather contributed to accidents and incidents.

(Received a copy of the weather briefings for 2010 and 2011).

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

ATO Safety ZNY Operational Review

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> May 26, 2011	<u>Total Time:</u> 1+25	<u>Area:</u> Oceanic ATOP	<u>Sector(s):</u> All
---------------------------------------	------------------------------	----------------------------	------------------------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Phraseology is not used because this position uses ACARS for all communication with the pilots.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

None observed.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Pointsouts were held in accordance with all directives. However, several other facilities called did not give initials after coordination.

Allegation 4 – Functional Training/Inadequate Training:

Controller indicated that it took him about one year to train on the ATOP position.

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

None

ATO Safety ZNY Operational Review

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> May 26, 2011	<u>Total Time:</u> +15 minutes	<u>Area:</u> Stand up Operational Briefing	<u>Sector:</u> All
---------------------------------------	------------------------------	-----------------------------------	--	-----------------------

Operational Managers Stand up Operational Briefing:

The facility conducts operational stand up briefings every day at 7:05 a.m. and 3:05 p.m.

I attended the 3:05 p.m. briefing. The briefing went very well. I observed the following:

A discussion ensued on equipment outages. Then, they discussed staffing and none of the individuals had any issues to report. The briefing appeared to be a normal daily briefing that was operationally focused and informative for the management team.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

None

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

They started by briefing the weather which was located over the mid west moving towards the Northeast. New York Center had SWAP in effect to assist the mid west facilities. They discussed the plan of the evening shift using the facility SWAP Playbook.

There was a discussion that all "Areas" need to ensure compliance on broadcasting SIGMET/AIRMETS/HIWAS during the evening weather events.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

None

Allegation 4 – Functional Training/Inadequate Training:

None

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

None

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u>	<u>Date:</u>	<u>Total Time:</u>	<u>Area:</u>	<u>Sector(s)</u>
██████████	5/26/11	3+30	Watch Desk	NA:

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

I observed ██████████ on two occasions remotely monitor a sector to ensure the controller complied with the requirement to read the weather advisory information. Later ██████ described the ZNY initiative to ensure weather dissemination. The flight data specialist brings the OMIC copies of the significant weather advisories. The OMIC then selects randomly a sector to monitor that should have received this weather information. (ZNY 7200.1G Chg 4, Appendix 9, OMIC, item L).

Once they complete the monitor session they go to the area, and if it was done correctly, advises the FLM that an area sector was monitored and provide the area and the FLM positive feedback on adhering to guidance. If it was not done correctly, the FLM is asked if the sector got the information. If no, follow up is conducted to determine why. If yes, follow up with controller is left for the FLM to address and manage. The OMIC will then make a QAR entry to document the deficiency and action taken.

During this session there was significant weather impacting ZNY. SWAP was in use the entire session. Multiple reroutes and ground stops were applied. Routes were not closed arbitrarily but adapted as the weather developed and moved. TMU communicated with FLMs when needed to coordinate exceptions and changing situations.

I observed no instance where MIT restrictions were used as a result of reading weather advisories due to increased workload. MIT restrictions were used, but as a result of weather impacts and sector traffic demands. These were proactively implemented by the STMCs in the TMU unit not by any area requests.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Additional Comments and Observations:

Observed 3:05PM Watch Desk Briefing for managers of the evening shift. NWS meteorologist gave a thorough synopsis of the evening's severe weather forecast. I observed one FLM taking notes for reference when he returned to the area.

During this session, the two STMCs on duty interacted well with the OMIC, TMCs, and FLMs. A note of interest was the amount of work the STMCs was handling themselves when compared to the TMCs. The STMCs seemed to handle a lot of specialist level work.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u>	<u>Date:</u>	<u>Total Time:</u>	<u>Area:</u>	<u>Sector(s)</u>
[REDACTED]	5/26/11	3+00	D	75

