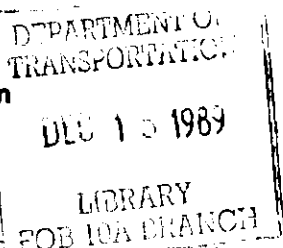




U.S. Department  
of Transportation  
Federal Aviation  
Administration



# Advisory Circular

*Obsolete*

**Subject: AVIATION SAFETY REPORTING  
PROGRAM**

**Date: February 4, 1985  
Initiated by: ASF-200**

**AC No. 00-46C  
Change:**

## 1. PURPOSE.

This circular describes the Federal Aviation Administration (FAA) Aviation Safety Reporting Program (ASRP) which utilizes the National Aeronautics and Space Administration (NASA) as a third party to receive and analyze Aviation Safety Reports. This cooperative safety reporting program invites pilots, controllers, and other users of the National Aviation System or any other person, such as maintenance personnel, to report to NASA actual or potential discrepancies and deficiencies involving the safety of aviation operations. The operations covered by the program include departure, enroute, approach, and landing operations and procedures, air traffic control procedures and equipment, pilot/controller communications, aircraft movement on the airport, and near midair collisions. The effectiveness of this program in improving safety depends on the free, unrestricted flow of information from the users of the National Aviation System. Based on information obtained from this program, the FAA will take corrective action as necessary to remedy defects or deficiencies in the National Aviation System. The reports may also provide data for improving the current system and planning for a future system.

## 2. CANCELLATION.

Advisory Circular 00-46B dated June 15, 1979, 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.

b. The FAA determined that ASRP effectiveness would be greatly enhanced if the receipt, processing, and analysis of the raw data were accomplished by NASA rather than the FAA. This would ensure the anonymity of the reporter and of all parties involved in a reported occurrence or incident and, consequently, increase the flow of information necessary for the effective evaluation of the safety and efficiency of the system. Accordingly, NASA designed and administers the Aviation Safety Reporting System (ASRS) to perform these functions in accordance with a Memorandum of Agreement executed by FAA and NASA on August 15, 1975, as modified April 24, 1979. Current ASRS operations are conducted in accordance with a Memorandum of Agreement executed by FAA and NASA on September 30, 1983.

## 4. NASA RESPONSIBILITIES.

a. The NASA Aviation Safety Reporting System provides for the receipt, analysis, and de-identification of aviation safety reports; in addition, periodic reports of findings obtained through the reporting program are published and distributed to the public, the aviation community, and FAA.

b. A NASA ASRS advisory committee comprised of representatives from the aviation community, including the Department of Defense, NASA, and FAA, advises NASA on the conduct of the ASRS. The committee conducts periodic meetings to evaluate and ensure the effectiveness of the reporting system.

## **5. PROHIBITION AGAINST USE OF REPORTS FOR ENFORCEMENT PURPOSES.**

a. Section 91.57 of the Federal Aviation Regulations (14 CFR 91.57) prohibits the use of any report submitted to NASA under the ASRS (or information derived therefrom) in any disciplinary action, except information concerning criminal offenses or accidents which are covered under paragraphs 7a(1) and 7a(2).

b. When a violation of the Federal Aviation Regulations comes to the attention of the FAA from a source other than a report filed with NASA under ASRS, appropriate action will be taken. See paragraph 9.

c. The NASA ASRS security system is designed and operated by NASA to ensure the confidentiality and anonymity of the reporter and all other parties involved in a reported occurrence or incident. The FAA will not seek, and NASA will not release or make available to the FAA, any report filed with NASA under ASRS or any other information that might reveal the identity of any party involved in an occurrence or incident reported under ASRS. There has been no breach of confidentiality in the over 42,000 reports filed under ASRS.

## **6. REPORTING PROCEDURES.**

NASA ARC Form 277 (revised October 1984), which is preaddressed and postage free, is available at FAA offices. This form or a narrative report should be completed and mailed to: Aviation Safety Reporting System, P.O. Box 189, Moffett Field, CA 94035.

## **7. PROCESSING OF REPORTS.**

a. NASA procedures for processing Aviation Safety Reports assure that reports are initially screened for:

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

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

Note: Reports discussing criminal activities or accidents are not de-identified prior to their referral to the agencies outlined above.

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

b. 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 a receipt. This will provide the reporter with proof that he/she filed a report on a specific incident or occurrence. The identification strip section of the ASRS form provides NASA program personnel with a means by which the reporter can be contacted in case additional information is sought in order to understand more completely the report's content. Except in the case of reports describing accidents or criminal activities, no copy of an ASRS form's identification strip is created or retained for the ASRS files. Prompt return of identification strips is a primary element of the ASRS program's report de-identification process and assures the reporter's anonymity.

## **8. DE-IDENTIFICATION.**

All information that might assist in or establish the identification of persons filing ASRS reports and parties named in those reports will be deleted, except for reports covered under paragraphs 7a(1) and 7a(2). This de-identification will be accomplished normally within 72 hours after NASA's receipt of the reports, if no further information is requested from the reporter.

