

DCA23LA179

AIR TRAFFIC CONTROL

Group Chair's Factual Report - Attachment 8

SRQ ATCT Administrative Documents

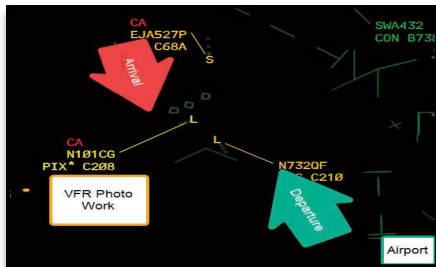
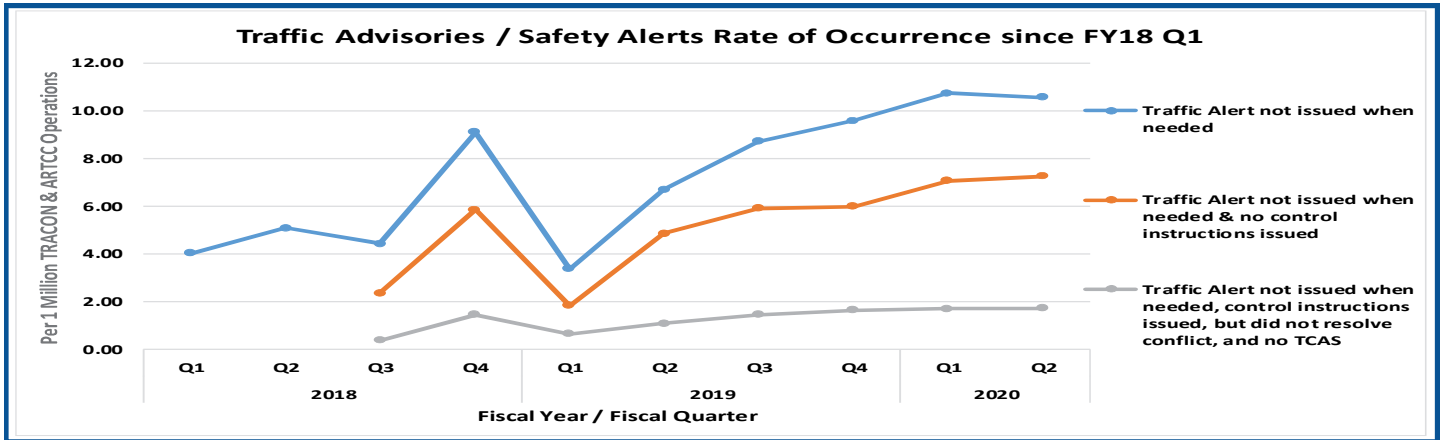
December 15, 2024

Air Traffic Organization Quality Assurance Safety Bulletin

Traffic Advisories/Safety Alerts

Vol. 7 Issue 1 / August 2020

Close proximity IFR/VFR events involving aircraft conducting aerial operations are trending upward in the NAS. These events are occurring in all ATC environments: Tower, TRACON, and EnRoute.



N101CG was VFR conducting photo work over downtown with Controller 1. EJA527P was an IFR Arrival also with Controller 1. N732QF was an IFR Departure with Controller 2. EJA527P was given a frequency change to Controller 2 without being issued a traffic advisory and checked on responding to a TCAS RA with N101CG. Separation was lost with N732QF when EJA527P followed a TCAS directed climb resulting in a Medium Risk Analysis Event (RAE).

What Can ATC Do?

- *Safety Alerts must be issued to IFR and VFR aircraft receiving advisories, when an unsafe situation exists between terrain, obstructions and/or other aircraft. To the extent possible, traffic advisories will be issued to VFR aircraft receiving services.*
- *ATC can issue control instructions to VFR aircraft to avoid traffic.*
- *Advise pilots of conflicting traffic prior to initiating frequency change. Operations such as aerial surveys, law enforcement, photo missions, etc. often require verbal coordination between controllers. "Transfer control of an aircraft only after eliminating any potential conflict with other aircraft for which you have separation responsibility." FAA JO 7110.65Y, 2-1-15.b.*
- *Track primary-only and 1200-squawk aircraft when appropriate and if they could be in conflict with other aircraft.*

Produced by ATO Safety and Technical Training
Quality Assurance Group
In Partnership with NATCA and SUPCOM
Please visit our webpage: my.faa.gov/go/



Runway Separation Distance Markers

TEMA - Safety: Hot Brief

District Leadership Message

"It is unfortunate that we have seen several incidents involving lack of required separation between an arrival and a departure, while attempting to apply runway separation based on aircraft categories of 6,000' and airborne. In all cases, it appears that this required separation, which is already minimal and requires two elements to be present; distance and phase of flight, was missed. In these cases we also noted that the required minimum separation was treated nonchalantly as, "...it was close", or "...I thought I had it" or, "... it looked legal". Upon further review of these incidents, it became clear that we "didn't have it", the operation was "not legal" and, as we all know, "close" is not acceptable in Aviation Safety Standards. The reality is, as we saw in the event at Austin and probably one of our own, it wasn't even close."

-Juan Fuentes, TEMA General Manager

It is essential that each facility refreshes and familiarizes themselves with their respective 'known distance markers'. ONLY through the utilization of measured landmarks, taxiway intersections, etc, are Towers allowed to apply Secondary Same Runway Separation.

Facility Specific Application:

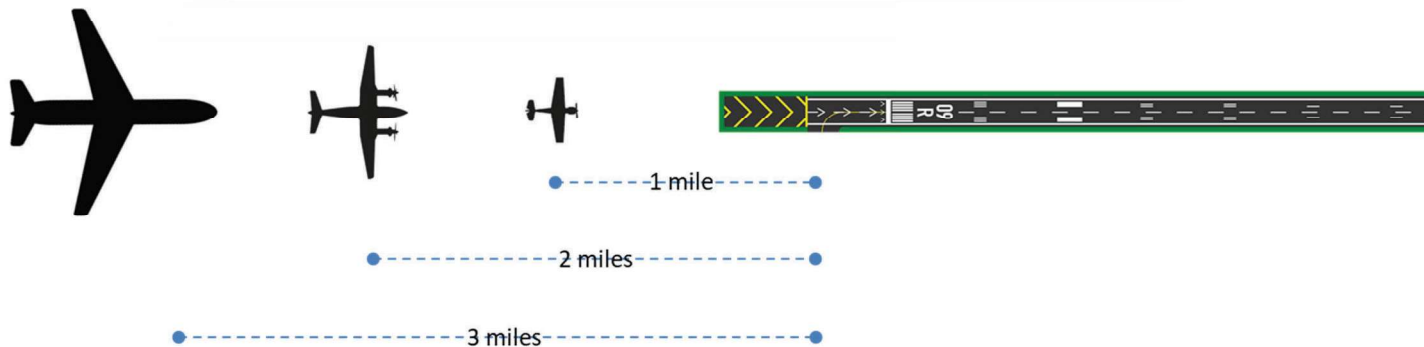
For an arrival with a departing aircraft:

**-RWY 10L @ TWY Kilo
is the reference point for 6,000'**

**-RWY 28R @ TWY Foxtrot
is the reference point for 6,000'**

***departure aircraft MUST be airborne**

Standard Cut-Off Practices: "1, 2, 3 Rule"



In general, and with conditions being nominal (light winds, standard approach speeds, normal operating procedures, etc... The above graphic is a depiction of a tested method for approach/departure spacing, with the departing aircraft holding short of the runway and ready for departure. Attempts to launch departures inside of this guidance are ill-advised and should be avoided. Avoid the temptation to 'push the limits', to the detriment of Safety, and increased RISK

Affirmative Oversight

It is the expectation that an OS or CIC engage and address issues that stand the likelihood of increased risk. It is essential that the OS/CIC exerts the necessary oversight in providing "checks and balances" in these cases. Furthermore, they need to be proactive in assisting local controllers in conducting a safe and efficient operation, without having to take these chances. If Approach Control is not providing sufficient arrival spacing to allow for the safe departure between arrivals, the OS/CIC needs to have the fortitude to contact the Approach Control and demand increased spacing. We need to work collaboratively to ensure that we run a safe and efficient operation, knowing that **safety is always above all else** and is never jeopardized, due to our attempts of achieving maximum efficiency.

Runway Separation

SRQ Refresher 2023

Same Runway Separation Departing Aircraft

- ▶ Separate a departing aircraft from a preceding departing or arriving aircraft using the same runway by ensuring that it does not begin takeoff roll until:
 - ▶ The other aircraft has departed and crossed the runway end or turned to avert any conflict.

Same Runway Separation Departing Aircraft

- ▶ If you can determine distances by reference to suitable landmarks, the other aircraft needs only be airborne if the following minimum distance exists between aircraft:
 - ▶ 1. When only Category I aircraft are involved– 3,000 feet.
 - ▶ 2. When a Category I aircraft is preceded by a Category II aircraft– 3,000 feet.
 - ▶ 3. When either the succeeding or both are Category II aircraft– 4,500 feet.
 - ▶ 4. When either is a Category III aircraft– 6,000 feet.
 - ▶ 5. When the succeeding aircraft is a helicopter, visual separation may be applied in lieu of using distance minima.

Same Runway Separation Arriving Aircraft

- ▶ Separate an arriving aircraft from another aircraft using the same runway by ensuring that the arriving aircraft does not cross the landing threshold until one of the following conditions exists or unless authorized in paragraph 3-10-10, Altitude Restricted Low Approach.

Same Runway Separation Arriving Aircraft

- ▶ The other aircraft has landed and is clear of the runway. Between sunrise and sunset, if you can determine distances by reference to suitable landmarks and the other aircraft has landed, it need not be clear of the runway if the following minimum distance from the landing threshold exists:
 - ▶ When a Category I aircraft is landing behind a Category I or II– 3,000 feet.
 - ▶ When a Category II aircraft is landing behind a Category I or II– 4,500 feet.

Same Runway Separation Arriving Aircraft

- ▶ The other aircraft has departed and crossed the runway end. If you can determine distances by reference to suitable landmarks and the other aircraft is airborne, it need not have crossed the runway end if the following minimum distance from the landing threshold exists:
 - ▶ (a) Category I aircraft landing behind Category I or II– 3,000 feet.
 - ▶ (b) Category II aircraft landing behind Category I or II– 4,500 feet.
 - ▶ (c) When either is a category III aircraft– 6,000 feet.

Air Traffic Mandatory Occurrence Report

SRQ-M-2023/02/16-0001

1. Reporting FAC ID			2. Date UTC (dd/mm/yyyy)							3. Time UTC				4. Significant Occurrence?	
S	R	Q	1	7	0	2	2	0	2	3	0	1	5	8	☒ Yes ☐ No
5. MOR reported by (select one): ☒ Controller providing services ☐ FLM ☐ CIC ☐ Aircraft Owner/Operator ☐ Internal Facility Review ☐ External Facility Referral ☐ Hotline (Describe in summary) ☐ Electronically Detected ☐ Other (Describe in summary)													6. Did equipment outage potentially contribute to this event? ☐ Unknown ☐ Yes ☒ No		
Memory Aid Required? ☐ Yes ☒ No ☐ Unknown										Memory Aid Used? ☐ Yes ☐ No ☐ Unknown					
Training in progress? ☐ Yes ☒ No ☐ Unknown										Nearest Airport: SRQ		Possible NMAC? ☐ Yes ☒ No		Alert #: _____	
Surface Separation MORs															
D1. MOR type - suspected surface loss involving (select one): ☒ Two aircraft ☐ Ground surveillance alert between two aircraft ☐ Aircraft and vehicle ☐ Ground surveillance alert between aircraft/vehicle ☐ Aircraft and pedestrian										D2. Occurrence location: SRQ Describe where on the airport surface the occurrence occurred					
D3. Aircraft #1 information:															
Aircraft ID		Aircraft Type/Suffix		IFR/VFR		Facility communicating with A/C		Position communicating with A/C				Frequency			
AAL2172		B738		☐ IFR ☒ VFR		SRQ		LC1				120.1			
Heading		Altitude		Phase of Flight				Traffic Pattern Location				Evasive Action			
D4. Other involved aircraft/vehicle/pedestrian information (only complete one sub-sections applicable):															
D4a. Aircraft:															
Aircraft ID		Aircraft Type/Suffix		IFR/VFR		Facility communicating with A/C		Position communicating with A/C				Frequency			
ROU1633		A321		☐ IFR ☒ VFR		SRQ		LC1				120.1			
Heading		Altitude		Phase of Flight				Traffic Pattern Location				Evasive Action			
D4b. Vehicle:															
Vehicle type				Vehicle ID		Facility communicating with vehicle		Position communicating with vehicle				Frequency			
☐ Airport operator ☐ Contractor ☐ FAA ☐ A/C not for flight ☐ Tug ☐ Other (summary) ☐ Tug with aircraft															
D4c. Pedestrian															
Pedestrian name (if known)															
METAR Observation															
KSRQ 170153Z 23004KT 10SM CLR 22/18 A3009 RMK AO2 SLP188 T02220178															

Air Traffic Mandatory Occurrence Report

SRQ-M-2023/02/16-0001

Compliance			
Was this a loss of separation?			
☒ Yes ☐ No	Applicable Separation Rule: <u>3-10-3</u>		
LoSS Information			
Pilot Deviation			
Was this a possible pilot deviation?			
☐ Yes ☒ No	Preliminary Number: _____		Phase of Flight: _____
Airspace Class: _____	Aircraft #: _____	ORG Choices: _____	Office Number: _____
Type of Deviation: _____		Control Surface: _____	
Was possible pilot deviation validated? ☐ Yes ☒ No		Military Pilot Deviation? ☐ Yes ☒ No	
Previous Note(s)			
On Feb 17, 2023 @ 06:41 EST/EDT, Kyle Vincent @ RTL wrote: Where was ROU1633 when AAL2172 crossed the threshold? What was the closest distance between the aircraft, and was ROU1633 airborne? At what point did AAL2172 initiate go around? On Feb 17, 2023 @ 07:55 EST/EDT, Kyle Vincent @ RTL wrote: Where was ROU1633 when AAL2172 crossed the threshold? What was the closest distance between the aircraft, and was ROU1633 airborne? At what point did AAL2172 initiate go around? Please also provide LC audio with 6 digit start time and skip silence off. On Feb 22, 2023 @ 07:15 EST/EDT, Megan Carreras @ SRQ wrote: Please find LC audio with 6 digit start time of 01:54:06z. SRQ does not have ASDE-X to show where ROU1683 was when AAL2172 crossed the threshold. On Feb 22, 2023 @ 07:30 EST/EDT, Kyle Vincent @ RTL wrote: Please provide management statement of the following: 1. Location of ROU1683 when AAL2172 crossed the threshold. 2. The closest distance between the aircraft, and was ROU1633 airborne? 3. When did AAL2172 initiate go around? On Feb 22, 2023 @ 10:54 EST/EDT, Laqualan Billingsley @ SRQ wrote: LC1 stated AAL2172 was abeam F intersection when the go around was initiated. LC1 stated ROU1683 appeared to be airborne approaching the J intersection as AAL2172 crossed the threshold. LC1 stated he is unsure the closest distance between the aircraft.			