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

There were several instances where the sector I was monitoring as well as others in Area D were omitting or clipping "November" in general aviation call signs. There were a few instances where the controllers omitted "Center" from "New York Center" in responding to aircraft (FAA JO 7110.65 JO, para. 2-4-19) or omitted "Contact" (FAA JO 7110.65, para. 2-1-17) when issuing frequency change instructions to aircraft. Operating initials were not utilized during a couple of quick coordination calls but the controllers utilized their initials as required in almost all instances (FAA JO 710.65, para. 2-4-13) Overall phraseology was good and in compliance with FAA JO 7110.65.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Severe WX developed throughout ZNY airspace during my time in Area D and I witnessed the extremely efficient distribution and dissemination of Convective SIGMETs and HIWAS advisories on multiple occasions. The FLMs and CPCs had proactive conversations about developing WX and aircraft deviating around it. WX impacting routes triggered traffic management initiatives including Miles-in-Trail and the opening and closing of routes. All of this was coordinated between the CPCs and FLMs effectively and efficiently. CPCs resumed traffic as soon as they possibly could.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

I witnessed numerous coordination calls for point outs, control of aircraft in other sectors and general coordination. All coordination was in compliance with local and national directives.

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Additional Comments and Observations:

Overall high level of difficulty and volume of traffic with proactive supervision and effective coordination.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/13/11	<u>Total Time:</u> +20	<u>Area:</u> B	<u>Sector(s):</u> R39
---------------------------------------	-------------------------	---------------------------	-------------------	--------------------------

Allegation 4 – Functional Training/Inadequate Training:

This was a SATORI of the observed training session in Area B on 5/25/11 that I monitored a portion of during direct monitoring in the area on that night. The purpose of the review was to compare FAA Form 3120-25 for this session to what actually transpired and was observed. This will corroborate the degree to which OJT Teams were using OJT documentation properly in ZNY. Emphasis was given to also review the issues of weather issuance, point out procedures, and phraseology. The developmental had less than 38 hours on this first RADAR position. ZNY was in SWAP due to developing thunderstorms from a line of weather all along the east coast.

The weather was checked as VFR; workload as Light; and complexity as Occasionally Difficult. While these are subjective to a degree, my opinion is that it was IFR, Moderate workload, and Occasionally Difficult complexity. The purpose of the session was not denoted on the form line 9. The three items noted in the comments section, line 12 were generic references that do not lend themselves to address noted deficiencies necessary to document properly developmental performance. (FAA JO 3120.4 Appendix B)

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Developmental used correct phraseology.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Developmental used proper procedures.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

None required.

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Not observed.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/14/11 SATORI review of 5/23/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R91
---------------------------------------	---	---------------------------	--------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Dropped complete call-sign in many instances either use of "November" or Aircraft Type prior to registration number. (FAA JO 7110.65, para. 2-3-4)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

One SIGMET notice read but truncated verbiage. Didn't issue SIGMET number.
(FAA JO 7110.65, para 2-6-2)

Issued weather advisory correctly to an aircraft for weather along their route of flight.

Allegation 3 - Air Traffic Coordination - Point outs, Handoffs, APREOs, AITs:

Did not use operating initials in any coordination calls. There were several.
(FAA JO 7110.65, para. 2-4-12, 2-4-3)

Allegation 4 - Functional Training/Inadequate Training:

Allegation 5 - Traffic Management Incentives and Work Slowdowns:

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 5/27/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R35
---------------------------------------	---	---------------------------	--------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

No issues.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

One report of moderate chop in descent. No PIREPS solicited afterwards. (FAA JO 7110.65, para. 2-6-3)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

BTA2538 Handed off climbing to FL280. Later needed to amend assigned altitude for overtake situation. No updating of data block to correct assigned altitude and no coordination with next sector that the controller would be laddering slower in front up underneath overtaking rather than providing speed and in-trail. (FAA JO 7110.65, para. 5-4-5)

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

No MIT restrictions.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 5/27/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R25
---------------------------------------	---	---------------------------	--------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Instances of incorrect altitude phraseology, generally issuing and referencing altitudes in group format instead of single digit format., ie, "thirteen thousand" instead of "one three thousand"(FAA JO 7110.65, para. 2-4-17)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

No weather.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

No issues.

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Complied with ATL MIT.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 5/27/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R34
---------------------------------------	---	---------------------------	--------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

No phraseology issues. Two sector relief briefings reviewed with no issues.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Weather displayed in sector not issued as weather advisory. No PIREPS sought to determine tops or reliability of display. (FAA JO 7110.65, para. 2-6-3, 2-6-4)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Early handoff 70 miles from boundary. Switched VRD028 50 miles prior to boundary at FL370 with a restriction to FL230; aircraft had not even started the descent yet when aircraft was given the comm. change

Reverse coordination of speed assignments of FLG4241 and DAL829. Aircraft had already been handed-off and one aircraft had already been switched before advising next sector of speed control plan to MIT restrictions. (FAA JO 7110.65, para. 5-4-5)

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 5/23/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R92
---------------------------------------	---	---------------------------	--------------	-----------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Controller used proper phraseology with operating initials and sector identification.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Solicited several PIREPs from aircraft to then share with other aircraft on same routes of flight. Demonstrated an effort to establish a "picture" of the weather to use in working the aircraft. He solicited concurrence with clearances to ensure their acceptance regarding the weather impact.

