

## **American Airlines Maintenance and Engineering “JUST POLICY” FOR MAINTENANCE ERRORS AND VIOLATIONS**

### **1. Overview**

- A. This Procedure details the requirements for applying the American Airlines “Just Policy” to personnel who are involved in a maintenance-related error or violation that leads to an event or any maintenance-related error or violation that may result in corrective action.
- B. This Procedure is applicable to:
  - 1. All Maintenance & Engineering Personnel.
- C. Other Manual Sections/Company Policies associated with this Procedure include:
  - 1. [Maintenance Event Assessment Aid \(MEAA\) Policy](#) for M&E
  - 2. GPM 02-07 Aviation Safety Action Program (ASAP)
  - 3. Peak Performance through Commitment (PPC) Policy
  - 4. [AMR Drug & Alcohol Policy](#)
- D. Any revisions to this policy must be approved by the Director of Maintenance (DOM). The DOM will coordinate revision approval with the signatories of the [Just Policy Memorandum of Understanding](#), as applicable.

### **2. General**

- A. American Airlines is committed to maintaining and enhancing a positive safety culture. A positive safety culture means that there is a shared corporate-wide attitude, value and actions where each member of the organization understands their specific actions that ensure safety.

The foundation of the American Airlines M&E “Just Policy” recognizes that all humans are fallible and susceptible to behavioral drift. When errors or violations due to a cultural or organizational drift from full compliance with AA policies, processes and procedures are identified, this policy may require a MEAA to be conducted to identify root cause and contributing factors. Employees will be coached as necessary and the system design flaws/deficiencies will be corrected to prevent or reduce the likelihood of the potential maintenance-related error/violation from reoccurring. M&E will consider these investigations as an opportunity for the organization to learn. However, M&E commits to taking appropriate corrective action when employees put others or the company in harm's way by acting recklessly or as the result of repetitive at-risk behaviors, both of which are determined only as the result of a MEAA or ASAP investigation per the guidelines established in this policy.

M&E considers the MEAA investigation conducted under this Policy as an opportunity to learn and the most effective means to ensure safety and compliance across the organization.

The use of this policy is mandatory in all cases when determining corrective action. Key points are:

- 1. The AA M&E Just Policy for Maintenance Errors and Violations Flowchart (Section 11) and accompanying Just Policy Actions Guidelines (Section 8) must be used to determine any potential for corrective action.
- 2. This policy is neither a “blame” nor a “no blame” Policy.
- 3. Severity of the incident (i.e. damage done, costs incurred) does not alter the actions taken as a result of an error or violation.

4. The DOM and the TWU Safety of Flight and Compliance Coordinator (TWU SFCC) must review and ratify all conclusions of Reckless Behavior or Repetitive At-Risk Behavior resulting from MEAA investigations.
- B. The American Airlines M&E Just Policy is based on the following core beliefs designed to enhance the AA M&E Safety Culture:
- a. Recognition that even professionals will make errors.
  - b. Recognition that even professionals drift from full compliance with policies, processes and procedures, still believing they are in a safe place.
  - c. Zero Tolerance for Reckless Behavior.
  - d. Expectation and Appreciation of Self-Disclosure of Errors.
  - e. Recognition of the need for Accountability for Risk-Taking Behaviors.
  - f. Recognition that System Safety can and will Improve.

### 3. Primary Responsibilities

- A. The Senior Vice President of Maintenance and Engineering is primarily responsible for maintaining the integrity and consistent application of this Policy.

### 4. Procedure

- A. Within two hours of becoming aware of an incident or maintenance error or violation that has led to an event or one that may be cause for corrective action, the local Manager/Supervisor will carry out the following steps using the Investigating Manager Checklist (see, Section 10):
1. Initiate a Preliminary Investigation. Identify individuals involved and any witnesses, if applicable. Begin fact gathering, to include photographs and paperwork reviews. Use the Investigating Manager Checklist to capture notes.
    - a. Using the Investigating Manager Checklist, capture as much information as possible from discussions with individuals involved and any witnesses. To ensure a thorough Preliminary Investigation, encourage those involved to answer the following questions (at a minimum) to the best of their recollection:
      - What happened?
      - Who was involved?
      - When did it happen? (times and dates)
      - Why did it happen?
      - Are there mitigating circumstances?

A copy of all information collected and investigation notes will be handed over to the MEAA Investigator.