Air Traffic Mandatory Occurrence Report

SRQ-M-2023/02/16-0001

Barrier Analysis			
Recommend for Barrier Analysis Review? ☐ Yes ☒ No	BAR Category	BAR Number	Justification for BAR
Approve for Barrier Analysis Review? ☐ Yes ☐ No	Existing Combined Safety Barrier Review	Reason for BAR denial?	
Link to an existing Combined Safety Barrier Review ☐			
NMAC			
Was this a verified NMAC?			
☐ Yes ☒ No	NMAC Number: _____		
Apt/NAVAID:	Direction:	Distance:	
Pilot of AAL2172			
Pilot Name:		Phone Number:	Certificate Number:
Address:			
Pilot of ROU1633			
Pilot Name:		Phone Number:	Certificate Number:
Address:			
NMAC Description:			
Summary			
J1. Summary - provide a brief summary for all MORs in this section that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting. ROU1633 was departing RWY14. AAL2172, A B738 was over the threshold for RWY14 and reported they were going around. ROU1633 was not past departue end at that time. LC1 provided visual separation between ROU1633 and AAL2172 issued 270 and 3000ft to AAL2172 and coordinated the heading and altitude with TPA.			

Air Traffic Mandatory Occurrence Report

[SRQ-M-2023/02/16-0001](#)

QA Summary

Falcon, SRQ LC audio and facility summary reviewed.

AAL2172 cleared to land RWY14. ROU1633 cleared for takeoff when AAL2172 was approx. 3NM final. Traffic was exchanged. The facility advises ROU1633 was approaching TWY J and airborne when AAL2172 crossed the landing threshold. TWY J is estimated to be approx. 5750 feet from the landing threshold. The facility advises they are unaware of closest proximity. The facility advises AAL2172 initiated go around abeam TWY F. Forwarded to runway safety for review. Validated loss of separation.

System Service Review

SRQ-S-2023/02/16-0001

A1. FAC ID			A2. Date UTC (mm/dd/yyyy)							A3. Start Time UTC				A4. End Time UTC				A5. Position	
S	R	Q	0	2	1	7	2	0	2	3	0	1	5	8	0	2	0	5	LC1
A6. Aircraft #1										A7. Aircraft #2									
Aircraft ID			Aircraft Type/Suffix			IFR/VFR				Aircraft ID			Aircraft Type/Suffix			IFR/VFR			
AAL2172			B738			IFR				ROU1633			A321			IFR			
Training																			
1. Were any training issues identified?																			
☐ Yes ☒ No																			
Weather																			
1. What were the prevailing weather conditions?																			
☐ IFR ☒ VFR ☐ Other																			
2. Was any pertinent precipitation depicted on the radar?																			
☐ Yes ☒ No																			
3. Did LLWAS alert?																			
☐ Yes ☒ No ☐ N/A																			
4. Were weather phenomena a factor?																			
☐ Yes ☒ No																			
5. Were any SIGMETs or PIREPs in effect?																			
☐ Yes ☒ No																			
Efficiency																			
1. Were any efficiency issues identified?																			
☐ Yes ☒ No																			
Airspace/Airport																			
1. Were any airspace/airport issues identified?																			
☐ Yes ☒ No																			
Procedures																			
1. Were any procedural issues identified?																			
☐ Yes ☒ No																			
Directives																			
1. Were any directive issues identified?																			
☐ Yes ☒ No																			
Equipment																			
1. Were any equipment issues identified?																			
☐ Yes ☒ No																			

System Service Review

SRQ-S-2023/02/16-0001

Customer Feedback	
1. Was there customer feedback regarding the operation during this review session?	☐ Yes ☒ No
Resource Management	
1. Were any resource management issues identified?	☐ Yes ☒ No
Individual Performance	
1. Was any notable Individual performance identified? (Exemplary and/or needing improvement)	☐ Yes ☒ No
QC Findings	
Briefings being conducted to workforce regarding runway separation standards.	
Review Team	
Megan Carreras Laqualan Billingsley April Hedstrom Lindsey Victoria	

DAILY RECORD OF FACILITY OPERATION				PAGE NO Page 1 of 1
				DATE Feb 16, 2023
LOCATION Sarasota, FL	IDENTIFICATION SRQ	TYPE FACILITY ATCT	OPERATING POSITION Watch Desk	CHECKED BY
				AIR TRAFFIC MANAGER Kelly Young
UTC TIME	REMARKS			
1100	A. RIGGS ON, WCLC. RWY 14/22 IN USE, AUTOS. ASOS/DASI 30.09. CFPL: 7560 TPA SHOUT LINE OTS. PER TPA (WT). CFPL: RWY 14 GS OTS, DELAYED ENTRY. -- AM			
1158	K. WATT ON, ABV NOTED. -- AM			
1304	A. RIGGS ON, ABV NOTED. -- AM			
1325	P. LAWRENCE ON. -- PL			
1400	K. WATT ON. -- PL			
1432	M. CARRERAS ON, ABV NOTED. -- MC			
1700	WCLC. -- MC			
1842	STOP DEPARTURES. -- MC			
1852	+15 MIN DELAYS TPA/ZMA NOTIFIED. -- MC			
1925	OUT OF DELAYS TPA/ZMA NOTIFIED. -- MC			
1952	15 MIT SRKUS DEPARTURES -- MC			
1956	L. BILLINGSLEY ON, ABV NOTED. -- CT			
2130	A. RODRIGUEZ ON, ABV NOTED. -- CT			
2300	WCLC. -- LV			
2323	L. VICTORIA ON, ABOVE NOTED. -- CT			
0101	L. BILLINGSLEY ON, ABV NOTED. -- LV			
0200	SRQ-M-2023/02/16-0001 -- AAL2172 -- LV			
0230	L. VICTORIA ON, ABOVE NOTED. -- CT			
0459	LAST ATIS X, COB. -- LV			
I CERTIFY that entries above are correct, that all scheduled operations have been accomplished except as noted, and that all abnormal occurrences and conditions have been recorded.		SIGNATURES(S) OF WATCH SUPERVISOR(S)		

FAA Form 7230-4

ECV Checklist for SRQ - Sarasota (Tower)

Scheduled Dates: 20-Aug-2018 - 24-Aug-2018

ECV Complete Date: 27-Aug-2018

CVT Year: 2018

Primary Evaluator: Shawn A Bibby

98 of 98 items

id	Item	Description	Reference	Evaluation Area	ECV Rating	ECV Approval	Mitigation Plan?
1	Abbreviated Departure Clearances	Controllers use approved abbreviated departure clearances and phraseology	7110.65 par 4-3-3	Operations	Compliant	27-Aug-2018	
2	Abbreviated Transmissions	Controllers use standard abbreviated transmissions phraseology	7110.65 par 2-4-9	Operations	Compliant	27-Aug-2018	
8	Airport Conditions	Controllers provide timely information regarding landing area conditions using prescribed phraseology	7110.65 ch 3 sec 3; par 4-7-12b and c	Operations	Not Observed	27-Aug-2018	
9	Airport Construction	Facility management follow applicable requirements when dealing with airport construction	7210.3 par 10-3-12 and 10-3-13	Operations	Compliant	27-Aug-2018	
11	Altimeter Issued and Requirements	Altimeter issued in accordance with prescribed procedures	7110.65 Ch 2 Sec 7; 7210.3 par 2-10-3 and 2-10-4	Operations	Compliant	27-Aug-2018	
12	Altimeter Requirements	Comparison checks are accomplished as required	7210.3 par 2-10-3 and 2-10-4	Operations	Noncompliant - Low	27-Aug-2018	
13	Altitude Assignment and Verification	Controllers apply standardized application of procedures, assigning and verifying altitudes and standard	7110.65 ch 4 sec 5	Operations	Compliant	27-Aug-2018	

		phraseology					
14	Altitude Filter Limits	Mode C targets and data blocks are displayed correctly through the use of appropriate altitude limits and display filters	7110.65 par 5-2-24	Operations	Compliant	27-Aug-2018	
15	Anticipating Separation	Takeoff or landing clearances need not be withheld until prescribed separation exists	7110.65 par 3-9-5 and 3-10-6	Operations	Compliant	27-Aug-2018	
16	AOV Credentialing	All requirements for conducting and recording initial credential ratings and biennial skill evaluations and completing return to duty plans are followed	8000.90	Administrative	Compliant	27-Aug-2018	
21	Arrival Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 10; ch 4 sec 7; par 5-9-4 and 5-9-5	Operations	Compliant	27-Aug-2018	
22	Arrival Weather, Airport Conditions	Controllers provide and solicit weather information, airport conditions, and below minima reports as required	7110.65 par 4-7-7; 4-7-11 and 4-7-12a	Operations	Compliant	27-Aug-2018	
25	ATIS Procedures	ATIS duties including content, code broadcast and review	7110.65 ch 2 sec 9	Operations	Compliant	27-Aug-2018	Has Plan
288	Backup/Augmentation of Weather Observations	a. Facilities where air traffic personnel provide backup/augmentation of automated weather observations,	JO7210.3; para 2-9-1	Operations	Compliant	27-Aug-2018	

		or take manual observations, must use FAO 7900.5, Surface Weather Observing METAR, as the basic source of guidance for completion of observations. b. In an automated weather environment, elements of automated weather observations may be used for operational purposes (i.e., wind and altimeter). c. Specialists responsible for providing backup/ augmentation of automated weather observations, or manual observations, must be certified by the National Weather Service (NWS).					
28	Battery Transceivers	Back-ups are checked once a week	7210.3 par 3-3-5	Operations	Compliant	27-Aug-2018	
29	Beacon Systems	Controllers use standardized procedures and phraseology related to beacon systems	7110.65 par 5-2-1 through 5-2-16 and 5-2-22	Operations	Compliant	27-Aug-2018	
30	Bird Hazard Procedures/Advisories	Controllers issue bird activity advisories using prescribed phraseology. Required notifications are accomplished.	7110.65 par 2-1-23	Operations	Compliant	27-Aug-2018	

32	Call Sign Usage	Aircraft identification and similar sounding call signs are handled as required	7110.65 par 2-4-15 and 2-4-20	Operations	Compliant	27-Aug-2018	Has Plan
33	Class B/C/D Airspace Operations	Controllers provide Class B/C/D services and phraseology	7110.65 par 3-1-11; ch 7 sec 7 through 9	Operations	Compliant	27-Aug-2018	
34	Clearances	Controllers use standardized manual and automated clearance formats and phraseology	7110.65 ch 4 sec 2 and 4; par 4-3-4	Operations	Compliant	27-Aug-2018	
40	Coordinate Use of Airspace	Controllers ensure necessary coordination is accomplished	7110.65 par 2-1-14 and 2-1-16	Operations	Compliant	27-Aug-2018	
41	Coordinating Delays	Controllers meet requirements for forwarding delays and coordinating departure clearances	7110.65 par 4-3-7 through 4-3-10	Operations	Compliant	27-Aug-2018	
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Not Observed	27-Aug-2018	
44	Data Blocks	Controllers display and retain data blocks as required	7110.65 par 5-3-9a and 5-15-8	Operations	Compliant	27-Aug-2018	
46	Data Entries/Display Data	Use of scratch pad entries, system information, select/inhibit switches	7110.65	Operations	Compliant	27-Aug-2018	
48	Delay Reporting	Facility reports delays as required		Operations	Compliant	27-Aug-2018	

49	Delays	Controllers use standard procedures and phraseology associated with departure delays, releases, ground stops, and delay sequencing	7110.65 par 4-3-4 through 4-3-7	Operations	Compliant	27-Aug-2018	
51	Departure Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 9; ch 4 sec. 3; ch 5 sec 8	Operations	Compliant	27-Aug-2018	
52	Emergency Frequencies	Facility ensures emergency frequencies are monitored continuously, in working order, and checked regularly	7210.3 par 3-3-3 and 3-3-4	Operations	Compliant	27-Aug-2018	
53	Emergency Procedures	Requirements are met for providing services in/to an emergency in accordance w/ prescribed procedures	7110.65 ch 10 sec 1 and 2	Operations	Compliant	27-Aug-2018	
59	Flight Check Handling	Controllers use standard flight check handling procedures	7110.65 ch 9 sec 1	Operations	Not Observed	27-Aug-2018	
62	GENOT Handling	Ensure that all employees with a need to know are thoroughly briefed prior to performing duties	7210.3 par 2-2-8	Operations	Compliant	27-Aug-2018	
66	Hazardous Weather Broadcast Procedures and Phraseology	Controllers/Specialists use correct procedures and phraseology for HIWAS broadcast	7110.65 par 2-6-6	Operations	Compliant	27-Aug-2018	

65	Helicopter Operations	Controllers apply standard procedures (including locally developed) and phraseology	7110.65 ch 3 sec 11	Operations	Compliant	27-Aug-2018	
67	Inflight Equipment Malfunctions	Controllers properly follow procedures for inflight equipment malfunctions	7110.65 par 2-1-7	Operations	Compliant	27-Aug-2018	
68	Interphone Format	Standard format is used on interphone	7110.65 par 2-4-8 through 2-4-14	Operations	Compliant	27-Aug-2018	
69	Interphone, Frequency Monitoring and Testing	Controllers/Specialists monitor interphones and radio frequencies continuously (to include emergency frequencies when required)		Operations	Compliant	27-Aug-2018	
70	Intersecting Runway Separation	Controllers apply standard separation during intersecting runway operations	7110.65 par 3-9-8 and 3-10-4	Operations	Compliant	27-Aug-2018	
71	Intersection Departures	Intersection departure procedures are applied as required	7110.65 par 3-7-1c; d and e; 7210.3 par 2-1-13	Operations	Compliant	27-Aug-2018	
72	LAHSO	Controllers apply procedures in accordance with directives and standard phraseology is used		Operations	Not Observed	27-Aug-2018	
73	Line Up and Wait (LUAW)	Controllers use proper phraseology and procedures and traffic is exchanged as required	7110.65 par 3-9-4; 3-10-5b and c; 3-10-6b; 7210.3 par 2-6-5c and	Operations	Compliant	27-Aug-2018	Has Plan

