



AC NO: 00-46

DATE: 5/9/75

ADVISORY CIRCULAR

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

SUBJECT: AVIATION SAFETY REPORTING PROGRAM

1. PURPOSE.

This circular advises that the Federal Aviation Administration will make an evaluation study of the National Air Transportation System, provides reporting procedures, and invites pilots, controllers and other users of the airspace system or any other person to report discrepancies or deficiencies noted in the system to FAA. This program will initially apply to that part of the System involving the safety of aircraft operations, including departure, en route, approach and landing operations and procedures; air traffic control procedures; pilot/controller communications; the aircraft movement area of the airport and near midair collisions.

2. BACKGROUND.

a. The FAA is seeking uninhibited complete and frank reporting of specific information on any discrepancies or deficiencies in the National Air Transportation System involving the safety of aircraft operations, including departure, en route, approach and landing operations and procedures; air traffic control procedures; pilot/controller communications; the aircraft movement area of the airport and near midair collisions. Previous experience under an FAA Near Midair Collision Reporting Program indicated that the willingness of persons to submit a report depends to a large degree on the FAA's ability to preserve the anonymity of persons filing reports and

persons named in those reports. The FAA will do so to the fullest extent permitted by law upon written request.

b. Information received by the FAA indicates that many incidents may not be reported because persons involved fear possible FAA enforcement action where violations of regulations have occurred. Even when an incident is reported, meaningful information has not always been furnished. Therefore, since the FAA is seeking an unrestricted source of information necessary to evaluate safety aspects of the National Air Transportation System, waiver of disciplinary actions in certain areas is provided. The Aviation Safety Reporting Program will assess the elements of the System as it exists today in order to provide a basis for improving the current and future aviation systems. Essentially, this program will be analytical in nature to provide the basis for recommendations to the Administrator rather than an investigative body intent on proving the validity of each individual report.

3. GENERAL INFORMATION.

a. Persons who identify a discrepancy or deficiency in our National Air Transportation System are requested to report such to the FAA. This program will initially apply to that part of the System involving the safety of aircraft operations, including departure, en route, approach and landing operations and procedures; air traffic

control procedures; pilot/controller communications; the aircraft movement area of the airport and near midair collisions. FAA Form 8020-12, Aviation Safety Report, should be utilized for this purpose. However, all reports submitted will be processed in a like manner. The FAA will evaluate these reports to identify discrepancies, deficiencies or problems in order that aviation safety can be improved.

b. The Aviation Safety Reporting Program will not eliminate responsibility for, or interest in, completion of forms, reports or narratives presently required by existing regulations or orders governing safety of aircraft operations; e.g., the reporting of near midair collisions will continue under current procedures as specified in the Airman's Information Manual.

c. Violation reporting may be discouraged because of a fear of FAA disciplinary action against others involved in that violation. Accordingly, if any person involved in a violation of Federal Aviation Regulations or FAA directives covered by this program files a timely written report of that violation to the FAA, the Administrator will waive the taking of disciplinary action against any person involved in that violation except with respect to reckless operations, criminal offenses, gross negligence, willful misconduct and accidents. An Aviation Safety Report, FAA Form 8020-12, should be filed for ease of gathering information. However, any written report is acceptable.

d. Where air safety warrants, the FAA will take any necessary corrective or remedial action. This is not construed to be disciplinary action which is waived under this program.

4. REPORTING PROCEDURES.

a. *Written Report.* Preaddressed, postage free, FAA Form 8020-12 will be available at FAA offices for persons who wish to report a discrepancy. These forms or a narrative report,

in lieu thereof, should be completed as appropriate to describe the discrepancy or deficiency and forwarded immediately to the Aviation Safety Reporting Study Group, ASA-10, 800 Independence Avenue, S.W., Washington, D.C. 20591.

b. *Waiver of Disciplinary Action.* To be considered timely, so as to establish eligibility for waiver of disciplinary action, the written report must be delivered or postmarked within five calendar days of the incident unless that period is extended for good cause.

5. DURATION.

The Aviation Safety Reporting Program commencing after April 30, 1975, will be constantly monitored to determine its duration and effectiveness and will be clarified, modified or expanded as necessary. Periodic meetings will be scheduled with aviation groups who use the system to obtain their views on the effectiveness of the program and changes needed to accomplish its purpose.

