

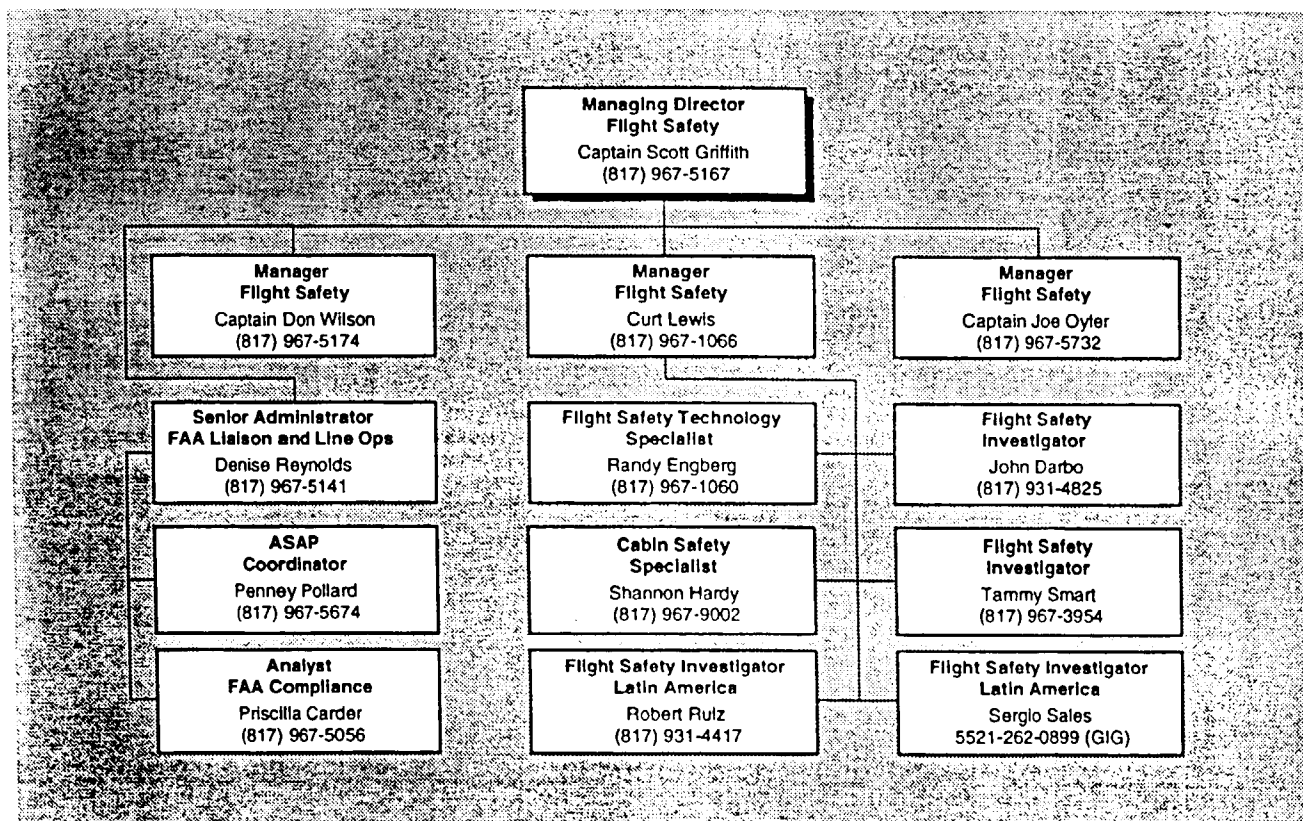
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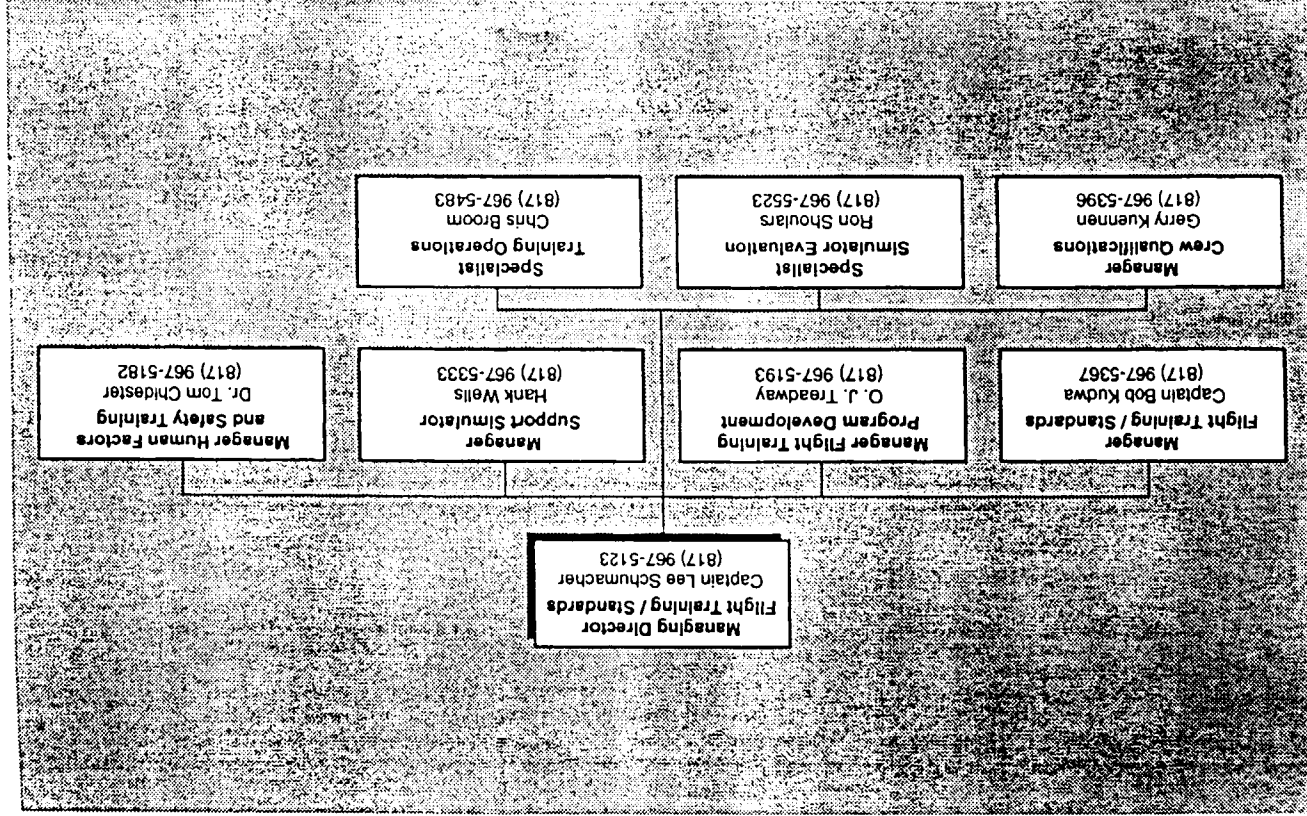
**NATIONAL TRANSPORTATION SAFETY BOARD
WASHINGTON, D.C.**

