

ERC's are encouraged to develop and maintain a manual containing ASAP processes and procedures that best represent their operational environment.

This sample ASAP process and Procedure manual provides an example of structure and limited content (for demonstration purposes only) that can be used as a resource for ASAP managers, ERC members, and stakeholders to develop their own manuals.

Aviation Safety Action Program Process and Procedure Manual

RECORD OF REVISIONS

Revision Number	Date	Date Entered	Entered By
Original	April 30, 2019	Included	Included
1	April 15, 2020	Included	Included

LIST OF EFFECTIVE PAGES

Section	Effective Date	Page No.	Revision 1
Record of Revisions	April 15, 2020	i	
List of Effective Pages	April 15, 2020	ii thru iii	
Table of Contents	April 15, 2020	iv thru v	
Introduction	April 15, 2020	vi	
Abbreviations & Acronyms	April 15, 2020	vii thru viii	
Section 1	April 15, 2020	1 thru 6	
Section 2	April 15, 2020	7 thru 9	
Section 3	April 15, 2020	10 thru 11	
Appendix A	April 15, 2020	A-1	
Appendix B	April 15, 2020	B-1	
Appendix C	April 15, 2020	C-1 thru C-4	
Appendix D	April 15, 2020	D-1	
Appendix E	April 15, 2020	E-1	
Appendix F	April 15, 2020	F-1 thru F-11	

TABLE OF CONTENTS

RECORD OF REVISIONS	i
LIST OF EFFECTIVE PAGES	ii
INTRODUCTION	vi
ABBREVIATIONS AND ACRONYMS	vii
ASAP DEFINITIONS	ix
SECTION 1: ASAP REPORTING PROCESS	1
1.1 Reporting Process	1
1.2 Criteria for Acceptance	1
1.3 Possible Outcomes	2
1.4 Non-Reporting Employees Covered Under ASAP	3
1.5 Non-Reporting Employees NOT Covered Under ASAP	3
1.6 Reports Covered Under ASAP	4
1.7 Reports NOT Covered Under ASAP	4
1.8 Examples of the Disposition of Events Reported Under ASAP	4
1.9 NASA Aviation Safety Reporting System (ASRS)	5
1.10 ASAP Report Feedback	6
1.11 ACSF ASAP Manager	6
1.12 Air Carrier Voluntary Disclosure Reporting Program	6
SECTION 2: ERC Process Overview	7
2.1 ERC Review Process	7
2.2 ERC Recommended Action	8
2.3 Excluded Events	8
2.4 ASAP Report Closure	9
SECTION 3: DATA AND INFORMATION POLICY	10
3.1 Description	10
3.2 Definitions	10
3.3 Data and Information Reporting Systems	10
3.4 Analyses, Reviews and Updates	10
3.5 Program Measurements and Reports to the FAA	10

3.6 ASAP Report Retention Policy.....	10
3.7 Company Report Routing, Confidentiality and Disciplinary Action Independent of ASAP.	10
APPENDIX A: ASAP MEMORANDUM OF UNDERSTANDING	A-1
APPENDIX B: ASAP ERC REPORT PROCESS CHART	B-1
APPENDIX C: ASAP ERC EVENT PROCESS DEFINED	C-1
APPENDIX D: ERC OBSERVER CONSENT FORM	D-1
APPENDIX E: ASAP CONFIDENTIAL NOTICE OF TRAINING	E-1
APPENDIX F: FAA ADVISORY CIRCULAR (AC) 120-66	F-1

INTRODUCTION

The Aviation Safety Action Program (ASAP) is a joint effort between eligible entities, the Federal Aviation Administration (FAA), and representatives from the employee group or employee labor association, (if applicable). This program will enhance the safety culture within the participating companies and within the aviation industry by offering pilots, flight attendants, mechanics, and other company employees the opportunity to voluntarily disclose safety-related events without fear of certificate action by the FAA or disciplinary action by their company. This program allows pilots, flight attendants, mechanics, and other company employees to submit reports of possible noncompliance with Title 14 of the Code of Federal Regulations (14 CFR), or to report a flight safety concern.