6. AVAILABILITY OF FORMS.

a. Additional copies of the attached reporting form (FAA Form 8020-12) may be obtained free of charge from an FAA office.

b. Government, State and organized industry groups may obtain forms in quantity by submitting requests to the Department of Transportation, Federal Aviation Administration, Aeronautical Center, Distribution Section, AAC-45C, P.O. Box 25082, Oklahoma City, Oklahoma 73125.

c. FAA Form 8020-12, Aviation Safety Report, will be available approximately May 27, 1975. An initial distribution will be made to regions, centers and FAA facilities. Forms will be stocked in the FAA Depot and will be available through normal supply channels, NSN 0052-00-845-4000, unit of issue: sheet.



JAMES F. RUDOLPH
Associate Administrator
for Aviation Safety

DEPARTMENT OF TRANSPORTATION—FEDERAL AVIATION ADMINISTRATION

AVIATION SAFETY REPORT

THE FEDERAL AVIATION ADMINISTRATION SOLICITS voluntary information to identify deficiencies and discrepancies in the National Air Transportation System. This form is intended for use by all interested persons in conjunction with the Aviation Safety Reporting Program established by the FAA Administrator. Although this form lists defined categories, you are urged to report any other items covered by the program which, in your opinion, create a hazard to air safety. Details concerning the program and its coverage may be found in Advisory Circular AC 00-46. Describe the situation and any

associated circumstances. When an incident covered by the program is reported within five (5) days, the FAA will not take disciplinary action against any person involved except with respect to reckless operations, criminal offenses, gross negligence, willful misconduct and accidents. Corrective or remedial action may be taken. This form is self-addressed and postage free for convenient mailing. It may also be left with any FAA office for forwarding.

PLEASE COMPLETE EACH QUESTION AS APPLICABLE.

1. DATE/TIME (GMT)		2. REPORTED BY (Pilot, Crewmember, Controller, Other (Specify))		3. LOCATION (Airport, Navigational aid reference, Runway reference, Unknown, etc.)					
4. TYPE FLIGHT PLAN FILED		5. AVIATION CATEGORY		6. PURPOSE OF FLIGHT		7. PHASE OF OPERATION			
A. VFR		A. AIR CARRIER		A. AIR CARRIER		C. TRAINING			
B. IFR		B. GENERAL AVIATION		B. AIR TAXI		D. PLEASURE			
C. SVFR		C. MILITARY		E. OTHER (Specify)					
D. DVFR		D. OTHER (Specify)							
E. NONE									
F. UNKNOWN						A. TAXI			
						B. TAKEOFF AND CLIMB			
						C. ENROUTE			
						D. DESCENT			
						E. APPROACH AND LANDING			
						F. MISSED APPROACH			
8. NO. IN CREW (If known)		9. NO. OF PASSENGERS (If known)		10. AIRCRAFT WAS BEING FLOWN BY (Pilot, Co-Pilot, Other—Specify, Unknown)		11. CERTIFICATE—KIND HELD BY:			
						A. PILOT			
						B. CO-PILOT			
						C. FLIGHT ENGINEER			
12. AIRSPACE ENVIRONMENT		13. CONTROLLED BY AIR TRAFFIC CONTROL		(If "YES," enter controlling facility)		14. AIR NAVIGATION FACILITY			
A. TCA		C. Controlled Airspace				A. TYPE		B. LOCATION	
B. APC		D. Uncontrolled Airspace				C. IDENT.			
E. UNK.				A <input type="checkbox"/> NO B <input type="checkbox"/> YES →					
		C <input type="checkbox"/> UNKNOWN							
15. TYPE AIRCRAFT (If unknown, describe as Light Twin, Single Engine, etc.)		16. ALTITUDE (If known)		17. WAS ANOTHER AIRCRAFT INVOLVED		18. DESCRIBE OTHER AIRCRAFT (Identification—if known; type, etc.)			
		FT.		A <input type="checkbox"/> NO B <input type="checkbox"/> YES →					
19. DEFICIENCY/DISCREPANCY NOTED LIES IN THE FOLLOWING GENERAL AREA(S): ("X" All applicable box(es))									
A. NEAR MIDAIR COLLISION									
B. AIR TRAFFIC CONTROL (Procedures, handling, phraseology, automation, equipment, etc.)									

