

# Federal Aviation Administration Voluntary Safety Programs

## PHMSA Data Workshop

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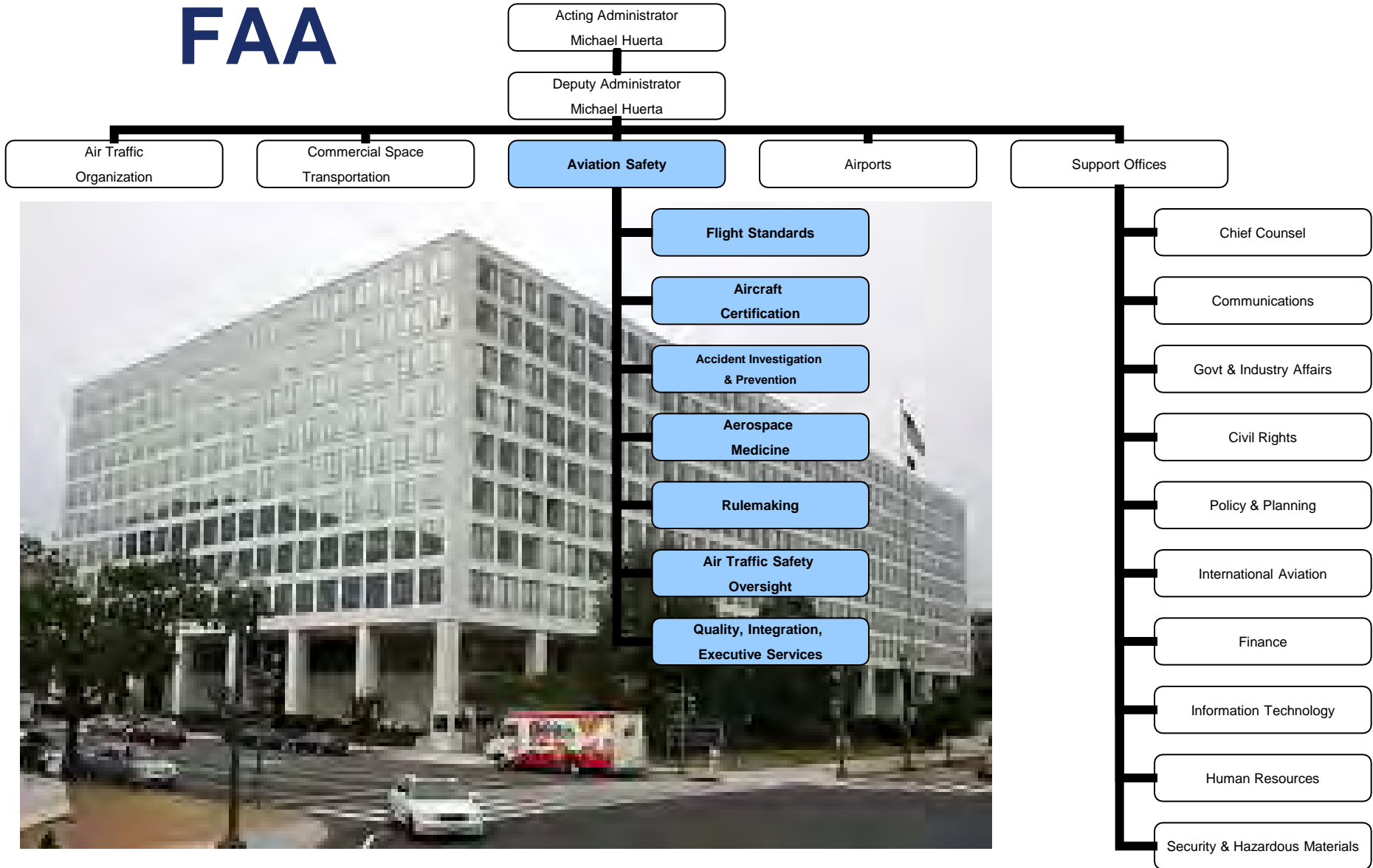
Date: January 8, 2013



Federal Aviation  
Administration



# FAA



# AFS Mission

To assure the safety, while enabling the adventure, commerce, and service of aviation.

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We achieve that mission via three main *functions*:

- We set **standards** for training and certification of airmen and aircraft.
- We **certify** airmen and aircraft on the basis of those standards.
- We ensure their **continued operational safety** through oversight and surveillance.



