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Performance Plan for Fiscal Year 2001

The Associate Administrator for
Regulation and Certification
(AVR-1)

December 2000

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I. Introduction

The mission of the Regulation and Certification organization is to promote aviation safety in the interest of the American public by regulating and overseeing the civil aviation industry. To fulfill this mission, AVR establishes aviation safety standards; monitors safety performance; conducts aviation safety education and research; issues and maintains aviation certificates and licenses; and, manages the FAA rulemaking program.

There are seven distinct organizational elements reporting to the Associate Administrator for Regulation and Certification employing 6,165 personnel. Four of these organizations, the Office of Accident Investigation (AAI), the Office of Rulemaking (ARM), the Suspected Unapproved Parts (SUPs) Program Office (AVR-20), and the AVR Executive Staff (AVR-10), are solely Washington Headquarters elements. The Aircraft Certification (AIR) and the Flight Standards (AFS) Services and the Office of Aviation Medicine (AAM) have extensive field presence, as well as their Headquarters staffs. In addition to its Federal civilian work force, AVR utilizes “designees” (sometimes called “examiners”), who are private persons or groups of individuals designated to act as representatives of the FAA Administrator. There are over 13,500 designees performing duties on behalf of AVR.

Much of the AVR workload is demand driven. These workload drivers can be grouped into three general areas: (1) new airlines and the increasing complexity of the aviation industry; (2) globalization of the aviation industry and the increasing need for international standardization of regulations and safety criteria; and, (3) rapidly advancing aviation technology.

The Regulation and Certification line of business has a number of end products. These end products can be grouped into four major product or service lines: (a) standards and policy, (b) certification, (c) surveillance, and (d) mission support. It must be noted that these lines are not necessarily mutually exclusive. For example, the certification of a new operator is not significantly different from the ongoing surveillance of that operator once its operating certificate has been granted.

The performance of an organization can be measured in a variety of ways. Output of products and services, efficiency of operations (i.e., productivity), and the extent to which it achieves its goals (i.e., effectiveness) are the most widely used measures. To meet part of the performance measurement requirement of GPRA and OMB Circular A-11, Appendix 2, AVR uses major end products as annualized indicators of its performance. These major products and services represent the largest consumption of our resources on an annual basis.

Beginning in FY 2001, AVR has made some changes to its key performance effectiveness goal in the area of commercial air carriers. The first of these changes concerns the activity measure, denominator, upon which the accident rate is calculated. In the past, the activity measure had been flight hours. Beginning in FY 2001, the activity measure will be departures. The second change shifts the goal from a calendar year to a fiscal year basis. The change brings this goal in line with the FAA and DOT performance goals in other areas. The third change affects how successful accomplishment of the annual target will be defined. In past years the actual commercial air carrier accident rate was compared to the target set for that year. From FY 2001, the actual fatal accident rate will be compared to the average of the just completed fiscal year and the prior two fiscal years. For example, to meet the FY 2001 target of 0.043 successfully, the average of the actual rate for FY 2001, FY 2000, and FY 1999 will have to be equal to or lower than 0.043. The reason for this averaging is to minimize the randomness that is inherent in the occurrence of aviation accidents.

The FY 2001 performance effectiveness goals for AVR are:

1. *Reduce the fatal accident rate for commercial air carriers by 15 percent from a 1994-1996 baseline of 0.051 fatal accidents per 100,000 departures. The FY 2001 target is 0.043 per 100,000 departures. To be successfully met the average actual accident rates for FY 1999, FY 2000, and FY 2001 must be equal to or less than 0.043.*
2. *By 2007, reduce general aviation fatal accidents by an amount that results in a 20 percent improvement from the projected total for that year. Assuming a 1.6- percent annual growth in activity, the annual number of general aviation fatal accidents is projected to grow from the three-year baseline of 379 for 1996 to 1998 to be 437 in 2007. The FY 2001 target is 4.7 percent or no more than 379 fatal accidents.*
3. *Expand both formal and informal industry/AVR partnership activities in all areas of aviation safety.*

In addition to these three performance goals, several initiatives have been developed in support of the Safer Skies - A Focused Agenda. They are summarized below and have been incorporated into this performance plan.

Commercial Aviation

- *Uncontained Engine Failure*
- *Controlled Flight into Terrain*
- *Approach and Landing*
- *Loss of Control*
- *Weather*

General Aviation

- *Controlled Flight into Terrain*
- *Weather*
- *Loss of Control*
- *Survivability*
- *Aeronautical Decision-making*

Cabin Safety

- *Passenger Interference*
- *Passenger Seat Belt Use*
- *Carry-on Baggage*
- *Child Restraint*

The Runway Incursion initiative under both Commercial and General Aviation is the primary responsibility of Air Traffic Services (ATS). However, the AVR organization is cooperating in the ATS initiative in a support role.

Each office/service in AVR has developed short- to medium-range performance initiatives that support the accomplishment of one or more of the overall AVR performance goals and the Safer Skies Agenda. To account for day-to-day performance of the organization, major end products were identified and their FY 2001 output projected. This is a direct outgrowth of the work done in earlier business/performance plans. When the FAA implements its cost allocation system, AVR will be able to associate accurate costs to each end product. For now, the best we are able to do is estimate the dollar amount of resources we devote to the product/service lines.

II. Strategic Overview

A. Mission of the FAA

FAA's mission is to provide for a safe, secure, and efficient aviation system that contributes to national security and encourages civil aviation.

B. Mission of the Regulation and Certification (AVR) Organization

The mission of the Regulation and Certification organization is to promote aviation safety in the interest of the American public by regulating and overseeing the civil aviation industry. To fulfill this mission, AVR establishes aviation safety standards; monitors safety performance; conducts aviation safety education and research; issues and maintains aviation certificates and licenses; and manages the FAA rulemaking program.

- ➔ AVR establishes safety standards governing: (1) the design, production quality, and airworthiness of aeronautical products; (2) the operation and continuing airworthiness of aircraft, training of airmen and aviation mechanics; and (3) the medical qualifications of airmen and air traffic controllers.
- ➔ AVR manages the FAA rulemaking program, which is the primary means by which safety standards and policy are drafted, opened to public comment, and finalized.
- ➔ AVR monitors safety performance by: (1) conducting reviews of products and reviewing safety data for trends; (2) conducting safety inspections and surveillance; (3) investigating possible violations and initiating enforcement action; and (4) participating in accident and incident investigations.
- ➔ AVR conducts aviation safety education and conducts and sponsors related research, particularly in the areas of emerging technologies, human factors, and new operational business practices to assess their impacts on FAA regulatory requirements, the aviation industry, and the National Air Space System (NAS).
- ➔ AVR issues and maintains: (1) certificates for the design and manufacture of aircraft, aircraft engines and propellers, materials, parts and appliances; (2) certificates for air operators, air agencies, and airmen; (3) medical certificates for airmen; (4) aircraft registration records; and (5) designee appointment and monitoring.

C. AVR Core Value – Dedicated professionals working together to make a true safety difference

1. Dedicated professionals...

- Doing extra-ordinary things, going the extra mile.
- Serving customers, the public, and each other with integrity and pride.
- Growing and developing leaders at all levels in the public and private sectors of the world aviation community.
- Coaching, mentoring, and developing the right skills and talents in partnership with the union, industry, and other key players.
- Unleashing the passion and energy of the aviation work force.
- Raising the bar for excellence, and consistently meeting expectations.
- Doing whatever needs to be done without regard to position, hierarchy, or organization.
- Being responsible, accountable, and reliable all the time.

2. Working together...

- Committed to individual, corporate, domestic, and global success.
- Challenging and learning together.
- Building shared vision and understanding how we fit together.
- Valuing diversity and enhancing each other's talents and gifts.
- Identifying areas of linkage to leverage resources.
- Establishing innovative partnerships with all key players, worldwide.