20. NARRATIVE DESCRIPTION—Continued (Use additional sheets if necessary) (Be sure to complete section below) (Fold where indicated and tape or tab fasten at place indicated)

21. DO YOU REQUEST ANONYMITY TO THE EXTENT PERMITTED BY LAW? A. No B. Yes

NAME (Please Print)

SIGNATURE

DATE

C. FLIGHT CREW (Not adhering to instructions or clearances, misunderstanding, error, etc.)

D. AIRCRAFT (Equipment, exits, services, etc.)

E. AIR NAVIGATION FACILITY (VOR, DME, ILS, Radar, etc.)

F. AIRPORT (Condition of runways, taxiways, obstructions, lightings, markings, etc.)

G. AERONAUTICAL PUBLICATIONS (Regulations, charts, etc.)

20. NARRATIVE DESCRIPTION. Please describe the condition as clearly and precisely as possible. Please provide as much information as possible on:
Type of condition . . . How was condition discovered . . . Evasive action required, if any . . . Your opinion as to why the condition occurred . . .
Contributing factors . . . Your suggestions as to how to prevent recurrence. (If more space is needed, continue on other side.)

**DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
WASHINGTON, D.C. 20591**

**OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE, \$300**

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**FIRST CLASS
AVIATION SAFETY DATA—DO NOT DELAY**

**Aviation Safety Reporting Program Study Group, ASA-10
Federal Aviation Administration
Washington, D.C. 20591**

**TAPE
HERE**

Federal Aviation Administration
AVIATION SAFETY REPORTING
PROGRAM

Establishment

The Federal Aviation Administration (FAA) has established a voluntary program designed to stimulate the free and unrestricted flow of information concerning deficiencies and discrepancies in the aviation system. This is a positive program intended to ensure the safest possible system by identifying and correcting unsafe conditions before they lead to accidents. The primary objective of the program is to obtain information to evaluate and enhance the safety and efficiency of the present system.

The FAA is convinced that an unrestricted flow of information from those people who use the system on a regular basis is one of the primary ways of monitoring its performance. To ensure receipt of this information, the program provides for the waiver of certain disciplinary actions against persons, including pilots and air traffic controllers, who file timely written reports concerning potentially unsafe incidents which occur after April 30, 1975. To be considered timely, reports must be delivered or postmarked within five days of the incident unless that period is extended for good cause. Reporting forms are being developed and will be available at FAA facilities.

The FAA continues to encourage the reporting of any information which a person believes discloses an unsafe condition in the National Air Transportation System. This program, however, will initially apply to that part of the System involving the safety of aircraft operations, including departure, en route, approach and landing operations and procedures, air traffic control procedures, pilot/controller communications, the aircraft movement area of the airport, and near mid-air collisions. Pilots, air traffic controllers, and all other members of the aviation community and the general public are asked to file written reports of any discrepancy or deficiency noted in these areas.

Violation reporting may be discouraged because of a fear of FAA disciplinary action against others involved in that violation.

Accordingly, if any person involved in a violation of Federal Aviation Regulations or FAA directives covered by this program files a timely report of that violation to the FAA, the Administrator will waive the taking of disciplinary action against any person involved in that violation except with respect to reckless operations, criminal offenses, gross negligence, willful misconduct, and accidents.

The report should give the date, time, location, persons and aircraft involved (if applicable), nature of the event, and all pertinent details. It should be submitted to FAA Headquarters, Regional Offices, or Air Traffic, Flight Standards or Airports Facilities.

Previous experience under an FAA near mid-air collision reporting program indicated that the willingness of persons to submit a report depends to a large degree on the FAA's ability to preserve the anonymity of person filing reports and persons named in those reports. The FAA will do so upon written requests to the fullest extent permitted by law.

The program will be constantly monitored to determine its effectiveness and will be clarified, modified, or expanded as necessary. All interested person are invited to submit comments or suggestions on the program. Submissions should be addressed to the Associate Administrator for Safety, Federal Aviation Administration, Washington, D.C. 20591. In addition, the aviation community will be invited to participate on a continuing basis. Periodic meetings will be scheduled with interested aviation groups who use the system to obtain their views on the effectiveness of the program and changes needed to accomplish its purpose.

This program applies to incidents which occur after April 30, 1975, and is adopted under the authority of sections 305, 307(c), 312(c), 313(a), 601(a), 701(a) and 1104 of the Federal Aviation Act of 1958 (49 U.S.C. 1346, 1348(c), 1353(c), 1354(a), 1321(a), 1441(a), and 1504), and section 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).

Issued in Washington, D.C. on April 18, 1975.

JAMES E. Dow,
Acting Administrator.

(As published in the Federal Register [40 F.R. 17775] on April 22, 1975).

DEPARTMENT OF TRANSPORTATION

FEDERAL AVIATION ADMINISTRATION

WASHINGTON, D.C. 20591

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