In Advisory Circular 120-66C, *Aviation Safety Action Programs*, the FAA states that the objective of ASAP is to encourage voluntary reporting of safety information that may be critical to identifying potential precursors to accidents. The FAA has determined that identifying these precursors is essential to further reducing the already low accident rate. Under ASAP, safety issues are resolved through corrective action rather than through punishment or discipline. The data supplied through ASAP, which would otherwise be unobtainable, is used to develop corrective actions for identified safety concerns, and to educate the appropriate parties to prevent a recurrence of the same type of safety event.

This ASAP Process and Procedure manual describes the process for event reporting, and the Event Review Committee (ERC) process for analyzing and developing corrective action in accordance with the Memorandum of Understanding (MOU) between the eligible entity, employees, and the Federal Aviation Administration (FAA).

ABBREVIATIONS AND ACRONYMS

Acronym	Definition
AAIP	Approved Aircraft Inspection Program
AC	Advisory Circular
ACAS	Airborne Collision Avoidance System
AD	Airworthiness Directive
AFM	Aircraft Flight Manual
AMO	Approved Maintenance Organization
ASDE	Airport Surface Detection Equipment
ASAP	Aviation Safety Action Program
ASRS	Aviation Safety Reporting System (NASA)
ATC	Air Traffic Control
ATQA	Air Traffic Quality Assurance
CAMP	Continuous Airworthiness Maintenance Program
CAP	Corrective Action Plan
CAR	Corrective Action Record
CASS	Continuing Analysis & Surveillance System
CDL	Configuration Deviation List
CFR	Code of Federal Regulations
CFIT	Controlled Flight into Terrain
CHDO	Certificate Holding District Office (FAA)
CMO	Certificate Management Office (FAA)
CRM	Crew Resource Management
CVR	Cockpit Voice Recorder
DAR	Designated Airworthiness Representative
DER	Designated Engineering Representative
EGPWS	Enhanced Ground Proximity Warning System
ELT	Emergency Locator Transmitter
EPA	Environmental Protection Agency
ERC	Event Review Committee
FAA	Federal Aviation Administration
FAR	Federal Aviation Regulation
FBO	Fixed Base Operator
FDR	Flight Data Recorder
FMS	Flight Management System
FOD	Foreign Object Damage
FOIA	Freedom of Information Act
FOM	Flight Operations Manual
FOQA	Flight Operational Quality Assurance
FSDO	Flight Standards District Office (FAA)
GMM	General Maintenance Manual
GOM	General Operations Manual
GPS	Global Positioning System
GPWS	Ground Proximity Warning System
HFACS	Human Factors Analysis and Classification System

Acronym	Definition
ICAO	International Civil Aviation Organization
IEP	Internal Evaluation Program
INFO	Information for Operators
IPM	Inspection Procedures Manual
ISO	International Organization for Standardization
JHA	Job Hazard Analysis
MEL	Minimum Equipment List
MISR	Maintenance Interruption Summary Report
MMEL	Master Minimum Equipment List
MNPS	Minimum Navigation Performance Specifications
MOU	Memorandum of Understanding
MRM	Maintenance Resource Management
MRO	Maintenance Repair Organization
MRR	Maintenance Reliability Report
MSAW	Minimum Safe Altitude Warning
MSDS	Material Safety Data Sheet
NASA	National Aeronautics and Space Administration
NM	Nautical Mile
NTSB	National Transportation Safety Board
OEM	Original Equipment Manufacturer
OM	Operations Manual
OSHA	Occupational Safety and Health Administration
PBE	Personal Breathing Equipment
PIC	Pilot in Command
PPE	Personal Protective Equipment
PRIA	Pilot Records Improvement Act
QAR	Quick Access Recorder
QAS	Quality Assurance System
PTRS	Program Tracking and Reporting Subsystem (FAA)
RA	Resolution Advisory
RII	Required Inspection Item
RNP	Required Navigation Performance
RSM	Repair Station Manual
RVSM	Reduced Vertical Separation Minimum
SARPs	Standards and Recommended Practices (ICAO)
SAFO	Safety Alert for Operators
SB	Service Bulletin
SDR	Service Difficulty Report
SIC	Second in Command
SID	Standard Instrument Departure
SIDA	Security Identification Display Area
SMS	Safety Management System
SOPs	Standard Operating Procedures
SUPS	Suspected Unapproved Parts