# Training and Voluntary Programs

<b>AQP</b>	<b>Advanced Qualification Program</b>	<b>1991</b>
<b>ASAP</b>	<b>Aviation Safety Action Program</b>	<b>1997</b>
<b>ASRS</b>	<b>Aviation Safety Reporting System</b>	<b>1976</b>
<b>FOQA</b>	<b>Flight Operational Quality Assurance</b>	<b>1995</b>
<b>IEP</b>	<b>Internal Evaluation Program</b>	<b>1992</b>
<b>LOSA</b>	<b>Line Operational Safety Audit</b>	<b>1994</b>
<b>VDRP</b>	<b>Voluntary Disclosure Reporting Program</b>	<b>1990</b>



# The Voluntary Programs

## SMS Perspective

- **Reporting Programs (reactive)**
  - ASRS/P- Aviation Safety Reporting System/Program
  - ASAP- Aviation Safety Action Program
  - FOQA- Flight Operations Quality Assurance
  - VDRP- Voluntary Disclosure Reporting Program
- **Auditing Programs (proactive)**
  - IEP- Internal Evaluation Program
  - LOSA- Line Operational Safety Audit
- **Training Program (corrective)**
  - AQP- Advanced Qualification Program

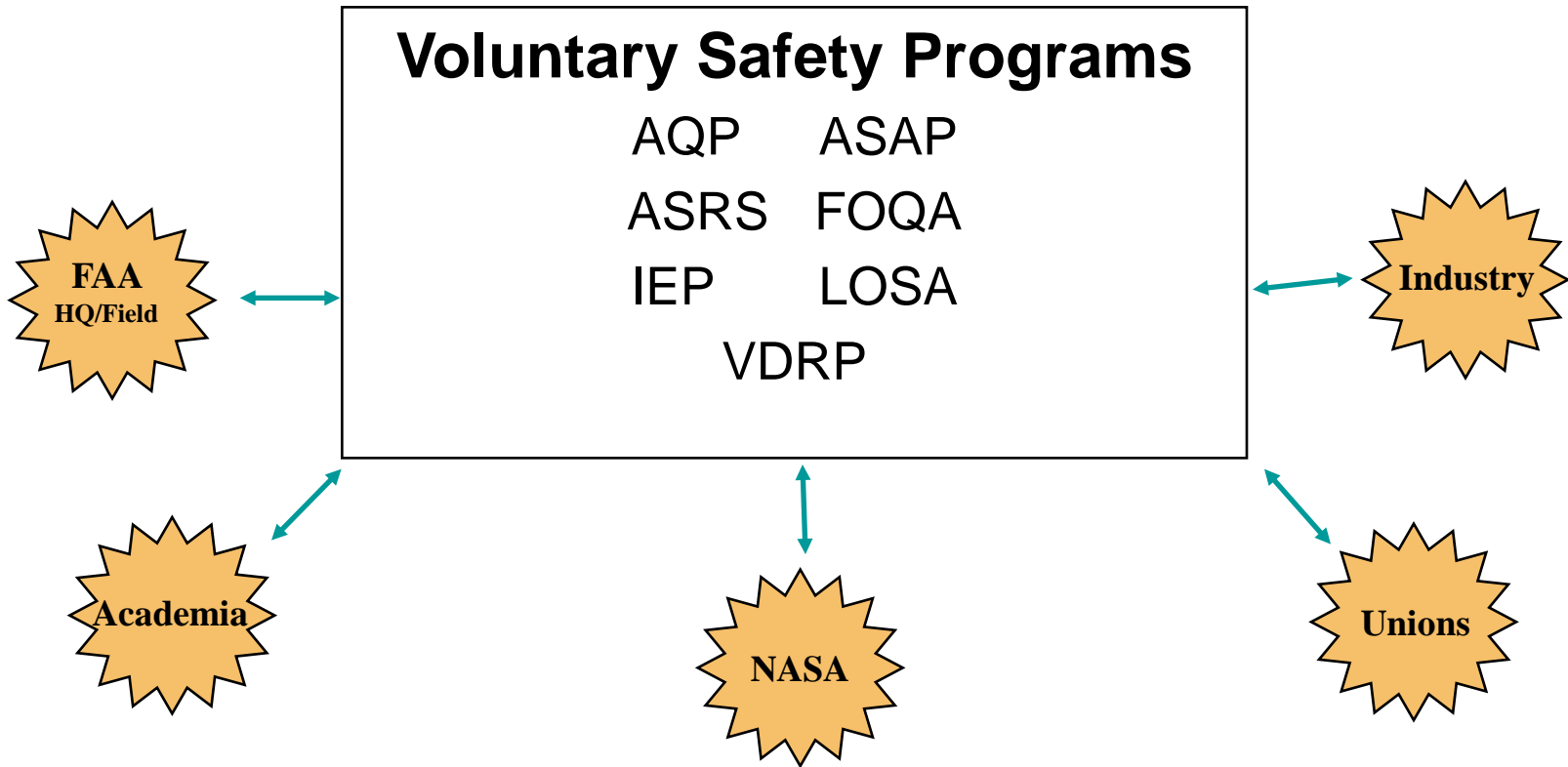


# Characteristics of Voluntary Programs

- Involve partnership and trust between regulator and regulated.
- Provide incentives to exceed minimum standards.
- Require some form of data collection, analysis and provisions for correcting adverse safety issues.
- Provides information (data) protection.



