

Aviation Safety Action Program (ASAP)

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Agenda

- What is ASAP?
- How ASAP Works
- Why Establish an ASAP?
- Education vs. Discipline
- Other Considerations
- How to Establish an ASAP

What is ASAP?

- Aviation Safety Action Program (ASAP)
- Cooperative effort between
 - Company
 - Union or covered employee group
 - FAA
- Established agreement with FAA

What is ASAP?

- Differs from other reporting programs
 - NASA ASRS
 - Voluntary Disclosure Reporting Program
- Employee centric
 - Covers multiple eligible employee groups
- Enhance safety rather than undertake enforcement action

What is ASAP?

- Multiple phases
 - Reporting
 - Research
 - Event Review Committee
 - Follow-up actions

How Does ASAP Work?



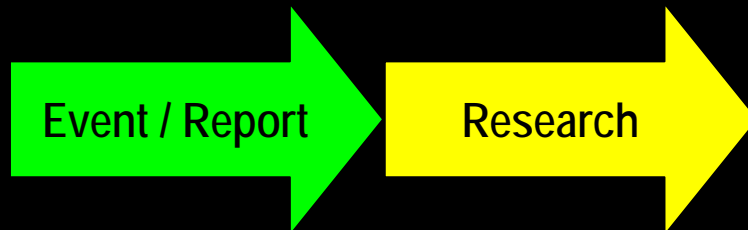
- Sole Source
 - No other method of discovery
- Non-Sole Source
 - Other evidence of violation exists

How Does ASAP Work?



- Types of Issues
 - Procedural / regulatory / ATC deviations
 - Safety / policy concern
 - “Just so you know”
 - FBO procedure concerns

How Does ASAP Work?



- Research

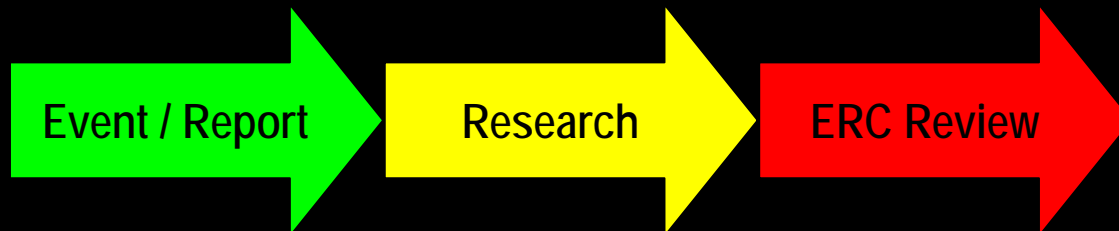
- Background research

- Relevant information

- Event Review Committee (ERC) preparation

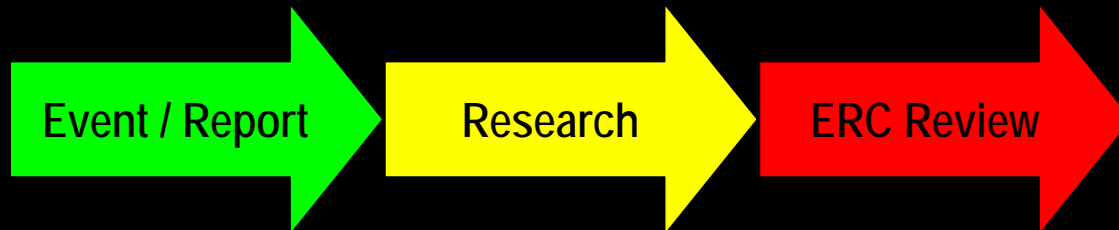
- De-identified

How Does ASAP Work?



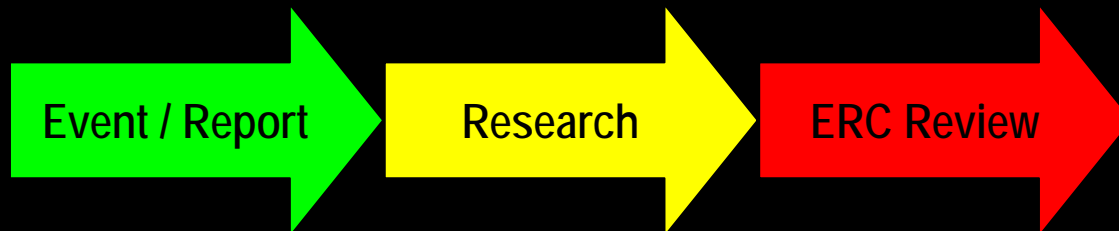
- Event Review Committee (ERC) Review
 - Validate eligibility
 - Timeliness (except sole source)
 - Flight Safety Related
 - Not intentional disregard for safety or not-inadvertent
 - Not “Big 5”
 - Working as employee at the time of event
 - Strong inclusion bias

How Does ASAP Work?