			10-3-8				
74	Local/Ground Coordination	Controllers ensure coordination is completed and phraseology was correct	7110.65 3-1-3 and 3-1-4; 7210.3BB 3-4-1	Operations	Compliant	27-Aug-2018	
75	Low Level Wind Shear/Microburst Advisories	Using prescribed phraseology, controllers provide wind shear and microburst advisories as reported by equipment and/or pilots	7110.65 par 3-1-8; 7210.3 par 2-10-1a and b	Operations	Not Observed	27-Aug-2018	
78	Memory Aids	Facility implements their directive that clearly defines coordination responsibilities and safeguards to prevent inadvertent use of runways	7210.3 par 10-1-7	Operations	Compliant	27-Aug-2018	
79	Merging Target Procedures	Controllers apply merging target procedures as required	7110.65 par 5-1-8	Operations	Not Observed	27-Aug-2018	
83	Mode C Validation	Controllers use prescribed phraseology for assigning and verifying altitudes	7110.65 par 5-2-18 through 5-2-22	Operations	Compliant	27-Aug-2018	
84	MSAW/Conflict/MCI Alert	Controllers take appropriate action with E-MSAW, conflict alert, and MCI requirements when a CA or MCI alert is displayed	7110.65 par 5-15-6 and 5-15-7	Operations	Compliant	27-Aug-2018	
88	NAVAID Monitoring Directive and Application	Monitoring instructions are included in a facility directive and restoration and reporting NAVAID malfunctions are in accordance with local	7210.3 par 3-5-1	Operations	Compliant	27-Aug-2018	

		national requirements					
89	Nonradar Procedures	Controllers apply nonradar procedures as required	7110.65 ch 6; sec 2-1	Operations	Compliant	27-Aug-2018	
90	NORDO/NORAC Aircraft	Proper procedures regarding NORDO/NORAC Aircraft are followed	7110.65 par 10-4-4; 7610.4 ch 7 sec 2 & 3	Operations	Compliant	27-Aug-2018	
93	NOTAM Distribution	Personnel adhere to standardized distribution of received NOTAM information to other ATC facilities	7210.3 par 6-3-2 and para 6-3-4d3; 7930.2 par 3-1-2a; 3-2-1; and 3-2-2	Operations	Compliant	27-Aug-2018	
95	NOTAM Handling	NOTAMs are included on checklists and status information areas and briefed to personnel	7210.3 6-3-4d.3; 7930.2 par 1-3-1a and b; 2-2-3; 3-2-1 and 3-2-2	Operations	Compliant	27-Aug-2018	
106	OJTI Selection, Certification and Evaluation	OJTIs are selected certified and evaluated in accordance with National Directive	3120.4; Ch 6	Training	Compliant	27-Aug-2018	Has Plan
107	Operational Currency	Operational and staff personnel maintain currency as required	7210.3 Ch 2; Section 3	Operations	Compliant	27-Aug-2018	
108	Operational Oversight	FLM/CIC/OS monitors operation, anticipates traffic flow, manages and eliminates distractions, and takes appropriate actions	7210.3 par 2-6-1; 2-6-2; 2-6-5a; 2-6-6; 5-1-2b and 5-3-7e	Operations	Compliant	27-Aug-2018	

287	Opposite Direction Operations (ODO)	Description: The facility has developed procedures that have been approved by the service area Director Of Operations (through the Operations Support Group). The facility has captured those procedures in a local directive. The facility complies with those procedures.	7210.3 par. 2-1-30; ATO-SG-15-7 ODO	Operations	Compliant	27-Aug-2018	
110	Overdue Aircraft	Controllers gather and share information on overdue aircraft and properly complete applicable control actions	7110.65 par 10-3-1; 10-3-2; 10-3-6 and 10-4-1 through 10-4-3	Operations	Not Observed	27-Aug-2018	
116	PIREP Information	Controllers solicit, broadcast, and disseminate PIREPs, as required, using prescribed phraseology	7110.65 par 2-6-2	Operations	Noncompliant - Low	27-Aug-2018	
118	Position Certification Process	Facilities follow established requirements and procedures for OJT and position certification process	3120.4; Chapter 6	Training	Compliant	27-Aug-2018	
119	Position Determination	Determine position of aircraft prior to issuing instructions or clearance	7110.65 par 3-1-7	Operations	Compliant	27-Aug-2018	

120	Position Relief Briefings	Controllers/Specialists ensure position briefings are completed and recorded, and checklists are used	7110.65 Appendix A; 7210.3 par 2-2-4 and 2-2-6	Operations	Compliant	27-Aug-2018	
121	Position Staffing	Assign personnel to positions as required by activity, equipment, and facility function	7210.3 ch 2 sec 6	Operations	Compliant	27-Aug-2018	
123	Precision Approach Critical Areas/ Precision Obstacle Free Zones	Precision Approach Critical Areas and Precision Obstacle Free Zones are described, depicted, and protected, when required	7110.65 par 3-3-7; 3-7-5 and 3-7-6	Operations	Not Observed	27-Aug-2018	
127	Qualification Training	All required employees receive field qualification training IAW National and Local Directives	3120.4 par 4-2 and app D; F; G and H	Training	Compliant	27-Aug-2018	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Compliant	27-Aug-2018	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Compliant	27-Aug-2018	
135	Radio Communication	Controllers/Specialists use standard radio transmission format and phraseology and apply correct	7110.65 par 2-1-17; 2-4-3; 2-4-8 and 2-4-14 through 2-4-22	Operations	Compliant	27-Aug-2018	Has Plan

		readback/hearback procedures and phraseology					
136	Refresher Training	Each facility must establish and comply with a written annual refresher training program	3120.4 Ch 4 par 5b and Appendix A	Training	Compliant	27-Aug-2018	
137	Remedial Training	Remedial Training is administered in accordance with National Directive	3120.4 Ch 4 par 6	Training	Not Observed	27-Aug-2018	
138	Runway Exiting	Controllers use prescribed procedures, including those in a local directive, for aircraft exiting runways	7110.65 par 3-10-9	Operations	Compliant	27-Aug-2018	
139	Runway Utilization	Controllers apply standardized procedures and phraseology to arrival and departures using the runways	7110.65 ch 3 sec 5 and 8; par 3-7-1c through e; 7210.3 par 10-1-6	Operations	Compliant	27-Aug-2018	
142	Safety Alerts	Controllers apply safety alert requirements and phraseology	7110.65 par 2-1-6	Operations	Compliant	27-Aug-2018	
144	Same Runway Separation	Controllers apply standard separation on same runway operations	7110.65 par 3-9-6 and 3-10-3	Operations	Compliant	27-Aug-2018	
147	Skill Enhancement Training	Skill enhancement training meets required elements of prescribed procedures	3120.4 Ch 4; Section 5d	Training	Not Observed	27-Aug-2018	

268	SOP/LOA Reviews	Review LOAs/SOPs for accuracy and completeness of data annually and as needed.	7210.3 paras 2-1-2; 2-1-3; 2-1-4; 2-1-5; 2-1-6; 2-2-14; 3-3-2; 4-3-3;4-3-5; 4-3-6	Operations	Compliant	27-Aug-2018	
148	Special Flight Handling	Standard procedures are followed when handling Special Flights	7110.65	Operations	Compliant	27-Aug-2018	
150	Special Use Airspace Procedures	Controllers use standard special use airspace procedures: separation standards, clearance in and out, and VFR-on-top	7110.65 ch 9 sec 3	Operations	Not Observed	27-Aug-2018	
151	Special VFR	Controllers use standard procedures and phraseology for Special VFR operations	7110.65 ch 7 sec 5	Operations	Not Observed	27-Aug-2018	
152	Speed Adjustments	Controllers use standard speed control application, methods, minima, and phraseology	7110.65 ch 5 sec 7	Operations	Compliant	27-Aug-2018	
153	Strip Marking	Controllers use standard flight progress strip marking	7110.65 par 2-3-1; 2-3-4 and 2-3-5 through 2-3-10	Operations	Compliant	27-Aug-2018	
155	Supplemental Training	Training provided prior to effective date of new/revised procedures, regulations or equipment, etc.	3120.4 Ch 4 par 5C and Appendix A	Training	Compliant	27-Aug-2018	
156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Compliant	27-Aug-2018	

157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and are completed in accordance with applicable directive	7210.634 par 4-5	Quality Control	Compliant	27-Aug-2018	
158	Taxi/Ground Movement Procedures	Controllers provide clearance instructions using prescribed procedures and phraseology	7110.65 par 3-7-1 through 3-7-4; 7210.3 par 10-3-11; AC 120-57A	Operations	Compliant	27-Aug-2018	
159	TCAS/TAWS	Controllers handle TCAS/TAWS resolution advisories and reporting as required	7110.65 par 2-1-28	Operations	Not Observed	27-Aug-2018	
162	TM Responsibilities of FLM/CIC and ATCS	FLM/CICs and ATCSs work to manage flows of traffic as required	7110.65 par 11-1-2b and c	Operations	Compliant	27-Aug-2018	
163	Tower Radar Displays	Use of tower radar displays	7110.65 par 3-1-9; 7210.3 par 10-5-3	Operations	Compliant	27-Aug-2018	
164	Traffic Advisories	Controllers apply traffic advisories as required	7110.65 par 2-1-21	Operations	Compliant	27-Aug-2018	
167	Traffic Management Reviews (TMR)	TMRs are conducted as applicable in order to identify issues that may impact system efficiency	7210.634 par 4-3	Quality Control	Compliant	27-Aug-2018	
171	Vehicular Traffic	Controllers use prescribed procedures and phraseology regarding the movement of vehicular traffic	7110.65 par 3-1-3d; 3-1-5; 3-7-6; 3-7-1b	Operations	Noncompliant - Low	27-Aug-2018	

174	VFR-on-Top	Controllers use standard procedures and phraseology for applying VFR-on-top	7110.65 par 7-3-1; 7-3-2 and 9-3-3	Operations	Compliant	27-Aug-2018	
175	Visibility Chart Developed/Maintained/Marked	Visibility charts are available (as needed) to meet required elements of prescribed procedures	7210.3 par 2-9-6	Operations	Compliant	27-Aug-2018	
177	Visual Scanning	Controllers visually scan runways on a continuous basis	7110.65 3-1-12	Operations	Compliant	27-Aug-2018	
178	Visual Separation	Controllers use standard procedures and phraseology for the application of visual separation	7110.65 par 7-2-1a and c	Operations	Compliant	27-Aug-2018	
179	Wake Turbulence	Controllers apply standard separation and advisories for flights impacted by wake turbulence	7110.65 par 2-1-19; 2-1-20 and 5-5-4e; N JO 7110.582	Operations	Compliant	27-Aug-2018	
184	Weather Familiarization	Controllers/Specialists become familiar with pertinent weather information when coming on duty, and stay aware of current weather information needed to perform ATC duties	7110.65 par 2-6-1	Operations	Compliant	27-Aug-2018	
186	Weather Processing	Receipt and dissemination of weather products	7110.65 par 2-9-2b; 7210.3 par 2-9-2; 2-9-4; 2-9-9 and 10-3-1	Operations	Compliant	27-Aug-2018	

187	Weather/Chaff Services	Controllers use correct procedures and phraseology for reporting weather and chaff information to pilots and other affected facilities	7110.65 par 2-6-4	Operations	Compliant	27-Aug-2018	
-----	------------------------	--	-------------------	------------	-----------	-------------	--

ECV Checklist for SRQ - Sarasota (Tower)

Scheduled Dates: 17-Oct-2018 - 17-Oct-2018

ECV Complete Date: 17-Oct-2018

CVT Year: 2019

Primary Evaluator: Dale CTR Landen

Secondary Evaluator: Joseph CTR Robert

6 of 6 items

id	Item	Description	Reference	Evaluation Area	ECV Rating	ECV Approval	Mitigation Plan?
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Not Observed	17-Oct-2018	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Compliant	17-Oct-2018	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Compliant	17-Oct-2018	
156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Compliant	17-Oct-2018	
157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and	7210.634 par 4-5	Quality Control	Compliant	17-Oct-2018	

		are completed in accordance with applicable directive					
167	Traffic Management Reviews (TMR)	TMRs are conducted as applicable in order to identify issues that may impact system efficiency	7210.634 par 4-3	Quality Control	Not Observed	17-Oct-2018	

ECV Checklist for SRQ - Sarasota (Tower)

Scheduled Dates: 14-Oct-2019 - 18-Oct-2019

ECV Complete Date: 18-Oct-2019

CVT Year: 2020

Primary Evaluator: James Kinkelaar

Secondary Evaluator: James Kinkelaar

5 of 5 items

id	Item	Description	Reference	Evaluation Area	ECV Rating	ECV Approval	Mitigation Plan?
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Not Observed	18-Oct-2019	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Compliant	18-Oct-2019	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Compliant	18-Oct-2019	
156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Compliant	18-Oct-2019	
157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and are completed in accordance with applicable directive	7210.634 par 4-5	Quality Control	Compliant	18-Oct-2019	

id	Item	Description	Reference	Evaluation Area	ICV Rating	ICV Approval	ECV Rating	ECV Approval	Mitigation Plan?
1	Abbreviated Departure Clearances	Controllers use approved abbreviated departure clearances and phraseology	7110.65 par 4-3-3	Operations			Compliant	09-Feb-2023	
2	Abbreviated Transmissions	Controllers use standard abbreviated transmissions phraseology	7110.65 par 2-4-9	Operations	Compliant	14-Dec-2022	Compliant	09-Feb-2023	
359	Air Traffic Control Operational Contingency Plans	Air Traffic Managers are responsible to have Operations Contingency Plans (OCPs) in place to respond to events that affect the Operational Contingency Levels (OCLs) of their facility to provide ATC services. Reference: FAA JO 1900.47 Air Traffic Control Operational Contingency Plans a. Ensure that the OCP conforms to the current version of the FAA JO 1900.47 Chapter 3, Documentation. b. Complete the annual requirements by December 31 of each calendar year. 1. Ensure that all network support agreements have been reviewed 2. Ensure that a facility ATC Zero exercise is conducted unless an actual ATC Zero or ATC Limited event occurred during the year. 3. Ensure	1900.47 Ch 2 Section J; Ch 5 Section C	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	

		certification of the facility OCP and support procedures in the National OCP Database. 4. Ensure certification of contact information in OCPs in the National OCP Database. c. Ensure the facility has conducted refresher training on the OCP in accordance with FAA JO 3120.4 Air Traffic Technical Training, which includes: 1. Airspace divestment/assumption procedures 2. Use of CPSS information, where applicable 3. Operationally relevant information seen during an exercise or event.							
8	Airport Conditions	Controllers provide timely information regarding landing area conditions using prescribed phraseology	7110.65 ch 3 sec 3; par 4-7-12b and c	Operations	Compliant	14-Dec-2022	Compliant	09-Feb-2023	
9	Airport Construction	Facility management follow applicable requirements when dealing with airport construction	7210.3 par 10-3-12 and 10-3-13	Operations	Unrated		Compliant	09-Feb-2023	
11	Altimeter Issued and Requirements	Altimeter issued in accordance with prescribed procedures	7110.65 Ch 2 Sec 7; 7210.3 par 2-10-3 and 2-10-4	Operations	Compliant	14-Dec-2022	Compliant	09-Feb-2023	
13	Altitude Assignment and Verification	Controllers apply standardized application of procedures, assigning and verifying altitudes and standard phraseology	7110.65 ch 4 sec 5	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	