**Note:** No written statements should be taken from employees involved in the error/violation/incident or any witnesses during the Preliminary Investigation.

2. Determine if a "Reasonable Cause" drug test is required for those involved in the maintenance-related error/violation. Refer to the [AMR Drug & Alcohol Policy](#) Reasonable Cause Assessment Checklist and Article 28(b) of the TWU CBA for all TWU represented employees.

**Note:** Only test individuals directly involved with the maintenance-related error/violation or incident. For example, an incident involving a right wingtip damaged during pushback it would be appropriate (with reasonable cause) to test the right wing walker and the driver. It would not be necessary to test the AMT walking the left wing or the rest of the crew.

3. Determine if an employee should be withheld out of service. Refer to Peak Performance through Commitment (PPC) Policy for guidance as necessary.

**Note:** This should never be done as a punitive measure. The sole purpose is to protect the business and the individual(s) from further errors due to stress.

4. The Preliminary Investigation will be completed within 48 hours.
- B. Upon the completion of the Preliminary Investigation, the local Manager/Supervisor will hand over the investigation to a MEAA-qualified investigator (DOM Compliance Team). There is no need to wait for drug or alcohol test results.

A MEAA investigation will be carried out by the MEAA-qualified investigator within the DOM organization per the [MEAA Policy](#) and the Just Culture Algorithm™ (as appropriate, see Maintenance Errors and Violations Flowchart, Section 11).

- C. The MEAA investigation will be completed within 14 days of the start of the MEAA. The MEAA conclusions should include the root cause and contributing factors identified using the MEAA form. If a related ASAP report is not filed, the MEAA conclusion will also include an analysis of the behaviors that contributed to the maintenance-related error/violation identified using the Just Culture Algorithm™. In all cases, the resulting actions taken with the employee and the System should conform to those indicated in the “Just Policy Actions Guidelines” table (see Section 8).
- D. Before **any** corrective action can be taken against an individual as a result of reckless behavior or repetitive at-risk behavior identified during a MEAA, the following information MUST be submitted to the DOM and the TWU SFCC for ratification.
- All investigation details
  - A copy of the completed, de-identified MEAA Executive Summary and the Just Culture Algorithm™ analysis, if applicable.

The DOM and the TWU SFCC will review the MEAA results and Just Culture Algorithm™ analysis. Both parties must reach an agreement based on the information provided that the Just Culture Algorithm™ analysis reached a conclusion of reckless behavior. In the event that both parties do not agree, the Director of Safety will review the information and analysis and make the final determination.

- E. If a MEAA investigation (with DOM and TWU SFCC concurrence) or ASAP investigation results in a determination of reckless behavior or repetitive at risk behaviors that may support corrective action on the part of the employee, the local Manager/Supervisor responsible for the Preliminary Investigation will be notified. The notification will simply state that the MEAA investigation has concluded and the Manager/Supervisor should continue the Preliminary Investigation under the guidelines of TWU CBA Article 29(f).

No information gathered within the MEAA or ASAP investigations will be used to support a case for corrective action. (Refer to the [MEAA Policy](#).) At this time, it is appropriate for the Local Manager/Supervisor to review all pertinent information collected during the Preliminary Investigation, including interview notes and continue the investigation under Article 29(f) to collect for additional fact gathering as necessary. The Local Manager/Supervisor will

coordinate with HR Ops when determining the appropriate level of corrective action to ensure consistency in the application of corrective action.

