

Cancelled

AC NO: 00-46A

DATE: 3-31-76



ADVISORY CIRCULAR

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

SUBJECT: AVIATION SAFETY REPORTING PROGRAM

1. PURPOSE.

This circular is to advise that the Federal Aviation Administration (FAA) will modify the Aviation Safety Reporting Program (ASRP) effective April 15, 1976, by utilizing the National Aeronautics and Space Administration (NASA) as a third party to receive and analyze Aviation Safety Reports. This study of the National Aviation System invites pilots, controllers, and other users of the airspace or any other person to report to NASA actual or potential discrepancies and deficiencies involving the safety of aircraft operations. The program applies to that part of the system involving the safety of aircraft operations, including departure, enroute, approach and landing operations and procedures, air traffic control deficiencies, pilot/controller communications, the aircraft movement area of the airport, and near mid-air collisions. The success of this program to improve safety depends on the free, unrestricted flow of information from the users of the National Aviation System. The objective of the modification is to increase the flow of information.

2. CANCELLATION.

Advisory Circular 00-46 dated May 9, 1975, is cancelled.

3. BACKGROUND.

a. The primary mission of the FAA is to promote aviation safety. To further this mission, the FAA instituted a voluntary Aviation Safety Reporting Program on April 30, 1975, designed to encourage the reporting and identification of deficiencies and discrepancies in the system before they cause accidents or incidents.

b. The FAA has determined that the ASRP effectiveness would be greatly enhanced if the receipt, processing, and analysis of the raw data were accomplished by a third party. This would further ensure the anonymity of the reporter and of all persons involved in a reported incident, and, consequently, increase the flow of information necessary for the effective evaluation of the safety and efficiency of the system. Accordingly, the FAA and NASA have agreed that NASA will establish an Aviation Safety Reporting System (ASRS) to perform these functions.

4. NASA RESPONSIBILITIES.

a. NASA will establish an Aviation Safety Reporting System to provide for the receipt, analysis, and periodic reporting of findings obtained through the reporting program to the public, the aviation community and FAA.

b. NASA will form an ASRS advisory committee comprised of representatives from the aviation industry, consumers, DOD, NASA, and FAA to advise NASA on the conduct of the

ASRS. The committee will conduct periodic meetings to determine and ensure the effectiveness of the reporting system.

5. PROCESSING OF REPORTS.

a. NASA will develop procedures to process Aviation Safety Reports. These procedures will assure that reports are initially screened for:

(1) Time-critical information which, after de-identification, will be promptly referred to FAA and other interested parties.

(2) Information concerning criminal offenses, which will be promptly referred to the Department of Justice and FAA.

(3) Information concerning accidents, which will be promptly referred to the National Transportation Safety Board and the FAA.

b. Information that might assist identification of persons filing reports and persons named in those reports will be deleted, except for reports covered under Paragraphs a.(2) and a.(3) above. This will be accomplished normally within 24-48 hours if no further information is requested from the reporter.

6. WAIVER OF DISCIPLINARY ACTION.

a. Provided a timely report has been filed, FAA disciplinary action is waived against all persons involved in the incident, as follows:

(1) FAA has a period of forty-five days following an incident to ask NASA whether a timely report has been filed on that incident. Except as provided in paragraphs a.(2) and a.(3) below, the waiver of disciplinary action applies if FAA does not make this request within the time period specified, or FAA ascertains through NASA that a timely report was filed.

(2) FAA disciplinary action is not waived for cases involving accidents or criminal offenses, which are wholly excluded from the program.

(3) Reports involving reckless operation, gross negligence or willful misconduct may not be used for FAA disciplinary purposes. Disciplinary action may be taken in such cases, however, on the basis of information obtained independently of the Aviation Safety Report.

b. The following are examples of conduct that has, in the past, been identified as reckless operation, gross negligence, or willful misconduct:

(1) Intentional buzzing dangerously close to persons or property.

(2) Intentional operation of an aircraft in instrument flight rule weather conditions without proper air traffic control clearances or authorization.

(3) Knowingly performing acrobatic flight within a control zone or a Federal airway.