14	Altitude Filter Limits	Mode C targets and data blocks are displayed correctly through the use of appropriate altitude limits and display filters	7110.65 par 5-2-24	Operations	Unrated		Compliant	14-Feb-2023	
15	Anticipating Separation	Takeoff or landing clearances need not be withheld until prescribed separation exists	7110.65 par 3-9-5 and 3-10-6	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
16	AOV Credentialing	All requirements for conducting and recording initial credential ratings and biennial skill evaluations and completing return to duty plans are followed	8000.90	Administrative	Compliant	14-Dec-2022			
17	Approach Clearance Procedures and Phraseology	Controllers issue approach clearances, adhere to separation minima, and issue alternate missed approach instructions using prescribed phraseology	7110.65 ch 4 sec 8; ch 7 sec 4; par 4-7-6 and 4-7-10	Operations			Compliant	14-Feb-2023	
18	Approach Information and Arrival Procedures - Instructions	Controllers provide radar frequency, beacon changes, and advance approach information	7110.65 par 4-7-1	Operations	Unrated		Compliant	14-Feb-2023	
19	Approach Separation Minima	Controllers adhere to separation minima for approach procedures	7110.65 par 5-9-5	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
21	Arrival Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 10; ch 4 sec 7; par 5-9-4 and 5-9-5	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
22	Arrival Weather, Airport Conditions	Controllers provide and solicit weather information, airport conditions, and below minima reports as required	7110.65 par 4-7-7; 4-7-11 and 4-7-12a	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	

25	ATIS Procedures	ATIS duties including content, code broadcast and review	7110.65 ch 2 sec 9	Operations	Compliant	14-Dec-2022	Noncompliant - Low	14-Feb-2023	Has Plan
288	Backup/Augmentation of Weather Observations	a. Facilities where air traffic personnel provide backup/augmentation of automated weather observations, or take manual observations, must use FAAO 7900.5, Surface Weather Observing METAR, as the basic source of guidance for completion of observations. b. In an automated weather environment, elements of automated weather observations may be used for operational purposes (i.e., wind and altimeter). c. Specialists responsible for providing backup/augmentation of automated weather observations, or manual observations, must be certified by the National Weather Service (NWS).	JO7210.3; para 2-9-1	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
28	Battery Transceivers	Back-ups are checked once a week	7210.3 par 3-3-5	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
29	Beacon Systems	Controllers use standardized procedures and phraseology related to beacon systems	7110.65 par 5-2-1 through 5-2-16 and 5-2-22	Operations	Compliant	14-Dec-2022	Compliant	14-Feb-2023	
30	Bird Hazard Procedures/Advisories	Controllers issue bird activity advisories using prescribed phraseology. Required notifications are accomplished.	7110.65 par 2-1-23	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	

32	Call Sign Usage	Aircraft identification and similar sounding call signs are handled as required	7110.65 par 2-4-15 and 2-4-20	Operations	Compliant	16-Dec-2022	Noncompliant - Low	14-Feb-2023	Has Plan
33	Class B/C/D Airspace Operations	Controllers provide Class B/C/D services and phraseology	7110.65 par 3-1-11; ch 7 sec 7 through 9	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
34	Clearances	Controllers use standardized manual and automated clearance formats and phraseology	7110.65 ch 4 sec 2 and 4; par 4-3-4	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
40	Coordinate Use of Airspace	Controllers ensure necessary coordination is accomplished	7110.65 par 2-1-14 and 2-1-16	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
41	Coordinating Delays	Controllers meet requirements for forwarding delays and coordinating departure clearances	7110.65 par 4-3-7 through 4-3-10	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Unrated		Not Observed	14-Feb-2023	
43	CTO Certification	Facility has a designated CTO examiner. Certificates are issued. CTO certificates are readily available	8000.90	Administrative	Unrated				
44	Data Blocks	Controllers display and retain data blocks as required	7110.65 par 5-3-9a and 5-15-8	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
46	Data Entries/Display Data	Use of scratch pad entries, system information, select/inhibit switches	7110.65	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
48	Delay Reporting	Facility reports delays as required		Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
49	Delays	Controllers use standard procedures and phraseology associated with departure delays, releases, ground	7110.65 par 4-3-4 through 4-3-7	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	

		stops, and delay sequencing							
51	Departure Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 9; ch 4 sec. 3; ch 5 sec 8	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
52	Emergency Frequencies	Facility ensures emergency frequencies are monitored continuously, in working order, and checked regularly	7210.3 par 3-3-3 and 3-3-4	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
53	Emergency Procedures	Requirements are met for providing services in/to an emergency in accordance w/ prescribed procedures	7110.65 ch 10 sec 1 and 2	Operations	Compliant	16-Dec-2022	Compliant	14-Feb-2023	
59	Flight Check Handling	Controllers use standard flight check handling procedures	7110.65 ch 9 sec 1	Operations	Compliant	16-Dec-2022	Not Observed	14-Feb-2023	
62	GENOT Handling	Ensure that all employees with a need to know are thoroughly briefed prior to performing duties	7210.3 par 2-2-8	Operations	Unrated		Informational	14-Feb-2023	
66	Hazardous Weather Broadcast Procedures and Phraseology	Controllers/Specialists use correct procedures and phraseology for HIWAS broadcast	7110.65 par 2-6-6	Operations	Unrated		Compliant	14-Feb-2023	
65	Helicopter Operations	Controllers apply standard procedures (including locally developed) and phraseology	7110.65 ch 3 sec 11	Operations	Unrated		Compliant	14-Feb-2023	
67	Inflight Equipment Malfunctions	Controllers properly follow procedures for inflight equipment malfunctions	7110.65 par 2-1-7	Operations	Unrated		Compliant	14-Feb-2023	
68	Interphone Format	Standard format is used on interphone	7110.65 par 2-4-8 through 2-4-14	Operations	Unrated		Compliant	14-Feb-2023	
69	Interphone, Frequency Monitoring and Testing	Controllers/Specialists monitor interphones and radio frequencies continuously (to include emergency frequencies when		Operations	Unrated		Compliant	14-Feb-2023	

		required)							
70	Intersecting Runway Separation	Controllers apply standard separation during intersecting runway operations	7110.65 par 3-9-8 and 3-10-4	Operations	Unrated		Compliant	14-Feb-2023	
71	Intersection Departures	Intersection departure procedures are applied as required	7110.65 par 3-7-1c; d and e; 7210.3 par 2-1-13	Operations	Unrated		Compliant	14-Feb-2023	
72	LAHSO	Controllers apply procedures in accordance with directives and standard phraseology is used		Operations	Unrated		Compliant	14-Feb-2023	
73	Line Up and Wait (LUAW)	Controllers use proper phraseology and procedures and traffic is exchanged as required	7110.65 par 3-9-4; 3-10-5b and c; 3-10-6b; 7210.3 par 2-6-5c and 10-3-8	Operations	Unrated		Noncompliant - Low	14-Feb-2023	Has Plan
74	Local/Ground Coordination	Controllers ensure coordination is completed and phraseology was correct	7110.65 3-1-3 and 3-1-4; 7210.3BB 3-4-1	Operations	Unrated		Compliant	14-Feb-2023	
75	Low Level Wind Shear/Microburst Advisories	Using prescribed phraseology, controllers provide wind shear and microburst advisories as reported by equipment and/or pilots	7110.65 par 3-1-8; 7210.3 par 2-10-1a and b	Operations	Unrated		Compliant	14-Feb-2023	
78	Memory Aids	Facility implements their directive that clearly defines coordination responsibilities and safeguards to prevent inadvertent use of runways	7210.3 par 10-1-7	Operations	Unrated		Compliant	14-Feb-2023	
79	Merging Target Procedures	Controllers apply merging target procedures as required	7110.65 par 5-1-8	Operations	Unrated		Not Observed	14-Feb-2023	

83	Mode C Validation	Controllers use prescribed phraseology for assigning and verifying altitudes	7110.65 par 5-2-18 through 5-2-22	Operations	Unrated		Compliant	14-Feb-2023	
84	MSAW/Conflict/MCI Alert	Controllers take appropriate action with E-MSAW, conflict alert, and MCI requirements when a CA or MCI alert is displayed	7110.65 par 5-15-6 and 5-15-7	Operations	Unrated		Not Observed	14-Feb-2023	
229	Multiple Runway Crossings	Facilities obtain administrative approval to conduct multiple runway crossing and operationally conduct multiple runway crossings in accordance with requirements.	7210.3 paragraph 10-3-11 and 7110.65 paragraph 3-7-2 c	Operations	Unrated				
88	NAVAID Monitoring Directive and Application	Monitoring instructions are included in a facility directive and restoration and reporting NAVAID malfunctions are in accordance with local national requirements	7210.3 par 3-5-1	Operations	Unrated		Compliant	14-Feb-2023	
89	Nonradar Procedures	Controllers apply nonradar procedures as required	7110.65 ch 6; sec 2-1	Operations	Unrated				
90	NORDO/NORAC Aircraft	Proper procedures regarding NORDO/NORAC Aircraft are followed	7110.65 par 10-4-4; 7610.4 ch 7 sec 2 & 3	Operations	Unrated		Compliant	14-Feb-2023	
93	NOTAM Distribution	Personnel adhere to standardized distribution of received NOTAM information to other ATC facilities	7210.3 par 6-3-2 and para 6-3-4d3; 7930.2 par 3-1-2a; 3-2-1; and 3-2-2	Operations	Unrated				
95	NOTAM Handling	NOTAMs are included on checklists and status information areas and briefed to personnel	7210.3 6-3-4d.3; 7930.2 par 1-3-1a and b; 2-2-3; 3-2-1 and 3-2-2	Operations	Unrated		Compliant	14-Feb-2023	

106	OJTI Selection, Certification and Evaluation	OJTIs are selected certified and evaluated in accordance with National Directive	3120.4; Ch 6	Training	Unrated		Noncompliant - Low	14-Feb-2023	Has Plan
107	Operational Currency	Operational and staff personnel maintain currency as required	7210.3 Ch 2; Section 3	Operations	Unrated		Compliant	14-Feb-2023	
108	Operational Oversight	FLM/CIC/OS monitors operation, anticipates traffic flow, manages and eliminates distractions, and takes appropriate actions	7210.3 par 2-6-1; 2-6-2; 2-6-5a; 2-6-6; 5-1-2b and 5-3-7e	Operations	Unrated		Informational	14-Feb-2023	
373	Operational Reference Material	Information areas, position binders, etc., are current and accurate.	FAAO 7210.3 paragraph 2-1-3 and 2-1-4	Operations	Compliant	14-Feb-2023	Noncompliant - Low	14-Feb-2023	
287	Opposite Direction Operations (ODO)	Description: The facility has developed procedures that have been approved by the service area Director Of Operations (through the Operations Support Group). The facility has captured those procedures in a local directive. The facility complies with those procedures.	7210.3 par. 2-1-30; ATO-SG-15-7 ODO	Operations	Unrated		Compliant	14-Feb-2023	
110	Overdue Aircraft	Controllers gather and share information on overdue aircraft and properly complete applicable control actions	7110.65 par 10-3-1; 10-3-2; 10-3-6 and 10-4-1 through 10-4-3	Operations	Unrated		Compliant	14-Feb-2023	
116	PIREP Information	Controllers solicit, broadcast, and disseminate PIREPs, as required, using prescribed phraseology	7110.65 par 2-6-2	Operations	Unrated		Compliant	14-Feb-2023	
117	Point Out Procedures	Controllers use point out procedures and phraseology either manually or via an automated method, as required	7110.65 par 5-4-2c; 5-4-3 and 5-4-7	Operations	Unrated		Compliant	14-Feb-2023	

118	Position Certification Process	Facilities follow established requirements and procedures for OJT and position certification process	3120.4; Chapter 6	Training	Unrated		Compliant	14-Feb-2023	
119	Position Determination	Determine position of aircraft prior to issuing instructions or clearance	7110.65 par 3-1-7	Operations	Unrated		Compliant	14-Feb-2023	
120	Position Relief Briefings	Controllers/Specialists ensure position briefings are completed and recorded, and checklists are used	7110.65 Appendix A; 7210.3 par 2-2-4 and 2-2-6	Operations	Unrated		Compliant	14-Feb-2023	
121	Position Staffing	Assign personnel to positions as required by activity, equipment, and facility function	7210.3 ch 2 sec 6	Operations	Unrated		Compliant	14-Feb-2023	
123	Precision Approach Critical Areas/ Precision Obstacle Free Zones	Precision Approach Critical Areas and Precision Obstacle Free Zones are described, depicted, and protected, when required	7110.65 par 3-3-7; 3-7-5 and 3-7-6	Operations	Unrated		Compliant	14-Feb-2023	
127	Qualification Training	All required employees receive field qualification training IAW National and Local Directives	3120.4 par 4-2 and app D; F; G and H	Training	Unrated		Compliant	14-Feb-2023	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Unrated		Compliant	14-Feb-2023	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Unrated		Compliant	14-Feb-2023	

131	Radar Handoff Procedures	Controllers use specified radar handoff phraseology and procedures	7110.65 par 2-1-15; 5-4-1 and 5-4-3 through 5-4-6	Operations	Unrated				
132	Radar Identification Methods	Controllers use specified radar identification procedures and phraseology	7110.65 par 5-3-2 through 5-3-7	Operations	Unrated				
135	Radio Communication	Controllers/Specialists use standard radio transmission format and phraseology and apply correct readback/hearback procedures and phraseology	7110.65 par 2-1-17; 2-4-3; 2-4-8 and 2-4-14 through 2-4-22	Operations	Unrated		Noncompliant - Low	14-Feb-2023	Has Plan
136	Refresher Training	Each facility must establish and comply with a written annual refresher training program	3120.4 Ch 4 par 5b and Appendix A	Training	Unrated		Compliant	14-Feb-2023	
137	Remedial Training	Remedial Training is administered in accordance with National Directive	3120.4 Ch 4 par 6	Training	Unrated		Not Observed	14-Feb-2023	
138	Runway Exiting	Controllers use prescribed procedures, including those in a local directive, for aircraft exiting runways	7110.65 par 3-10-9	Operations	Unrated		Compliant	14-Feb-2023	
139	Runway Utilization	Controllers apply standardized procedures and phraseology to arrival and departures using the runways	7110.65 ch 3 sec 5 and 8; par 3-7-1c through e; 7210.3 par 10-1-6	Operations	Unrated		Compliant	14-Feb-2023	
142	Safety Alerts	Controllers apply safety alert requirements and phraseology	7110.65 par 2-1-6	Operations	Unrated		Not Observed	14-Feb-2023	
144	Same Runway Separation	Controllers apply standard separation on same runway operations	7110.65 par 3-9-6 and 3-10-3	Operations	Unrated		Compliant	14-Feb-2023	