3. Making a true safety difference...

- Producing real results for the American people and the global community.
- Focusing on the "right things" that have the highest pay-off.
- Delivering quality products and services.
- Continuously improving the way we work for greater efficiency and effectiveness.

D. AVR General Goals

The underlying motivation of every action and activity undertaken in AVR is that operating a safe aviation industry is the best means of encouraging civil aviation. Consequently, our general goals are:

1. Enhance the level of safety in U.S. civil aviation by instituting effective and efficient safety regulations and ensuring compliance with those regulations.
2. Encourage U.S. preeminence in global civil aviation by fostering the world's highest level of safety in the U.S. aviation industry and by fostering international harmonization and cooperation.

E. The Changing Civil Aviation Environment and Its Impact on AVR

Much of the AVR workload is demand driven. These workload drivers can be grouped into three general areas: (1) new airlines and the increasing complexity of the aviation industry; (2) globalization of the aviation industry and the increasing need for international standardization of regulations and safety criteria; and (3) rapidly advancing aviation technology.

- ✧ There has been more air carrier certifications in the past several years than at any time previously, including following deregulation of the industry. The increasing demand for FAA certification of these new operators has resulted in the creation of a national Certification, Standardization, & Evaluation Team (CSET).
- ✧ Regional air carriers are adding turbojet aircraft to their fleet inventories. The increased use of jet aircraft in this segment of the industry has led to the development of inspector resource specialists.
- ✧ The enactment of the "Commuter" rule has required increased oversight of regional airlines. At the same time, new rules increasing oversight of public use aircraft are likely to increase demand on AVR inspection resources.
- ✧ New safety and environmental initiatives concerning the national parks, and particularly the Grand Canyon and Hawaii, have placed greater emphasis on oversight of "sightseeing" tour operators.
- ✧ In an effort to reduce costs, air carriers are increasing their use of outside maintenance and pilot training. This has led to new oversight requirements.
- ✧ Increased design and manufacture of aviation products overseas and the increased demand by foreign carriers for the right to fly into the United States has required AVR to expand its activities outside the United States considerably. In addition, global harmonization of standards, practices,

and procedures has become increasingly more important both to the safety responsibilities of AVR and to the domestic aviation industry. The growing worldwide acceptance of the Global Positioning System (GPS) has accelerated the development of standards for it and its associated equipment.

- ✧ New aircraft designs, the expanded use of new materials in their construction, and increased use of automation in both the design and control of aircraft require AVR to acquire the services of internationally recognized specialists in various scientific and technological areas and to see to it that its engineering and inspection employees have the job skills and knowledge base to perform their duties effectively.
- ✧ Reliance on banks and leasing companies and the U.S. military on Original Equipment Manufacturer's (OEM) FAA approvals, especially for modifications of aircraft to protect the long-term commercial value of products operated globally.

III. The Regulation and Certification Organization

AVR Organization

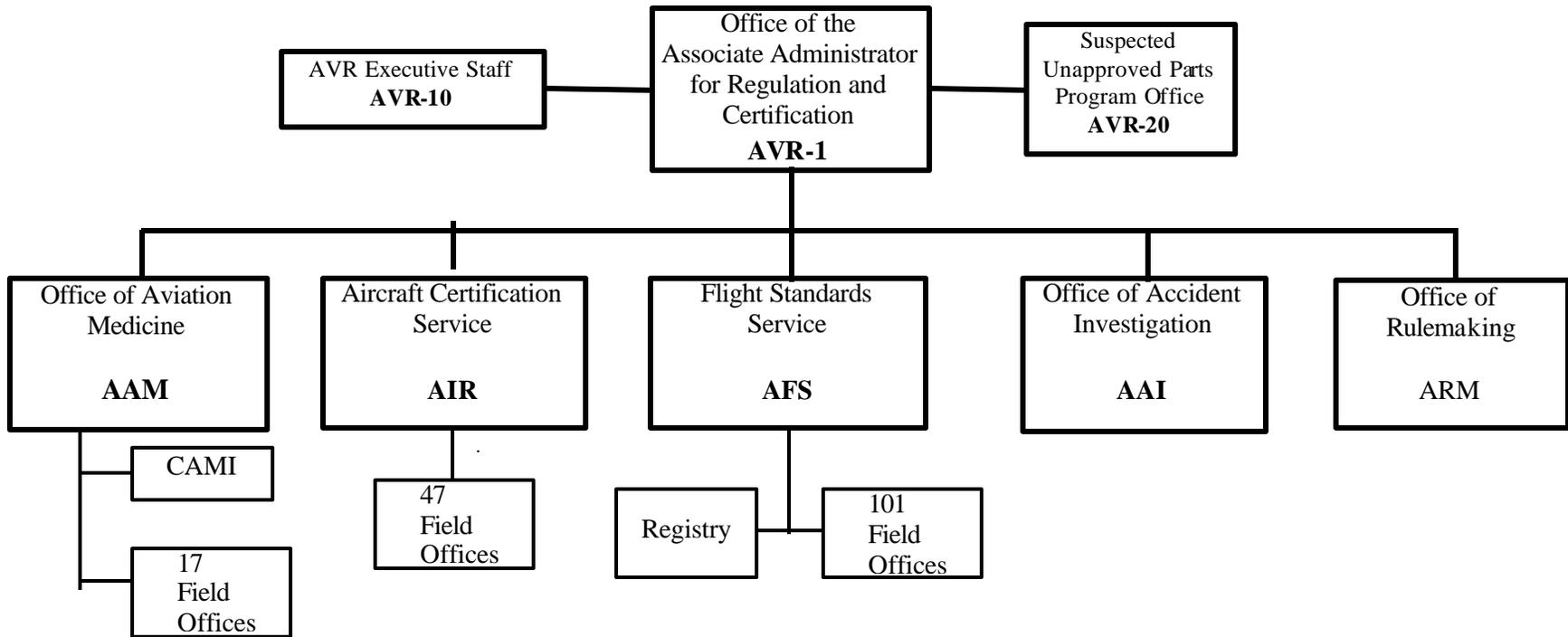


Chart 1

A. AVR’s Organization and Work Force Composition

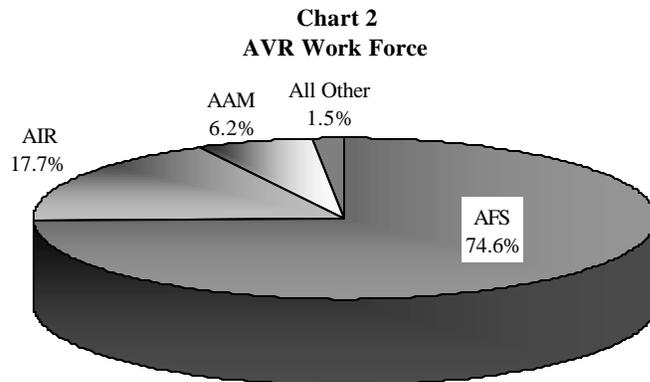
There are seven distinct organizational elements reporting to the Associate Administrator for Regulation and Certification employing 6,165 personnel. Four of these organizations, the Office of Accident Investigation (AAI), the Office of Rulemaking (ARM), the Suspected Unapproved Parts (SUPs) Program Office (AVR-20), and the AVR Executive Staff (AVR-10), are solely Washington Headquarters elements. The Aircraft Certification (AIR) and the Flight Standards (AFS) Services and the Office of Aviation Medicine (AAM) have extensive field presence, as well as their Headquarters staffs.

Table 1 and Chart 2 below give the breakdown of AVR’s projected end-of-year (EOY) employment for FY 2001 by organizational element. *Appendix D* provides the figures on AVR’s safety critical work force and end-of-year staffing history.