## 5. Safety Investigation Cooperation

- A. While M&E recognizes that the time to complete a thorough investigation may take longer depending on extenuating circumstances, such as access to personnel for interviews and other fact gathering efforts, any extensions to the timelines described in this policy will require approval from the DOM for Local Manager/Supervisor Preliminary Investigations and MEAA investigations; from the Director of Safety for M&E ASAP Investigations.
- B. For an investigation initiated by a Local Manager/Supervisor, the Local Manager/ Supervisor will initiate a Preliminary Investigation within 2 hours of becoming aware of the maintenance-related error/violation. The Local Manager/Supervisor will then have **48 hours** to determine if a MEAA investigation is warranted (see Maintenance Errors and Violations Flowchart, Section 11).
- C. If a MEAA is initiated, the MEAA investigator will make every effort to conduct a full investigation and submit a MEAA Executive Summary within **14 days** of the initiation of the MEAA.
- D. If a maintenance-related error/violation results in ASAP report(s) being filed, the ASAP Event Review Committee (ERC) will initiate its investigation process as soon as the report is received. This investigation will include personnel interviews and gathering paperwork and applicable procedural guidance for review.
  - 1. If a MEAA has been initiated for an event reported to ASAP, the ASAP ERC will take into consideration the results of all facts gathered by MEAA and the MEAA Executive Summary before making a final determination of report acceptance into the Program. The ASAP ERC will make every effort to determine if a report meets the acceptance criteria per the M&E ASAP MOU within **7 days** of receiving the MEAA results.
  - 2. If the maintenance-related error/violation is only known to the ASAP program (i.e. the event/incident was not known to local management prior to reporting to ASAP) and a MEAA investigation has not already been initiated, the ASAP ERC will initiate and conduct a MEAA investigation to be led by a MEAA-qualified ERC person. In these cases, the ERC will determine if acceptance criteria has been met within **30 days** of receiving the report.
- E. The local Manager/Supervisor, DOM or the MEAA investigator may request to be notified of the acceptance status of an ASAP report. This request should be made to the M&E ASAP Program Manager who will notify the requesting party of the acceptance status within the timeframe previously stated, as appropriate (refer to M&E ASAP MOU for sole source confidentiality guidelines).

### Investigation Timeline Guidance

Investigation Owner	Local Manager/ Supervisor Preliminary Investigation	MEAA Initiated by Local Manager/Supervisor	MEAA Initiated by Local Manager/Supervisor involving ASAP report(s)	MEAA Initiated & Conducted by ASAP ERC (True Sole Source)
Local Manager/Supervisor	<u>48 hours</u>	<u>48 hours</u>	<u>48 hours</u>	-
MEAA	-	<u>14 days</u> to submit MEAA complete MEAA	<u>14 days</u> to submit MEAA Executive Summary to ASAP ERC	-
ASAP	-	-	<u>7 days</u> to determine acceptance into ASAP	<u>30 days</u> to complete MEAA and determine acceptance into ASAP
Total	~48 hours	~16 days	~23 days	~30 days

## 6. Documentation of Coaching/Counseling for At Risk Behavior

A. All information gathered within the ASAP and MEAA processes are confidential and no records from either investigation will be kept in the employee's personal file.

1. For coaching and counseling conducted by the ASAP ERC, the ASAP ERC may coach/counsel individuals when At Risk Behavior (or repetitive At Risk Behavior) is identified. All actions taken for accepted ASAP reports involving Human Error or At Risk Behavior will be tracked in the confidential ASAP database (CERS/WBAT). The M&E ASAP Program Manager will have primary authority for reviewing the database for potential repetitive behaviors to be discussed by the M&E ASAP ERC per the M&E ASAP MOU.
2. For coaching and counseling conducted as a result of a MEAA investigation the following process will apply. The MEAA Investigator will include a recommendation in the MEAA Executive Summary that describes the at risk behavior(s) identified per the Just Culture Algorithm™. The MEAA Investigator will lead the coaching session of those identified as displaying at risk behavior. The Local Manager/Supervisor is encouraged to be present for the coaching with the understanding that the coaching is a supportive, non-disciplinary discussion with the individual for the purpose of preventing re-occurrence.

All coaching/counseling of At Risk Behavior will be documented in the confidential MEAA database within the associated event. Employee names and numbers will be purged from published MEAA Executive Summaries to protect confidentiality.

B. The MEAA Investigator/ASAP Manager will identify Repetitive Human Errors/At Risk Behaviors per the Just Culture Algorithm™ by reference to the respective database. For repetitive behaviors that may result in a recommendation for corrective action, the local Manager/Supervisor may be notified.

## 7. Risk Management Process and Document Retention

- A. American Airlines CASS will collect M&E ASAP and MEAA data on a monthly basis for analyzing, trending and risk identification and management through the CASS process. (Reference CASS Manual - CASS Analysis Procedures, Appendix A.1.23)
- B. Data derived as a result of the ASAP and MEAA investigations are stored in the CASS Database. This data will be retained per the guidelines delineated in the SMS Manual Section 5.6 - Risk Analysis and Control Documentation/Records Management.