147	Skill Enhancement Training	Skill enhancement training meets required elements of prescribed procedures	3120.4 Ch 4; Section 5d	Training	Unrated		Compliant	14-Feb-2023	
268	SOP/LOA Reviews	Review LOAs/SOPs for accuracy and completeness of data annually and as needed.	7210.3 paras 2-1-2; 2-1-3; 2-1-4; 2-1-5; 2-1-6; 2-2-14; 3-3-2; 4-3-3;4-3-5; 4-3-6	Operations	Unrated		Compliant	14-Feb-2023	
148	Special Flight Handling	Standard procedures are followed when handling Special Flights	7110.65	Operations	Unrated		Compliant	14-Feb-2023	
149	Special Traffic Management Programs (STMP)	Requirements are met when implementing special procedures for events	7210.3 ch 18 sec 14	Operations	Unrated				
150	Special Use Airspace Procedures	Controllers use standard special use airspace procedures: separation standards, clearance in and out, and VFR-on-top	7110.65 ch 9 sec 3	Operations	Unrated				
151	Special VFR	Controllers use standard procedures and phraseology for Special VFR operations	7110.65 ch 7 sec 5	Operations	Unrated		Not Observed	14-Feb-2023	
152	Speed Adjustments	Controllers use standard speed control application, methods, minima, and phraseology	7110.65 ch 5 sec 7	Operations	Unrated		Compliant	14-Feb-2023	
153	Strip Marking	Controllers use standard flight progress strip marking	7110.65 par 2-3-1; 2-3-4 and 2-3-5 through 2-3-10	Operations	Unrated		Exemplary	14-Feb-2023	
155	Supplemental Training	Training provided prior to effective date of new/revised procedures, regulations or equipment, etc.	3120.4 Ch 4 par 5C and Appendix A	Training	Unrated		Compliant	14-Feb-2023	

156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Unrated		Compliant	14-Feb-2023	
157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and are completed in accordance with applicable directive	7210.634 par 4-5	Quality Control	Unrated		Not Observed	14-Feb-2023	
158	Taxi/Ground Movement Procedures	Controllers provide clearance instructions using prescribed procedures and phraseology	7110.65 par 3-7-1 through 3-7-4; 7210.3 par 10-3-11; AC 120-57A	Operations	Unrated		Compliant	14-Feb-2023	
159	TCAS/TAWS	Controllers handle TCAS/TAWS resolution advisories and reporting as required	7110.65 par 2-1-28	Operations	Unrated		Not Observed	14-Feb-2023	
162	TM Responsibilities of FLM/CIC and ATCS	FLM/CICs and ATCSs work to manage flows of traffic as required	7110.65 par 11-1-2b and c	Operations	Unrated		Compliant	14-Feb-2023	
163	Tower Radar Displays	Use of tower radar displays	7110.65 par 3-1-9; 7210.3 par 10-5-3	Operations	Unrated		Compliant	14-Feb-2023	
164	Traffic Advisories	Controllers apply traffic advisories as required	7110.65 par 2-1-21	Operations	Unrated		Compliant	14-Feb-2023	
363	Unmanned Aircraft Systems (UAS)	Air Traffic Managers are responsible to designate primary and secondary UASFM Point of Contact (POC). Facility processes Certificate of Waiver or Authorization (COA).	JO 7110.65 2-1-1; JO 7200.23 Ch6; App A	Administrative			Compliant	14-Feb-2023	
362	USAFM & Low Altitude Authorization Notification Capability (LAANC)	ATM is responsible to have a current Certificate of Authorizations (COAs), if print copies retained, verify data within LAANC. 1. Review the	JO 7200.23 Ch4; Sec 3; B-3; JO 7210.3 Ch12; Sec 10; Ch19; Memorandum from Director of Air Traffic	Operations			Compliant	14-Feb-2023	

		"Facility Preferences" page to ensure the "Approval Facilities" information is correct. 2. Ensure UASFM Grid Altitudes created, with collaboration from NATCA, reflect what the facility imputed into the UASFM mailbox. 3. UASFM have been reviewed in the past 12 months 4. Facility no longer conducts mitigations or further coordination through LAANC.	Operations Headquarters; AJT-2						
171	Vehicular Traffic	Controllers use prescribed procedures and phraseology regarding the movement of vehicular traffic	7110.65 par 3-1-3d; 3-1-5; 3-7-6; 3-7-1b	Operations	Unrated		Informational	14-Feb-2023	
174	VFR-on-Top	Controllers use standard procedures and phraseology for applying VFR-on-top	7110.65 par 7-3-1; 7-3-2 and 9-3-3	Operations	Unrated		Not Observed	14-Feb-2023	
175	Visibility Chart Developed/Maintained/Marked	Visibility charts are available (as needed) to meet required elements of prescribed procedures	7210.3 par 2-9-6	Operations	Unrated		Compliant	14-Feb-2023	
176	Visual Approaches	Controllers use standard procedures and phraseology for applying Visual Approaches	7110.65 ch 7 sec 4	Operations	Unrated		Compliant	14-Feb-2023	
177	Visual Scanning	Controllers visually scan runways on a continuous basis	7110.65 3-1-12	Operations	Unrated		Compliant	14-Feb-2023	
178	Visual Separation	Controllers use standard procedures and phraseology for the application of visual separation	7110.65 par 7-2-1a and c	Operations	Unrated		Compliant	14-Feb-2023	

179	Wake Turbulence	Controllers apply standard separation and advisories for flights impacted by wake turbulence	7110.65 par 2-1-19; 2-1-20 and 5-5-4e; N JO 7110.582	Operations	Unrated		Compliant	14-Feb-2023	
184	Weather Familiarization	Controllers/Specialists become familiar with pertinent weather information when coming on duty, and stay aware of current weather information needed to perform ATC duties	7110.65 par 2-6-1	Operations	Unrated		Compliant	14-Feb-2023	
186	Weather Processing	Receipt and dissemination of weather products	7110.65 par 2-9-2b; 7210.3 par 2-9-2; 2-9-4; 2-9-9 and 10-3-1	Operations	Unrated		Compliant	14-Feb-2023	
187	Weather/Chaff Services	Controllers use correct procedures and phraseology for reporting weather and chaff information to pilots and other affected facilities	7110.65 par 2-6-4	Operations	Unrated		Compliant	14-Feb-2023	

ICV Checklist for SRQ - Sarasota (Tower)

CVT Year: 2021

Date of most recent ECV: 06-Feb-2023 - 14-Feb-2023

107 of 127 items

id	Item	Description	Reference	Evaluation Area	ICV Rating	ICV Approval	Mitigation Plan?
1	Abbreviated Departure Clearances	Controllers use approved abbreviated departure clearances and phraseology	7110.65 par 4-3-3	Operations	Compliant	05-Jan-2021	
2	Abbreviated Transmissions	Controllers use standard abbreviated transmissions phraseology	7110.65 par 2-4-9	Operations	Compliant	05-Jan-2021	
359	Air Traffic Control Operational Contingency Plans	Air Traffic Managers are responsible to have Operations Contingency Plans (OCPs) in place to respond to events that affect the Operational Contingency Levels (OCLs) of their facility to provide ATC services. Reference: FAA JO 1900.47 Air Traffic Control Operational Contingency Plans a. Ensure that the OCP conforms to the current version of the FAA JO 1900.47 Chapter 3, Documentation. b. Complete the annual requirements by December 31 of each calendar year. 1. Ensure that all network support agreements have been reviewed 2. Ensure that a facility ATC Zero exercise is	1900.47 Ch 2 Section J; Ch 5 Section C	Operations	Compliant	05-Jan-2021	

		conducted unless an actual ATC Zero or ATC Limited event occurred during the year. 3. Ensure certification of the facility OCP and support procedures in the National OCP Database. 4. Ensure certification of contact information in OCPs in the National OCP Database. c. Ensure the facility has conducted refresher training on the OCP in accordance with FAA JO 3120.4 Air Traffic Technical Training, which includes: 1. Airspace divestment/assumption procedures 2. Use of CPSS information, where applicable 3. Operationally relevant information seen during an exercise or event.					
8	Airport Conditions	Controllers provide timely information regarding landing area conditions using prescribed phraseology	7110.65 ch 3 sec 3; par 4-7-12b and c	Operations	Compliant	05-Jan-2021	
9	Airport Construction	Facility management follow applicable requirements when dealing with airport construction	7210.3 par 10-3-12 and 10-3-13	Operations	Compliant	05-Jan-2021	

11	Altimeter Issued and Requirements	Altimeter issued in accordance with prescribed procedures	7110.65 Ch 2 Sec 7; 7210.3 par 2-10-3 and 2-10-4	Operations	Compliant	05-Jan-2021	
12	Altimeter Requirements	Comparison checks are accomplished as required	7210.3 par 2-10-3 and 2-10-4	Operations	Compliant	05-Jan-2021	
13	Altitude Assignment and Verification	Controllers apply standardized application of procedures, assigning and verifying altitudes and standard phraseology	7110.65 ch 4 sec 5	Operations	Compliant	05-Jan-2021	
15	Anticipating Separation	Takeoff or landing clearances need not be withheld until prescribed separation exists	7110.65 par 3-9-5 and 3-10-6	Operations	Compliant	05-Jan-2021	
16	AOV Credentialing	All requirements for conducting and recording initial credential ratings and biennial skill evaluations and completing return to duty plans are followed	8000.90	Administrative	Compliant	05-Jan-2021	
17	Approach Clearance Procedures and Phraseology	Controllers issue approach clearances, adhere to separation minima, and issue alternate missed approach instructions using prescribed phraseology	7110.65 ch 4 sec 8; ch 7 sec 4; par 4-7-6 and 4-7-10	Operations	Not Observed	05-Jan-2021	
18	Approach Information and Arrival Procedures - Instructions	Controllers provide radar frequency, beacon changes, and advance approach information	7110.65 par 4-7-1	Operations	Compliant	05-Jan-2021	
19	Approach Separation Minima	Controllers adhere to separation minima for approach procedures	7110.65 par 5-9-5	Operations	Compliant	05-Jan-2021	

21	Arrival Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 10; ch 4 sec 7; par 5-9-4 and 5-9-5	Operations	Compliant	05-Jan-2021	
22	Arrival Weather, Airport Conditions	Controllers provide and solicit weather information, airport conditions, and below minima reports as required	7110.65 par 4-7-7; 4-7-11 and 4-7-12a	Operations	Compliant	05-Jan-2021	
25	ATIS Procedures	ATIS duties including content, code broadcast and review	7110.65 ch 2 sec 9	Operations	Compliant	05-Jan-2021	Has Plan
288	Backup/Augmentation of Weather Observations	a. Facilities where air traffic personnel provide backup/augmentation of automated weather observations, or take manual observations, must use FAAO 7900.5, Surface Weather Observing METAR, as the basic source of guidance for completion of observations. b. In an automated weather environment, elements of automated weather observations may be used for operational purposes (i.e., wind and altimeter). c. Specialists responsible for providing backup/augmentation of automated weather observations, or manual observations, must be certified by the National Weather Service	JO7210.3; para 2-9-1	Operations	Compliant	05-Jan-2021	

		(NWS).					
28	Battery Transceivers	Back-ups are checked once a week	7210.3 par 3-3-5	Operations	Compliant	05-Jan-2021	
29	Beacon Systems	Controllers use standardized procedures and phraseology related to beacon systems	7110.65 par 5-2-1 through 5-2-16 and 5-2-22	Operations	Compliant	05-Jan-2021	
30	Bird Hazard Procedures/Advisories	Controllers issue bird activity advisories using prescribed phraseology. Required notifications are accomplished.	7110.65 par 2-1-23	Operations	Compliant	05-Jan-2021	
32	Call Sign Usage	Aircraft identification and similar sounding call signs are handled as required	7110.65 par 2-4-15 and 2-4-20	Operations	Compliant	05-Jan-2021	Has Plan
33	Class B/C/D Airspace Operations	Controllers provide Class B/C/D services and phraseology	7110.65 par 3-1-11; ch 7 sec 7 through 9	Operations	Compliant	05-Jan-2021	
34	Clearances	Controllers use standardized manual and automated clearance formats and phraseology	7110.65 ch 4 sec 2 and 4; par 4-3-4	Operations	Compliant	05-Jan-2021	
40	Coordinate Use of Airspace	Controllers ensure necessary coordination is accomplished	7110.65 par 2-1-14 and 2-1-16	Operations	Compliant	05-Jan-2021	
41	Coordinating Delays	Controllers meet requirements for forwarding delays and coordinating departure clearances	7110.65 par 4-3-7 through 4-3-10	Operations	Compliant	05-Jan-2021	
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Compliant	05-Jan-2021	

43	CTO Certification	Facility has a designated CTO examiner. Certificates are issued. CTO certificates are readily available	8000.90	Administrative	Not Observed	05-Jan-2021	
44	Data Blocks	Controllers display and retain data blocks as required	7110.65 par 5-3-9a and 5-15-8	Operations	Compliant	05-Jan-2021	
46	Data Entries/Display Data	Use of scratch pad entries, system information, select/inhibit switches	7110.65	Operations	Compliant	05-Jan-2021	
48	Delay Reporting	Facility reports delays as required		Operations	Compliant	05-Jan-2021	
49	Delays	Controllers use standard procedures and phraseology associated with departure delays, releases, ground stops, and delay sequencing	7110.65 par 4-3-4 through 4-3-7	Operations	Compliant	05-Jan-2021	
51	Departure Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 9; ch 4 sec. 3; ch 5 sec 8	Operations	Compliant	05-Jan-2021	
52	Emergency Frequencies	Facility ensures emergency frequencies are monitored continuously, in working order, and checked regularly	7210.3 par 3-3-3 and 3-3-4	Operations	Compliant	05-Jan-2021	
53	Emergency Procedures	Requirements are met for providing services in/to an emergency in accordance w/ prescribed procedures	7110.65 ch 10 sec 1 and 2	Operations	Compliant	05-Jan-2021	
59	Flight Check Handling	Controllers use standard flight check handling procedures	7110.65 ch 9 sec 1	Operations	Compliant	24-Feb-2021	