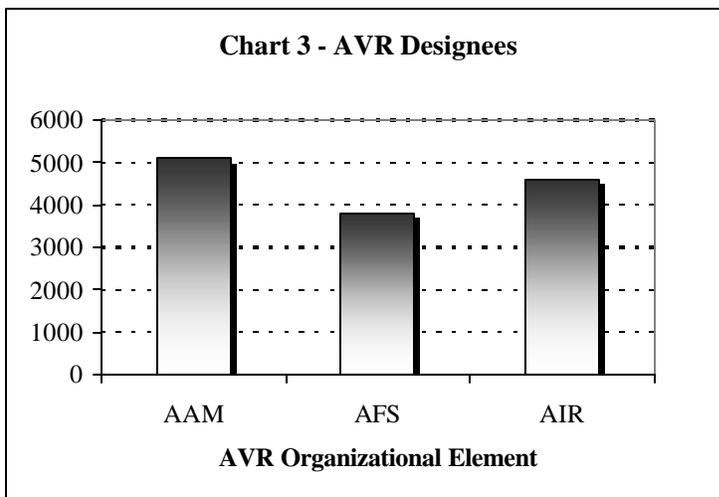
FY 2001 Work Force Composition

<u>Service/Office</u>	<u>Ops</u>	<u>R,E,&D</u>	<u>F&E</u>
Flight Standards	4630		4
Aircraft Certification	1098		2
Aviation Medicine	294	92	
Accident Investigation	29		
Rulemaking	27		
SUPs	15		
Executive Direction	24		
	6067	92	6

Table 1



In addition to its Federal civilian work force, AVR utilizes “designees” (sometimes called examiners). Designees are private persons or groups of individuals designated to act as representatives of the FAA Administrator. Designees are a significant extension of our capacity to enhance aviation safety, and also represent an extensive “leveraging” of the resources we have. There are over 13,500 designees performing duties on behalf of AVR. Chart 3 shows them broken down by AVR organizational element.



Examples of designees are Designated Engineering Representatives (DER's); Designated Manufacturing Inspection Representatives (DMIR's); Aviation Medical Examiners (AME's); Designated Pilot Examiners (DPE's), and Designated Mechanic Examiners (DME's).

B. AVR Products/Services & Delivery Mechanisms

The Regulation and Certification line of business has a number of end products, the definitions of which can be found in *Appendix B*. These end products can be grouped into four major product or service lines. The following list defines each major product or service line and identifies the primary end products under each. It must be noted that these lines are not necessarily mutually exclusive. For example, the certification of a new operator is not significantly different from the ongoing surveillance of that operator once its operating certificate has been granted.

→ **Standards/Policy:** We establish national aviation policy, procedures, and criteria for the aviation community and work with foreign aviation authorities to harmonize safety standards and policy worldwide. This is accomplished through the following end products:

- FAA Directives
- Federal Aviation Regulations (FAR) & Exemptions
- Airworthiness Directives (AD)
- Bilateral, Multilateral, and International Procedures and Arrangements

→ **Certification:** We apply safety standards and policies to the aviation community and establish compliance with the standards and policies. This is accomplished through the following end products:

- Airmen Certification
- Operator Certification
- Airworthiness Certification
- Type Certification
- Production Certification

→ **Surveillance:** We monitor continued compliance with standards and policy and initiate corrective actions when required. This is accomplished through the following end products:

- Accident Investigations
- Inspections/Evaluations/Audits
- Enforcement Actions

→ **Mission Support:** We conduct aviation safety awareness training; we collect and disseminate safety-related and other aviation-related data and material, and we provide analyses of that data; we scientifically study and investigate aviation-related issues, and we promote and sponsor such research; and we direct, manage, and support the FAA’s rulemaking activities and the Aviation Rulemaking Advisory Committee (ARAC). Mission Support is provided through the following end products:

- Information
- Education
- Research
- Medical Support Services
- Technical/Professional Training
- Regulatory Documents

C. Product/Service/Customer Matrix

The AVR line of business has a diverse customer base. *Appendix C* provides a detailed matrix of the AVR products/services and their delivery mechanisms associated with our major internal and external customers. While our ultimate customer is the American public, especially those who fly, our primary focus is on the civil aviation industry in this country and its users. Aviation is an international industry and Americans travel internationally by air in ever-increasing numbers. While our mandate does not extend past the borders of the United States, we are actively involved with other nations’ civil aviation authorities and in multinational civil aviation organizations. This involvement stems from the desire to provide a safe aviation environment for Americans, no matter where they may be flying, and from the fact that the FAA is recognized internationally as a world leader in aviation safety.

In the international aviation arena, AVR fulfills an important service for the American traveling public. Any foreign air carrier providing scheduled air service to the United States must conduct its operations in accordance with the operations specifications under FAR §129.11(a) and the Standards contained in ICAO Annexes relating to international air transportation. To assist in determining that carriers applying for or holding valid Department of Transportation economic authority are meeting the ICAO requirements, we conduct assessments of foreign civil aviation authorities. The assessment’s purpose is to determine if the foreign air carriers that operate, or seek to operate, to the United States are receiving adequate safety oversight by their civil aviation authorities as required by the applicable ICAO annexes. A summary rating describing the results of the assessment activity, when completed, is released to the general public. If a country is found to be in noncompliance with ICAO standards, technical assistance may be provided, when requested, under a formal agreement, within available agency resources.

As a collateral benefit to the assessment process, improvements have been noted in aviation safety in areas over which we have no direct authority, such as countries’ domestic operations, but in which Americans may travel by air.

The table below shows the number of primary customers for AVR’s products and services.

Table 2
Primary Customer Base (as of October 2000)

<p>→ Air Operator Certificates — 7,342</p> <p>FAR PART 91 – 595 (Public Use) FAR PART 121 – 143 (e.g., United Airlines) FAR PART 125 – 160 (Baltimore Orioles) FAR PART 129 – 539 (Foreign Carriers) FAR PART 133 – 382 (External Load) FAR PART 135 – 2,713 (Commuter, On-Demand) FAR PART 137 – 2,810 (Agricultural)</p> <p>→ Air Agency Certificates — 5,865</p> <p>FAR PART 141 – 487 Pilot Training Schools FAR PART 142 – 75 Training Center FAR PART 145 – 5,129 Repair Stations FAR PART 147 – 174 Maintenance Schools</p> <p>→ Aircraft — 223,605</p> <p>Part 121 – 7,324 Part 135 Commuter – 645 Part 135 On-Demand – 10,936 General Aviation – 204,700</p> <p>→ Aviation Industry Employers covered by Anti-Drug & Alcohol Plans — 6,700</p>	<p>→ Active Pilots — 620,152</p> <p>→ Airman Medical Certificates — 633,728</p> <p>→ Approved Manufacturers — 1,615 Approved Certificates — 2,511</p> <p>→ Aviation Authorities of Other Countries Bilateral Agreements – 30 Foreign Airline Services – 93</p> <p>→ Non-Pilot Personnel</p> <p>Mechanics – 394,003 Ground Instructors – 71,037 Other – 90,571</p> <p>→ Flight Instructors — 80,121</p> <p>→ NTSB Recommendations — 110 avg./yr.</p> <p>→ Designees — over 13,500</p> <p>Aircraft Certification – 4,613 Flight Standards – 3,800 Aviation Medicine – 5,100</p> <p>→ Aviation Industry Trade Organizations</p>
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IV. FY 2000 AVR Accomplishments

A. Performance Effectiveness

The reduction target in FY 2000 for the commercial air carrier fatal accident rate was 12 percent, or 0.033 per 100,000 flight hours, for the 1994-1996 baseline rate of 0.037 per 100,000 flight hours. Based on preliminary data, the actual air carrier fatal accident rate was 0.022, or 40.5 percent below the baseline.

To achieve the long-range goal set by the White House Commission, AVR and its partners have focused their efforts on the accident categories that contribute to the majority of fatal accidents. The “Safer Skies” effort has identified the following six accident categories in commercial aviation: controlled flight into terrain (CFIT), loss of control, uncontained engine failure, runway incursion, approach and landing, and weather. While having little immediate impact on the fatal accident rate year-to-year, identifying and implementing corrective actions in these areas will positively impact the fatal accident rate in the future. In 2000, under the Safer Skies Agenda, the Government/industry partnership completed several critical steps in addressing problems related to CFIT and uncontained engine failure. In the case of CFIT, these interventions include improved training aids for both pilots and air traffic controllers; validation of software parameters for Minimum Safe Altitude Warning; and the issuance of the final rule related to the manufacture and installation of Terrain Awareness Warning System equipment, a new generation of automated warning systems used on flight decks. In the case of uncontained engine failure, AVR (AIR) issued additional Airworthiness Directives addressing Low Pressure Turbine engine components and compression priority parts and prepared, and opened for public comment, an Advisory Circular that incorporates enhanced inspection methodology into the design approval process for aircraft

engines. In the area of approach and landing, the Government/industry Joint Safety Implementation Team has determined the feasibility and priority of proposed interventions.

The target for general aviation fatal accidents was no more than 379 (or 3 percent less than projected). The general aviation performance goal includes on-demand air taxi as well as the usual segment of aviation grouped under the term 'general aviation.' Between October 1, 1999 and September 30, 2000 there were 338 general aviation and air taxi fatal accidents. This represents 13.5 percent less than the projected number of accidents for these segments of aviation.

The General Aviation (GA) focus areas of the Safer Skies Initiative identifies four causal factors in common with commercial aviation: controlled flight into terrain, loss of control, runway incursions, and weather. Two additional causal factors that are significant in the general aviation area are aeronautical decision-making and survivability. The primary strategy for improving GA safety is a collaborative working relationship between the FAA and the GA community to identify problems and implement solutions. The GA Joint Steering Committee analysis of accident and incident data for controlled flight into terrain and weather were completed and detailed implementation plans for the selected interventions were developed in FY 2000. Implementation of these interventions began in FY 2000 and will continue through FY 2005. The GA Joint Steering Committee decided in March 2000 that aeronautical decision-making would be the next focus area initiated, considering the overlap from the two completed analyses, controlled flight into terrain and weather. Due to a lack of resources however, the Joint Steering Committee has requested that the initiation of formal analysis of this area be postponed. The Community feels it needs time to focus on implementing the initiatives surrounding controlled flight into terrain and weather since the majority of GA accidents can be identified under these two areas. FAA agrees.

The Safer Skies Agenda is not the only area of endeavor within AVR to promote greater aviation safety and achieve an 80 percent reduction of fatal accidents by 2007. Intervention strategies being developed under Safer Skies rely heavily on historical data. New methods of collecting, analyzing, and using current and future safety data are being developed and deployed. In FY 2000 AVR (AFS) documented a prototype Flight Operations Quality Assurance (FOQA) system that provides maximum potential for the use of digital flight data to determine national trends relevant to the safety of flight operations, aircraft performance, and aircraft maintenance. The AFS Safety Performance Analysis System (SPAS) continued to be expanded by the addition of new performance measures covering aircraft and engines, rotorcraft, air agency schools, and repair stations. The Air Transportation Oversight System (ATOS) is a systems approach to safety oversight of air transport operators. It incorporates a team approach to initial certification and continuing oversight of operators, taking into account such factors as operator experience, company growth, and trends identified through statistical analysis (the SPAS contribution). ATOS element query was also integrated into the SPAS risk management model and SPAS users have access to ATOS data. These new data sources assists the agency to better target its inspection resources.

Supplementing data derived from FAA certification and inspection processes (ATOS & SPAS) and from aircraft operations (FOQA) will be data generated through FAA/industry partnerships under the Aviation Safety Action Program (ASAP). Air carrier response to this program has been very positive, and the number of participants increases almost monthly.

In an area of industry oversight, continued refinements have been made in both inspection resources targeting and automated systems designed to support aviation safety oversight of aviation related product design and manufacturing. In 1998 AIR deployed its Resource Targeting model for development of the FY 1999 Aircraft Certification Systems Evaluation Program schedule (ACSEP). ACSEP is the audit function of AIR's surveillance program. Resource Targeting was developed to assist

field inspectors in identifying production approval holders presenting the greatest potential impact to continued operational safety. Based on the model's output, field inspectors can determine which production approval holders require an ACSEP and the frequency in which it will take place. The model also identifies lower risk facilities that will be eligible for an abbreviated audit versus a full ACSEP, thus freeing up limited resources. Analysis of FY 1999 Resource Targeting data shows that the inspector work force strongly agreed with the model's output and that all of the model's impact indicators were relevant. Through the use of Resource Targeting, the number of required ACSEPs was reduced from 491 in FY 1999, to 336 in FY 2000, and 253 in FY 2001. Work continued on aging aircraft and their systems, fuel tank safety, and the flammability of insulation and wiring use in aircraft.

Of course the FAA is not the only agency in the Federal Government that is concerned with aviation safety. Building upon the Memorandum of Understanding between the FAA and NASA, in FY 2000 the agencies finalized and began implementing the FAA/NASA Integrated Safety Research Plan. AVR is a leading player in this relationship. The purpose of this plan is to effectively leverage FAA and NASA safety research and development resources to achieve their common goal of a five-fold fatal aviation accident reduction by 2007. The plan specifies how the two agencies will:

- Articulate common goals tying research programs to "real world" outcomes in focus areas, i.e., accident prevention, system monitoring and modeling, accident mitigation, and surveillance and inspection. Specifically in FY 2000, the agencies signed a Memorandum of Agreement (MOA) for Weather Research and began discussions for a MOA for Synthetic Vision Research.
- Coordinate all aviation safety research through analysis of investment contributions to each focus area by FAA and NASA individually and jointly; investment allocations for commercial and general aviation application; and total agency investment levels.
- Improve coordination and communication between the agencies by outlining the information needs of each agency and specifying organizational points of contact. In FY 2000, the agencies prepared a communication matrix and are implementing a Communication and Coordination Strategy.
- Establish an investment strategy, which coordinates assessments of goal accomplishments and investment plans; synchronizes communication based on budget cycles; and integrates planning and implementation actions.

B. Output

Table 3 displays the actual output of products and services produced by AVR organization during FY 2000. This does not represent all the work done in AVR in FY 2000, but only those actions that, when completed, have a direct impact on our customers, both internal to the FAA and external to the agency.

Table 3 — Regulation and Certification FY 2000 Output

	AFS	AIR	AAM	ARM	AAI	Totals
<i>Standards/Policy</i>						
FAA Directives (internal)	40	25			1	66
Federal Aviation Regs				29		29
Exemptions to FAR				547		547
Airworthiness Directives		510				510
BASA IPs*	2					2
<i>Certification</i>						
Operator Certs	317		714			1,031
Airworthiness Certs		832				832
Airman Certs	201,418		488,150			689,568
<i>Surveillance</i>						
Accident Investigations	2,080				294	2,374
Inspections, etc.	285,674	6,701	704			293,079

*Bilateral Aviation Safety Agreement Implementation Procedures

V. AVR Performance Goals for FY 2001 and Beyond

The performance of an organization can be measured in a variety of ways. Output of products and services, efficiency of operations (i.e., productivity), and the extent to which it achieves its goals (i.e., effectiveness) are the most widely used measures. AVR has tracked its output for many years and projects that output into future years. To meet part of the performance measurement requirement of GPRa and OMB Circular A-11, Appendix 2, AVR uses major end products as annualized indicators of its performance. These major products and services represent the largest consumption of our resources on an annual basis.

Beginning in FY 2001, AVR has made some changes to its key performance effectiveness goal in the area of commercial air carriers. The first of these changes concerns the activity measure upon which the accident rate is calculated. In the past the activity measure has been flight hours. Beginning in FY 2001 the activity measure will be departures. The second change shifts the goal from a calendar year to a fiscal year basis. The change brings this goal in line with the FAA and DOT performance goals in other areas. The third change affects how successful accomplishment of the annual target will be defined. In past years the actual commercial air carrier accident rate was compared to the target set for that year. Starting with FY 2001, the actual fatal accident rate will be compared to the average of the just completed fiscal year and the prior two fiscal years. For example, to meet the FY 2001 target of 0.043 successfully, the average of the actual rate for FY 2001, FY 2000, and FY 1999 will have to be equal to or lower than 0.043. The reason for this averaging is to minimize the randomness that is inherent in the occurrence of aviation accidents.

A. Targeting Performance Areas

The AVR management team targeted four areas of performance for the organization that they believed were critical to fulfilling the mission of AVR. From these four performance areas they developed four broad-based performance goals for AVR. The targeted performance areas are as follows.

- ➔ Contribute to aviation safety by developing policies and/or standards, programs, and systems to reduce the number of aviation accidents and incidents related to human factors.
- ➔ Contribute to aviation safety by developing policies and/or standards, programs, and systems to reduce the number of aviation accidents and incidents related to production systems, certification, and maintenance errors.
- ➔ Establish performance targets aimed at enhancement of the AVR Surveillance Process to forecast, identify, and target areas where surveillance best addresses critical safety issues.
- ➔ Improve industry compliance with aviation standards through the adoption of voluntary internal audit/self-disclosure programs.

B. AVR Performance Effectiveness Goals

From these targeted performance areas and the recommendations of the White House Commission on Aviation Safety and Security and the National Civil Aviation Review Commission, specifically to achieve the 80 percent reduction in fatal aviation accidents by 2007, the AVR management approved the following AVR performance goals.

1. Reduce the fatal accident rate for commercial air carriers by 12 percent from a 1994-1996 baseline of 0.051 fatal accidents per 100,000 departures. The FY 2001 target is 0.043 per 100,000 departures with a reduction to be achieved in 6 key areas outlined in the Safer Skies - A Focused Agenda.
2. By 2007, reduce general aviation fatal accidents by an amount that results in a 20 percent improvement from the projected total for that year. Assuming a 1.6- percent annual growth in activity the annual number of general aviation fatal accidents is projected to grow from the three-year baseline of 379 for 1996 to 1998 to be 437 in 2007. The FY 2001 target is 4.5 percent, or no more than 379 fatal accidents, with a reduction to be achieved in 6 key areas outlined in the Safer Skies - A Focused Agenda.
3. Expand both formal and informal industry/AVR partnership activities in all areas of aviation safety.

In addition to these performance goals, AVR has developed safety initiatives in partnership with the aviation industry, DOD, and NASA in support of the FAA Administrator's Safer Skies - A Focused Agenda. While the Administrator's agenda sets the agency's focus and priorities in the area of aviation safety, these are not the only areas of activity undertaken by AVR and its organizational components. All AVR performance initiatives for FY 2001 are listed in Appendix A of this plan.

C. AVR Performance Output Goals

In addition to the program effectiveness goals list above, which are by necessity medium- to long-term, AVR has established annual program output goals that enable all interested parties to see how the resources allocated to us are being expended. Table 4 provides data on the program output for FY 2001 by major end product and organizational element, as well as AVR totals.

Table 4 — Regulation and Certification FY 2001 Planned Output

	AFS	AIR	AAM	ARM	AAI	Totals
<i>Standards/Policy</i>						
FAA Directives (internal)	50	34			0	84
Federal Aviation Regs Exemptions to FAR				24 565		24 565
Airworthiness Directives		544				544
BASA IPs*	4	3				7
<i>Certification</i>						
Operator Certs	500		700			1,200
Airworthiness Certs		865				865
Airman Certs	199,000		490,000			689,000
<i>Surveillance</i>						
Accident Investigations	1,900				215	2,115
Inspections, etc.	324,100	7,502	875			332,477

*Bilateral Aviation Safety Agreement Implementation Procedures

The end product counts in Table 4 do not represent all the work done in AVR in a given year, but only those actions that, when completed, have a direct impact on our customers, both internal to the FAA and external to the agency.

VI. AVR's Role in other FAA Performance Goals

Regulation and Certification does not work in isolation from the other FAA lines of business. In particular, AVR's Flight Standards Service has been providing support to the Air Traffic Services Runway Incursion Program Office since April 1998. The reduction of runway incursions is the only Safer Skies initiative that is not the primary responsibility of AVR.

VII. AVR Resource Requirements and Allocations

A. Technical Training

Civil aviation is not a static industry. Commercial aviation continues to grow. Every aspect of the aviation market is becoming increasingly more global. Technological advances are progressing at an ever-increasing pace. To keep abreast of this dynamic industry and meet the organizational mission performance goals, AVR needs to ensure that: its work force maintains its technical proficiency; it has equipped that work force with the tools it needs to perform its mission effectively and efficiently; and, it has the proper mix of skills, knowledge, and ability in its work force to do the work assigned to it.

Technical training can be divided into three general areas. Operationally essential training enables AVR to maintain the skills and knowledge of its work force. The AVR safety critical work force was hired because these individuals possessed the skills and knowledge required to perform their critical oversight function. Over time it is necessary to update that knowledge and refresh those skills, whether it be initial and recurrent flight training, aircraft systems training, or emerging technology training. Continued operational safety oversight of the industry requires the work force to have up-to-date

knowledge and skills to perform their jobs effectively and maintain the respect of the industry, which they must oversee on a daily basis. Current knowledge and skills are also critical to accomplishment of the AVR performance goals. Without them our work force will not be able to assess the merits of new safety initiatives or properly oversee their implementation.

New hire training is necessary to introduce new safety critical employees to their responsibilities as FAA employees responsible for industry oversight; to obtain their credentials, if the position requires that; and to meet basic journeyman level job requirements. Finally, training is required to fully exploit the new tools developed to assist the work force in performing its job in the most effective and efficient ways possible.

B. Information Resource Management

1. Information Security: The AVR Information Systems Security Program is mandated by PDD 63. This initiative involves several activities for assessing risks and generating and implementing a security plan for a web-enabled distributed system for critical AVR systems. Appropriate countermeasures have to be designed and implemented. Maintenance of implemented methods and system components has been provided. It is essential that AVR information systems infrastructure provide a secure distributed system to ensure acceptance by industry and FAA users, particularly in crucial areas such as secure transmissions, server security, user authentication, session security, and protection against system damages (e.g., virus protection, denial-of-service attacks, firewalls and proxies, etc.).

2. Major Systems Development and Maintenance: AVR employs a number of complex automated data processing systems that are critical tools in support of its employees' ability to perform the tasks for which they are responsible. Some of the most prominent existing and new systems are identified below.

The Air Transportation Oversight System (ATOS) is a new systems approach to safety oversight of air transport operators. It incorporates a team approach to operator certification, establishes a surveillance planning process, and targets resources based on critical safety factors. It is heavily dependent on automation.

The Safety Performance Analysis System (SPAS) is an analytical tool used by Aviation Safety Inspectors for monitoring and evaluating air operators, air agencies, aircraft, and air personnel. In FY 2001 this system will continue to be enhanced and its accessibility and usefulness to Aviation Safety Inspectors expanded.

The Aviation Safety Analysis System (ASAS) is a technology development program comprised of a multitude of safety subsystems that provide the mission critical information and tools that enable the AVR work force to perform its diverse responsibilities. The information databases and automation tools are essential for effective integration and management to meet AVR's safety oversight responsibilities. Examples of some of the subsystems under ASAS are briefly discussed below.

The FAA policy to encourage the voluntary implementation of airline flight operations quality assurance programs (FOQA) has been very successful. Rulemaking is underway to broaden the level of participation. However, to exploit the safety potential of these FOQA programs fully, the FAA needs the capability to acquire trend data from the airlines for integration with other safety analysis information. The Integrated Flight Quality Assurance project will provide the FAA with

the means to acquire and monitor FOQA trend data from airlines, and when corrective action is initiated, to determine whether, and to what extent, it was effective.

The FAA regulatory community in Headquarters and the Aircraft Certification Service's four directorates prepare and track regulatory documents uses the Integrated Rulemaking Management Information System (IRMIS). During this fiscal year plans call for developing Aviation Rulemaking Advisory Committee (ARAC) functionality and management reporting features.

The Operations Specifications Subsystem (OPPS) generates the documents specifying Code of Federal Regulation (CFR) policies and rules governing all aspects of the aviation industry. This provides on-line electronic signature to air carriers and inspectors saving mail time, travel time, or both for the timely approval of air carrier operations specific ations.

The Regulatory Guidance Library (RGL) is an automated repository and reference system for corporate knowledge including safety regulations, policy, guidance, certification findings, and all current Type Certificate Data Sheets (TCDS). This system provides significant timesaving for the technical staff. It allows discrepancies between the Code of Federal Regulations and the Federal Aviation Regulations publications to be clearly identified, permitting decision-making for future actions. Historical changes in the rules can now be easily tracked since each rule change, by date and by section are electronically available.

The Parts Reporting System (PRS) is a national database designed to facilitate the investigation of suspected unapproved parts and track aviation trends. PRS facilitates suspected unapproved parts investigations, provides management with a tracking mechanism for information on aviation trends and all investigation cases, automates the required coordination of all parties involved in processing suspected unapproved parts, and, expedites the transmission and sharing of reliable aviation safety data.

The Online Aviation Safety Inspection System (OASIS) provides automation tools, at virtually any location, and associated training to the Aviation Safety Inspectors (ASIs) that allow them to perform their certification, inspection, and surveillance tasks more effectively and efficiently. Using OASIS, ASIs are able to electronically record inspection activities, researching and retrieving regulations, guidance, certification, and other safety data; tracking potential and actual violations of safety standards; and making timely decisions. It improves data quality through real time data entry.

3. Infrastructure and Local Area Networks (LAN): AVR automation systems, including those listed above, are supported by an AVR infrastructure that includes distributed, centrally managed data base servers, a wide-area network (WAN), and local area networks (LAN) at approximately 120 AVR sites. This infrastructure provides the entry point for inspectors, engineers, and administrative personnel into a wealth of information and data that helps them fulfill their mission in the most efficient and effective manner. This infrastructure provides quick, timely, and secure access to information that helps AVR personnel and contractors support the overall mission of AVR and the FAA. The infrastructure is also a part of the overall automation tool that helps AVR communicate with and receive feedback from its external and internal customers. AVR also maintains laboratories for the testing and evaluation of applications before they are deployed to a live environment in the field.

C. Resource Distribution

Chart 4 represents the AVR Operations resource allocation for FY 2001. The information is displayed by AVR product/service line. While the total amount is accurate, the breakdown by product/service line is an estimation. Lacking a cost allocation system at this time, it is not yet possible to provide highly accurate cost figures by individual end product. The FAA is in the process of developing a costing system, which will enable us, not only to project future costs, but track actual costs by end product.

Chart 4
AVR Resources by Product/Service Category

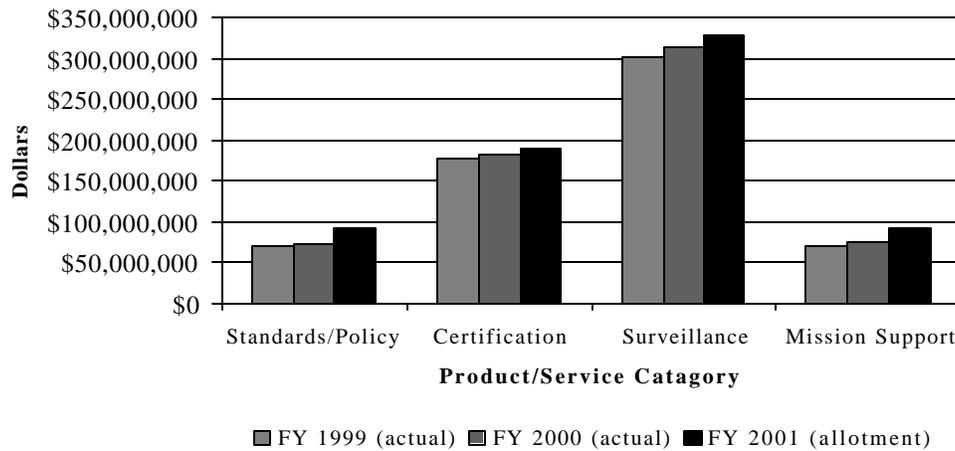
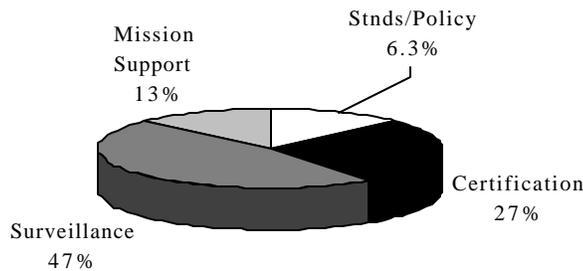


Chart 5 focuses on the operational funds allocated for Regulation and Certification in the Fiscal 2001 appropriation. AVR’s total operational budget allotment for FY 2001 is \$700.4. The Facilities and Equipment budget is \$138.7, which supports mission-critical automated systems. The AVR Research, Engineering, and Development (R,E,&D) funding for FY 2001 is \$78.8. Approximately 80 percent of the R,E,&D dollars are directed at aircraft safety research and 20 percent are earmarked for human factors and aviation medical research.

Chart 5
FY 2001 Resources by Product/Service Category



Appendix A

	FY '01 Due Date	FY '02 Due Date
<p align="center">Safer Skies - Commercial Aviation</p> <p>In partnership with industry, Safer Skies uses the latest technology to help analyze U.S. and global data to find the primary causes of accidents and determine the best actions to break the chain of events that lead to accidents.</p>		
<p>Uncontained Engine Failure</p> <ul style="list-style-type: none"> – Publish Airworthiness Directive (AD) Notices of Proposed Rulemaking (NPRM) that proposed enhanced inspections of LPT and compressor priority parts 	09/2001	
<ul style="list-style-type: none"> – Issue AC material that incorporates enhanced inspection methodology into the design approval process 	06/2001	
<ul style="list-style-type: none"> – Monitor performance-based uncontained engine failure data to track progress 	09/2001	2002
<p>Controlled Flight Into Terrain</p> <ul style="list-style-type: none"> – Reference SOP Template and AC in Crew Resource Management (CRM) AC 120-51C revision 	10/2000	
<ul style="list-style-type: none"> – Develop criteria to provide for Area Navigation/Required Navigation Performance public use instrument approach procedures. 	12/2000	
<ul style="list-style-type: none"> – Publish TAWS airworthiness criteria AC for FAR Part 25 aircraft. 	03/2001	
<p>Approach and Landing</p> <ul style="list-style-type: none"> – CFIT/Approach & Landing Accident Reduction JSIT develops Detailed Implementation Plans for ALAR JSAT interventions. 	12/2000	
<ul style="list-style-type: none"> – Implementation plan to educate FAA Safety Inspectors, Check Airmen, and Designated Examiners on use of advanced precision approach procedures. 	04/2001	
<ul style="list-style-type: none"> – Develop FOQA analytical tool 	05/2001	
<p>Loss of Control</p> <ul style="list-style-type: none"> – Joint Government/industry approval of interventions Commercial Aviation Safety Team (CAST) 	10/2000	
<ul style="list-style-type: none"> – Loss of Control JSIT determines feasibility and prioritizes interventions. Develop metric to measure success. 	09/2001	
<ul style="list-style-type: none"> – Loss of Control JSIT develops Detailed Implementation Plans for selected interventions for Loss of Control JSAT interventions. 		03/2002

<p align="center">Safer Skies - General Aviation</p> <p>In partnership with industry, Safer Skies uses the latest technology to help analyze U.S. data to find the primary causes of accidents and determine the best actions to break the chain of events that lead to accidents.</p>		
<p>Controlled Flight Into Terrain</p> <ul style="list-style-type: none"> – Publish simplified certification and installation guidance for manufacture and avionics installers. 	2001	2002
<ul style="list-style-type: none"> – Issue a new AC and revise AC 61-98A, Biennial Flight Review, to enhance CFIT training 	2001	2002
<ul style="list-style-type: none"> – Establish a GA Safety Council to coordinate training and educational programs for general aviation. 	2001	2002
<p>Weather</p> <ul style="list-style-type: none"> – Develop a “model” Flight Operations Manual to assist pilots in assessing weather risks and avoiding or coping with weather hazards. 	2001	2002
<ul style="list-style-type: none"> – Issue guidance to evaluate the application of advanced weather products. 	2001	
<ul style="list-style-type: none"> – Revise Pilot Proficiency Wings program to include use of weather related scenarios. 	2001	
<p>Aeronautical Decision-making</p> <ul style="list-style-type: none"> – The Joint Steering Committee (JSC) will charter the Aeronautical Decision-making Joint Safety Analysis Team (JSAT). 	5/31/01	

Other Fiscal Year 2001 performance initiatives	OPR
<p>Initiative 1: Annually, the FAA will participate in the investigation of all major accidents involving Part 121 and Part 135 aircraft. Additionally, the agency will investigate at least 85 percent of all general aviation accidents and at least 90 percent of fatal general aviation accidents.</p>	AAI
<p>Initiative 2: Annually, the FAA will take those actions necessary to ensure that at least 85 percent of all open National Transportation Safety Board (NTSB) safety recommendations are in an “acceptable status,” and that at least 65 percent of all FAA safety recommendations are classified as “acceptable.”</p>	AAI
<p>Initiative 3: Annually, the FAA will inspect and monitor the industry to promote that safety sensitive aviation industry employees who fail random tests will be less than one percent (1%) for drugs and less than one-half of one percent (0.5%) for alcohol.</p>	AAM
<p>Initiative 4: By October 31, 2001, complete rulemaking to establish new ratings and training requirements for aviation maintenance personnel.</p>	AFS
<p>Initiative 5: By December 29, 2000, complete deployment of new operational data servers and inspector workstations.</p>	AFS
<p>Initiative 6: By February 28, 2001, provide all SPAS-qualified safety inspectors and managers with SPAS enhancement training to assist them to use new and improved resource targeting tools.</p>	AFS

Other Fiscal Year 2001 performance initiatives	OPR
Initiative 7: By April 30, 2001, the Aging Transport System Rulemaking Advisory Committee will develop and send to the FAA their recommendation for a model training program for aging systems maintenance.	AIR
Initiative 8: By March 30, 2001, achieve ADA/AOA concurrence on the fuel tank regulatory changes final rule.	AIR
Initiative 9: By September 28, 2001, implement the use of a data driven approach to quality assurance in AQP pilot training programs in at least five major air carriers.	AFS
Initiative 10: By September 28, 2001, establish an initial operating capability for a FAA FOQA data acquisition and trend analysis system.	AFS
Initiative 11: By September 28, 2001, distribute on Clearance Record a draft ARAC Harmonized revision to rule 33.14 and AC 33.14, which incorporates damage tolerant design and manufacturing control requirements for aircraft engine critical parts.	AIR
Initiative 12: By September 28, 2001, issue the final rule governing protection of voluntarily submitted information.	ARM
Initiative 13: By September 28, 2001, publish in the Federal Register, proposed human factors policy for Part 23 airplanes, consistent with ongoing transport and rotorcraft development activities.	AIR
Initiative 14: Increase general aviation partnership initiatives through, for example, working with Embry-Riddle Aeronautical University on the Advanced General Aviation Transport Experiment (AGATE) combined curriculum for private pilot and instrument ratings.	AFS
Initiative 15: By September 28, 2001, complete rulemaking reform by improving internal efficiency of the rulemaking and exemption processes and responsiveness to the public through the use of automation and process improvement.	ARM
Initiative 16: By September 28, 2001, complete “Partnership for Safety Plans” with Rolls Royce Allison, Pratt Whitney & General Electric, and Learjet. Complete “Partnership for Safety Certification Plans” for the Gulfstream G IV-X and the Bell Agusta 609.	AIR

Appendix B

AVR Primary End Products and their Definitions

STANDARDS AND POLICY:

1. **FAA Directives** — Guidance/orders primarily intended to govern a process or procedure required by law or regulation and under the responsibility of AVR to oversee/enforce. These directives can apply to FAA and external entities.
2. **Federal Aviation Regulations (FAR)** — National aviation policies, standards, procedures, and/or criteria which are legally binding on the civil aviation community operating within or into the United States. This includes **Exemptions** issued to existing FAR.
3. **Airworthiness Directives** — A class of documents having the same legal standing as a FAR, but more specific in subject matter and more limited in scope.
4. **Bilateral Aviation Safety Agreements (BASA) Implementation Procedures (IPS)** — Procedures between the FAA and another civil aviation authority under a Bilateral Aviation Safety Agreement.

CERTIFICATION:

1. **Airmen Certification** — Skills and/or medical examination of an applicant to determine whether he or she meets the qualifications needed to acquire the type of certification sought.
2. **Operator Certification** — The methodical process by which an applicant for a certificate as an air carrier, air agency, or aviation maintenance facility must successfully complete.
3. **Airworthiness Certification** — The complex process by which the design, production quality, and airworthiness of aeronautical products are deemed to meet established aviation safety standards.

SURVEILLANCE:

1. **Accident Investigations** — The systematic assessment and identification of causal factors and safety issues pertaining to an aviation accident.
2. **Inspections/Evaluations/Audits** — A systematic process conducted by an individual or group of individuals specifically trained and authorized to assess regulatory compliance.

MISSION SUPPORT:

1. **Information** — The systematic collection, analysis, and dissemination of safety-related and other aviation-related data and material by various methods.
2. **Education** — The formal presentation of aviation safety awareness training to various interested groups.
3. **Research** — The scientific study and investigation of aviation related issues.
4. **Medical Support Services** — A wide range of health-related services provided to FAA employees to meet job requirements or for their general well being.
5. **Technical/Professional Training** — Formal instruction, with specifically designed objectives, provided to FAA employees and outside parties to enable them to perform their job duties and responsibilities or improve their job performance.
6. **Management of the Rulemaking Program** — Support for the processes required to develop and publish proposed new, or amended, Federal Aviation Regulations and Airworthiness Directives. This includes petitions for exemptions.

Appendix C

AVR Customers

Product/ Service Line	Delivery Mechanism	Designees	ATCS's	FAA Employees &/or Their Reps	Airmen/Crewmembers	Air Agencies	NTSB	Operators	Airports	Flying Public/Consumer & Public Interest Grps	Congress	Other Govt. Agencies	Aircraft Manufacturers/Supplie	Int'l Aviation Authorities	Foreign Govt.	Industry/Advocacy	FAA/DOT Orgs.	Educational Institutions
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Standards/ Policy	Rulemaking procedures (including exemptions & ARAC)	X	X	X	X	X		X	X	X		X	X	X	X	X	X	
	Advisory circulars (AC's)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Handbooks (directives)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Airworthiness Directives (AD)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Medical Guideline Letters (MGL)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Bilateral agreements and memorandums of understanding (MOU)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Standardization meetings, memos, and correspondence (internal)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Technical standard orders (TSO)	X	X	X	X	X		X	X	X		X	X	X	X		X	
	Operations specifications (Ops Specs)	X	X	X	X	X		X	X	X		X	X	X	X		X	

Certification	Designees (Delegation Systems)	X	X	X	X	X		X				X	X		X		X	
	Special issuances	X	X	X	X	X		X				X	X		X		X	
	Examinations (e.g., written test, medical, and hands-on examinations of ATCS's)	X	X	X	X	X		X				X	X		X		X	
	Approvals (e.g., design, production, drug testing, ops specs, and TSO)	X	X	X	X	X		X				X	X		X		X	
	Bilateral agreements	X	X	X	X	X		X				X	X		X		X	
	Clinics (physicians, occupational health nurses)	X	X	X	X	X		X				X	X		X		X	
	Technical work force (e.g., inspectors, engineers, physicians)	X	X	X	X	X		X				X	X		X		X	

Product/ Service	Delivery Mechanism	Designees	ATCS's	FAA Employees &/or Their Reps	Airmen/Crewmembers	Air Agencies	NTSB	Operators	Airports	Flying Public/consumer & Public Interest Grps	Congress	Other Govt. Agencies	Aircraft Manufacturers/Supplie	Int'l Aviation Authorities	Foreign Govt.	Industry/Advocacy	FAA/DOT Orgs.	Educational Institutions
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Surveillance	Inspections	X	X	X	X	X		X				X	X		X		X	
	Testing	X	X	X	X	X		X				X	X		X		X	
	Trend analyses (PTRS, ACSEP)	X	X	X	X	X		X				X	X		X		X	
	Financial and labor-management conditions	X	X	X	X	X		X				X	X		X		X	
	Audits, evaluations, and special inspections	X	X	X	X	X		X				X	X		X		X	
	Operator & manufacturer internal evaluations	X	X	X	X	X		X				X	X		X		X	
	Service difficulty reports (SDR)	X	X	X	X	X		X				X	X		X		X	
	Hotline public complaints	X	X	X	X	X		X				X	X		X		X	
	Enforcement actions	X	X	X	X	X		X				X	X		X		X	
	Employee drug testing	X	X	X	X	X		X				X	X		X		X	
	Accident Investigations						X								X		X	

Mission Support Education	Seminars, workshops, and clinics	X	X	X	X	X		X		X		X		X	X		X	
	Technical & professional training	X	X	X	X	X	X	X				X	X	X	X		X	X
	Special events	X		X	X	X		X	X	X		X	X	X	X			
	Publications (e.g., in magazines, scientific and research papers, and the Federal Register)	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X
	Health awareness			X														

Mission Support Information	Information systems (e.g., SUPS, ACSEP, AIDS, SDR, EIS, AFARS, AES, AMCS, Registry, electronic bulletin boards)	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Briefings	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Publications	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Congressional and public hearings and reports					X			X	X	X					X	X	
	Certified true copies of records (e.g., licenses, registration, medical)				X	X	X			X	X	X	X		X		X	

Product/ Service	Delivery Mechanism	Designees	ATCS's	FAA Employees &/or Their Reps	Airmen/Crewmembers	Air Agencies	NTSB	Operators	Airports	Flying Public/Consumer & Public Interest Grps	Congress	Other Govt. Agencies	Aircraft Manufacturers/Supplie	Int'l Aviation Authorities	Foreign Govt.	Industry/Advocacy	FAA/DOT Orgs.	Educational Institutions
Mission Support Research	Sponsoring research						X			X	X	X	X	X			X	
	Conducting and/or contracting for research						X			X	X	X	X	X			X	X
	Promoting research					X		X					X	X			X	X
Mission Support Medical Services	Clinics (physicians, occupational health nurses) & counseling			X														
	Contracting for medical/health services			X														
	Sponsoring third-party services			X														
	Wellness			X														
Mission Support Regulatory Program	Regulatory teams																	X
	Rulemaking and ARAC procedures					X				X			X	X		X	X	
	Regulatory agenda			X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Weekly rulemaking report																	X
	Weekly rulemaking meetings																	X
	ARAC charter					X				X	X	X	X	X		X	X	
	ARAC executive committee					X				X	X		X	X		X	X	
	ARAC working groups	X			X	X	X	X	X	X		X	X	X		X	X	
	ARAC task groups	X			X	X	X	X	X	X		X	X	X		X	X	
	Steering Committee – Rulemaking Management Council																	X
	Aging Transport Rulemaking Advisory Committee																	X
	Regulatory Reform																	X

Appendix D

Safety Critical Work Force
(End-of-Year Employment)

	FY 1998 Actual	FY 1999 Actual	FY 2000 Actual	FY 2001 Estimated
<u>Flight Standards</u>				
Operations Inspectors	1,524	1,417	1,352	1,415
Airworthiness Inspectors	1,775	1,739	1,720	1,782
Cabin Safety Inspectors		30	32	32
Washington/Regional Inspectors	270	262	260	260
Total Inspectors	3,569	3,448	3,364	3,489
Field Safety Support	720	691	632	653
Sub-total Safety Critical	4,289	4,139	3,996	4,142
Operational Support	465	466	458	488
Total Flight Standards	4,754	4,605	4,454	4,630
<u>Aircraft Certification</u>				
Manufacturing Inspectors	186	181	181	186
Engineers/Pilots/National Resource Specialists	514	484	487	511
Safety Related Technical Support	141	147	151	151
Sub-total Safety Critical	841	812	819	848
Operational Support	210	197	201	200
Total Aircraft Certification	1,051	1,009	1,020	1,048
<u>Suspected Unapproved Parts</u>				
Safety Inspectors	11	10	10	11
Total Work Force	5,816	5,624	5,484	5,689

Appendix E

Details on AVR Performance Effectiveness Measures

Air Carrier Fatal Accident Rate

Measure:	Number of fatal accidents per 100,000 departures
Scope:	This measure includes both scheduled and nonscheduled flights of large U.S. air carriers (FAR Part 121) and commuter airlines (FAR Part 135). It excludes on-demand (i.e., air taxi) service and general aviation.
Source:	Part 121 and Part 135 flight hour data is submitted to BTS under FAR Parts 241 and 298, respectively. NTSB provides accident data.
Baseline:	The average of all FAR Parts 121 and 135 fatal accidents for the three years from 1994 through 1996 is 0.051 per 100,000 departures.
Limitations:	The fatal accident rate in these categories is small and could significantly fluctuate from year to year by the occurrence or non-occurrence of a single accident. Use of an average over a number of years smoothes the fluctuation.
Verification & Validation:	The FAA does comparison checking of the departures reported to BTS with hours reported on the Air Carrier Utilization Reports. NTSB and FAA's Office of Accident Investigation meet regularly to validate the accident count.
Comment:	

General aviation fatal accidents

Measure	Number of fatal accidents
Scope:	The goal includes on-demand (non-scheduled FAR Part 135) and general aviation. General aviation comprises a diverse range of aviation activities. The types of general aviation aircraft include single-seat homebuilt aircraft, helicopters, balloons, single and multiple engine land and seaplanes including highly sophisticated extended range turbojets.
Source:	The National Transportation Safety Board (NTSB) provides the accident data. General aviation flight hours are projected based on responses to a voluntary annual general aviation and air taxi survey. This survey is conducted by the FAA's Office of Policy and Plans.
Baseline:	The average of all fatal accidents for General Aviation and on-demand FAR Part 135 aircraft for the three years from 1996 to 1998 is 379. Projection of activity growth is based on the FAA annual General Aviation projections. The most recent projection of future activity in this area is a 1.6% increase annually for the next ten years.
Limitations:	The use of the most recent three-year period for the baseline represents one of the safest periods in general aviation history in terms of a decline in fatal accidents.
Verification & Validation:	NTSB and the FAA's Office of Accident Investigation meet regularly to validate the accident count. The validation of survey data is limited and the accuracy of the data is highly suspect.
Comment:	General aviation flight hours are based on an annual survey conducted by the FAA. Response to the survey is voluntary. The accuracy of the flight hours collected is suspect and there is no readily available way to verify or validate the data. For this reason, the General Aviation community is unwilling to use a rate measure until the validity and reliability of the survey data can be assured. This goal is a compromise that attempts to minimize the inherent inaccuracy of flight hour data.