

FAA Integrated Oversight Philosophy Frequently Asked Questions

1. What is the purpose of this Order?

This order sets forth the Federal Aviation Administration Integrated Oversight Philosophy as the core set of principles for evolving the FAA's safety oversight systems. Implementation of these principles is key to supporting the FAA Risk-Based Decision Making (RBDM) Strategic Initiative and ensuring that the FAA meets the challenges of a rapidly evolving U.S. aerospace system.

2. What is the FAA Risk-Based Decision Making (RBDM) Strategic Initiative?

The RBDM Strategic Initiative leverages the use of consistent, data-informed approaches to enable the FAA to make smarter, system-level, risk-based decisions. RBDM emphasizes the review of safety data to integrate risk into a decision making processes; enabling informed decision making. The FAA is evolving its business processes to a risk-based model to better target oversight resources.

3. What do we mean by oversight?

Oversight is a function performed by the FAA that assures that an aviation organization or designee complies with and uses safety-related standards, regulations, and associated procedures.

4. Why is the FAA creating the FAA Integrated Oversight Philosophy?

FAA oversight is evolving to a risk management based approach that embraces many interdependent principles, including RBDM, safety management systems (SMS), Compliance Philosophy, and voluntary safety reporting programs. Oversight is an integral part of the FAA's safety culture. Evolving FAA oversight programs to better implement these principles supports the FAA's movement toward a safety management framework that collectively helps to define our safety culture.

5. How is our safety culture related to the FAA Integrated Oversight Philosophy?

The FAA safety culture also influences how we conduct oversight. The FAA's safety culture expects that regulated persons appreciate the value of self-disclosing both regulatory and non-regulatory safety issues. It allows for consideration of unintentional errors and creates a non-punitive environment, where errors are reported without fear of reprisal. This also allows the certificate and non-certificate holders, and the FAA to work together to ensure the corrective action is appropriate and will address the root cause(s) for safety issues. The FAA will continue to evolve its safety culture to support a transparent exchange of information, mutual cooperation, collaboration, critical thinking, and trust.

6. Does the FAA Integrated Oversight Philosophy incorporate the concepts of safety management systems (SMS)?

Yes. SMS is the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk. Within SMS, Safety Risk Management and Safety Assurance processes work together to enable interoperability among SMSs. Safety Assurance includes oversight processes and provides a common approach for conducting oversight.

7. How is the FAA Integrated Oversight Philosophy related to the FAA Compliance Philosophy?

The [FAA Compliance Philosophy, FAA Order 8000.373](#), is an integral part of the FAA's philosophical approach to oversight and the first step in the FAA's culture shift to use safety management principles to proactively address emerging safety risks. The FAA's intent is to work with regulated persons to identify and correct underlying causes that led to a noncompliance and to ensure future compliance. Compliance Philosophy represents a focus on non-enforcement methods for correcting unintentional noncompliance, but will continue to use enforcement when needed. The FAA Integrated Oversight Philosophy references the FAA Compliance Philosophy and requires that it be incorporated in all FAA oversight systems.

8. What do we mean when we talk about duplicative activities and integrated oversight?

Duplicative oversight activities occur when two or more FAA offices perform a function that is substantially similar (but not necessarily identical). For example, separate FAA offices inspecting a certificate holder's training records might be considered duplicative activities—even if the training records are for separate operational functions—if it causes the certificate holder to have repeated similar interactions with different FAA offices. Duplicative activities are not redundant activities; they are necessary oversight activities with enough similarities that the FAA may be able to find some operational efficiency that will benefit the FAA and the regulated entity. Duplicative activities have been recognized across the agency. With improved integration, coordination, and collaboration—both within and between oversight organizations—duplicative activities can be reduced to resolve unnecessary burden that may be imposed on FAA and industry resources.

Duplicative activities are not limited to oversight. A number of information technology (IT) tools have been developed, or are being developed, along parallel tracks, providing opportunity for integration and/or collaborative use of IT tools. Increased integration and analysis of oversight IT tools would be beneficial in providing a holistic view of hazard trends and priorities, as well as in sharing data/information between IT tools.

9. Does standardized oversight mean a one-size-fits-all approach to oversight (i.e., a single oversight system for all LOB's)?

No. The FAA recognizes that no single oversight system can assure the effectiveness of risk controls for all the diverse operational environments; however, oversight systems do have core attributes that

are universally applicable. The FAA Integrated Oversight Philosophy lists the attributes that all FAA oversight systems must incorporate (when applicable).

10. What will the FAA accomplish by publishing this order?

By incorporating core attributes into our oversight systems the FAA will:

- Improve consistency, internal collaboration, coordination, and communication across FAA organizations to project an image as a single, unified agency;
- Be risk based and support critical thinking and informed decision making;
- Employ a standard oversight system that incorporates the requirements of FAA Order 8000.369, *Safety Management Systems*;
- Foster a proactive approach to safety management that allows for product/service; providers to develop processes to identify and disclose safety risks, prevent regulatory non-compliance, and ensure systemic fixes are implemented when regulatory non-compliance exists;
- Where appropriate, use non-enforcement measures for correcting unintentional regulatory noncompliance;
- Incorporate Voluntary Safety Programs;
- Reduce duplicative activities and ensure integrated oversight;
- Improve oversight data collection and analysis;
- Use standardized safety oversight terminology.

11. Who does the order apply too?

This order applies to the safety oversight programs and activities of all FAA organizations that have regulatory oversight responsibilities. These organizations include the Office of Aerospace Medicine (AAM), Flight Standards Service (AFS), Aircraft Certification Service (AIR), Air Traffic Safety Oversight Service (AOV), Office of Airports (ARP), Office of Security and Hazardous Materials Safety (ASH), and Office of Commercial Space Transportation (AST).

12. Where Can I Find This Order.

You can find this order on the MyFAA Employee Web site:

https://employees.faa.gov/tools_resources/orders_notices/. This order is available to the public at http://www.faa.gov/regulations_policies/orders_notices/.

13. Will the LOB/SOs be required to take training of any kind to adopt the Integrated Oversight Philosophy?

Training is not required at this time. However, communication and familiarization with the Integrated Oversight Philosophy should be performed at the LOB/SO level to ensure an understanding of the standardized attributes that are required of each organization.

14. What are the next steps for the FAA Integrated Oversight Philosophy?

Individual FAA oversight organizations have already begun gap analyses to compare their existing policies, procedures, and tools with the requirements of the FAA Integrated Oversight Philosophy. Once the gaps are identified and the Order is published, oversight organizations will begin the process of aligning their policy with the Order. After this alignment is complete, oversight organizations will start the phased implementation of the Integrated Oversight Philosophy. This final step could take several years for the larger, more complex, oversight organizations.