There was weather in the sector with aircraft deviating. The controller never issued weather advisories to any aircraft during this session. (FAA JO 7110.65, para. 2-6-2, 2-6-4)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

One instance of controller not updating the data block with the assigned altitude prior to handing off aircraft to New York TRACON. (FAA JO 7110.65, para. 5-4-5)

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Controller at one point reached out to adjacent feeding sector that was holding and instigated bringing in the next few arrivals. Showed initiative to assist flights.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 6/5/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R39 Dave Gandolfo
---------------------------------------	--	---------------------------	--------------	--

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Several instances of grouping of Frequency and altitude numbers. (FAA JO 7110.65, para. 2-4-17)

“BTA2825, what’s your speed going to be in the climb?” instead of “BTA2825, say airspeed” or even “BTA2825, say airspeed in climb” (FAA JO 7110.65, para 5-7-2)

“BTA2825, increase your rate of climb through uh twenty-three please” (FAA JO 7110.65, para. 2-4-17)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

No weather.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Point out phraseology on acceptance situation, “DAL2134, uh, yeah that’s good” instead of “DAL2134, point out approved, (initials)” (FAAO JO 7110.65, para. 5-4-3)

Did not use operating initials in coordination. (FAA JO 7110.65 2-4-12, 2-4-13)

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

None.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11 SATORI review of 5/27/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R39
---------------------------------------	---	---------------------------	--------------	--------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

This session was very light traffic with no weather. Not a good sampling except as noted below of the one example.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

COA1535 – Departure out of N90. Controller called to get control for turns prior to issuing a turn on course and higher altitude. Correct back coordination.

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11	<u>Total Time:</u> +30	<u>Area:</u> TMU	<u>Sector(s):</u> TMU and Walk Throughs
---------------------------------------	-------------------------	---------------------------	---------------------	--

6/14/11. Conducted an operational room walk-through last night. It was very quiet and work well underway. FLM were in the operational areas and active. Did not see any FLM buried at the FLM desk.

6/15/11. Conducted another walk through tonight. Again, very quiet and well managed. OMIC engaged and active. Monitored TMU unit. Two STMS on duty. It is noted the physical location of the STMC work area is removed from the TMC work unit area. This seems to be creating distance between the team work abilities of the STMC to interact with their employees. I understand there is a plan (may be unfunded) to fix this situation. It is a similar issue for the facility as the distance of the FLM desk from the operational positions in each area.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

No variances noted.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

No significant weather

Allegation 3 - Air Traffic Coordination - Point outs, Handoffs, APREOs, AITs:

No variances noted.

Allegation 4 - Functional Training/Inadequate Training:

Allegation 5 - Traffic Management Incentives and Work Slowdowns:

No SWAP in place. Minimal routine MIT only.

ATO Safety ZNY Operational Review

OBSERVATIONS: *Remote monitoring from the OM position as well as monitoring of TMU and the OM.*

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/15/11	<u>Total Time:</u> 1+5 hours	<u>Area:</u> B and C	<u>Sector(s):</u> 55 and 34
---------------------------------------	-------------------------	---------------------------------	-------------------------	--------------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Overall good phraseology, but several instances of omitting "center" in Contact New York or saying New York when acknowledging aircraft. (FAA JO 7110.65, para. 2-4-19)

Omission of "proceed" or cleared in transmitting "Direct Lanna now." Omitting "maintain" and stating "climb now to..." (FAA JO 7110.65, para. 4-2-5)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

On several occasions the controller dropped the data tags of aircraft exiting his airspace in sector 55, while the aircraft were still in his airspace. Sector 34 did not issue WX depicted on the display to NYC area departures climbing out. (FAA JO 7110.65, para. 5-3-8, 2-6-4)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

Unable to monitor landline communication from the OM position.

Allegation 4 – Functional Training/Inadequate Training:

N/A

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Normal TMI coordination as WX impacted the North Gates.