(4) Intentional unauthorized descent below published decision height or minimum descent altitudes while conducting an actual instrument approach.

(5) Knowingly executing an unauthorized instrument approach in controlled airspace.

(6) Intentional operation of an aircraft that is substantially overweight.

c. The waiver of disciplinary action, where applicable, covers all persons involved in a reported incident, not only persons making, or named in, an Aviation Safety Report.

d. Each Aviation Safety Report has a tear-off portion which contains the information that identifies the person submitting the report. This tear-off portion will be removed by NASA, time stamped, and returned to the reporter as his receipt. This will provide the reporter with proof that he filed the report on a specific incident or occurrence.

e. NASA will maintain a separate record of each report received for 45 days following the incident, which will include the date, time, location, and type of incident (but not the identity of the person making the report). Retention of this data is necessary to determine whether an individual is entitled to protection under the ASRP. When the FAA receives information concerning a specific incident, it requests NASA to advise whether or not the incident has been reported. (See paragraph 6.a.).

f. Based on information obtained from this program, including the time critical information from NASA mentioned above, the FAA will take whatever corrective or remedial action is necessary to remedy defects or deficiencies in the National Aviation System. However, as stated

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

STAPLE
OR TAPE
HERE

AVIATION SAFETY REPORTING SYSTEM

NASA has established an Aviation Safety Reporting System to identify problems in the aviation system which require correction. The program of which this system is a part is described in detail in FAA Advisory Circular 00-46A. Your assistance in informing us about such problems is essential to the success of the program. Please fill out this postage free form as completely as possible, fold it and send it directly to us.

The information you provide on the identity strip will be used only if NASA determines that it is necessary to contact you for further information. **THE IDENTITY STRIP WILL BE RETURNED DIRECTLY TO YOU. NO COPY OF THE STRIP OR RECORD OF YOUR IDENTITY WILL BE KEPT.**

This report will not be made available to the FAA for civil penalty or certificate actions for violations of the Federal Air Regulations. FAA has agreed to waive disciplinary action, with the exceptions described in Advisory Circular 00-46A, if you have reported the occurrence under this program. Your identity strip, stamped by NASA, is proof that you have submitted a report to the Aviation Safety Reporting System. We can only return the strip to you, however, if you have provided a mailing address. Equally important, we can often obtain additional useful information if our safety analysts can talk with you directly by telephone. For this reason, we have requested telephone numbers where we may reach you. Thank you for your assistance.

Note: Aircraft accidents should not be reported on this form. Such reports should be filed with the National Transportation Safety Board as required by 49CFR830.

National Aeronautics and
Space Administration

An Equal Opportunity
Employer

Ames Research Center
Moffett Field, California
94035

Official Business
Penalty for Private Use. \$300

Postage and Fees Paid
National Aeronautics and
Space Administration
NASA-451



FIRST CLASS

AVIATION SAFETY DATA-DO NOT DELAY

NASA Aviation Safety Reporting System
Post Office Box 189
Moffett Field, California 94035



IDENTIFICATION STRIP: Please fill in all blanks. This section will be returned to you promptly;
no record will be kept.

TELEPHONE NUMBERS where we may reach you
for further details of this occurrence:

AREA _____ NO. _____ HOURS _____

TYPE OF OCCURRENCE/INCIDENT: _____

AREA _____ NO. _____ HOURS _____

DATE OF OCCURRENCE _____

TIME (local, 24-hr. clock) _____

NAME _____

ADDRESS _____

(This space reserved for NASA
receipt stamp)

Please fill in appropriate spaces and circle or check all terms which apply to this occurrence or incident.