62	GENOT Handling	Ensure that all employees with a need to know are thoroughly briefed prior to performing duties	7210.3 par 2-2-8	Operations	Compliant	24-Feb-2021	
66	Hazardous Weather Broadcast Procedures and Phraseology	Controllers/Specialists use correct procedures and phraseology for HIWAS broadcast	7110.65 par 2-6-6	Operations	Compliant	11-Mar-2021	
65	Helicopter Operations	Controllers apply standard procedures (including locally developed) and phraseology	7110.65 ch 3 sec 11	Operations	Compliant	11-Mar-2021	
67	Inflight Equipment Malfunctions	Controllers properly follow procedures for inflight equipment malfunctions	7110.65 par 2-1-7	Operations	Compliant	11-Mar-2021	
68	Interphone Format	Standard format is used on interphone	7110.65 par 2-4-8 through 2-4-14	Operations	Compliant	11-Mar-2021	
69	Interphone, Frequency Monitoring and Testing	Controllers/Specialists monitor interphones and radio frequencies continuously (to include emergency frequencies when required)		Operations	Compliant	11-Mar-2021	
70	Intersecting Runway Separation	Controllers apply standard separation during intersecting runway operations	7110.65 par 3-9-8 and 3-10-4	Operations	Compliant	11-Mar-2021	
71	Intersection Departures	Intersection departure procedures are applied as required	7110.65 par 3-7-1c; d and e; 7210.3 par 2-1-13	Operations	Compliant	11-Mar-2021	
72	LAHSO	Controllers apply procedures in accordance with directives and standard phraseology is used		Operations	Compliant	11-Mar-2021	

73	Line Up and Wait (LUAW)	Controllers use proper phraseology and procedures and traffic is exchanged as required	7110.65 par 3-9-4; 3-10-5b and c; 3-10-6b; 7210.3 par 2-6-5c and 10-3-8	Operations	Compliant	11-Mar-2021	Has Plan
74	Local/Ground Coordination	Controllers ensure coordination is completed and phraseology was correct	7110.65 3-1-3 and 3-1-4; 7210.3BB 3-4-1	Operations	Compliant	11-Mar-2021	
75	Low Level Wind Shear/Microburst Advisories	Using prescribed phraseology, controllers provide wind shear and microburst advisories as reported by equipment and/or pilots	7110.65 par 3-1-8; 7210.3 par 2-10-1a and b	Operations	Compliant	11-Mar-2021	
78	Memory Aids	Facility implements their directive that clearly defines coordination responsibilities and safeguards to prevent inadvertent use of runways	7210.3 par 10-1-7	Operations	Compliant	11-Mar-2021	
79	Merging Target Procedures	Controllers apply merging target procedures as required	7110.65 par 5-1-8	Operations	Compliant	11-Mar-2021	
83	Mode C Validation	Controllers use prescribed phraseology for assigning and verifying altitudes	7110.65 par 5-2-18 through 5-2-22	Operations	Compliant	11-Mar-2021	
84	MSAW/Conflict/MCI Alert	Controllers take appropriate action with E-MSAW, conflict alert, and MCI requirements when a CA or MCI alert is displayed	7110.65 par 5-15-6 and 5-15-7	Operations	Compliant	11-Mar-2021	

229	Multiple Runway Crossings	Facilities obtain administrative approval to conduct multiple runway crossing and operationally conduct multiple runway crossings in accordance with requirements.	7210.3 paragraph 10-3-11 and 7110.65 paragraph 3-7-2 c	Operations	Not Observed	11-Mar-2021	
88	NAVAID Monitoring Directive and Application	Monitoring instructions are included in a facility directive and restoration and reporting NAVAID malfunctions are in accordance with local national requirements	7210.3 par 3-5-1	Operations	Compliant	11-Mar-2021	
89	Nonradar Procedures	Controllers apply nonradar procedures as required	7110.65 ch 6; sec 2-1	Operations	Compliant	11-Mar-2021	
90	NORDO/NORAC Aircraft	Proper procedures regarding NORDO/NORAC Aircraft are followed	7110.65 par 10-4-4; 7610.4 ch 7 sec 2 & 3	Operations	Compliant	11-Mar-2021	
93	NOTAM Distribution	Personnel adhere to standardized distribution of received NOTAM information to other ATC facilities	7210.3 par 6-3-2 and para 6-3-4d3; 7930.2 par 3-1-2a; 3-2-1; and 3-2-2	Operations	Compliant	11-Mar-2021	
95	NOTAM Handling	NOTAMs are included on checklists and status information areas and briefed to personnel	7210.3 6-3-4d.3; 7930.2 par 1-3-1a and b; 2-2-3; 3-2-1 and 3-2-2	Operations	Compliant	11-Mar-2021	
106	OJTI Selection, Certification and Evaluation	OJTIs are selected certified and evaluated in accordance with National Directive	3120.4; Ch 6	Training	Compliant	11-Mar-2021	Has Plan

107	Operational Currency	Operational and staff personnel maintain currency as required	7210.3 Ch 2; Section 3	Operations	Compliant	11-Mar-2021	
108	Operational Oversight	FLM/CIC/OS monitors operation, anticipates traffic flow, manages and eliminates distractions, and takes appropriate actions	7210.3 par 2-6-1; 2-6-2; 2-6-5a; 2-6-6; 5-1-2b and 5-3-7e	Operations	Compliant	11-Mar-2021	
287	Opposite Direction Operations (ODO)	Description: The facility has developed procedures that have been approved by the service area Director Of Operations (through the Operations Support Group). The facility has captured those procedures in a local directive. The facility complies with those procedures.	7210.3 par. 2-1-30; ATO-SG-15-7 ODO	Operations	Compliant	11-Mar-2021	
110	Overdue Aircraft	Controllers gather and share information on overdue aircraft and properly complete applicable control actions	7110.65 par 10-3-1; 10-3-2; 10-3-6 and 10-4-1 through 10-4-3	Operations	Not Observed	03-May-2021	
116	PIREP Information	Controllers solicit, broadcast, and disseminate PIREPs, as required, using prescribed phraseology	7110.65 par 2-6-2	Operations	Compliant	03-May-2021	
117	Point Out Procedures	Controllers use point out procedures and phraseology either manually or via an automated method, as required	7110.65 par 5-4-2c; 5-4-3 and 5-4-7	Operations	Compliant	03-May-2021	

118	Position Certification Process	Facilities follow established requirements and procedures for OJT and position certification process	3120.4; Chapter 6	Training	Compliant	03-May-2021	
119	Position Determination	Determine position of aircraft prior to issuing instructions or clearance	7110.65 par 3-1-7	Operations	Compliant	03-May-2021	
120	Position Relief Briefings	Controllers/Specialists ensure position briefings are completed and recorded, and checklists are used	7110.65 Appendix A; 7210.3 par 2-2-4 and 2-2-6	Operations	Compliant	03-May-2021	
121	Position Staffing	Assign personnel to positions as required by activity, equipment, and facility function	7210.3 ch 2 sec 6	Operations	Compliant	03-May-2021	
123	Precision Approach Critical Areas/ Precision Obstacle Free Zones	Precision Approach Critical Areas and Precision Obstacle Free Zones are described, depicted, and protected, when required	7110.65 par 3-3-7; 3-7-5 and 3-7-6	Operations	Compliant	03-May-2021	
127	Qualification Training	All required employees receive field qualification training IAW National and Local Directives	3120.4 par 4-2 and app D; F; G and H	Training	Compliant	03-May-2021	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Compliant	03-May-2021	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Compliant	03-May-2021	

131	Radar Handoff Procedures	Controllers use specified radar handoff phraseology and procedures	7110.65 par 2-1-15; 5-4-1 and 5-4-3 through 5-4-6	Operations	Compliant	03-May-2021	
132	Radar Identification Methods	Controllers use specified radar identification procedures and phraseology	7110.65 par 5-3-2 through 5-3-7	Operations	Compliant	03-May-2021	
135	Radio Communication	Controllers/Specialists use standard radio transmission format and phraseology and apply correct readback/hearback procedures and phraseology	7110.65 par 2-1-17; 2-4-3; 2-4-8 and 2-4-14 through 2-4-22	Operations	Compliant	24-May-2021	Has Plan
136	Refresher Training	Each facility must establish and comply with a written annual refresher training program	3120.4 Ch 4 par 5b and Appendix A	Training	Compliant	24-May-2021	
137	Remedial Training	Remedial Training is administered in accordance with National Directive	3120.4 Ch 4 par 6	Training	Not Observed	24-May-2021	
138	Runway Exiting	Controllers use prescribed procedures, including those in a local directive, for aircraft exiting runways	7110.65 par 3-10-9	Operations	Compliant	24-May-2021	
139	Runway Utilization	Controllers apply standardized procedures and phraseology to arrival and departures using the runways	7110.65 ch 3 sec 5 and 8; par 3-7-1c through e; 7210.3 par 10-1-6	Operations	Compliant	24-May-2021	
142	Safety Alerts	Controllers apply safety alert requirements and phraseology	7110.65 par 2-1-6	Operations	Compliant	24-May-2021	

144	Same Runway Separation	Controllers apply standard separation on same runway operations	7110.65 par 3-9-6 and 3-10-3	Operations	Compliant	24-May-2021	
147	Skill Enhancement Training	Skill enhancement training meets required elements of prescribed procedures	3120.4 Ch 4; Section 5d	Training	Not Observed	24-May-2021	
268	SOP/LOA Reviews	Review LOAs/SOPs for accuracy and completeness of data annually and as needed.	7210.3 paras 2-1-2; 2-1-3; 2-1-4; 2-1-5; 2-1-6; 2-2-14; 3-3-2; 4-3-3; 4-3-5; 4-3-6	Operations	Compliant	24-May-2021	
148	Special Flight Handling	Standard procedures are followed when handling Special Flights	7110.65	Operations	Compliant	24-May-2021	
149	Special Traffic Management Programs (STMP)	Requirements are met when implementing special procedures for events	7210.3 ch 18 sec 14	Operations	Not Observed	30-Jul-2021	
150	Special Use Airspace Procedures	Controllers use standard special use airspace procedures: separation standards, clearance in and out, and VFR-on-top	7110.65 ch 9 sec 3	Operations	Not Observed	30-Jul-2021	
151	Special VFR	Controllers use standard procedures and phraseology for Special VFR operations	7110.65 ch 7 sec 5	Operations	Compliant	30-Jul-2021	
152	Speed Adjustments	Controllers use standard speed control application, methods, minima, and phraseology	7110.65 ch 5 sec 7	Operations	Compliant	30-Jul-2021	
153	Strip Marking	Controllers use standard flight progress strip marking	7110.65 par 2-3-1; 2-3-4 and 2-3-5 through 2-3-10	Operations	Compliant	30-Jul-2021	

155	Supplemental Training	Training provided prior to effective date of new/revised procedures, regulations or equipment, etc.	3120.4 Ch 4 par 5C and Appendix A	Training	Compliant	30-Jul-2021	
156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Compliant	30-Jul-2021	
157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and are completed in accordance with applicable directive	7210.634 par 4-5	Quality Control	Compliant	30-Jul-2021	
158	Taxi/Ground Movement Procedures	Controllers provide clearance instructions using prescribed procedures and phraseology	7110.65 par 3-7-1 through 3-7-4; 7210.3 par 10-3-11; AC 120-57A	Operations	Compliant	30-Jul-2021	
159	TCAS/TAWS	Controllers handle TCAS/TAWS resolution advisories and reporting as required	7110.65 par 2-1-28	Operations	Compliant	30-Jul-2021	
162	TM Responsibilities of FLM/CIC and ATCS	FLM/CICs and ATCSs work to manage flows of traffic as required	7110.65 par 11-1-2b and c	Operations	Compliant	30-Jul-2021	
163	Tower Radar Displays	Use of tower radar displays	7110.65 par 3-1-9; 7210.3 par 10-5-3	Operations	Compliant	30-Jul-2021	
164	Traffic Advisories	Controllers apply traffic advisories as required	7110.65 par 2-1-21	Operations	Compliant	10-Sep-2021	

171	Vehicular Traffic	Controllers use prescribed procedures and phraseology regarding the movement of vehicular traffic	7110.65 par 3-1-3d; 3-1-5; 3-7-6; 3-7-1b	Operations	Compliant	10-Sep-2021	
174	VFR-on-Top	Controllers use standard procedures and phraseology for applying VFR-on-top	7110.65 par 7-3-1; 7-3-2 and 9-3-3	Operations	Not Observed	10-Sep-2021	
175	Visibility Chart Developed/Maintained/Marked	Visibility charts are available (as needed) to meet required elements of prescribed procedures	7210.3 par 2-9-6	Operations	Compliant	10-Sep-2021	
176	Visual Approaches	Controllers use standard procedures and phraseology for applying Visual Approaches	7110.65 ch 7 sec 4	Operations	Compliant	10-Sep-2021	
177	Visual Scanning	Controllers visually scan runways on a continuous basis	7110.65 3-1-12	Operations	Compliant	10-Sep-2021	
178	Visual Separation	Controllers use standard procedures and phraseology for the application of visual separation	7110.65 par 7-2-1a and c	Operations	Compliant	10-Sep-2021	
179	Wake Turbulence	Controllers apply standard separation and advisories for flights impacted by wake turbulence	7110.65 par 2-1-19; 2-1-20 and 5-5-4e; N JO 7110.582	Operations	Compliant	10-Sep-2021	
184	Weather Familiarization	Controllers/Specialists become familiar with pertinent weather information when coming on duty, and stay aware of current weather information needed to perform ATC duties	7110.65 par 2-6-1	Operations	Compliant	10-Sep-2021	

186	Weather Processing	Receipt and dissemination of weather products	7110.65 par 2-9-2b; 7210.3 par 2-9-2; 2-9-4; 2-9-9 and 10-3-1	Operations	Compliant	10-Sep-2021	
187	Weather/Chaff Services	Controllers use correct procedures and phraseology for reporting weather and chaff information to pilots and other affected facilities	7110.65 par 2-6-4	Operations	Compliant	10-Sep-2021	

ICV Checklist for SRQ - Sarasota (Tower)

CVT Year: 2022

Date of most recent ECV: 06-Feb-2023 - 14-Feb-2023

105 of 125 items

id	Item	Description	Reference	Evaluation Area	ICV Rating	ICV Approval	Mitigation Plan?
2	Abbreviated Transmissions	Controllers use standard abbreviated transmissions phraseology	7110.65 par 2-4-9	Operations	Compliant	24-Mar-2022	
359	Air Traffic Control Operational Contingency Plans	Air Traffic Managers are responsible to have Operations Contingency Plans (OCPs) in place to respond to events that affect the Operational Contingency Levels (OCLs) of their facility to provide ATC services. Reference: FAA JO 1900.47 Air Traffic Control Operational Contingency Plans a. Ensure that the OCP conforms to the current version of the FAA JO 1900.47 Chapter 3, Documentation. b. Complete the annual requirements by December 31 of each calendar year. 1. Ensure that all network support agreements have been reviewed 2. Ensure that a facility ATC Zero exercise is conducted unless an actual ATC Zero or ATC Limited event occurred during the year.	1900.47 Ch 2 Section J; Ch 5 Section C	Operations	Compliant	27-Jun-2022	

