

# NOTICE

## U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

N 8000.286

6/14/04  
Cancellation  
Date: 6/14/05

### **SUBJ: STREAMLINED NO ACTION AND ADMINISTRATIVE ACTION PROCESS**

**1. PURPOSE.** This notice provides information pertaining to the processing of no action and administrative enforcement actions.

**2. DISTRIBUTION.** This notice is distributed to the division level in the Flight Standards Service in Washington headquarters; to the branch level in the regional Flight Standards divisions; to the Flight Standards District Offices, and to the Regulatory Standards Division at the Mike Monroney Aeronautical Center. This notice is also distributed electronically to the division level in the Flight Standards Service in Washington headquarters and to all regional Flight Standards divisions and district offices. This information is also available on the Federal Aviation Administration's (FAA) Web site at:  
<http://www.faa.gov/avr/afs/notices/8000/N8000-286.doc>.

**3. CANCELLATION.** This notice supersedes HBAAT 99-10A, HBAW 99-12A, and HBGA 99-14A, Streamlined Administrative Action Process, dated August 3, 1999.

#### **4. BACKGROUND.**

**a.** In August 1999, the Administrator implemented a streamlined administrative enforcement action process that reduced paperwork and shortened processing for certain violations. The process provides inspectors with a more efficient way to resolve straightforward violations that do not warrant legal enforcement action.

**b.** This notice expands the Administrator's Streamlined Administrative Action Process (SAAP) to include "no action" reports and includes a provision for the Aviation Safety Action Program (ASAP). The expanded Streamlined No Action and Administrative Action Process (SNAAP) saves FAA resources by streamlining the internal processing of both administrative and no action enforcement reports through the use of a job aid and enhanced automation. This notice supplements, but does not replace, the current guidance for no action reports in chapter 9 and administrative action in chapter 11 of Order 2150.3, Compliance and Enforcement Program, latest edition.

#### **5. GUIDANCE.**

**a.** Effective immediately, inspectors shall use the process outlined in this notice to address alleged violations that do not require extensive investigation or warrant legal enforcement action.

This process is also used for the processing of “no action” enforcement reports. The job aid (see appendix 1) and automated issuance of a warning notice, letter of correction, or no action letter provide the primary means of processing routine administrative and no action enforcement reports. The automated process does not replace the more formal process for administrative action described in Order 2150.3, chapter 11. **THIS PROCESS SHALL REPLACE THE MANUAL PREPARATION OF NO ACTION REPORTS.** The job aid shall not be used for remedial training, voluntary disclosures, or cases where further corrective action must be taken.

**b.** The job aid shall be used when the alleged violation does not require extensive investigation. For example, when inspectors personally observe an alleged violation, or when evidence is readily available, the job aid shall be used to document the facts and circumstances of the alleged violation. In these instances, inspectors must speak with alleged violators about the noncompliance, advising them why their act or omission resulted in a regulatory violation and that enforcement action will be taken. A copy of the completed job aid will NOT be provided to the alleged violator. The completed job aid is an internal document that is used to facilitate the entry of data into the Enforcement Information System (EIS). The issuance of a Letter of Investigation does not preclude the use of this process.

**c.** Before the information concerning the alleged violation is entered into the EIS, inspectors must determine that administrative action is appropriate under Order 2150.3, chapter 2, paragraph 205. This includes reviewing appropriate databases to ascertain the compliance history of the alleged violator. An Enforcement Investigative Report (EIR) number must be entered on the job aid.

**d.** In accordance with the guidance in Order 2150.3, chapter 2, alleged violations must be substantiated. Items of proof, however, do not need to be gathered unless unusual circumstances are present. The EIR for these cases will consist only of a completed job aid.

**e.** If the inspector determines that the SNAAP is not appropriate for the alleged violation, but administrative action is still appropriate under Order 2150.3, paragraph 205, then the formal EIR procedures in chapter 11 should be used.

**f.** In the event enforcement action is withdrawn and no action is determined to be appropriate, the alleged violator shall be notified of such in writing by using the no action process as described in this notice.

**g.** Administrative personnel will enter the information on the job aid into the EIS. Based on the information entered into the EIS, a warning notice, letter of correction, or no action letter (see appendices 2, 3, 4, 5, 6, and 7) will be generated and issued from the Flight Standards Service, Regulatory Support Division, AFS-600.

**h.** The guidance in this notice supersedes existing guidance in Order 8300.10, Airworthiness Inspector’s Handbook; Order 8400.10, Air Transportation Operations Inspector’s Handbook; and Order 8700.1, General Aviation Operations Inspector’s Handbook, when the job aid is used for administrative or no action enforcement reports.