1. Location: (Geographic (including State), airport, runway, ATC facility and sector, navigation aid reference, etc.)

2. Type of operation:

SCHEDULED AIR CARRIER	SUPPLEMENTAL CARRIER	CORPORATE AVIATION	MILITARY: ARMY
DOMESTIC OPERATION	CHARTER OPERATION	PERSONAL BUSINESS	NAVY/CG/MC
INTERNATIONAL OPN.	UTILITY OPERATION	PLEASURE FLIGHT	AIR FORCE
AIR TAXI	AGRICULTURAL OPN.	TRAINING FLIGHT	GOVERNMENT

3. Type of aircraft:

FIXED WING, LOW	RETRACTABLE GEAR	RECIPROCATING	GROSS WT.: <2500	25,000-50,000
HIGH WING	CONST. SPEED PROP	TURBOPROP	2500-5000	50,000-100,000
ROTARY WING	FLAPS	TURBOJET	5000-12,500	100,000-300,000
NO. OF SEATS:	NO. OF ENGINES	WIDE BODY JET	12,500-25,000	OVER 300,000

4. Second aircraft TYPE: (if two aircraft involved)

5. Reported by: PILOT CREWMEMBER CONTROLLER OTHER (specify)

If pilot: TOTAL HOURS:

HRS. LAST 90 DAYS:

6. Light conditions: DAWN DAYLIGHT DUSK NIGHT

7. Altitude: FEET MSL.

8. Flight plan: IFR VFR DVFR SVFR NONE

9. Flight conditions: VFR IFR

10. Flight phase: PREFLIGHT TAXI TAKEOFF CLIMB CRUISE DESCENT
HOLDING TRAFFIC PATTERN APPROACH LANDING MISSED APPROACH11. Airspace: POSITIVE CONTROL AREA (PCA) TERMINAL CONTROL AREA (TCA) ON AIRWAYS
AIRPORT TRAFFIC AREA UNCONTROLLED AIRSPACE

12. Air Traffic Control: GROUND TOWER DEPARTURE CENTER APPROACH FSS NONE

13. Weather factors: RESTRICTED VISIBILITY TURBULENCE THUNDERSTORM AIRCRAFT ICING
CROSSWIND PRECIPITATION NONE OTHER (specify)

14. (Circle all which you believe apply to this occurrence)

AIRPORT AIR TRAFFIC CONTROL AIR NAVIGATION FACILITY AIRCRAFT
FLIGHT CREW AERONAUTICAL PUBLICATIONS/CHARTS OTHER (specify below)15. NARRATIVE DESCRIPTION: (Please describe the occurrence as clearly and precisely as possible. Include information on:
what happened... how was the problem discovered... what actions were taken... was evasive action required...
what factors contributed to the situation... why do you believe the situation occurred... your suggestions as to how
to prevent a recurrence.
USE BOTH SIDES OF THE FORM, AS REQUIRED.)

Continue on other side.

15. NARRATIVE DESCRIPTION (continued): *(Use additional sheets if necessary)*

SECOND FOLD HERE

SECOND FOLD HERE

Fold as indicated, fasten with staple or tape as shown, and mail. Thank you for your cooperation.

above, this action will not include disciplinary action waived under the ASRP.

7. REPORTING PROCEDURES

a. The waiver of disciplinary action, if otherwise applicable, will be assured if a written report is completed and delivered or postmarked and forwarded to NASA within 5 days of the incident, or if NASA is notified in writing within 5 days of the date and location of the incident or occurrence, and a complete written report is filed within 15 days of the incident. Such notification should be directed to: Aviation Safety Reporting System, P.O. Box 189, Moffett Field, CA 94035.

b. NASA ARC Form 277, which is preaddressed and postage free, will be available at FAA offices for persons who wish to participate in the program. This form or narrative report should be completed to describe the discrepancy or deficiency and mailed to: Aviation Safety Reporting System, P.O. Box 189, Moffett Field, CA 94035.

c. This program does not eliminate responsibility for reports, narratives, or forms presently required by existing directives.



JOHN L. McLUCAS
Administrator

8. EFFECTIVE DATE.

The modified Aviation Safety Reporting Program described by this Advisory Circular is effective April 15, 1976. On and after that date, all Aviation Safety Reports should be sent to NASA rather than the FAA.

9. AVAILABILITY OF FORMS.

a. Additional copies of the attached reporting form (NASA ARC Form 277) may be obtained free of charge from FAA offices.

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. NASA ARC Form 277, Aviation Safety Report, will be available approximately April 15, 1976. 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 0052-00-845-4001, unit of issue: sheet.