		3. Ensure certification of the facility OCP and support procedures in the National OCP Database. 4. Ensure certification of contact information in OCPs in the National OCP Database. c. Ensure the facility has conducted refresher training on the OCP in accordance with FAA JO 3120.4 Air Traffic Technical Training, which includes: 1. Airspace divestment/assumption procedures 2. Use of CPSS information, where applicable 3. Operationally relevant information seen during an exercise or event.					
8	Airport Conditions	Controllers provide timely information regarding landing area conditions using prescribed phraseology	7110.65 ch 3 sec 3; par 4-7-12b and c	Operations	Compliant	24-Mar-2022	
9	Airport Construction	Facility management follow applicable requirements when dealing with airport construction	7210.3 par 10-3-12 and 10-3-13	Operations	Compliant	24-Mar-2022	
11	Altimeter Issued and Requirements	Altimeter issued in accordance with prescribed procedures	7110.65 Ch 2 Sec 7; 7210.3 par 2-10-3 and 2-10-4	Operations	Compliant	24-Mar-2022	

13	Altitude Assignment and Verification	Controllers apply standardized application of procedures, assigning and verifying altitudes and standard phraseology	7110.65 ch 4 sec 5	Operations	Compliant	24-Mar-2022	
15	Anticipating Separation	Takeoff or landing clearances need not be withheld until prescribed separation exists	7110.65 par 3-9-5 and 3-10-6	Operations	Compliant	24-Mar-2022	
16	AOV Credentialing	All requirements for conducting and recording initial credential ratings and biennial skill evaluations and completing return to duty plans are followed	8000.90	Administrative	Compliant	24-Mar-2022	
18	Approach Information and Arrival Procedures - Instructions	Controllers provide radar frequency, beacon changes, and advance approach information	7110.65 par 4-7-1	Operations	Compliant	07-Sep-2022	
19	Approach Separation Minima	Controllers adhere to separation minima for approach procedures	7110.65 par 5-9-5	Operations	Compliant	29-Jun-2022	
21	Arrival Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 10; ch 4 sec 7; par 5-9-4 and 5-9-5	Operations	Compliant	07-Sep-2022	
22	Arrival Weather, Airport Conditions	Controllers provide and solicit weather information, airport conditions, and below minima reports as required	7110.65 par 4-7-7; 4-7-11 and 4-7-12a	Operations	Compliant	24-Mar-2022	
25	ATIS Procedures	ATIS duties including content, code broadcast and review	7110.65 ch 2 sec 9	Operations	Compliant	24-Mar-2022	Has Plan

288	Backup/Augmentation of Weather Observations	a. Facilities where air traffic personnel provide backup/augmentation of automated weather observations, or take manual observations, must use FAAO 7900.5, Surface Weather Observing METAR, as the basic source of guidance for completion of observations. b. In an automated weather environment, elements of automated weather observations may be used for operational purposes (i.e., wind and altimeter). c. Specialists responsible for providing backup/augmentation of automated weather observations, or manual observations, must be certified by the National Weather Service (NWS).	JO7210.3; para 2-9-1	Operations	Compliant	24-Mar-2022	
28	Battery Transceivers	Back-ups are checked once a week	7210.3 par 3-3-5	Operations	Compliant	24-Mar-2022	
29	Beacon Systems	Controllers use standardized procedures and phraseology related to beacon systems	7110.65 par 5-2-1 through 5-2-16 and 5-2-22	Operations	Compliant	24-Mar-2022	
30	Bird Hazard Procedures/Advisories	Controllers issue bird activity advisories using prescribed phraseology. Required notifications are accomplished.	7110.65 par 2-1-23	Operations	Compliant	24-Mar-2022	

32	Call Sign Usage	Aircraft identification and similar sounding call signs are handled as required	7110.65 par 2-4-15 and 2-4-20	Operations	Compliant	24-Mar-2022	Has Plan
33	Class B/C/D Airspace Operations	Controllers provide Class B/C/D services and phraseology	7110.65 par 3-1-11; ch 7 sec 7 through 9	Operations	Compliant	24-Mar-2022	
34	Clearances	Controllers use standardized manual and automated clearance formats and phraseology	7110.65 ch 4 sec 2 and 4; par 4-3-4	Operations	Compliant	24-Mar-2022	
40	Coordinate Use of Airspace	Controllers ensure necessary coordination is accomplished	7110.65 par 2-1-14 and 2-1-16	Operations	Compliant	24-Mar-2022	
41	Coordinating Delays	Controllers meet requirements for forwarding delays and coordinating departure clearances	7110.65 par 4-3-7 through 4-3-10	Operations	Compliant	24-Mar-2022	
42	Covered Event Reviews (CER)	CERs are conducted as directed and are completed in accordance with applicable directive	7210.634 par 3-4	Quality Control	Compliant	07-Sep-2022	
43	CTO Certification	Facility has a designated CTO examiner. Certificates are issued. CTO certificates are readily available	8000.90	Administrative	Compliant	30-Dec-2021	
44	Data Blocks	Controllers display and retain data blocks as required	7110.65 par 5-3-9a and 5-15-8	Operations	Compliant	24-Mar-2022	
46	Data Entries/Display Data	Use of scratch pad entries, system information, select/inhibit switches	7110.65	Operations	Compliant	24-Mar-2022	
48	Delay Reporting	Facility reports delays as required		Operations	Compliant	24-Mar-2022	

49	Delays	Controllers use standard procedures and phraseology associated with departure delays, releases, ground stops, and delay sequencing	7110.65 par 4-3-4 through 4-3-7	Operations	Compliant	24-Mar-2022	
51	Departure Procedures	Controllers meet required elements and phraseology requirements	7110.65 ch 3 sec 9; ch 4 sec. 3; ch 5 sec 8	Operations	Compliant	29-Jun-2022	
52	Emergency Frequencies	Facility ensures emergency frequencies are monitored continuously, in working order, and checked regularly	7210.3 par 3-3-3 and 3-3-4	Operations	Compliant	29-Jun-2022	
53	Emergency Procedures	Requirements are met for providing services in/to an emergency in accordance w/ prescribed procedures	7110.65 ch 10 sec 1 and 2	Operations	Compliant	24-Mar-2022	
59	Flight Check Handling	Controllers use standard flight check handling procedures	7110.65 ch 9 sec 1	Operations	Compliant	24-Mar-2022	
62	GENOT Handling	Ensure that all employees with a need to know are thoroughly briefed prior to performing duties	7210.3 par 2-2-8	Operations	Compliant	30-Dec-2021	
66	Hazardous Weather Broadcast Procedures and Phraseology	Controllers/Specialists use correct procedures and phraseology for HIWAS broadcast	7110.65 par 2-6-6	Operations	Compliant	29-Jun-2022	
65	Helicopter Operations	Controllers apply standard procedures (including locally developed) and phraseology	7110.65 ch 3 sec 11	Operations	Compliant	29-Jun-2022	
67	Inflight Equipment Malfunctions	Controllers properly follow procedures for inflight equipment malfunctions	7110.65 par 2-1-7	Operations	Compliant	29-Jun-2022	

68	Interphone Format	Standard format is used on interphone	7110.65 par 2-4-8 through 2-4-14	Operations	Compliant	30-Dec-2021	
69	Interphone, Frequency Monitoring and Testing	Controllers/Specialists monitor interphones and radio frequencies continuously (to include emergency frequencies when required)		Operations	Compliant	30-Dec-2021	
70	Intersecting Runway Separation	Controllers apply standard separation during intersecting runway operations	7110.65 par 3-9-8 and 3-10-4	Operations	Compliant	30-Dec-2021	
71	Intersection Departures	Intersection departure procedures are applied as required	7110.65 par 3-7-1c; d and e; 7210.3 par 2-1-13	Operations	Compliant	30-Dec-2021	
72	LAHSO	Controllers apply procedures in accordance with directives and standard phraseology is used		Operations	Compliant	30-Dec-2021	
73	Line Up and Wait (LUAW)	Controllers use proper phraseology and procedures and traffic is exchanged as required	7110.65 par 3-9-4; 3-10-5b and c; 3-10-6b; 7210.3 par 2-6-5c and 10-3-8	Operations	Compliant	30-Dec-2021	Has Plan
74	Local/Ground Coordination	Controllers ensure coordination is completed and phraseology was correct	7110.65 3-1-3 and 3-1-4; 7210.3BB 3-4-1	Operations	Compliant	30-Dec-2021	
75	Low Level Wind Shear/Microburst Advisories	Using prescribed phraseology, controllers provide wind shear and microburst advisories as reported by equipment	7110.65 par 3-1-8; 7210.3 par 2-10-1a and b	Operations	Compliant	30-Dec-2021	

		and/or pilots					
78	Memory Aids	Facility implements their directive that clearly defines coordination responsibilities and safeguards to prevent inadvertent use of runways	7210.3 par 10-1-7	Operations	Compliant	30-Dec-2021	
79	Merging Target Procedures	Controllers apply merging target procedures as required	7110.65 par 5-1-8	Operations	Compliant	29-Jun-2022	
83	Mode C Validation	Controllers use prescribed phraseology for assigning and verifying altitudes	7110.65 par 5-2-18 through 5-2-22	Operations	Compliant	30-Dec-2021	
84	MSAW/Conflict/MCI Alert	Controllers take appropriate action with E-MSAW, conflict alert, and MCI requirements when a CA or MCI alert is displayed	7110.65 par 5-15-6 and 5-15-7	Operations	Compliant	30-Dec-2021	
229	Multiple Runway Crossings	Facilities obtain administrative approval to conduct multiple runway crossing and operationally conduct multiple runway crossings in accordance with requirements.	7210.3 paragraph 10-3-11 and 7110.65 paragraph 3-7-2 c	Operations	Compliant	30-Dec-2021	
88	NAVAID Monitoring Directive and Application	Monitoring instructions are included in a facility directive and restoration and reporting NAVAID malfunctions are in accordance with local national requirements	7210.3 par 3-5-1	Operations	Compliant	30-Dec-2021	
89	Nonradar Procedures	Controllers apply nonradar procedures as required	7110.65 ch 6; sec 2-1	Operations	Compliant	29-Jun-2022	

90	NORDO/NORAC Aircraft	Proper procedures regarding NORDO/NORAC Aircraft are followed	7110.65 par 10-4-4; 7610.4 ch 7 sec 2 & 3	Operations	Compliant	30-Dec-2021	
93	NOTAM Distribution	Personnel adhere to standardized distribution of received NOTAM information to other ATC facilities	7210.3 par 6-3-2 and para 6-3-4d3; 7930.2 par 3-1-2a; 3-2-1; and 3-2-2	Operations	Compliant	30-Dec-2021	
95	NOTAM Handling	NOTAMs are included on checklists and status information areas and briefed to personnel	7210.3 6-3-4d.3; 7930.2 par 1-3-1a and b; 2-2-3; 3-2-1 and 3-2-2	Operations	Compliant	30-Dec-2021	
106	OJTI Selection, Certification and Evaluation	OJTIs are selected certified and evaluated in accordance with National Directive	3120.4; Ch 6	Training	Compliant	30-Dec-2021	Has Plan
107	Operational Currency	Operational and staff personnel maintain currency as required	7210.3 Ch 2; Section 3	Operations	Compliant	30-Dec-2021	
108	Operational Oversight	FLM/CIC/OS monitors operation, anticipates traffic flow, manages and eliminates distractions, and takes appropriate actions	7210.3 par 2-6-1; 2-6-2; 2-6-5a; 2-6-6; 5-1-2b and 5-3-7e	Operations	Compliant	30-Dec-2021	
373	Operational Reference Material	Information areas, position binders, etc., are current and accurate.	FAAO 7210.3 paragraph 2-1-3 and 2-1-4	Operations	Compliant	29-Jun-2022	
287	Opposite Direction Operations (ODO)	Description: The facility has developed procedures that have been approved by the service area Director Of Operations (through the Operations Support	7210.3 par. 2-1-30; ATO-SG-15-7 ODO	Operations	Compliant	30-Dec-2021	

		Group). The facility has captured those procedures in a local directive. The facility complies with those procedures.					
110	Overdue Aircraft	Controllers gather and share information on overdue aircraft and properly complete applicable control actions	7110.65 par 10-3-1; 10-3-2; 10-3-6 and 10-4-1 through 10-4-3	Operations	Compliant	30-Dec-2021	
116	PIREP Information	Controllers solicit, broadcast, and disseminate PIREPs, as required, using prescribed phraseology	7110.65 par 2-6-2	Operations	Compliant	30-Dec-2021	
117	Point Out Procedures	Controllers use point out procedures and phraseology either manually or via an automated method, as required	7110.65 par 5-4-2c; 5-4-3 and 5-4-7	Operations	Compliant	30-Dec-2021	
118	Position Certification Process	Facilities follow established requirements and procedures for OJT and position certification process	3120.4; Chapter 6	Training	Compliant	30-Dec-2021	
119	Position Determination	Determine position of aircraft prior to issuing instructions or clearance	7110.65 par 3-1-7	Operations	Compliant	30-Dec-2021	
120	Position Relief Briefings	Controllers/Specialists ensure position briefings are completed and recorded, and checklists are used	7110.65 Appendix A; 7210.3 par 2-2-4 and 2-2-6	Operations	Compliant	30-Dec-2021	