**HUMAN PERFORMANCE GROUP CHAIRMAN'S FACTUAL REPORT
ATTACHMENT 6: SELECTED PAGES FROM AMERICAN AIRLINES
FLIGHT MANUAL PART 1**

**American Airlines flight 1420
Little Rock, Arkansas
June 1, 1999**

DCA99MA060





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1. RESPONSIBILITY AND AUTHORITY

1.1 Responsibility and Authority of the Pilot In Command (FAR 121.533 and 121.535)

- A. The Captain is the pilot in command (PIC).
- B. Each pilot in command has full control and authority in the operation of the aircraft, without limitation, over other crewmembers and their duties during flight time, whether or not he holds valid certificates authorizing him to perform the duties of those crewmembers.
- C. In an emergency requiring immediate action, the Captain may deviate from any rule to the extent required to meet that emergency.

1.2 Duration of Command

- A. The Captain is in command of the crew from the time they report for duty until leaving the aircraft at the termination of flight.
 1. A crewmember is a person assigned to perform duty in an aircraft during flight time. (FAR 1.1)
 2. A flight crewmember is a pilot or flight engineer assigned to duty in an aircraft during flight time. (FAR 1.1)
- B. The Captain is in command of the aircraft from the time the entry door is closed for the purpose of flight or aircraft movement until the door is opened at the conclusion of the flight or movement, and at any time an engine is running and the Captain is on the flight deck at the controls.