- Event Review Committee (ERC) Review
 - Review and analyze reports
 - Identify actual or potential issues from reports
 - Develop corrective action for identified issues
 - All signatory parties must be present
 - Consensus required

How Does ASAP Work?



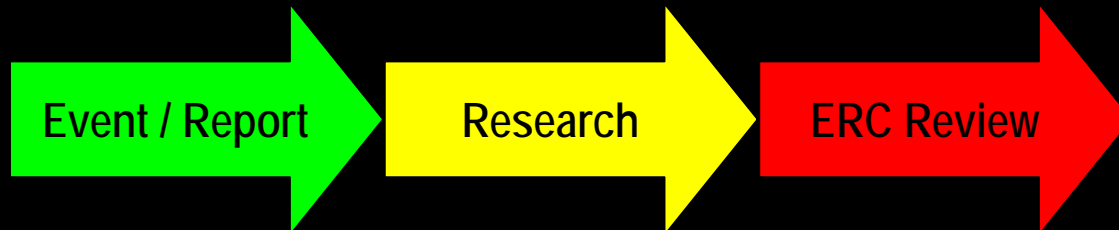
- Corrective Action determination
 - Lack of, or question regarding qualification
 - ERC corrective action required
 - FAA Action
 - Sole Source
 - Closed - No FAA action

How Does ASAP Work?



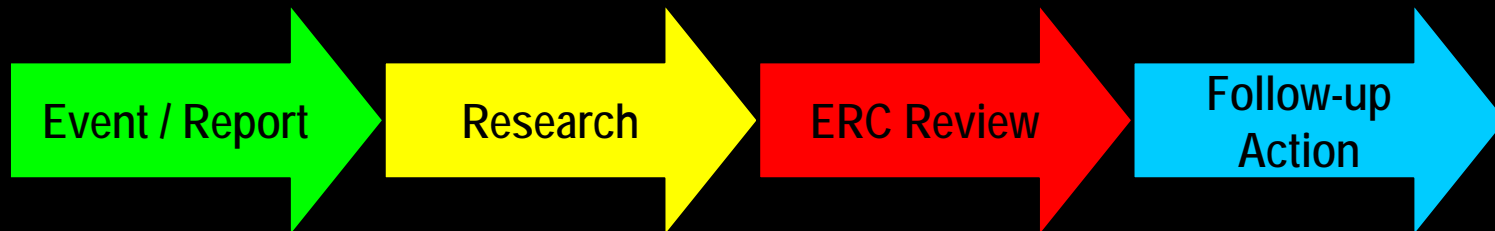
- FAA Action (cont.)
 - Non-Sole Source
 - Sufficient evidence of violation:
 - ERC Corrective Action issued – Letter of Correction
 - No ERC Corrective Action issued – Warning Notice
 - Enforcement Decision Tool (EDT)
 - Insufficient evidence of violation – Letter of No Action

How Does ASAP Work?



- Sample Corrective Actions
 - Closure letter
 - Telephone event review / training
 - Human factors event review / training
 - Systems review / training
 - Simulator training
 - Mentoring program

How Does ASAP Work?