## 8. Just Policy Actions Guidelines

Behavior	Description	Action to Be Taken with Employee	Action to Be Taken with System
Sabotage, malevolent act	Behavior carried out with the intention of causing an incident or injury.	Action must be taken up to and including dismissal (See AA Rules of Conduct and PPC Policy). Civil and/or criminal prosecution may also occur. AA Corporate Security must be notified.	
Failure to participate in an investigation.	Where failure is due to reasons that would indicate a higher degree or category of culpability.	Action must be taken up to and including dismissal. See ASAP MOU or AA Rules of Conduct/PPC Policy.	
Reckless Behavior	A conscious disregard of a substantial and unjustifiable risk. Refer to Just Culture "Objective Person Standard".	Some level of corrective action. See PPC Policy.	
At-Risk Behavior	Behavioral choices that increase risk where risk is either not recognized, or perceived to be insignificant or justified. At Risk Behavior represents a drift from procedure caused by a desire to accomplish more or a fading perception of risk (a feeling of being in a safe place). Most often At Risk Behaviors manifest into group norms.	Coach the employee. Remedial Action.	Consider System Design Improvements.
Repetitive At Risk Behavior	An employee who has repeatedly made a choice to continue to deviate from the same procedure or regulation. May or may not be associated with poor job performance and/or competency.	Employee to address personal performance shaping factors. May result in corrective action. Refer to the Just Culture Algorithm™.	Consider System Design Improvements.
Human Error	Inadvertently doing other than what should have been done: a slip, lapse or mistake.	Support Employee. No corrective action to be taken.	Consider System Design Improvements.
Repetitive Human Error	An employee who has made a series of repetitive inadvertent errors.	Employee to address personal performance shaping factors. May result in corrective action. Refer to the Just Culture Algorithm™.	Consider System Design Improvements.
Self-Reporting	Recognition and identification of an error/violation and notification prior to it becoming an incident.	Praise the individual.	Consider System Design Improvements.

## 9. Definitions and Acronyms

**At Risk Behavior** – a behavioral choice that increases risk where risk is either not recognized, or perceived to be insignificant or justified.

**Just Culture Coach/Counsel** – Coaching, as defined by Just Culture, (i.e. Counseling) is a supportive discussion with the employee reinforcing safe behavioral choices. Coaching should be used to educate the employee on the risk associated with the choices made. Coaching will be limited to a verbal discussion with the employee or a confidential MEAA or ASAP record captured following the guidelines delineated in this Policy.

**CASS** – Continuing Analysis Surveillance System

**Corrective Action** – actions beyond remedial which cause an individual or group to refrain from undesired behavioral choices. Under this policy, corrective action is considered to be any PPC action taken (First Step Advisory and above).

**DOM** – Director of Maintenance

**ERC** – Event Review Committee (M&E ASAP)

**Human Error** – inadvertently doing other than what should have been done: a slip, lapse or mistake.

**Knowingly Cause Harm** – having knowledge that harm is practically certain to occur.

**MEAA-Qualified Investigator** – a MEAA and Just Culture qualified manager/specialist reporting to the DOM or an M&E ASAP Event Review Committee member.

**PPC** – Peak Performance Through Commitment Policy

**Procedures** - standard practices, company policies and procedures, GM or GPM procedures and Code of Federal Regulations.

**Purpose to Cause Harm** – a conscious objective to cause harm.

**Reckless Behavior** – a behavioral choice made that consciously disregards a substantial and unjustifiable risk.

**Remedial Action** – actions taken to aid the employee including: education, training, assignment to a task appropriate to the knowledge and skill (i.e. career development plan).

**Substantial and Unjustifiable Risk** – a behavior where the risk of harm outweighs any social benefit attached to the behavior.

**Supporting Employee** – a learning conversation about why the error occurred and what can be done to prevent reoccurrence (i.e. console).

**System Design Improvements (Performance Shaping Factors)** – system attributes that increase the likelihood of human errors or behavioral drift.

**True Sole Source** – refers to a maintenance-related error/violation known only to the ASAP program (i.e. the event/incident was not known to local management prior to reporting to ASAP).

**TWU SFCC** – Transport Workers Union Safety of Flight and Compliance Coordinator

**10. Investigating Manager/Supervisor Checklist**

[http://me.aa.com/justpolicy/docs/JPMgr\\_Checklist.pdf](http://me.aa.com/justpolicy/docs/JPMgr_Checklist.pdf)

**11. AA M&E Just Policy for Maintenance Errors and Violations Flowchart**

[http://me.aa.com/justpolicy/docs/JP\\_Flowchart.pdf](http://me.aa.com/justpolicy/docs/JP_Flowchart.pdf)