1.3 Responsibility of Captain and Dispatcher

Domestic and Flag Air Carriers. (FAR 121.533 and FAR 121.535)

A. Pre-flight:

1. The Captain and Dispatcher are jointly responsible for the pre-flight planning, delay, and dispatch release of a flight in compliance with FARs and AA Operations Specifications and policies.
2. The Captain and Dispatcher will each independently analyze the following factors affecting a proposed flight operation:
 - Latest pilot reports along the route.
 - Weather reports at or near the origination, destination, and alternate airports when available.
 - Current weather map features.
 - Latest winds aloft forecasts.
 - AA and U.S. National Weather Services forecasts for all stations concerned and for enroute conditions.
 - Latest reports on airport and airway facilities and their conditions.



3. On the basis of their independent analysis, the Captain and Dispatcher will agree upon:
 - Amount of fuel.
 - Cruise altitude and mach.
 - The route, station dispatched to and alternate(s).
 - Conditions, known and contemplated, that will permit safe operation of the flight in accordance with AA and FAA regulations, policies and procedures.
4. Once the Captain and Dispatcher have agreed that the flight can be made safely, the Dispatcher may authorize the flight. An authorized flight requires two signatures. These are:
 - The Captain's signature and,
 - The electronic signature of the Flight Dispatcher as shown on the flight plan/release.

B. Enroute

1. The Dispatcher is responsible for:
 - Monitoring the progress of each flight.
 - Issuing necessary information for the safety of the flight.
 - Canceling or re-dispatching a flight if, in the opinion of the Dispatcher or Captain, the flight cannot operate or continue to operate safely as planned or released.
2. The Captain:
 - Is responsible for the safety of the passengers, crew, and cargo.
 - Has full control and final authority over the operation of the aircraft.
 - Has full control and authority over other crewmembers and their duties during flight, regardless of whether or not the Captain holds a valid certificate which authorizes the performance of another crewmember's duties.
3. The Captain is also responsible for:
 - Training and developing crewmembers.
 - Complying with FARs, AA policies, regulations and directives.
 - Reallocating crewmember duties when necessary.

1.4 Captain and Dispatcher Deferral Authority

- A. When a domestic or flag air carrier knows of conditions, including airport and runway conditions, that are a hazard to safe operations, it shall restrict or suspend operations until those conditions are corrected. (FAR 121.551)



B. Either the Captain or Dispatcher has the authority to defer a flight when conditions are unsuitable for starting or continuing. Only Dispatch can cancel a flight.

1.5 Second In Command

A. The scheduled First Officer is second in command unless another First Officer has been so designated by the Captain.

B. When the Captain is not present on the flight deck and any abnormal, emergency, or nonroutine situation arises, the acting PIC will notify the Captain as soon as possible.

1.6 Flight Crewmember Responsibility to Offer Advice

Any cockpit crewmember who believes the aircraft is being handled improperly or placed in jeopardy, will immediately inform the Captain. The Captain may choose to disregard this advice, but regardless of the degree or frequency with which advice may go unheeded, cockpit crewmembers will be held responsible for continuing to offer advice for the Captain's consideration.

1.7 Flight Crew Reporting

A. Flight crewmembers will report for duty in uniform by signing into DECS one hour prior to their scheduled departure time. Every effort will be made by all cockpit crewmembers to report to the Captain in Flight Operations. Deadheading crewmembers should report 30 minutes prior to scheduled departure.

B. Crewmembers should review electronic mail box messages, flight sequence information, Immediate Attention Bulletins (IABs), and other pertinent information prior to the flight. In addition, crewmembers should cancel hotel reservations at layover stations if they do not intend to use them.

1.8 Telephone / Address Update

Flight Crewmembers, Dispatchers, and all Flight Instructors are required to have a telephone at their residence. A cellular telephone does not fulfill this requirement. The use of pagers to facilitate contact while away from the residence is authorized. Flight crewmembers are responsible for maintaining their correct residential address and telephone number in DECS. Dispatchers are responsible for maintaining their correct residential address and telephone number with the Manager of Dispatch.

1.9 Layover Policy

On international layovers, flight crewmembers who stay in other than AA furnished quarters should provide crew tracking or another crewmember with a telephone contact. In addition, crewmembers should cancel hotel reservations at layover stations if they do not intend to use them.



