

Understanding the Report

At the end of each quarter of the calendar year, the FAA compiles a data run for all enforcement actions against aviation entities that involve safety issues and are closed with a civil penalty or issuance of an order of certificate suspension or revocation. For purposes of this report, cases are considered to be closed after an order has been issued that is no longer appealable or when a civil penalty is compromised. For other record-keeping purposes in the Enforcement Information System, a case is considered closed only after some other event, e.g., payment of a civil penalty or a determination that the penalty is not collectable or, in the case of suspension or revocation, surrender of the certificate.

Following is an explanation of the terminology used in the report:

Case Number

Beginning with the reports for calendar year 1999, the case number for each enforcement action will be listed in this column. The case number is the number of the enforcement investigative report for that enforcement action.

Name

The name of the aviation entity is listed in this column. The entity ordinarily holds an FAA-issued certificate and, in those cases, the name in the column is the name of the certificate holder recorded in the FAA's official records.

Entity Type

The following are explanations of the abbreviations that are used in this column of the report:

A/C or COMM OPER	An air carrier or a commercial operator is an entity that engages in the carriage by aircraft of persons or property for compensation or hire.
FOREIGN AIR CAR	Foreign air carrier
AGRI OPR	Agricultural Operator
APPROVD REPAIR STA	Approved Repair Station
CERTIFICATE SCHOOL	Certificated School
AIRPORT OPERATOR	Airport Operator
AIRCRAFT PROD	Aircraft Production
TRAVEL CLUB	Travel club
EXT LOAD	External Load Rotorcraft
COMP PROD	Component Production

Date Known

The date a violation became known to the FAA is listed in this column.

Action

The type of legal enforcement action taken is listed in this column. The following are explanations of the abbreviations used in this column of the report:

CIVIL PENALTY	Civil Penalty Letter
ORD ASSESS CIVIL PENALTY	Order Assessing Civil Penalty
ORD ASSESS CP HMT	Order Assessing Civil Penalty for a violation of the Hazardous Materials Transportation Act or regulations
CP COMPROMIS NO FINDING	Civil Penalty Compromise Order, No Findings of Violation
CERTIFICATE REVOCATION	Certificate revocation under 49 U.S.C. § 44709
CERTIFICATE SUSPENSION	Certificate Suspension under 49 U.S.C. § 44709
CONSENT ORDER	Consent Order

Sanction Amount

This column contains the amount of dollars of a civil penalty or the number of days for a certificate suspension. The column is blank in the case of a certificate revocation or a certificate suspension of indefinite duration.

Sanction

The final sanction is either "dollars," which indicates that the number in the Final Amount column reflects a civil penalty, or "days," which indicates that the number in the Final Amount column reflects a certificate suspension for the specified number of days. "Indefinite duration" is an entry that reflects that a certificate has been suspended indefinitely pending demonstration that the certificate holder meets the standards required to hold its certificate. "Revocation" is also an entry under the Sanction Type heading, indicating certificate revocation. "Consolidated Case" is another entry in this column. It indicates that the case is one of a number of cases that were closed together. The sanction attributable to the case is part of the sanction amount listed with another, "master" case of the same certificate holder that was closed on the same date. The "master" case is listed above the case(s) labeled as consolidated.

"Sanction waived" indicates that the FAA has agreed not to impose against the aviation entity the corresponding number of days or dollars in the Sanction Amount Column. The FAA's agreement usually is based on the aviation entity's agreement to take steps beyond minimum regulatory requirements to enhance the safety of its operation. If the aviation entity does not carry through on its commitment, the FAA will impose the amount of sanction that was to have been waived. In cases where some sanction is waived, the total amount of sanction against the aviation entity equals the amount of sanction waived plus the amount of sanction listed directly above it.

Case Type

This column lists a category of violation or apparent violation that was primarily involved in the case. Following are explanations of the violation categories used in the report:

FLT OPNS	Flight operations
MAINTENANCE	Maintenance
RECORDS/RPTS	Records and reports
TRNG-FLT CREW	Training, Flight Crew
TRNG-OTHER	Training, other than flight crew
HAZ MAT	Hazardous Materials
ARPT SURF/SAFE	Airport Surfaces/Safety Areas
OBSTRUCT/LGTNG	Obstructions/Lighting
CRASH/FIRE/RES	Crash, Fire, and Rescue
ARPT OPN/INSP	Airport Operations/Self inspection
QUAL CONTROL	Quality control
TYPE DESGN DATA	Type Design Data
TSO	Technical Standard Order
AIRCRAFT ALTR	Aircraft Alterations
NEAR MID-AIR	Near Mid-air
HAZ AIR NAV	Hazard to Air Navigation
HAZ PER/PROP	Hazardous to persons or property on the surface
INTFR CREW	Interference with Crewmember
NOISE	Noise
MEDICAL	Medical
DRUG TESTING	Drug Testing
OTHER	Other

The category "Other" could include violations such as a certificate holder's failure to surrender a certificate or an air carrier's allowing a person who appears to be intoxicated to board its aircraft. The field inspector has the discretion to determine the case type or category of the violation.

Closed Date

This column contains the date on which an order was issued or, if a case went through the full appeals process, the decision was issued. The cases are listed in chronological order based on closing date from the beginning to end of a quarter.