# A Partnership



# Partnership

- FAA is committed to partnership.
  - Enforcement-related incentives to VSP participants.
- FAA's oversight effectiveness using existing resources is greatly enhanced through partnership.
- FAA gains a clearer, more accurate view of the safety of airline operations.
  - Broader compliance through corrective actions.





# How Much Information in FY12?

**ASRS**- 60,000 safety reports

-But...80% duplicate ASAP reports

**ASAP**- 74,000 safety reports

**VDRP**- 800 systemic problem reports

**AQP**- 4,500,000 pilot and flight attendant grades analyzed



# Data Protection for Voluntary Programs

- **Air Carriers were reluctant to voluntarily submit safety related data to the FAA that could later be released through the Freedom of Information Act (FOIA).**
  - Federal Aviation Reauthorization Act of 1996 (Pub. Law 104–264) added new section 40123 to Title 49, United States Code authorized protection of such data submissions
- **14 CFR Part 193, Protection from Release of Voluntarily Submitted Safety Related Information.**
  - Protects ASAP, FOQA & VDRP data
- **Confidential Commercial Information Clause of the Freedom of Information Act.**
  - Protects AQP data.



# Why Voluntary Programs

## FAA Perspective:

- Regulatory compliance is a necessary but not a sufficient condition for safety:
  - Many accident precursors do not entail noncompliance with regulations
- Rule is unnecessary.
- Incentive to exceed minimum standards.
- Additional means of achieving corrective action.
- Safety information we would not otherwise know (ASAP, FOQA, ASRS, etc.) e.g., in ASAP:
  - About 90% of the events are unknown to the FAA
  - Only about 20% of the events involve rule violations



# Why Voluntary Programs

## Certificate Holder Perspective:

- Each voluntary safety program has a some form of regulatory incentive:
  - Regulatory flexibility (AQP), administrative vs. enforcement action (ASAP, VDRP), enforcement protection (FOQA), etc.
- Safety information not otherwise known.
- Improve safety culture over time.
- Information (data) protection.



# *Do Voluntary Safety Programs Work*

## *ASAP Example*

- **As of October 2012:**
  - 244 MOU's have been established
  - Over 74,000 reports submitted in FY12
  - Approx. 90% of reports have been **sole-source**
  - Over 14,000 corrective action recommendations
  - Approx. 20% identified as regulatory violations
  - Approx. 10% of reports identify systemic issues
- **The program has enabled participants to identify risks and implement corrective action for both individual and systemic issues.**



# Misconception



**It is important to understand VSPs do not tolerate intentional reckless or criminal behavior.**

# Voluntary Programs Have Limits...

**The FAA will waive or reduce enforcement actions in order to encourage reporting, but only when these specific conditions apply:**

- Events are promptly reported.
- No intentional disregard for safety is identified.
- Corrective action is taken.
- No illegal activity is identified:
  - Drugs, alcohol, controlled substances, substance abuse, intentional falsification, etc.
- Repeat violations are handled on a case-by-case basis.



# Future of the Voluntary Safety Programs

- Programs will continue.
- Safety Management System (SMS) rules will mandate some of the functions of these programs, but not the programs themselves.
- Data streams from these programs will increasingly be added to ASIAS (Aviation Safety Information Sharing and Analysis System).





# Future of the Voluntary Safety Programs

- Individual air carriers will continue to integrate these data streams at their own airline's safety management system.
- Data will be integrated into the FAA's NextGen (Next Generation Air Traffic System), in development between now and 2025.



# Summary

- **While regulatory programs provide the “stick”, voluntary programs provide the “carrot”.**
- **The functionality of the voluntary programs will be increasingly integrated into existing and future regulatory oversight systems:**
  - ATOS, SMS, SAS
- **For information about any of the Voluntary Safety Programs contact:**
  - Voluntary Safety Programs Branch (AFS-230)
  - [Douglas.Farrow@faa.gov](mailto:Douglas.Farrow@faa.gov) (703) 661-0268



# Challenge – Improve and Innovate

**“Aviation safety is a team sport, and we can’t ever take our eyes off the ball. We have to embrace and encourage a culture of continuous improvement. We have to use innovation and new technology to identify and address risks – and we have to keep making air travel safer.”**

Peggy Gilligan, FAA Associate Administrator, Aviation Safety



# **\*Safest Decade in American Aviation History**

**“The improvement is remarkable. Just a decade earlier, at the time the safest.....”**

Time Magazine December 31, 2011

**\* Not including acts of terrorism**



# Questions?

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