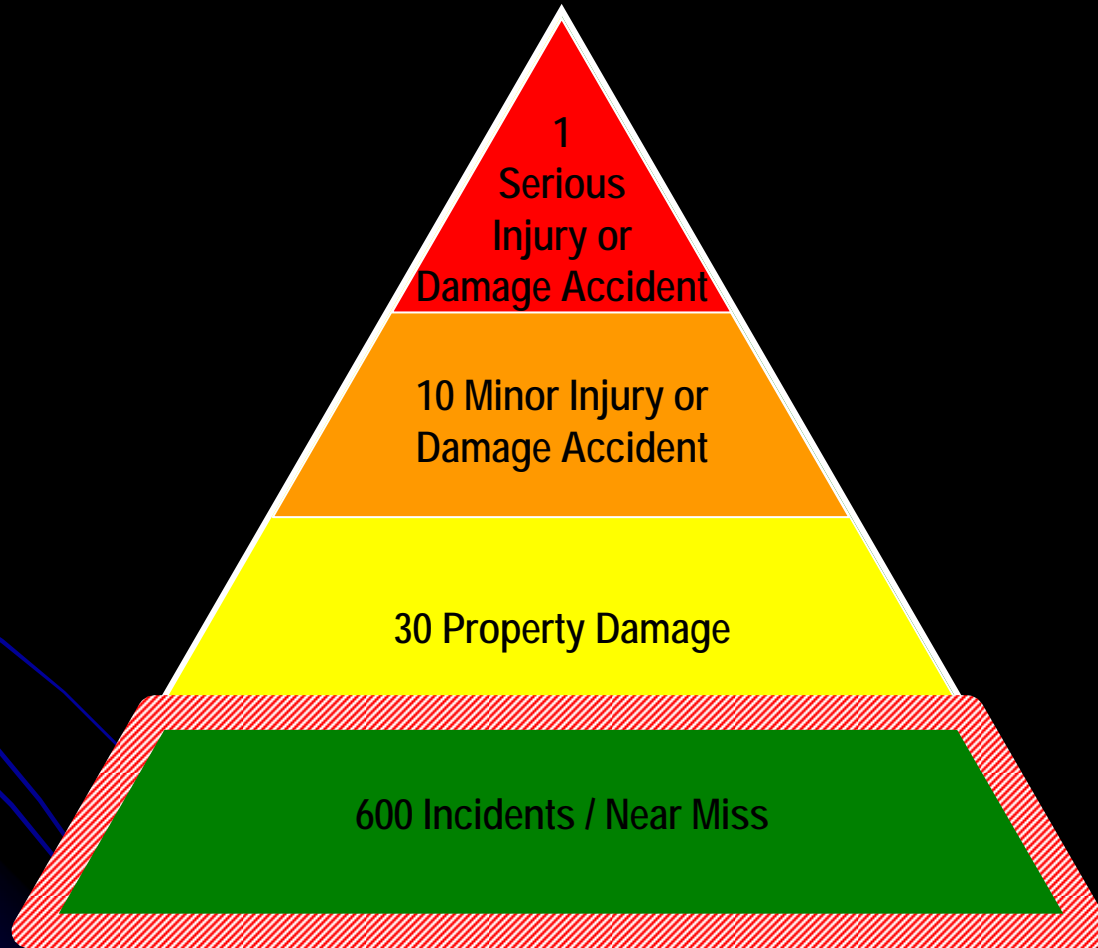


- Completion of ERC action as appropriate
 - Validate process / training changes
- Distribution of information to employee group
 - Newsletters
 - ERC Alerts
 - ERC Summary
 - Recurrent presentation
- Summary reporting to AFS-230 (FAA)

Why establish an ASAP?

- Improving air safety depends heavily on:
 - Data collection and analyzing
 - Use of collected information to:
 - Refine systems
 - Implement corrective actions before accidents occur

Why establish an ASAP?



Why establish an ASAP?

- Four Components of an SMS
 - Policy and Structure
 - Safety Risk Management
 - Safety Assurance
 - Safety Promotion

Why establish an ASAP?

- Risk Management (SMS)

- Identifying hazards
- Assessing risk
- Prioritizing hazards
- Develop hazard controls
- Control risks
- Monitoring effects