19. HUMAN FACTORS POLICY

- A. American Airlines and the aviation industry recognize that human factors – how all of us monitor and control the systems and displays in the cockpit, how we work within the cockpit, and how we deal with groups outside the cockpit – directly influence the safety of every flight. Though precipitating or contributing factors often come from outside the cockpit, accidents and incidents usually result from breakdowns in information transfer, loss of situation awareness, or misappropriation of tasks and workload.
- B. Better cockpit design, improved procedures, and more line-oriented training will help solve these complicated issues. But, the most positive influence on human factors will always reside with our Captains – how they apply solid leadership to maintain situation awareness, communicate critical flight information and plans, distribute workload, coordinate with outside groups, and control auto-flight performance. Our pilots must minimize and correct the small anomalies and deviations that naturally occur in any high-workload, time-constrained operation.

To accomplish this, American encourages our pilots to:

1. Exercise Captain's authority/responsibility as described in - PIC authority, paragraph 1.1 in this section.
2. Fulfill FO/FE responsibility as described in - SIC, paragraph 1.5 and 1.6 in this section.
3. Maintain situation awareness by preparing for what can reasonably be expected and by setting and acting on priorities in any abnormal situation.
4. Establish effective communications through briefings, state intentions and bottom lines, and acknowledge the commands or questions of crewmembers.
5. Develop and maintain teamwork by establishing duties and responsibilities by crew position, controlling workload, and backing each other up.
6. Apply judgement in use of automated systems and modes as described in Section 5, Automation, paragraph 2.1 and 2.2.



1. FLIGHT NET REPORTS

1.1 Flight Net Reporting System

- A. The Flight Net System collects information from flight crews and sends it to the appropriate parties for action.
- B. Instructions for the Flight Net System are located in the FOS Directory (HIDIR in personal mode).

1.2 Required OF-25 or ASAP Reports

- A. The following events require a computer generated OF-25 or ASAP to be filed by the Captain:
 - 1. ATC irregularity or violation.
 - 2. Exercise of emergency authority.
 - 3. Condition affecting safety of flight.
 - 4. Deviation from FAA or AA procedure.
 - 5. Engine failure or shutdown (See topic Engine Failure).
 - 6. Significant aircraft mechanical failures.
 - 7. Fuel dumping.
 - 8. Ill or injured passenger (including any use of the onboard electronic defibrillator).
 - 9. Ill or injured crewmember. (Injury on duty requires submittal of OF-25 within 72 hours of injury.)
 - 10. Overweight landing.
 - 11. Passenger misconduct or smoking violation.
 - 12. Captain refuses aircraft because of mechanical condition.
 - 13. An incident involving HAZMAT on board or irregularity of HAZMAT paperwork/handling.
 - 14. Food poisoning.
 - 15. Electromagnetic interference.
 - 16. Flight through volcanic ash.
 - 17. Death of a passenger in flight.
 - 18. Lightning strike or static discharge. The Captain should also file a Lightning Strike/Static Discharge Form found in the Crew Report Forms Book.
 - 19. In-flight diversion.



20. Near midair collision. Facts to be reported: time of incident, location and altitude, flightcrew destination, type of flight plan, station altimeter setting used, course of both aircraft (descending or climbing), separation in distance at first sighting, proximity at closest point horizontally and vertically, length of time in sight prior to evasive action, degree of evasive action taken, and any injuries.
21. Report within 36 hours any incident resulting from alcohol abuse by a passenger.

2. ASAP REPORTS

The American Airlines Safety Action Program (ASAP) is a voluntary, pilot self-reporting program designed to identify and reduce possible flight safety concerns. ASAP uses line pilot input to analyze potential incidents and accidents by taking a non-disciplinary, corrective action approach to flight safety. ASAP programs are also in place for Dispatch and Maintenance.