ATO Safety ZNY Operational Review

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> June 15, 2011	<u>Total Time:</u> 2 + 37	<u>Area:</u> OMIC	<u>Sector(s):</u> 55, 39, 68
---------------------------------------	-------------------------------	------------------------------	----------------------	---------------------------------

I indirectly monitored (12:00 p.m. until 2:37 p.m.) three (3) sectors (55, 29, & 68) from the OMIC position. One negative to the indirect monitoring is that I was unable to here any landline coordination.

I observed two (2) different OM changes of the position. Each time they used the recorded line for the briefing and discussed appropriate items in the exchange.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

All transmissions that I heard used standard call signs.

Overall phraseology was followed throughout all three (3) sessions except for the following areas:

- On Sector 68, the controller consistently told the pilots to climb "NOW" to altitude (example: AAL xxx climb now to flight level 240"). (FAA JO 7110.65, para. 2-1-5, 2-1-6)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

None - No weather was in the area at the time of this observation.

Allegation 3 - Air Traffic Coordination - Point outs, Handoffs, APREOs, AITs:

None - I was unable to here the landline communication while monitoring from an indirect location at the OMIC desk.

Allegation 4 - Functional Training/Inadequate Training:

No training was observed from the OMIC position.

Allegation 5 - Traffic Management Incentives and Work Slowdowns:

The Traffic Management Unit consistently came over to the OMIC to discuss flows. They started in SWAP for the first few minutes during but it was cancelled very quickly. It was coordinated very well.

ATO Safety ZNY Operational Review

<u>Observer's Name:</u>	<u>Date:</u>	<u>Total Time</u>	<u>Area:</u>	<u>Sector(s):</u>
[REDACTED]	June 16, 2011	3 +30	OMIC	39, 34 49, and 88

I completed indirect monitoring from 9:15 a.m. until 12:45 p.m. at the OMIC watch desk. The position has a display and frequency monitoring capability but does not have the landline coordination.

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

There were numerous communication/phraseology errors during this 3+30 minute sessions.

- Dropping call signs (FAA JO 7110.65, para. 2-3-4)
- Occasional dropping of "center" on initial contact (FAA JO 7110.65, para. 2-4-19)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Sector 34 and 49 had weather move into the area. I observed over 100 aircraft fly through the areas with weather displayed on the display. The controllers never advised the pilots that weather was in the area. Even after some pilots started requesting deviations around the weather the controller continue to not say anything to the pilots. The sectors did have moderate traffic through out these sessions.
(FAA JO 7110.65, para. 2-6-3, 2-6-4)

The pilots started to report ruff rides and requested different altitudes. The controllers did not volunteer the information of "ruff rides" to the next pilots along the route of flight. (FAA JO 7110.65, para. 2-6-3, 2-6-4)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

None: The OMIC position does not allow any voice coordination to identify point outs, handoffs, or apreqs.

Allegation 4 – Functional Training/Inadequate Training:

None observed.

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

None observed.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/16/11 SATORI review of 5/26/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R75
---------------------------------------	---	---------------------------	--------------	-----------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

“UAL646 descend at 2000 feet a minutes or greater” when CA went off between UAL646 and COA728 being worked by another sector. Aircraft swapped out in altitude.

“then go direct” “welcome aboard” “thank you” let ya hang it up awhile longer” “your welcome sir” “I’m gonna leave ya there for awhile” “perfect thank you” “COA8 best rate down bye bye” “COA1703 I’m gonna descent ya just a little bit more and then I’ll keep ya right there at FL270” “OK good”. These are samples of the phraseology used in last half of SATORI after position relief took place. Significant line of weather crossing the sector and everyone was deviating either through it or around it. While this kind of conversational direction can be comforting, it eats up frequency time and there were several instances when other controllers waited to coordinate with R75. Less chit-chat on frequency would allow for more necessary communications. However, it should not be lost that the pilots were working with the controller and may have been helped by this tone. But it is not according to national orders and directives.