## 6. ACTION.

### a. Field Office Action.

(1) **Inspector.** It is not necessary to prepare a formal EIR when using the SNAAP. After deciding on the appropriate action (warning notice, letter of correction, or no action), inspectors must complete the alleged violator identification, aircraft, and violation data sections of the job aid using the instructions depicted in appendix 1. If the action relates to an ASAP record, it is incumbent on the inspector to list the source code as "44." It is this source code that identifies the report as originating as an ASAP disclosure.

(2) **Data Entry.** Personnel will ensure an EIR number is recorded on the job aid and enter the job aid information into the EIS. Enforcement action code "01" and sanction codes of "15" or "16" must be used for the warning notice or letter of correction, respectively. Enforcement action code "14" must be used for "no action" reports. No sanction code is required for "no action" reports. If the action relates to an ASAP record, it is important to ensure that the source code is entered as "44."

(3) **Management Review.** Supervisors shall conduct followup reviews of job aids and periodic management reports to ensure proper form completion, timely processing, and appropriateness in meeting compliance and enforcement goals and objectives. This action does not need to be accomplished prior to final case disposition and data entry.

(4) **Record Retention.** Completed job aids shall be filed in accordance with local office policy and retained in accordance with Order 1350.15, Records Organization, Transfer, and Destruction Standards, latest edition. Automated notice copies may be obtained within 60 days of issuance by downloading the notice from the Intranet at: <http://av-info.avr.faa.gov/eisqb>.

### b. AFS-600 Action.

(1) **Issuance of Automated Letter.** AFS-600 will issue an automated warning notice, letter of correction, or no action letter, based on data entered into the EIS mainframe. This notice or letter will normally be issued within 3 working days after EIS entry.

(2) **Data Quality Assurance.** Enforcement records generated by the job aid that cannot be processed due to data entry errors will be annotated as such and returned to the originating office for correction.

(3) **Management Reports.** Standard reports will be available to both district and regional offices to provide feedback to management on the use of the streamlined no action and administrative action process. These reports may be accessed also from the FAA Intranet at: <http://av-info.avr.faa.gov/eisqb>.

**c. Regional Office Action.** Since regional divisions do not receive or review individual SNAAP reports, it is incumbent on each regional office to review the management reports described in paragraph 6b(3) for general program oversight.

**7. PROGRAM TRACKING AND REPORTING SYSTEM (PTRS).** Aviation safety inspectors (ASI) shall make a PTRS entry to record their actions directed by this notice. The PTRS entry shall be listed as activity code 1733, 1735, 3732, 3733, 5732, 5733, as appropriate. ASIs shall use the comments section to record observations and actions taken.


**8. INQUIRIES.** The Compliance and Review Team developed this notice. Additional information on the SNAAP, including frequently asked questions, may be obtained by visiting the SNAAP Home Page at: <http://asw200.sw.faa.gov/snaap>. Questions regarding this notice should be directed to Mark D. Weitzenhoffer, ASW-200, at (225) 932-5933.

**9. DISPOSITION.** The material in this notice will be incorporated into Order 8300.10, Order 8400.10, and Order 8700.1.

/s/ John M. Allen for  
James J. Ballough  
Director, Flight Standards Service

### APPENDIX 1. JOB AID

This is an Adobe Acrobat (.pdf) file. Acrobat Reader is required to view and print this job aid. If you do not have Acrobat Reader, it can be downloaded for free at <http://www.adobe.com/>.

 U.S. Department of Transportation  
**Federal Aviation Administration**

WARNING NOTICE     LETTER OF CORRECTION     NO ACTION

| IDENTIFICATION                      |               |       |                                                     |  |          |                                           |            |  |  |
|-------------------------------------|---------------|-------|-----------------------------------------------------|--|----------|-------------------------------------------|------------|--|--|
| PAA CERTIFICATE NO. (IF APPLICABLE) |               |       | TYPE PAA CERTIFIC. ID                               |  |          | OTHER ID NUMBER (DIN/LIC. ISS. NO., ETC.) |            |  |  |
| NAME - LAST                         |               | FIRST |                                                     |  | INITIAL  |                                           |            |  |  |
| ADDRESS                             |               |       |                                                     |  |          |                                           |            |  |  |
| CITY                                |               |       | STATE                                               |  | ZIP CODE |                                           | PHONE NO.  |  |  |
| SEX                                 | DATE OF BIRTH |       | AVIATION EMPLOYER (IF RELATED TO ALLEGED VIOLATION) |  |          |                                           | DESIGNATOR |  |  |

| AIRCRAFT, ENGINE, PROPELLER, COMPONENT OR APPLIANCE INVOLVED |       |          |            |
|--------------------------------------------------------------|-------|----------|------------|
| MAKE                                                         | MODEL | REG. NO. | SERIAL NO. |
| OWNER                                                        |       |          |            |
| ADDRESS                                                      |       |          |            |
| CITY                                                         |       | STATE    | ZIP CODE   |

| ALLEGED VIOLATION(S)                            |       |                                              |          |                  |                    |        |          |      |                   |
|-------------------------------------------------|-------|----------------------------------------------|----------|------------------|--------------------|--------|----------|------|-------------------|
| DATE OCCURRED                                   | MONTH | DAY                                          | YEAR     | TIME (24-HOUR)   | DATE KNOWN         | MONTH  | DAY      | YEAR | REPORT DESIGNATOR |
| AT LOCATION                                     |       |                                              |          |                  | AIRPORT DESIGNATOR |        |          |      |                   |
| REGULATION(S) BELIEVED VIOLATED                 |       | DESCRIPTION (LIST "N/A" FOR NO ACTION CASES) |          |                  |                    |        |          |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
| CORRECTIVE ACTION - MAY BE CONTINUED ON REVERSE |       |                                              |          |                  |                    |        |          |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
| INSPECTOR                                       |       |                                              |          |                  |                    |        |          |      |                   |
| LAST NAME                                       |       | FIRST NAME                                   |          | MIDDLE INITIAL   |                    | TITLE  |          | DATE |                   |
| CDT. CODE                                       | TYPE  | SUB-TYPE                                     | CATEGORY | SOURCE           | ACCIDENT           | ACTION | SANCTION |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
| PTRS ACTIVITY CODE                              |       | PTRS INSPECTOR CODE                          |          | NEXT REVIEW DATE |                    | ADMIN. |          | DATE |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |
| SER NUMBER                                      |       |                                              |          |                  |                    |        |          |      |                   |
|                                                 |       |                                              |          |                  |                    |        |          |      |                   |



**APPENDIX 2. WARNING NOTICE**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

July 29, 1999

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**Warning Notice**

**File Number:** 1999DC050024  
**Reporting Inspector:** SMITH, MARY

This notice cites an alleged violation(s) of the following Title 14 Code of Federal Regulations (14 CFR) sections that occurred in Oklahoma City, OK, on July 29, 1999.

Cite:

14 CFR §121.542B Flight Crewmember Failed To Maintain Sterile Cockpit

**The determination to issue this notice is based on the facts and circumstances surrounding the alleged violation(s) that were discussed with you by the reporting inspector. If, within 30 calendar days of the date of this letter, you wish to add additional pertinent information in explanation or mitigation, write to:**

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321

It has been determined that this matter does not warrant legal enforcement action; however, the alleged violation(s) will be made a matter of record. Records concerning individuals will be expunged 2 years after the date of issuance. Your future compliance with the regulations is expected.

*(Additional Information On Back)*

## **APPENDIX 2. WARNING NOTICE (Continued)**

### **PRIVACY ACT NOTICE**

This notice is provided in accordance with Section (e)(3) of the Privacy Act, 5 U.S.C. 552a(e)(3).

A. Authority: This information is solicited pursuant to 49 U.S.C. 40113(a) and the regulations issued there under codified in Title 14 of the Code of Federal Regulations, part 13. Submission of information is voluntary.

B. Principal Purposes:

1. To make a record of the circumstances that are the subject of this warning notice or letter of correction.
2. To assist us in contacting you regarding this enforcement case.

C. Routine Uses: Records from this system of records may be disclosed in accordance with the following routine uses that appear in the System of Records No. DOT/FAA 847, General Air Transportation Records on Individuals, DOT/FAA:

1. To provide basic airmen certification and qualification information to the public upon request.
2. To disclose information to the National Transportation Safety Board (NTSB) in connection with its investigation responsibilities.
3. To provide information about airmen to Federal, state, and local law enforcement agencies when engaged in the investigation and apprehension of drug law violators.
4. To provide information about enforcement actions arising out of violations of the Federal Aviation Regulations to government agencies, the aviation industry, and the public upon request.
5. To disclose information to another Federal agency, or to a court or an administrative tribunal, when the Government or one of its agencies is a party to a judicial proceeding before the court or involved in administrative proceedings before the tribunal.

D. Effect of failure to respond: Failure to provide information requested may preclude us from closing this matter with a warning notice or letter of correction at this time. In addition, there may be delay in contacting you regarding this enforcement case if necessary.

### **ABOUT ADMINISTRATIVE ACTION**

Warning Notices and Letters of Correction are *Administrative Actions*. Administrative Action is authorized by 14 CFR part 13 and is routinely used for minor infractions *instead* of legal enforcement; (e.g., suspensions, revocations, or fines).

Legal Effect. Neither a Warning Notice nor a Letter of Correction constitutes a *finding of violation* and, therefore, notice and hearing are not required.

Recourse Available. The determination to issue the notice or letter is based on the facts and circumstances surrounding the alleged violation(s) including any information you provided. An airman or company can introduce additional pertinent information in explanation or mitigation by writing to the reporting inspector or district office manager within 30 calendar days of the date of the notice or letter. Administrative Actions *can* be withdrawn.

Release of Information. When the FAA responds to Pilot Records Improvement Act (PRIA) requests, *ONLY* final legal enforcement actions resulting in a finding of violation are released. Enforcement database information pertaining to No Actions, Administrative Actions, or Legal Actions in process or under appeal, are *NOT* released under PRIA. However, administrative action information may be released pursuant to a Freedom of Information Act (FOIA) request.

**APPENDIX 3. LETTER OF CORRECTION**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

June 30, 2001

**LETTER OF CORRECTION**

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**File Number:** 2002DC050024

**Reporting Inspector:** SMITH, MARY

This notice cites an alleged violation(s) of the following Title 14 Code of Federal Regulations (14 CFR) sections that occurred in Oklahoma City, OK, on July 29, 1999.

Cite:

14 CFR § 043.5B Person Did Not Properly Execute Form 337 Prior To Return To Service

**The determination to issue this notice is based on the facts and circumstances surrounding the alleged violation(s) that were discussed with you by the reporting inspector. If, within 30 calendar days of the date of this letter, you wish to add additional pertinent information in explanation or mitigation, write to:**

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321

It has been determined that this matter does not warrant legal enforcement action, however, the alleged violation(s) will be made a matter of record. Records concerning individuals will be expunged 2 years after the date of issuance. Your future compliance with the regulations is expected.

*(Additional Information On Back)*

### **APPENDIX 3. LETTER OF CORRECTION (Continued)**

#### **PRIVACY ACT NOTICE**

This notice is provided in accordance with Section (e)(3) of the Privacy Act, 5 U.S.C. 552a(e)(3).

A. Authority: This information is solicited pursuant to 49 U.S.C. 40113(a) and the regulations issued thereunder codified in Title 14 of the Code of Federal Regulations, part 13. Submission of information is voluntary.

B. Principal Purposes:

1. To make a record of the circumstances that are the subject of this warning notice or letter of correction.
2. To assist us in contacting you regarding this enforcement case.

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1. To provide basic airmen certification and qualification information to the public upon request.
2. To disclose information to the National Transportation Safety Board (NTSB) in connection with its investigation responsibilities.
3. To provide information about airmen to Federal, state, and local law enforcement agencies when engaged in the investigation and apprehension of drug law violators.
4. To provide information about enforcement actions arising out of violations of the Federal Aviation Regulations to government agencies, the aviation industry, and the public upon request.
5. To disclose information to another Federal agency, or to a court or an administrative tribunal, when the Government or one of its agencies is a party to a judicial proceeding before the court or involved in administrative proceedings before the tribunal.

D. Effect of failure to respond: Failure to provide information requested may preclude us from closing this matter with a warning notice or letter of correction at this time. In addition, there may be delay in contacting you regarding this enforcement case if necessary.

#### **ABOUT ADMINISTRATIVE ACTION**

Warning Notices and Letters of Correction are *Administrative Actions*. Administrative Action is authorized by 14 CFR part 13 and is routinely used for minor infractions *instead* of legal enforcement; (e.g., suspensions, revocations, or fines).

Legal Effect. Neither a Warning Notice nor a Letter of Correction constitutes a *finding of violation* and, therefore, notice and hearing are not required.

Recourse Available. The determination to issue the notice or letter is based on the facts and circumstances surrounding the alleged violation(s) including any information you provided. An airman or company can introduce additional pertinent information in explanation or mitigation by writing to the reporting inspector or district office manager within 30 calendar days of the date of the notice or letter. Administrative Actions *can* be withdrawn.

Release of Information. When the FAA responds to Pilot Records Improvement Act (PRIA) requests, *ONLY* final legal enforcement actions resulting in a finding of violation are released. Enforcement database information pertaining to No Actions, Administrative Actions, or Legal Actions in process or under appeal, are *NOT* released under PRIA. However, administrative action information may be released pursuant to a Freedom of Information Act (FOIA) request.

**APPENDIX 4. ASAP WARNING NOTICE**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

July 29, 1999

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**Warning Notice**

**File Number:** 1999DC050024  
**Reporting Inspector:** SMITH, MARY

This notice cites an alleged violation(s) of the following Title 14 Code of Federal Regulations (14 CFR) sections that occurred in Oklahoma City, OK, on July 29, 1999.

Cite:

14 CFR §121.542B Flight Crewmember Failed To Maintain Sterile Cockpit

**The determination to issue this notice is based on the review of this matter by the Aviation Safety Action Program (ASAP) Event Review Team, the facts and circumstances surrounding the alleged violation(s), and an investigation conducted by the Federal Aviation Administration. If, within 30 calendar days of the date of this letter, you wish to add additional pertinent information in explanation or mitigation, write to:**

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321

It has been determined that this matter does not warrant legal enforcement action; however, the alleged violation(s) will be made a matter of record. Records concerning individuals will be expunged 2 years after the date of issuance. Your future compliance with the regulations is expected.

*(Additional Information On Back)*

## **APPENDIX 4. ASAP WARNING NOTICE (Continued)**

### **PRIVACY ACT NOTICE**

This notice is provided in accordance with Section (e)(3) of the Privacy Act, 5 U.S.C. 552a(e)(3).

A. Authority: This information is solicited pursuant to 49 U.S.C. 40113(a) and the regulations issued thereunder codified in Title 14 of the Code of Federal Regulations, part 13. Submission of information is voluntary.

B. Principal Purposes:

1. To make a record of the circumstances that are the subject of this warning notice or letter of correction.
2. To assist us in contacting you regarding this enforcement case.

C. Routine Uses: Records from this system of records may be disclosed in accordance with the following routine uses that appear in the System of Records No. DOT/FAA 847, General Air Transportation Records on Individuals, DOT/FAA:

1. To provide basic airmen certification and qualification information to the public upon request.
2. To disclose information to the National Transportation Safety Board (NTSB) in connection with its investigation responsibilities.
3. To provide information about airmen to Federal, state, and local law enforcement agencies when engaged in the investigation and apprehension of drug law violators.
4. To provide information about enforcement actions arising out of violations of the Federal Aviation Regulations to government agencies, the aviation industry, and the public upon request.
5. To disclose information to another Federal agency, or to a court or an administrative tribunal, when the Government or one of its agencies is a party to a judicial proceeding before the court or involved in administrative proceedings before the tribunal.

D. Effect of failure to respond: Failure to provide information requested may preclude us from closing this matter with a warning notice or letter of correction at this time. In addition, there may be delay in contacting you regarding this enforcement case if necessary.

### **ABOUT ADMINISTRATIVE ACTION**

Warning Notices and Letters of Correction are *Administrative Actions*. Administrative Action is authorized by 14 CFR part 13 and is routinely used for minor infractions *instead* of legal enforcement; (e.g., suspensions, revocations, or fines).

Legal Effect. Neither a Warning Notice nor a Letter of Correction constitutes a *finding of violation* and, therefore, notice and hearing are not required.

Recourse Available. The determination to issue the notice or letter is based on the facts and circumstances surrounding the alleged violation(s) including any information you provided. An airman or company can introduce additional pertinent information in explanation or mitigation by writing to the reporting inspector or district office manager within 30 calendar days of the date of the notice or letter. Administrative Actions *can* be withdrawn.

Release of Information. When the FAA responds to Pilot Records Improvement Act (PRIA) requests, **ONLY** final legal enforcement actions resulting in a finding of violation are released. Enforcement database information pertaining to No Actions, Administrative Actions, or Legal Actions in process or under appeal, are **NOT** released under PRIA. However, administrative action information may be released pursuant to a Freedom of Information Act (FOIA) request.



**APPENDIX 5. ASAP LETTER OF CORRECTION**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

June 30, 2001

**LETTER OF CORRECTION**

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**File Number:** 2002DC050024  
**Reporting Inspector:** SMITH, MARY

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Cite:

14 CFR § 043.5B Person Did Not Properly Execute Form 337 Prior To Return To Service

**The determination to issue this notice is based on the review of this matter by the Aviation Safety Action Program (ASAP) Event Review Team, the facts and circumstances surrounding the alleged violation(s), and an investigation conducted by the Federal Aviation Administration. If, within 30 calendar days of the date of this letter, you wish to add additional pertinent information in explanation or mitigation, write to:**

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321

It has been determined that this matter does not warrant legal enforcement action, however, the alleged violation(s) will be made a matter of record. Records concerning individuals will be expunged 2 years after the date of issuance. Your future compliance with the regulations is expected.

*(Additional Information On Back)*

## APPENDIX 5. ASAP LETTER OF CORRECTION (Continued)

### PRIVACY ACT NOTICE

This notice is provided in accordance with Section (e)(3) of the Privacy Act, 5 U.S.C. 552a(e)(3).

A. Authority: This information is solicited pursuant to 49 U.S.C. 40113(a) and the regulations issued thereunder codified in Title 14 of the Code of Federal Regulations, part 13. Submission of information is voluntary.

B. Principal Purposes:

1. To make a record of the circumstances that are the subject of this warning notice or letter of correction.
2. To assist us in contacting you regarding this enforcement case.

C. Routine Uses: Records from this system of records may be disclosed in accordance with the following routine uses that appear in the System of Records No. DOT/FAA 847, General Air Transportation Records on Individuals, DOT/FAA:

1. To provide basic airmen certification and qualification information to the public upon request.
2. To disclose information to the National Transportation Safety Board (NTSB) in connection with its investigation responsibilities.
3. To provide information about airmen to Federal, state, and local law enforcement agencies when engaged in the investigation and apprehension of drug law violators.
4. To provide information about enforcement actions arising out of violations of the Federal Aviation Regulations to government agencies, the aviation industry, and the public upon request.
5. To disclose information to another Federal agency, or to a court or an administrative tribunal, when the Government or one of its agencies is a party to a judicial proceeding before the court or involved in administrative proceedings before the tribunal.

D. Effect of failure to respond: Failure to provide information requested may preclude us from closing this matter with a warning notice or letter of correction at this time. In addition, there may be delay in contacting you regarding this enforcement case if necessary.

### ABOUT ADMINISTRATIVE ACTION

Warning Notices and Letters of Correction are *Administrative Actions*. Administrative Action is authorized by 14 CFR part 13 and is routinely used for minor infractions *instead* of legal enforcement; (e.g., suspensions, revocations, or fines).

Legal Effect. Neither a Warning Notice nor a Letter of Correction constitutes a *finding of violation* and, therefore, notice and hearing are not required.

Recourse Available. The determination to issue the notice or letter is based on the facts and circumstances surrounding the alleged violation(s) including any information you provided. An airman or company can introduce additional pertinent information in explanation or mitigation by writing to the reporting inspector or district office manager within 30 calendar days of the date of the notice or letter. Administrative Actions *can* be withdrawn.

Release of Information. When the FAA responds to Pilot Records Improvement Act (PRIA) requests, ONLY final legal enforcement actions resulting in a finding of violation are released. Enforcement database information pertaining to No Actions, Administrative Actions, or Legal Actions in process or under appeal, are NOT released under PRIA. However, administrative action information may be released pursuant to a Freedom of Information Act (FOIA) request.

**APPENDIX 6. NO ACTION LETTER**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

June 30, 2002

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**File Number:** 2002DC050024  
**Reporting Inspector:** SMITH, MARY

The Federal Aviation Administration has investigated an alleged violation that reportedly occurred on January 2, 2002, in the vicinity of Springfield, MO.

This letter is to inform you that the investigation did not establish a violation of the Federal Aviation Regulations, and you may consider the matter closed.

Should you have questions, feel free to contact our office.

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321

**APPENDIX 7. NO ACTION LETTER (ASAP)**



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

**Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321  
(101) 555-1234**

June 30, 2002

Aviator, Jonathan  
123 Golden Dr.  
Anytown, US 54321

**File Number:** 2002DC050024  
**Reporting Inspector:** SMITH, MARY

The Federal Aviation Administration (FAA) has investigated an alleged violation that reportedly occurred on January 2, 2001, in the vicinity of Springfield, MO.

This letter is to inform you that the investigation conducted by the FAA, after a review under the Aviation Safety Action Program, did not establish a violation of the Federal Aviation Regulations. You may consider the matter closed.

Should you have questions, feel free to contact our office.

Manager  
Anytown FSDO  
123 Whispering Lane  
Anytown, US 54321