2.1 ASAP Reporting System

The ASAP reporting system uses the same reporting mechanism as the OF-25 system. Instructions for the use of ASAP are located in the FOS Directory (HIDIR in personal mode). Highlights of the program include:

- A. ASAP uses the OF-25 electronic debrief system for reporting. An ASAP report differs from an OF-25 in that it is separately coded and sent directly to the ASAP Event Review Team (ERT) for exclusive analysis and action. The report is also forwarded by ASAP to NASA for confidential participation in the Aviation Safety Reporting System (ASRS). NASA will acknowledge receipt directly to the reporting pilot by mail. Additionally, the reporting pilot has the option of forwarding a copy of the report to the APA Safety Committee. No other party or individual is authorized to see an ASAP report that can be identified with an individual pilot. No record of a pilot's ASAP participation is kept in his or her personnel file. In all cases, the recommendations of the ERT will reflect a desire to solve problems rather than take a punitive approach to the reporting pilot. If a pilot's ASAP report is the sole source of information to American Airlines regarding the event, no Company disciplinary action shall be taken.
- B. If a pilot involved in an alleged FAR violation mistakenly submits an OF-25 rather than an ASAP report, the Base Manager/Chief Pilot may re-submit the report under ASAP to protect the pilot. Conversely, if a pilot submits a routine report to ASAP that does not involve a material flight safety concern or possible FAR violation, that report may be re-routed to the OF-25 system with the pilot's concurrence and unanimous consent of the ERT. If subsequent investigation reveals crew exposure to jeopardy, the pilot automatically retains ASAP protection by virtue of the original submission. NASA ASRS participation is guaranteed.



C. De-identified reports may be released by the ERT to facilitate corrective action and increase pilot safety awareness. If corrective action involves additional pilot training to proficiency, it may be necessary to contact an individual's Base Manager/Chief Pilot or Flight Training to coordinate training for pay and scheduling. Such notification is contingent upon the pilot's voluntary participation in complying with the ERT's recommendations. Otherwise, no disclosure outside of ASAP is made.

| 2.2 ASAP Reporting Requirements

- A. Crewmembers must submit initial notification of the potential FAR violation or unsafe event by ASAP telephone Hotline (AANet 956-ASAP or (817) 956-ASAP) or electronically as soon as possible but in no case more than 24 hours after the event occurs. (Exceptions to the 24 hour limit may be made by the ERT on a case by case basis.) An electronic or Hotline report by any crewmember will suffice to meet the 24 hour deadline, but all crewmembers involved in the event must submit an electronic report as soon as possible to participate in the ASAP program.
- B. ASAP participation is limited to cockpit crewmembers assigned to duties aboard an American Airlines aircraft and to events occurring while acting in that capacity whether operating in scheduled air transportation or otherwise (Ferries, Charters, FCFs, etc.).
- C. When the crewmember meets ASAP reporting requirements, the FAA has agreed to allow the corrective recommendations of the ERT to take the place of FAA legal enforcement action against the crewmember. In cases where the airman is the sole source of information indicating a possible FAR violation, every consideration will be given to corrective measures that do not involve FAA administrative action.
- D. In cases where an FAR violation is substantiated without mitigating circumstances, a crewmember who complies with the ERT's recommendations could receive a letter of correction from the FAA in lieu of legal enforcement action. A letter of correction does not constitute a finding of a violation. The letter will bring the matter to a close. Letters of correction are retained by the FAA for two years after which they are expunged from the Airman's record.
- E. When a crewmember meets ASAP reporting requirements, he or she is not limited in future participation. Unlike the NASA ASRS, there is no limit to the number of times a crewmember may exercise the protective services of ASAP.



| 2.3 **Cases Closed With FAA Administrative Action**

A. The following conditions apply to cases closed with administrative action:

1. Basic qualification of the Airman is not an issue.
2. The violation was inadvertent and not deliberate.
3. Applicable law does not require legal enforcement action (e.g., drug use, alcohol use, etc.).
4. The event was not classified as an accident by the NTSB.
5. The Airman agrees to comply with corrective action recommended by the ERT.
6. If the Airman disagrees with corrective action recommended by the ERT or wishes to be excluded from ASAP, the FAA is free to pursue further administrative or enforcement action. However, all ASAP voluntary disclosure information provided by the Airman shall not be used in any subsequent FAA proceedings against the Airman.

| 2.4 **Event Review Team Composition**

The ERT is composed of designated representatives and alternates from the FAA, American Airlines, and the Allied Pilots Association. The team meets periodically to investigate reported events. Corrective recommendations involving procedures, policy, training and other matters are designed to solve problems and prevent recurrence rather than take punitive action against the reporting crewmember.