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Weather in sector. Aircraft deviating significantly. Flows into LGA and EWR major impact in progress. Weather advisories not issued for displayed weather; not a single time with weather known in the sector, at sector altitudes and affecting everyone, by both controllers monitored at R75 during this session. (FAA JO 7110.65. para. 2-6-4)

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

JBU563 – issued weather deviations when not yet in sector. No coordination.
BTA2494 – issued speed assignment not coordinated.
LBQ920 – Did not use operational initials in coordination for climb control.
(FAA JO 7110.65, para.5-4-5, 5-4-6, 5-4-7, 2-4-12, 2-4-13)

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/16/11 SATORI review of 6/9/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R55 Diane Carswell
---------------------------------------	--	---------------------------	--------------	---

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Used group format for speed assignments instead of single digit format (ie., maintain "three hundred knots" instead of "three zero zero knots") TCF5917, ASQ5248, AWE2037, EGF4172
(FAA JO 7110.65, para. 2-4-17)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

No weather.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

PDT4175 handed off and comm. transfer in level flight 45 miles before boundary crossing.

UAL983 issued climb clearance prior to entering sector with no point out given.
ASQ5248 issued speed assignment in prior sector airspace without coordination.
ASQ5248 issued descent clearance prior to entering sector without coordination.
Did not use operating initials in coordination comm.
AWE2037 issued descent clearance prior to entering sector without coordination.
ASQ5248 speed assignment not coordinated with next sector.
AWE1735 issued speed restriction prior to entering sector without coordination.
MES2481 issued speed restriction prior to entering sector without coordination.
TCF5917 speed assignment not coordinated with next sector.
(FAA JO 7110.65, para. 2-4-13, 5-4-5, 5-4-6)

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

No known MIT but controller did a good job maintaining speed awareness for steady flows into other sectors without penalizing aircraft.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/16/11 reviewed 6/13/11	<u>Total Time:</u> +20	<u>Area:</u> Remote SATORI	<u>Sector(s):</u> R39 Jody Cook
---------------------------------------	---	---------------------------	-------------------------------	------------------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

AWE604, UAL778 - issued airspeed assignment in group format instead of single digit format.
(FAA JO 7110.65, para. 2-4-17)

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

No weather.

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

AWE969, OPT443 - operating initials not used in point out coordination.
(FAA JO 7110.65, para. 2-4-13)

CJC3857 took handoff from N90 and before aircraft entered R39 airspace started the handoff to the next sector whose boundary was 30 miles away. Groundspeed was 200 knots. Aircraft at 14K feet. Also noted is that R92 started hand off on same slow overflight to R26 when flight was still in R39 airspace approximately 45 miles from R26 airspace.

CJC3857 called VFR traffic to aircraft with 1500 feet separation – additional services provided. Later notified aircraft when traffic was no longer a factor.

CJC3857 comm transfer when aircraft was in conflict alert with aircraft encroaching from another sector. That sector had not called with point out or discussed the situation at the time of the comm. transfer. UAL672 (encroaching aircraft went untracked with a last Mode of 150K assigned 130K. CJC3857 was level at 140K. Aircraft went behind CJC3857 by 4 miles and was probably well below but data block of UAL672 still was untracked so at some point the CA became inappropriate but there was no action by R39. At end of SATORI UAL672 data block was still uncorrelated and sitting in next sector airspace 30 miles from the target tracking SE bound. More information as to why R74 did not update, cancel, amend data block. (FAA JO 7110.65, para. 5-4-5, 5-4-6)

N826CA – Did not identify sector when issuing point out. (FAA JO 7110.65, para. 2-4-12)

AAL19 – Did not identify sector when receiving point out. Did not use operating initials. (FAA JO 7110.65, para. 2-4-12, 2-4-13)

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns:

Used speed assignments to maintain good flows into sectors.

ATO Safety ZNY Operational Review

OBSERVATIONS:

<u>Observer's Name:</u> [REDACTED]	<u>Date:</u> 6/16/11 SATORI review of 6/13/11	<u>Total Time:</u> +20	<u>Area:</u>	<u>Sector(s):</u> R75 Jody Cook
---------------------------------------	---	---------------------------	--------------	------------------------------------

Allegation 1 (a, b) - Air Traffic Communication - Use of Standardized Phraseology:

Allegation 2 (a, b) - Air Traffic Procedures - Notification and Dissemination of Severe Weather Advisories:

Allegation 3 - Air Traffic Coordination – Point outs, Handoffs, APREOs, AITs:

JBU1280 - Accepted hand off 40 miles from sector and received communication transfer.
SWA406 – Accepted hand off 60 miles from sector and received communication transfer.

Allegation 4 – Functional Training/Inadequate Training:

Allegation 5 – Traffic Management Incentives and Work Slowdowns: