



**Federal Aviation
Administration**

Audit and Evaluation

Fiscal Year 2013 Business Plan

FY2013 AAE Business Plan

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The Office of Audit and Evaluation (AAE) operates the agency's hotline system and other programs that offer employees and other persons avenues to report safety-related and other concerns and make safety contributions. The AAE Office coordinates and provides independent quality control evaluations of certain investigations conducted by the lines of business and analyzes data from a broad range of sources. During its evaluation of such investigations, the AAE Office will not determine the technical merits of safety-related issues or make recommendations for resolution of particular safety-related cases. These determinations will remain the ultimate responsibility of the appropriate safety office. The AAE Office may initiate independent investigations, using investigative resources from other lines of business and staff offices, of whistleblower contributions and may inquire into and resolve hotline or SIRS disclosures. The AAE Office also will provide intervention assistance to managers and employees.

AAE is managed by a Director and organized into three branches to correspond with the Office's primary functions.

a. Audit and Analysis Branch, AAE-100. AAE-100 performs the audit and investigative review functions and is the primary focal point for the investigation of safety disclosures, including the FAA Whistleblower Protection Program. It also serves as the focal point for the coordination and evaluation of FAA responses to DOT-OIG, GAO, and OSC audits and investigations. AAE-100 also tracks the implementation of corrective actions identified in the course of both internal and external audits and investigations of FAA programs and organizations.

b. Intervention and Evaluation Branch, AAE-200. AAE-200 provides conflict mitigation services and training for FAA employees and managers. AAE-200 works closely with AGC, ACR, and AHR to ensure that workplace conflicts are resolved in a manner most beneficial to the organization and affected employees. AAE-200 is available to managers and employees for informal mediation services.

c. Reporting and Data Analysis Branch, AAE-300. AAE-300 operates the consolidated FAA Hotlines. AAE-300 analyzes hotline submissions, coordinates their investigation with other AAE staff offices, and ensures that they are properly investigated by the appropriate FAA organization(s). AAE-300 also analyzes hotline data for safety trends, which are provided to the appropriate FAA lines of business.

Pursuant to the "FAA Modernization and Reform Act of 2012," the Whistleblower investigative office authority was expanded to include:

Complaints and Investigations.

(A) Authority of the Director. The Director shall:

(i) Receive complaints and information submitted by employees of persons holding certificates issued under title 14, Code of Federal Regulations (if the whistleblower or safety and regulatory noncompliance reporting process) and employees of the FAA concerning the possible existence of an activity relating to a violation of an order, a regulation, or any other provision of Federal law relating to aviation safety.

(ii) assess complaints and information submitted under clause (i) and determine whether a substantial likelihood exists that a violation of an order, a regulation, or any other provision of Federal law relating to aviation safety has occurred; and

(iii) based on findings of the assessment conducted under clause (ii), make recommendations to the Administrator of the FAA, in writing, regarding further investigation or correction actions.

(B) Disclosure of Identities. The Director shall not disclose the identity of an individual who submits a complaint or information under subparagraph (A)(I) unless:

(i) the individual consents to the disclosure in writing; or

(ii) the Director determines, in the course of an investigation, that the disclosure is required by regulation, statute, or court order, or is otherwise unavoidable, in which case the Director shall provide the individual reasonable advanced notice of the disclosure.

Next Level of Safety

Core Measure: Audit and Evaluation of Whistleblower Contributions

Improve the FAA response rate for those disclosures referred to Office of Audit and Evaluation (AAE) by implementing at least 2 process improvements designed to improve processing and response times.

Core Initiative: Investigation of safety disclosures

Task appropriate organizations for investigation and resolutions of issues that are raised to AAE.

Core Activity: Review and determine resources for AAE investigations

Review and determine resources needed for aviation safety related whistleblower disclosures that AAE will investigate and those where AAE will provide oversight.

Activity Target 1:

Eighty percent of all disclosures that AAE will be investigating or providing oversight of the investigation will be reviewed and resourced within 30 days of receipt. Due September 30, 2013

Activity Target 2:

(DRAFT) Establish working agreements with AVS, ATO and ASH for investigative support Due December 31, 2012

Core Activity: Track FAA responses to disclosures

Record, track, review and confirm implementation of FAA responses to DOT, OIG, OSC and GAO investigations under AAE purview

Activity Target 1:

Prepare monthly reports for key stakeholders of overdue reports and reports due within 30 days. Due September 30, 2013

Activity Target 2:

Review and respond to FAA responses to hotlines within 10 business days of receipt. Due September 30, 2013

Activity Target 3:

Implement a single automated data collection and reporting system to track and report on all FY13 disclosures to AAE involving aviation safety where allegations were substantiated either in part or in full as well as corrective actions. Due September 30, 2013

Core Activity: Metric - Reduce hotline processing time to 1 business day

Reduce current process time for individual hotlines received electronically from 3 business days to 1 business day from receipt for 80% of hotline submissions received in FY13.

Activity Target 1:

Complete Due September 30, 2013

Core Initiative: Analyze and report on safety disclosures

Conduct analysis of disclosures and responses to those disclosures and provide quarterly reports on findings.

Core Activity: Data analysis and reporting of safety disclosures

Conduct analysis of disclosure data and provide quarterly reports to internal and external stakeholders

Activity Target 1:

Complete a report on the number OIG/GAO/OSC hotline referrals requiring FAA action in FY12 Due January 10, 2013

Activity Target 2:

Report on investigations of hotline submissions and other disclosures to AAE closed in the 1st and 2nd quarter of the fiscal year where allegations were substantiated in part or in full. Due April 30, 2013

Activity Target 3:

Report on investigations of hotline submissions and other disclosures to AAE closed in the 3rd and 4th quarter of the fiscal year where allegations were substantiated in part or in full. Due September 30, 2013

Core Measure: OIG/GAO audits and recommendations

Improve the percentage of FAA responses to GAO, OIG and OSC audits received that are delivered on time by 30% over the FY12 rate.

Core Initiative: Track OIG/GAO audits and recommendations

Record track, review and confirm implementation of FAA responses to OIG and GAO audits and recommendations

Core Activity: Review FAA OIG/GAO audit and recommendation program

Review FAA OIG/GAO audit and recommendation program for areas of improvement

Activity Target 1:

Conduct a complete review of FAA Orders 2960 and 2970.1d to determine if changes are needed/Implement changes identified Due March 31, 2013

Activity Target 2:

Complete analysis of FY12 FAA responses to OIG/GAO audits to identify areas of improvement and determine the percentage of FAA responses

submitted on or before established deadline Due January 31, 2013

Core Activity: Track FAA responses to OIG/GAO audits

Track FAA responses to OIG/GAO audits

Activity Target 1:

Conduct quarterly reviews with OIG/GAO audit liaison staff on the status of FAA responses. Due September 30, 2013

Activity Target 2:

90% FAA reconsidered responses are submitted within the required 30 day time frame. Due September 30, 2013

Core Activity: Coordinate and schedule audit meetings

Ensure meeting notifications are distributed in a timely manner

Activity Target 1:

Entrance and exit audit notifications are distributed within 2 work days or receipt Due September 30, 2013

Activity Target 2:

Audit meetings are accomplished within 2 weeks after requests are submitted Due September 30, 2013

Core Activity: METRIC - FAA Response to OIG Reports

Deliver 75% of FAA draft formal responses to OIG reports to OST within 30 days of receipt from OIG

Activity Target 1:

Completed Due September 30, 2013

Workplace of Choice

Workplace of Choice introduction for AAE

Core Measure: Drive Continuous Efficiency Improvement & Cost Control

Achieve documented cost savings and cost avoidance of \$82.3 million in FY 2013.

Core Initiative: FAA Privacy Program

Protect FAA sensitive and individual privacy information from unauthorized disclosure.

Core Activity: Stabilize Information Assurance/Privacy Operations

Mature the Data Loss Prevention program and reduce the PII vulnerabilities throughout the FAA.

Activity Target 1:

Ensure remediation of Personally Identifiable Information (PII) vulnerabilities identified during Data Loss Prevention (DLP)/Security scanning to ensure reduction rate occurs within risk target defined by the CIO. Interim report dates are January 20, 2013, March 3, 2013, May 12, 2013, July 2, 2013, and September 8, 2013. Due September 30, 2013

Activity Target 2:

Implement AAE risk-prioritized enterprise data lifecycle reviews for agency functions/sub-functions and opportunities for reduction of unnecessary PII are identified. Report status of milestone activities to Privacy Office. Interim dates are March 31, 2013, June 30, 2013. Due September 30, 2013

Activity Target 3:

Monitor, track, and report status of AAE activities to Reduce/Eliminate Social Security Numbers (SSNs) as detailed in the SSN Reduction/Elimination Plan. Provide a monthly update of accomplished activities. Due September 30, 2013

Core Activity: Ensure Privacy Program Compliance

Develop Privacy Program plans and controls and assess compliance.

Activity Target 1:

Participate in AAE privacy compliance reviews of PII systems in accordance with approved plan. Develop schedule to remediate identified vulnerabilities. Due September 30, 2013

Activity Target 2:

Complete 100% of all PTAs and PIAs as required. Ensure PTA/PIA and SORNs are reviewed by the Privacy Office. Due September 30, 2013

Activity Target 3:

Ensure at least 95% of the Federal employees and contractors that have been identified by the Privacy Division receive and sign the Privacy Rules of Behavior Acknowledgement. Due September 30, 2013

Core Measure: Outreach to Internal and External Stakeholders

Increase FAA-wide awareness about the Office of Audit and Evaluation (AAE) by hosting at least 4 events which provide information about AAE services to FAA employees.

Core Initiative: Internal Communication

Hold informal sessions with FAA managers and employees on the services provided by AAE.

Core Activity: Conduct brown bag sessions on AAE

Conduct brown bag sessions on AAE

Activity Target 1:

Conduct at least 2 brown bag sessions on the functions, purpose and mission of the Office of Audit and Evaluation Due July 30, 2013

Core Initiative: Intervention Program

Begin implementation and management of AAE's Intervention Program.

Core Activity: Track Intervention activities

Identify and train intervention FAA first responders

Activity Target 1:

Working in collaboration with AGC, ACR, and AHR review existing FAA programs and services to establish clear guidelines between AAE intervention services and other similar services provided by other FAA entities Due March 31, 2013

Activity Target 2:

Identify and train POC's from participating lines of business to be first responders for Intervention activities. Due September 30, 2013

Activity Target 3:

Brief and train Intervention resources at 4 large group venues representing the various LOB's. Due June 30, 2013

Core Initiative: Develop an agency-wide intervention reference

Develop an agency-wide intervention reference that provides managers and employees with a list of agency

resources available that assist organizations and individuals in resolving and/or mitigating workplace conflicts

Core Activity: Develop an agency-wide intervention reference

Develop an agency-wide intervention reference with current services and resources available to assist managers and/or employees in resolving/mitigating workplace conflicts.

Activity Target 1:

Host at least two meetings with AGC, AHR and ACR to discuss roles, responsibilities and services they provide as it relates to employee disclosures. Due May 30, 2013

Activity Target 2:

Meet with member/representatives from at least 3 employee associations to discuss concerns and/or gaps with existing services available to FAA employees and managers. Due July 30, 2013

Activity Target 3:

Complete a draft references for FAA managers and employees on agency-wide intervention services. Due September 30, 2013