## **9. ENFORCEMENT POLICY.**

a. It is the policy of the Administrator of the FAA to perform his responsibility under the Federal Aviation Act for the enforcement of the Act and the Federal Aviation Regulations in a manner that will best tend to reduce or eliminate the possibility of, or recurrence of, aircraft accidents. The FAA enforcement procedures are set forth in Part 13 of the Federal Aviation Regulations (14 CFR Part 13) and FAA enforcement handbooks.

b. In determining the type and extent of the enforcement action to be taken in a particular case, the following factors are considered:

(1) Nature of the violation;

(2) Whether the violation was inadvertent or deliberate;

(3) The certificate holder's level of experience and responsibility;

**IDENTIFICATION STRIP:** Please fill in all blanks. NO RECORD WILL BE KEPT OF YOUR IDENTITY.

This section will be returned to you promptly.

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

(HOME) Area \_\_\_\_\_ No. \_\_\_\_\_ - \_\_\_\_\_ Hours \_\_\_\_\_

(WORK) Area \_\_\_\_\_ No. \_\_\_\_\_ - \_\_\_\_\_ Hours \_\_\_\_\_

(SPACE RESERVED FOR ASRS DATE/TIME STAMP)

NAME \_\_\_\_\_

TYPE OF EVENT/SITUATION \_\_\_\_\_

ADDRESS \_\_\_\_\_

DATE OF OCCURRENCE \_\_\_\_\_

\_\_\_\_\_

LOCAL TIME (24 hr. clock) \_\_\_\_\_

Except for reports of aircraft accidents and criminal activities — which are not included in the ASRS and should not be submitted to NASA — all identities contained in this report will be removed to assure complete reporter anonymity.

PLEASE FILL IN APPROPRIATE SPACES AND CHECK ALL ITEMS WHICH APPLY TO THIS EVENT OR SITUATION.

**REPORTER'S ROLE DURING OCCURRENCE**

(pilot-flying, radar controller, cabin crew, maintenance, etc.) \_\_\_\_\_

REPORTER	FLYING TIME	CERTIFICATES/RATINGS	ATC EXPERIENCE
<input type="radio"/> captain/pilot	total _____ hrs.	<input type="radio"/> student	<input type="radio"/> FPL <input type="radio"/> developmental
<input type="radio"/> first officer	last 90 days _____ hrs.	<input type="radio"/> private	radar _____ yrs.
<input type="radio"/> other crewmember		<input type="radio"/> commercial	non-radar _____ yrs.
<input type="radio"/> controller	in acft type _____ hrs.	<input type="radio"/> instrument	supervisory _____ yrs.
<input type="radio"/> _____		<input type="radio"/> multiengine	military _____ yrs.
		<input type="radio"/> ATP	
		<input type="radio"/> CFI	
		<input type="radio"/> F/E	

DESCRIBE ONE AIRCRAFT IN THIS SECTION (PILOTS DESCRIBE YOUR OWN) AND ADDITIONAL AIRCRAFT IN THE "DESCRIBE EVENT/SITUATION" SECTION:

AIRFRAME/ENGINES	OPERATOR	PURPOSE OF FLIGHT	FLIGHT PLAN
<input type="radio"/> low fixed wing	<input type="radio"/> scheduled carrier	<input type="radio"/> passenger	<input type="radio"/> VFR <input type="radio"/> IFR
<input type="radio"/> ultralight	<input type="radio"/> supplemental carrier	<input type="radio"/> cargo	<input type="radio"/> SVFR <input type="radio"/> none
<input type="radio"/> reciprocating	<input type="radio"/> FBO/flying school	<input type="radio"/> business	
<input type="radio"/> high fixed wing	<input type="radio"/> commuter	<input type="radio"/> training	
<input type="radio"/> wide body	<input type="radio"/> air taxi	<input type="radio"/> pleasure	
<input type="radio"/> turboprop	<input type="radio"/> corporate		
<input type="radio"/> rotary wing	<input type="radio"/> government		
<input type="radio"/> small complex	<input type="radio"/> private		
<input type="radio"/> turbojet	<input type="radio"/> military ( _____ )		
<input type="radio"/> advanced/automated cockpit (e.g., CRT's, FMS, etc.)			
crew size _____			
pax seats _____			
gross weight _____			
no. of engines _____			

**NAVIGATION IN USE**

AIRSPACE/LOCALE	ATC/ADVISORY SERVICE	FLIGHT CONDITIONS	LIGHT AND VISIBILITY
<input type="radio"/> uncontrolled	<input type="radio"/> ground	<input type="radio"/> VMC	<input type="radio"/> daylight <input type="radio"/> dawn
<input type="radio"/> control zone	<input type="radio"/> local	<input type="radio"/> mixed	<input type="radio"/> dusk <input type="radio"/> night
<input type="radio"/> special use airspace	<input type="radio"/> center	<input type="radio"/> t'storm	ceiling _____ feet
<input type="radio"/> airway/route	<input type="radio"/> UNICOM	<input type="radio"/> turbulence	visibility _____ miles
<input type="radio"/> ATA	<input type="radio"/> approach	<input type="radio"/> IMC	
<input type="radio"/> TRSA	<input type="radio"/> departure	<input type="radio"/> marginal	
<input type="radio"/> ARSA	<input type="radio"/> FSS	<input type="radio"/> rain	
<input type="radio"/> MTR	<input type="radio"/> CTAF	<input type="radio"/> fog	
<input type="radio"/> PCA			
<input type="radio"/> TCA			
<input type="radio"/> unknown			

NEAREST CITY \_\_\_\_\_ STATE \_\_\_\_\_ Distance \_\_\_\_\_ RVR \_\_\_\_\_ feet  
SPECIFY LOCATION BY REFERENCE TO AN AIRPORT, NAVAID, OR OTHER FIX (distance, bearing, etc.): \_\_\_\_\_

AIRCRAFT FLIGHT PHASES AT TIME OF OCCURRENCE (preflight, takeoff, cruise, hover, etc.) \_\_\_\_\_

IF A CONFLICT: Evasive action?  yes  no  no time  unknown. Estimated miss in feet \_\_\_\_\_ vert'l \_\_\_\_\_ horiz'l.

**DESCRIBE EVENT/SITUATION**

Keeping in mind the topics shown below, discuss those which you feel are relevant and anything else you think is important. Include what you believe really caused the problem, and what can be done to prevent a recurrence, or correct the situation. (CONTINUE ON THE OTHER SIDE AND USE ADDITIONAL PAPER IF NEEDED).

**CHAIN OF EVENTS**

- How the problem arose
- How it was discovered
- Contributing factors
- Corrective actions

**HUMAN PERFORMANCE CONSIDERATIONS**

- Perceptions, judgements, decisions
- Actions or inactions
- Factors affecting the quality of human performance

National Aeronautics and  
Space Administration

**Ames Research Center**  
Moffett Field, California 94035

Official Business  
Penalty for Private Use \$300



NO POSTAGE  
NECESSARY  
IF MAILED  
IN THE  
UNITED STATES

**BUSINESS REPLY MAIL**

FIRST CLASS PERMIT NO 12028 WASHINGTON, D C

POSTAGE WILL BE PAID BY NASA

FIRST CLASS  
AVIATION SAFETY DATA —  
DO NOT DELAY

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



**NASA**

## NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

## 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 00-46C. 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.** The return of the identity strip assures your anonymity.

Section 91.57 of the Federal Aviation Regulations (14 CFR 91.57) prohibits reports filed with NASA from being used for FAA enforcement purposes. This report will not be made available to the FAA for civil penalty or certificate actions for violations of the Federal Air Regulations. 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.**

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

SECOND FOLD HERE

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

SECOND FOLD HERE

- (4) Attitude of the violator;
- (5) The hazard to safety of others which should have been foreseen;
- (6) Action taken by employer or other Government authority;
- (7) Length of time which has elapsed since violation;
- (8) The certificate holder's use of the certificate;
- (9) The need for special deterrent action in a particular regulatory area, or segment of the aviation community; and
- (10) Presence of any factors involving national interest, such as the use of aircraft for criminal purposes.

c. The filing of a report with NASA concerning an incident or occurrence involving a violation of the Act or the Federal Aviation Regulations is considered by the FAA to be indicative of a constructive attitude. Such an attitude will tend to prevent future violations. Accordingly, although a finding of a violation may be made, neither a civil penalty nor certificate suspension will be imposed if:

- (1) The violation was inadvertent and not deliberate;
- (2) The violation did not involve a criminal offense, or accident, or action under section 609 of the Act which discloses a lack of qualification or competency, which are wholly excluded from this policy;
- (3) The person has not been found in any prior FAA enforcement action to have committed a violation of the Federal Aviation Act, or of any regulation promulgated under that Act for a period of 5 years prior to the date of the occurrence; and
- (4) The person proves that, within 10 days after the violation, he or she completed and delivered or mailed a written report of the incident or occurrence to NASA under ASRS. See paragraphs 5c and 7b.

NOTE: Paragraph 9 does not apply to air traffic controllers. Provisions concerning air traffic controllers involved in incidents reported to NASA under ASRS are addressed in FAA Order 7210.3G, Facility Operation and Administration.

## 10. OTHER REPORTS.

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

## 11. EFFECTIVE DATE.

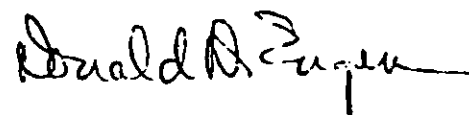
The modified Aviation Safety Reporting Program described by this advisory circular is effective March 1, 1985.

## 12. AVAILABILITY OF FORMS.

a. Additional copies of the attached reporting form (NASA ARC Form 277, revised October 1984) may be obtained free of charge from FAA offices, including flight service stations or directly from NASA at the ASRS office, P.O. Box 189, Moffett Field, CA 94035.

b. Government, State, and organized industry groups may obtain forms in quantity by submitting requests to the ASRS office noted in paragraph 12a.

c. NASA ARC Form 277 (revised October 1984), Aviation Safety Report, will be stocked in the FAA Depot and will be available to FAA offices through normal supply channels (NSN 0052-00-845-4003, unit of issue: sheet).

  
ADMINISTRATOR