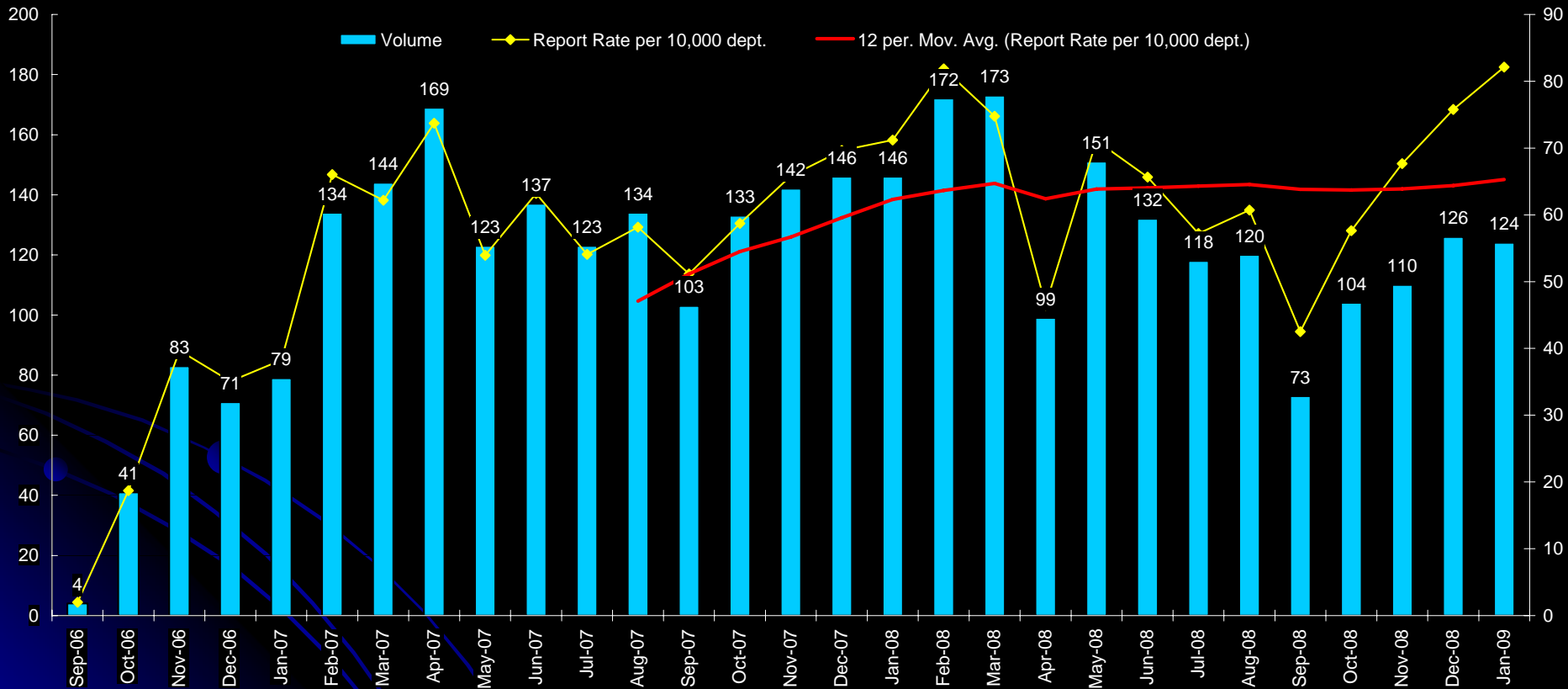
Why establish an ASAP?

- ASAP provides previously unavailable source of data
 - Rapid capture
 - Direct from front-line employee
 - 94% of reports are sole source at NJA

Why establish an ASAP?

- Information Source
 - Important information may be unreported
- Employee Centric
 - VDRP / ASRS vs. ASAP
- Employee pride and engagement
 - Overall safety culture enhancement
 - See the results of suggestions / input

Why establish an ASAP?



Why establish an ASAP?

- ASAP can identify and assist in improving:
 - Aircraft operating procedures
 - Maintenance procedures
 - Training programs

Why establish an ASAP?

- Safety Enhancement Examples
 - Maintenance Procedures
 - Airport operational concerns
 - Navigation database and charting error identification
 - Process change
 - Flight release generation
 - Checklist design

Why establish an ASAP?

