

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

N 1100.327

National Policy

Effective Date:
11/23/09

Cancellation Date:
11/23/10

SUBJ: Establishment of the Office of Accident Investigation and Prevention

1. Purpose of This Notice. This notice establishes the Office of Accident Investigation and Prevention (AVP). The office is headed by the Director and Deputy Director of Accident Investigation and Prevention (AVP-1) and reports to the Associate and Deputy Associate Administrators of Aviation Safety (AVS-1 and 2).

2. Audience. This notice is distributed to the branch level within the Aviation Safety (AVS) line of business with distribution to all AVS field offices. An informational copy will be provided to all Federal Aviation Administration (FAA) Associate and Assistant Administrators.

3. Where Can I Find This Notice? The notice is available on the MYFAA employee website at https://employees.faa.gov/tools_resources/orders_notices/.

4. Reasons for Creating the Office of Accident Investigation and Prevention.

a. The Office of Accident Investigation and Prevention (AVP) brings together the Office of Accident Investigation (AAI) and the Office of Aviation Safety Analytical Services (ASA) into a single office. The office performs short term analysis and studies to support the Associate Administrator and the offices and services within AVS.

b. The Office of Accident Investigation promotes safety by investigating aviation accidents and incidents so as to detect unsafe conditions and trends in the National Airspace System and to coordinate the corrective action process, performs accident and incident data analysis, acts as the primary point of contact between the FAA and the National Transportation Safety Board (NTSB), manages the NTSB Recommendations Program, the FAA Safety Recommendations Program, and operates the FAA Flight Data Laboratory. The Office of Aviation Safety Analytical Services promotes safety by establishing a world-class analytical capability based on safety management system (SMS) principles and sound safety data/information analysis and sharing processes, incorporating future hazard/emerging risk assessment.

5. Mission. AVP's organizational mission is to establish in AVS an integrated investigation and analytical capability based on SMS principles and sound safety investigative data/information analysis and sharing processes. The new organization will leverage skill sets and talents of some

of the leading AVS experts to more effectively address current and emerging risks through a combination of forensic and diagnostic tools along with more prognostic and/or predictive approaches. The Office will use data from accident/incident investigations, historical accident/incident analysis and voluntarily submitted information sources such as Aviation Safety Action Programs (ASAP) and Flight Operational Quality Assurance (FOQA) as well as conduct major investigations and maintain Agency policy for accident and incident investigation. The Office will manage the processes that address the NTSB and the FAA Safety Recommendations. The Office will strengthen management of AVS safety programs by providing the AVS Management Team (AVSMT) and AVS services and offices with safety risk analysis on high priority safety issues.

Note: Appendix A contains an organizational chart of the organization. There are no field elements to this organization.

6. Functions. The Office of Accident Investigation and Prevention will consist of the following four divisions:

a. Accident Investigation Division.

(1) Serves as focal point for the Administrator in coordination with the public, aviation industry, military, foreign governments, and representatives of accident investigation interests on those matters under the direct purview of the office.

(2) Apprises Associate and Assistant Administrators, regions, centers, and other FAA organizations on safety issues and programs related to accident and incident investigation findings and analyses.

(3) Develops, coordinates, manages, and evaluates FAA accident investigation program policies, procedures, practices, and quality assurance program.

(4) Serves as the primary FAA organization for interaction with the NTSB.

(5) Identifies and provides the FAA investigator-in-charge (IIC) for major accident and incident investigations.

(6) Operates the FAA Accident Investigation Duty Room.

(7) Operates the FAA Flight Data Laboratory.

(8) Administers responses to frequently asked questions routed to AVP from the FAA's website.

b. Safety Analytical Services Division.

(1) Provides the AVSMT and AVS services and offices with safety analysis on high priority safety issues.

(2) Leads the development of an Aviation Safety Information Analysis and Sharing (ASIAS) program to accomplish the transformation from diagnostic to prognostic analysis. Transformation to a new SMS business model requires AVS to develop and implement a comprehensive safety information sharing and analysis capability—a broad multidimensional government-industry effort to enhance significantly the safety performance of the national civil aviation system through the development of state-of-the-art incident analysis methodologies, analytical tools, and sharing capabilities. The division will explore the potential for viable partnerships for access to sources of relevant data and analytical tools and methodologies throughout the aviation community. The division will work with the AVSMT, individual AVS services and offices, the Joint Planning and Development Office (JPDO) and other AVS and FAA organizations to plan the transformation to an information sharing system with prognostic capabilities.