121	Position Staffing	Assign personnel to positions as required by activity, equipment, and facility function	7210.3 ch 2 sec 6	Operations	Compliant	30-Dec-2021	
123	Precision Approach Critical Areas/ Precision Obstacle Free Zones	Precision Approach Critical Areas and Precision Obstacle Free Zones are described, depicted, and protected, when required	7110.65 par 3-3-7; 3-7-5 and 3-7-6	Operations	Compliant	30-Dec-2021	
127	Qualification Training	All required employees receive field qualification training IAW National and Local Directives	3120.4 par 4-2 and app D; F; G and H	Training	Compliant	30-Dec-2021	
128	Quality Control Monitoring	Quality Control Operational Skill assessments (QCOSA) are performed in accordance with applicable directive and include identified emphasis items (EI) as required	7210.634 ch 3	Quality Control	Compliant	30-Dec-2021	
129	Quality Control Programs	Quality Control Checks (QCC) and Quality Control Validations (QCV) are completed as required	7210.634 ch 6	Quality Control	Compliant	30-Dec-2021	
131	Radar Handoff Procedures	Controllers use specified radar handoff phraseology and procedures	7110.65 par 2-1-15; 5-4-1 and 5-4-3 through 5-4-6	Operations	Compliant	29-Jun-2022	
132	Radar Identification Methods	Controllers use specified radar identification procedures and phraseology	7110.65 par 5-3-2 through 5-3-7	Operations	Compliant	07-Sep-2022	
135	Radio Communication	Controllers/Specialists use standard radio transmission format and phraseology and apply correct readback/hearback	7110.65 par 2-1-17; 2-4-3; 2-4-8 and 2-4-14 through 2-4-22	Operations	Compliant	29-Jun-2022	Has Plan

		procedures and phraseology					
136	Refresher Training	Each facility must establish and comply with a written annual refresher training program	3120.4 Ch 4 par 5b and Appendix A	Training	Compliant	27-Jun-2022	
137	Remedial Training	Remedial Training is administered in accordance with National Directive	3120.4 Ch 4 par 6	Training	Compliant	30-Dec-2021	
138	Runway Exiting	Controllers use prescribed procedures, including those in a local directive, for aircraft exiting runways	7110.65 par 3-10-9	Operations	Compliant	29-Jun-2022	
139	Runway Utilization	Controllers apply standardized procedures and phraseology to arrival and departures using the runways	7110.65 ch 3 sec 5 and 8; par 3-7-1c through e; 7210.3 par 10-1-6	Operations	Compliant	29-Jun-2022	
142	Safety Alerts	Controllers apply safety alert requirements and phraseology	7110.65 par 2-1-6	Operations	Compliant	29-Jun-2022	
144	Same Runway Separation	Controllers apply standard separation on same runway operations	7110.65 par 3-9-6 and 3-10-3	Operations	Compliant	29-Jun-2022	
147	Skill Enhancement Training	Skill enhancement training meets required elements of prescribed procedures	3120.4 Ch 4; Section 5d	Training	Compliant	30-Dec-2021	
268	SOP/LOA Reviews	Review LOAs/SOPs for accuracy and completeness of data annually and as needed.	7210.3 paras 2-1-2; 2-1-3; 2-1-4; 2-1-5; 2-1-6; 2-2-14; 3-3-2; 4-3-3;4-3-5; 4-3-6	Operations	Compliant	29-Jun-2022	

148	Special Flight Handling	Standard procedures are followed when handling Special Flights	7110.65	Operations	Compliant	30-Dec-2021	
149	Special Traffic Management Programs (STMP)	Requirements are met when implementing special procedures for events	7210.3 ch 18 sec 14	Operations	Compliant	29-Jun-2022	
150	Special Use Airspace Procedures	Controllers use standard special use airspace procedures: separation standards, clearance in and out, and VFR-on-top	7110.65 ch 9 sec 3	Operations	Compliant	29-Jun-2022	
151	Special VFR	Controllers use standard procedures and phraseology for Special VFR operations	7110.65 ch 7 sec 5	Operations	Compliant	07-Sep-2022	
152	Speed Adjustments	Controllers use standard speed control application, methods, minima, and phraseology	7110.65 ch 5 sec 7	Operations	Compliant	07-Sep-2022	
153	Strip Marking	Controllers use standard flight progress strip marking	7110.65 par 2-3-1; 2-3-4 and 2-3-5 through 2-3-10	Operations	Compliant	07-Sep-2022	
155	Supplemental Training	Training provided prior to effective date of new/revised procedures, regulations or equipment, etc.	3120.4 Ch 4 par 5C and Appendix A	Training	Compliant	07-Sep-2022	
156	System Service Review (SSR)	SSRs are conducted and documented as required and events were documented and closed	7210.634 ch 4	Quality Control	Compliant	07-Sep-2022	
157	Systemic Issue Reviews (SYSIR)	SYSIRs are conducted when issues that have potential system impact have been identified and are completed in	7210.634 par 4-5	Quality Control	Compliant	07-Sep-2022	

		accordance with applicable directive					
158	Taxi/Ground Movement Procedures	Controllers provide clearance instructions using prescribed procedures and phraseology	7110.65 par 3-7-1 through 3-7-4; 7210.3 par 10-3-11; AC 120-57A	Operations	Compliant	07-Sep-2022	
159	TCAS/TAWS	Controllers handle TCAS/TAWS resolution advisories and reporting as required	7110.65 par 2-1-28	Operations	Compliant	07-Sep-2022	
162	TM Responsibilities of FLM/CIC and ATCS	FLM/CICs and ATCSs work to manage flows of traffic as required	7110.65 par 11-1-2b and c	Operations	Compliant	07-Sep-2022	
163	Tower Radar Displays	Use of tower radar displays	7110.65 par 3-1-9; 7210.3 par 10-5-3	Operations	Compliant	07-Sep-2022	
164	Traffic Advisories	Controllers apply traffic advisories as required	7110.65 par 2-1-21	Operations	Compliant	07-Sep-2022	
171	Vehicular Traffic	Controllers use prescribed procedures and phraseology regarding the movement of vehicular traffic	7110.65 par 3-1-3d; 3-1-5; 3-7-6; 3-7-1b	Operations	Compliant	07-Sep-2022	
174	VFR-on-Top	Controllers use standard procedures and phraseology for applying VFR-on-top	7110.65 par 7-3-1; 7-3-2 and 9-3-3	Operations	Compliant	07-Sep-2022	
175	Visibility Chart Developed/Maintained/Marked	Visibility charts are available (as needed) to meet required elements of prescribed procedures	7210.3 par 2-9-6	Operations	Compliant	07-Sep-2022	
176	Visual Approaches	Controllers use standard procedures and phraseology for applying Visual Approaches	7110.65 ch 7 sec 4	Operations	Compliant	07-Sep-2022	

177	Visual Scanning	Controllers visually scan runways on a continuous basis	7110.65 3-1-12	Operations	Compliant	07-Sep-2022	
178	Visual Separation	Controllers use standard procedures and phraseology for the application of visual separation	7110.65 par 7-2-1a and c	Operations	Compliant	07-Sep-2022	
179	Wake Turbulence	Controllers apply standard separation and advisories for flights impacted by wake turbulence	7110.65 par 2-1-19; 2-1-20 and 5-5-4e; N JO 7110.582	Operations	Compliant	27-Jun-2022	
184	Weather Familiarization	Controllers/Specialists become familiar with pertinent weather information when coming on duty, and stay aware of current weather information needed to perform ATC duties	7110.65 par 2-6-1	Operations	Compliant	07-Sep-2022	
186	Weather Processing	Receipt and dissemination of weather products	7110.65 par 2-9-2b; 7210.3 par 2-9-2; 2-9-4; 2-9-9 and 10-3-1	Operations	Compliant	07-Sep-2022	
187	Weather/Chaff Services	Controllers use correct procedures and phraseology for reporting weather and chaff information to pilots and other affected facilities	7110.65 par 2-6-4	Operations	Compliant	07-Sep-2022	



Federal Aviation Administration

Memorandum

Date: February 21, 2023

To: Kelly Young, Air Traffic Manager
Sarasota Airport Traffic Control Tower
[REDACTED]

From: Bianca Anderson, Manager
Eastern Service Center, Quality Control Group, AJV-E1

Subject: External Compliance Verification, Sarasota Airport Traffic Control Tower
February 6-10, 2023

An External Compliance Verification (ECV) was conducted for Sarasota Airport Traffic Control Tower (SRQ) on February 6-10, 2023. The ECV Team consisted of Clifford Murdock, James Kinkelaar, and Dale Landen from the Eastern Service Center (ESC) Quality Control Group (QCG), Brian Berkwitz, Operations Manager from Tampa Airport Traffic Control Tower and Justin Rodriques representing the National Air Traffic Controllers Association (NATCA) at SRQ.

The ECV was performed for the purpose of assessing the performance of SRQ in operational and administrative areas.

The ECV was conducted through data review and 137 hours of playback monitoring of air traffic operations using remote observations and Digital Audio Legal Recorder (DALR) recordings. An ECV out-briefing was conducted on February 10, 2023.

Our goal was to assist SRQ in identifying any areas that may need improvement, provide recommendations, as well as recognize exemplary areas of operation.

A total of 101 checklist items listed in the Air Traffic Organization (ATO) application portal Compliance Verification Tool (CVT) were assessed.

The results are as follows:

- 81 items were rated as Compliant
- 6 items were rated as Non-Complaint Low
- 3 items were rated as Informational
- 1 item was rated as Exemplary

- 10 items were rated as Not Observed

The following ECV checklist items were identified as Non-Compliant Low Risk:

Item 25: Automatic Terminal Information Service (ATIS) Procedures - ATIS duties including content, code broadcast and review.

- During direct monitoring and DALR review, it was observed that the new ATIS code was not broadcast on all appropriate frequencies.

Reference: FAA Order JO 7110.65 Paragraph 2-9-2d.

Item 32: Call Sign Usage - Aircraft identification and similar sounding call signs are handled as required.

- On numerous occasions, controllers were observed not using November or the aircraft type when transmitting to an aircraft. Also, controllers frequently failed to use call signs during subsequent communications with aircraft, to include control instructions.

Reference: FAA Order JO 7110.65 Paragraphs 2-4-8 and 2-4-20.

Item 73: Line Up and Wait - Controllers use proper phraseology and procedures and traffic is exchanged as required.

- During direct monitoring and DALR review, some controllers were observed making a blanket broadcast advising arriving aircraft of traffic holding on the runway. Individual broadcasts are required to ensure acknowledgement by the arriving aircraft.

Reference: FAA Order JO 7110.65 Paragraph 3-9-4; SRQ 7110.110A Appendix L.

Item 106: OJTI Selection, Certification and Evaluation - OJTIs are selected certified and evaluated in accordance with National Directive

- Three of twelve OJTIs had expired annual evaluations. Two of those three are currently working with a developmental on Skill Enhancement Training.

Reference: FAA Order JO 3120.4 Chapter 6

Item 135: Radio Communication - Controllers/Specialists use standard radio transmission format and phraseology and apply correct read back/hear back procedures and phraseology.

- Non-standard and excessive phraseology was observed numerous times by the ECV Team, particularly on DALR recordings.

Reference: FAA Order JO 7110.65 Paragraphs 2-1-17, 2-4-3, 2-4-5 and 2-4-14 through 2-4-20.

Item 373: Operational Reference Material - Information areas, position binders, etc., are current and accurate.

- The facility had out-of-date approach plates and airport maps in the Tower. The facility administrative order in the Tower was also out-of-date.
Reference: FAA Order JO 7210.3 Paragraph 2-1-4.

The following ECV checklist item was identified as Exemplary:

Item 153: Strip Marking - Controllers use standard flight progress strip marking.

- The facility demonstrated exceptional compliance with strip marking requirements.
Reference: FAA Order JO 7110.65 Paragraph 2-3-1 and 2-3-4; SRQ 7110.110A Appendix A.

The following ECV checklist items were identified as Informational:

Item 62: General Notice (GENOT) Handling - Ensure that all employees with a need to know are thoroughly briefed prior to performing duties.

- The facility recognized that the GENOT procedures it had in place were insufficient. The GENOT procedures were corrected in a new version of the Standard Operating Procedure (SOP), which is in the process of implementation.
Reference: FAA Order JO 7210.3 Paragraph 2-2-8

Item 108: Operational Oversight - FLM/CIC/OS monitors operation, anticipates traffic flow, manages and eliminates distractions, and takes appropriate actions.

- The ECV Team observed an extended period of busy traffic in which the Tower was staffed with two Controllers and no Supervisor or stand-alone Controller-in-Charge (CIC) to provide oversight. During that period, Local Control (LC) caught what appeared to be an aircraft turning onto a taxiway rather than the runway for departure. During another period in which the Tower was staffed with a stand-alone CIC, the CIC detected and prevented an incident from occurring via an on-the-spot correction. During a one-hour period, the ECV Team counted eight telephone calls and one equipment outage that was handled by a Supervisor instead of the two controllers on position. The ECV Team also noted that the large number of itinerant IFR operations required a lot of head down time by Ground Control (GC), who had Clearance Delivery (CD) combined a majority of the time. It is the recommendation of the ECV Team that the facility should prioritize additional staffing in the Tower during busy traffic periods, via a Supervisor or stand-alone CIC shift coverage.
Reference: FAA Order JO 7210.3 Paragraph 2-6-1

Item 171: Vehicular Traffic - Controllers use prescribed procedures and phraseology regarding the movement of vehicular traffic.

- The ECV Team reviewed the Letter of Agreement (LOA) between SRQ and Sarasota Manatee Airport Authority and interprets that the LOA supports open field clearances. The ECV Team referred this LOA to Runway Safety for review. Runway Safety reviewed the LOA and are in communications with the facility regarding amending the LOA to restrict these procedures.

Reference: FAA Order JO 7110.65 Paragraph 3-7-1b.

The ATO Top 5 Items were reviewed and evaluated:

Traffic Advisories/Safety Alerts - The ECV Team observed very good traffic advisories issued by facility personnel. No safety alerts were observed by the team during ECV.

Altitude Compliance - No issues were noted.

Wrong Surface Landings – The ECV Team observed good scanning techniques, particularly by LC.

Pilot Report (PIREP) Solicitation/Dissemination - The ECV Team noted very good adherence to requirements both during live and DALR monitoring. Very nice job of working with Tampa and exchanging PIREP information.

Notices to Air Missions (NOTAMs) - The facility has effective NOTAM procedures in place.

Special Emphasis Item Line Up and Wait (LUAW) - Other than the blanket broadcast issue noted above, the facility is in compliance with the National and Local requirements for LUAW operations.

Please direct any questions or requests for additional information to Clifford Murdock, Quality Control Group Specialist at 404-277-2372.

cc: Rolando Caparas, Director (A), ATO, Eastern Service Area, AJT-E
Ryan Almasy, Director, ATO, Eastern Service Center, AJV-E
Angela Smith, Senior Advisor, ATO, Eastern Service Center, AJV-E
Mike Schmidt, Deputy Director (A), ATO, Eastern Service Area, North, AJT-EN
Steve Jackson, Deputy Director, ATO, Eastern Service Area, South, AJT-ES
David Leslie, Senior Advisor, ATO, Eastern Service Area, North, AJT-EN
Matthew Hendrix, Senior Advisor (A), ATO, Eastern Service Area, South, AJT-ES
Juan Fuentes, General Manager, Miami District, Eastern Service Area AJT-ES
Dennis Dodge, Quality Control Manager, Miami District, Eastern Service Area AJT-ES
Willette Neal, Team Manager, ESC, QCG, Operational Evaluations North, AJV-E13
Eric Mathis, Team Manager (A), ESC, QCG, Operational Evaluations South, AJV-E14