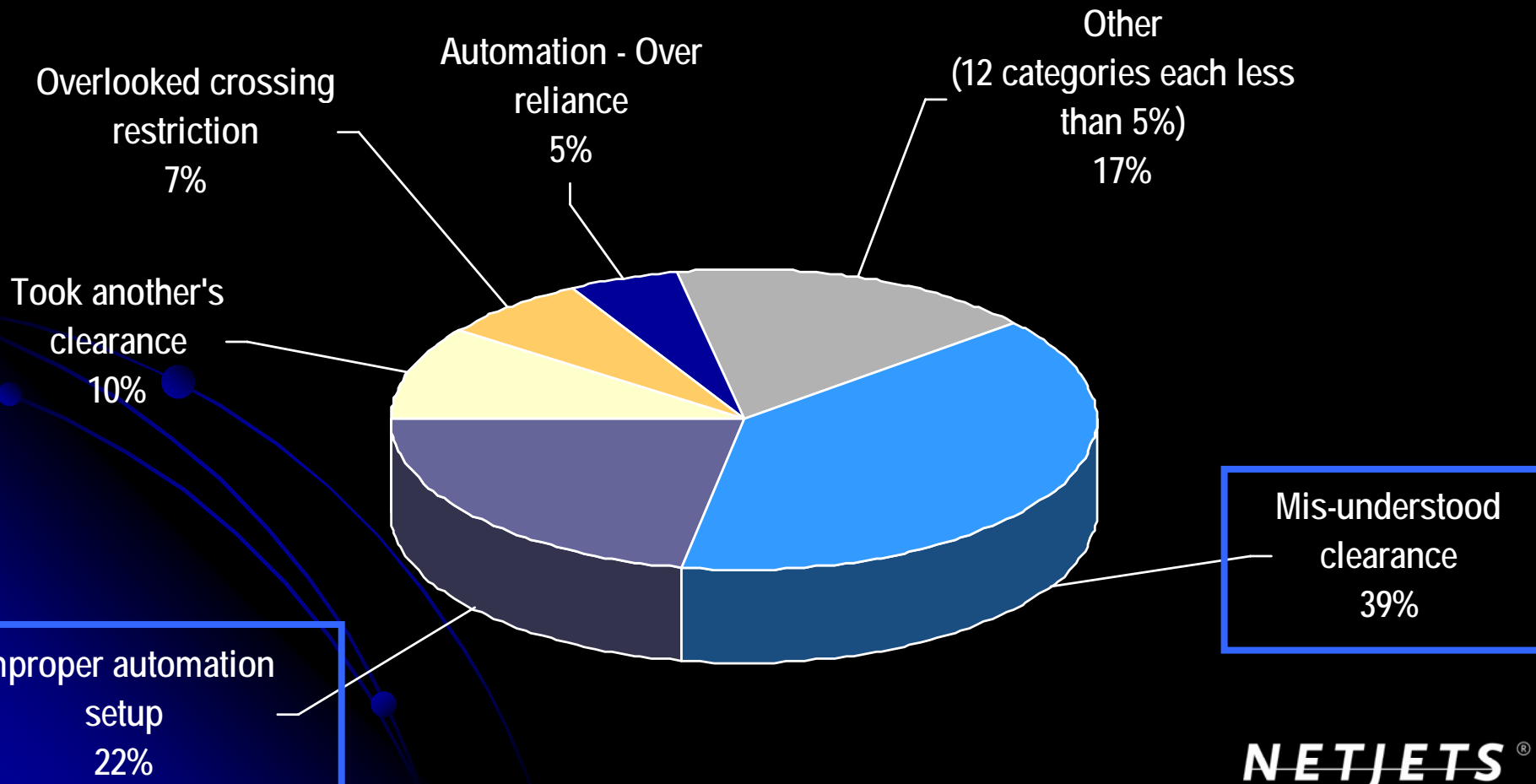
- Safety Enhancements
 - MEL Revisions
 - Ambiguity resolution
 - Category changes
 - OEM manufacturing standards change
 - SOP Changes
 - Altitude awareness procedures

Why establish an ASAP?

- Altitude Awareness Study
 - Altitude deviations largest category of flight incidents
 - Several methods of analysis of these deviations
 - Threat and Error Management (TEM) analysis
 - Root cause categorization and sub-categorization