Acronym	Definition
STC	Supplemental Type Certificate
TAWS	Terrain Awareness and Warning System
TCAS	Traffic Alert and Collision Avoidance System
TCDS	Type Certificate Data Sheet
TEM	Threat and Error Management
TSA	Transportation Security Administration
VDRP	Voluntary Disclosure Reporting Program
WBAT	Web Based Application Tool

ASAP DEFINITIONS

Acceptance. The terms “accept(s),” “accepted,” and “acceptance,” and references to ASAP reports that meet “acceptance criteria,” refer to such reports that are accepted as valid reports under the presumption in the FAA Reauthorization Act of 2018 and that the ERC, after review, determined should not be excluded under paragraph 18 of this AC.

ASAP Facilitator: A third party who provides personnel, expertise, and/or time in order to design, implement, manage, or maintain an eligible entity’s ASAP.

ASAP Manager: The company representative or ASAP facilitator serving as the focal point for program administration.

“Big Five.” Reports associated with criminal activity, substance abuse, controlled substances, alcohol, or intentional falsification.

Consensus of the Event Review Committee (ERC): Under an ASAP, consensus of the ERC means the voluntary agreement of all representatives of the ERC to each decision outlined by the Memorandum of Understanding (MOU).

Corrective Action: For the purposes of an ASAP, corrective action refers to any safety-related action determined necessary by the ERC based upon a review, investigation, and analysis of the reports submitted under an ASAP. Corrective action can be recommended by the ERC for any safety issue identified in an accepted ASAP report regardless of whether or not it involves an individual’s qualification issue. Corrective action may involve joint or individual action by the parties to the MOU.

Enforcement Related Incentive: The assurance that no enforcement action will be used to address certain apparent violations of the regulations

Event Review Committee (ERC): A group comprised of a representative from each party to an ASAP MOU. The ERC is comprised of a management representative from the eligible entity, a representative from the employee labor association (if applicable), and a specifically qualified FAA inspector from the appropriate Flight Standards office (refer to FAA Order 8900.1, Volume 11, Chapter 2, Section 1, Safety Assurance System: Aviation Safety Action Program).

Intentional Conduct: An act (or failure to act) while knowing that such conduct is contrary to a statutory or regulatory requirement.

Intentional Falsification: A false statement in reference to a material fact made with knowledge of the falsity. It does not include mistakes, inadvertent omissions, or errors.

Memorandum of Understanding: Refers to the written agreement between two or more parties setting forth the purposes for, and terms of, an ASAP.

Non-Sole Source Report: The ERC considers a report to be non-sole-source when evidence of the event is not discovered by or otherwise predicated on the ASAP report.

Party / Parties: This refers to the eligible entity, the FAA, and any other person or entity (e.g., labor union or other industry or government entity) that is a participant in the program.

Person: “[A]n individual, firm, partnership, corporation, company, association, joint-stock association, or government entity. It includes a trustee, receiver, assignee, or similar representative of any of them.” See 14 C.F.R. § 1.1.

Policy and Procedures Manual: A manual that outlines the operating procedures of the ERC as well as its duties and responsibilities.

Reckless Conduct: An act (or failure to act) demonstrating a gross disregard for or deliberate indifference to safety or a safety standard.

Risk Controls: Steps taken to eliminate hazards or to mitigate their effects by reducing the severity and/or likelihood of risk associated with those hazards (e.g., regulations, standards, and policies).

Safety Management System (SMS): The formal, top-down business approach to managing safety risk, which includes a systemic approach to managing safety, including the necessary organizational structures, accountabilities, policies, and procedures. (See <https://www.faa.gov/about/initiatives/sms/>).

Safety-Related Report: Refers to a written account of any event that involves aviation safety reported through an ASAP.

Sole-Source Report: The ERC considers a report to be sole-source when all evidence of the event available is predicated on the ASAP report. It is possible to have more than one sole-source report for the same event.

Voluntary Disclosure Reporting Program (VDRP). A policy-based program under which regulated entities may voluntarily report apparent violations of the regulations and develop corrective action satisfactory to the FAA to preclude their recurrence.

This document is a sample format for ERC's to develop their own Process and Procedure Manual.