(3) Is responsible for the operation of the AVS ASIAS Center. ASIAS operations provide the automation infrastructure, database archiving, and analytical automated tools methodologies to search and establish both a baseline and the trending capability of specific safety metrics. This includes building upon and extending existing capabilities for managing and processing flight-recorded data, textual data, air traffic control radar data, data based on statistically sound surveys, and other relevant aviation data, and new sources of information relevant to system safety. Research with each data source will enhance the managing and processing quantitative, numerical, and textual data to facilitate detection of safety risk.

(4) Leads the effort to develop the requirements for aviation safety information sharing and analysis, and SMS and aircraft centric operations across the cabinet-level agencies involved in the JPDO.

(5) Provides AVSMT and AVS services and offices with clear identification and analysis of emerging risks, and future hazards and trends in the air transportation system.

(6) Develops and implements the capability to forecast, identify, and analyze future trends and hazards as an integral part of the AVS SMS.

c. Safety Management and Research Planning Division.

(1) Provides the AVSMT and AVS services and offices with clear strategic investment strategies and plans for key safety initiatives.

(2) Establishes policy, standards, and procedures governing the development and research activities for safety data/information systems, analytical tools and methodologies, and SMS activities across the AVS enterprise.

(3) Coordinates and manages AVS-level research, engineering, and development programs with other government/industry safety initiatives (for example, Commercial Aviation Safety Team, General Aviation Joint Steering Committee, International Helicopter Safety Team, Department of Defense, MITRE, and the National Aeronautics and Space Administration.)

(4) Manages all aspects of AVS SMS including: develop strategies and plans, and manage the implementation of the new SMS business model; ensure uniform implementation of SMS across AVS Services and Offices; integrate Service/Office safety management systems into a cohesive AVS SMS; design AVS SMS; test AVS SMS processes and procedures; coordinate and integrate resources and related activities external to the program office; advise and consult with the AVSMT as the AVS organization's SMS subject matter expert; develop technical sources material and supporting SMS guidance; establish policy, standards, and procedures governing the SMS activities across the AVS enterprise; coordinate, integrate and develop SMS communication and training activities for FAA employees; support the AVS SMS Aviation Rulemaking Committee; chair the FAA SMS Committee; provide SMS outreach to FAA employees and the aviation industry; and provide SMS outreach and harmonization with ICAO and international civil aviation authorities.

(5) Establishes the analysis and assessment capability to provide AVS-1 with the risk information required by the SMS standards and good management practices. Coordinates the assessments with the appropriate FAA and industry stakeholders, but will be the final authority on the identification of hazards, risks, and recommended options.

d. Management Services and Recommendations Division.

(1) Serves as the Office lead in ensuring effective and consistent implementation of FAA or AVS-specific policy in the areas of human resources, budget, travel, training, records, space and property management, and administrative functions.

(2) Provides guidance to the Director and Deputy Director on Equal Employment Opportunity and Accountability Board issues.

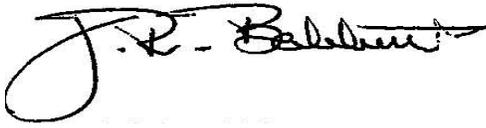
(3) Ensures the implementation of the FAA Executive Program including short term incentives and performance management.

(4) Provides guidance and support to the Accident Investigation School of the Transportation Safety Institute.

(5) Manages a system for FAA evaluation and responses to the NTSB safety recommendations and FAA safety recommendations. This includes serving as the focal point for the Agency concerning NTSB recommendations.

(6) Coordinates with and provides information to the Department of Transportation on the status of NTSB safety recommendations.

(7) Responds to congressional inquiries and develops status update reports on NTSB recommendations.

A handwritten signature in black ink, appearing to read "J. R. Babbitt", with a long horizontal stroke extending to the right.

J. Randolph Babbitt
Administrator

Appendix A. Organizational Chart
Office of Accident Investigation and Prevention