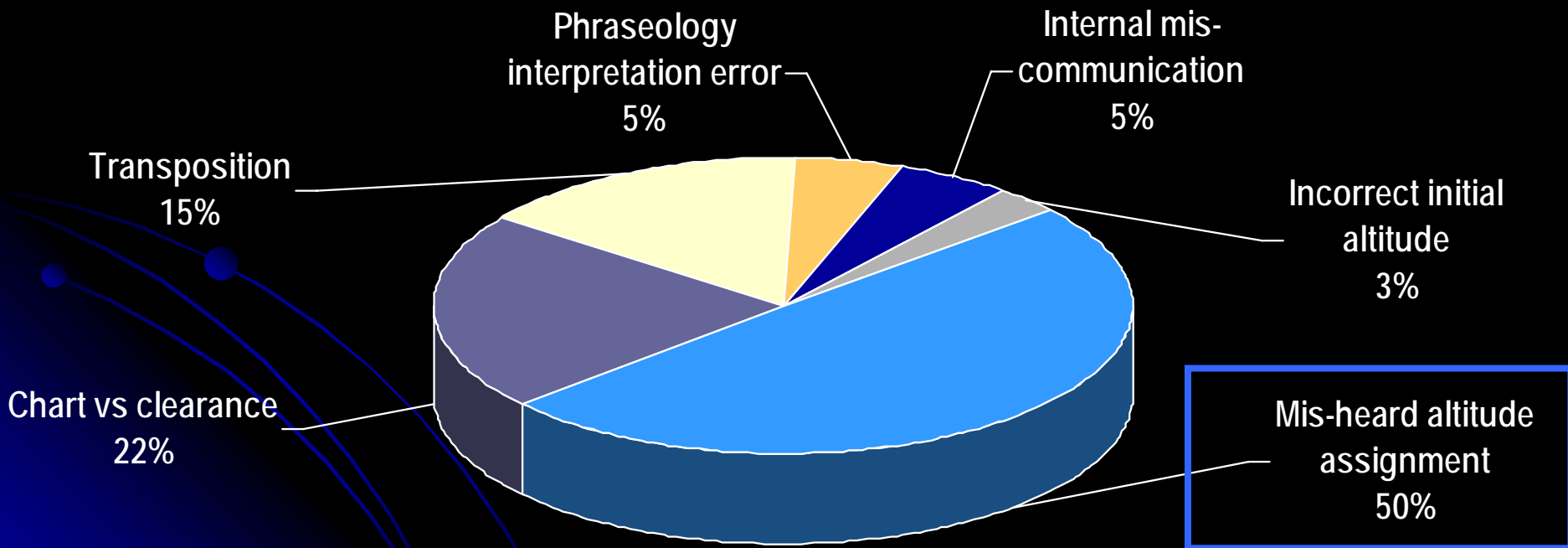
Why establish an ASAP?

● Altitude Awareness



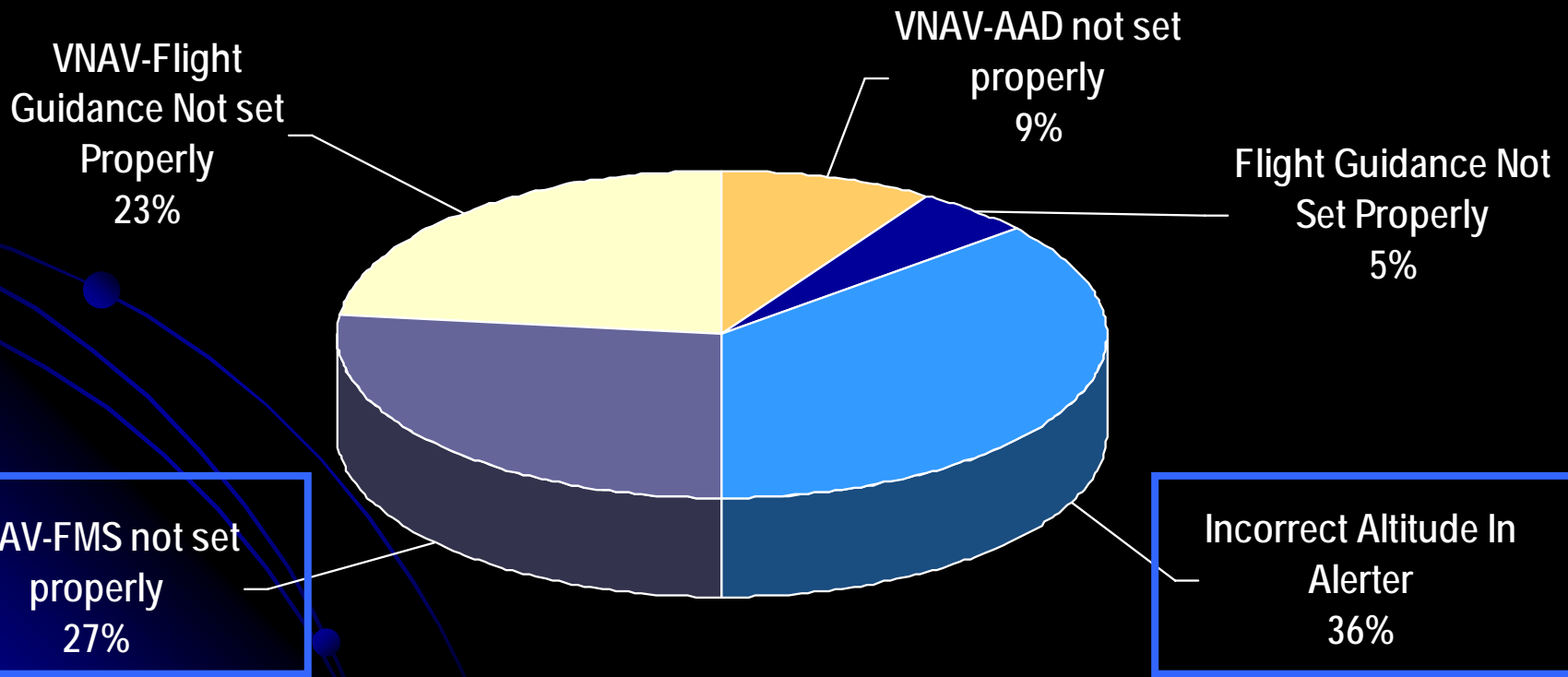
Why establish an ASAP?

- Altitude Awareness
 - Misunderstood clearance root cause



Why establish an ASAP?

- Altitude Awareness
 - Improper Automation root cause



Why establish an ASAP?

- **Altitude Awareness**

- Two crew members were involved in all events
- Errors made by one crew member were not being caught and corrected by the other crew member

Why establish an ASAP?

- **Altitude Awareness**

- Engagement by Pilot Flying in altitude awareness could be enhanced
- Complex arrivals / departures require standard methodology for execution and more emphasis in training

Why establish an ASAP?

- Altitude Awareness

- 5 recommendations generated including:
 - Pilot Flying (PF) will make all automation inputs (including the altitude pre-selector) when the autopilot is engaged
 - Publish defined procedures for profile climbs and descents as well as crossing restriction clearances for both VNAV and non-VNAV techniques

Why establish an ASAP?

- Enhances the Safety Culture:
 - Informed
 - Reporting
 - Just
 - Learning

Education vs. Discipline

- When you find something ugly
- Blame vs. discipline
 - Mistakes
 - Behavioral
 - Other
- Disciplinary systems subdue institutional learning
 - Reduced likelihood of self disclosure

Education vs. Discipline

- Successful programs include:
 - Indemnity
 - Confidentiality
 - Separation of investigation of events from disciplinary group
 - Feedback to reporting community
 - Ease of reporting

Education vs. Discipline

- Institutional learning reduces mistakes
 - Data analysis / trending leading to recommendations:
 - Process changes
 - Crew education program modifications
 - Awareness
 - Cultural change

Education vs. Discipline

- Crewmember training
- Focus is on correcting the system and individuals
- Immediate fixes
- Recommendations to enhance the operation

Other Considerations

- Information
 - Protected from public disclosure under FOIA
 - Not protected from legal action
- Culture is key to success of the program
 - Company incentives
 - Use of information
- VDRP Interaction

Other Considerations

- Manpower / time requirements
- Reporting
- Education
- Voice Notification System
- Publications
- Database Software
- Costs

How to establish an ASAP

- Establish internal policy and procedures
- Generate Memorandum of Understanding
- Submit formal request to FAA
- Educate employee group
- Sign MOU
- Train ERC participants

Summary

- ASAP is:
 - A source of otherwise unavailable information
 - Dependent on trust between participants
 - Reactive unless you identify and act on trends
- ASAP is not:
 - A badge of protection
 - A negotiation tool

Summary

- ASAP requires:
 - Education and promotion
 - Action on the information obtained
 - Support from all levels

Questions?