

**CHANGE**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

FS 1100.1 CHG 31

4/17/08

SUBJ: FLIGHT STANDARDS SERVICE ORGANIZATIONAL HANDBOOK

- 1. Purpose of This Order.** This change transmits revised pages for Chapter 10, Flight Standards Certification and Surveillance Division, AFS-900.
- 2. Audience.** The audience for this order includes employees from the following services within the office of the Associate Administrator for Aviation Safety: the branch level in Washington headquarters Flight Standards Service, all regional Flight Standards divisions, and all supervisors in the Flight Standards field offices.
- 3. Where You Can Find This Order.** You can access this order through the Flight Standards Information Management System (FSIMS) at <http://fsims.avs.faa.gov>.
- 4. Explanation of Changes.**
  - a.** The Flight Standards Safety Management System (SMS) Program Office has been established to provide a central focal point for internal and external SMS policy, coordination of effort across the service, and conceptual development. The office is responsible for SMS standardization and training development.
  - b.** The functions of the Air Transportation Oversight System Certificate Management Office (ATOS CMO) have been revised to include the Certification Section, the Implementation Section, and the Continual Improvement Section.
- 5. Disposition of Transmittal.** This transmittal is to be **RETAINED AND FILED IN THE BACK OF THIS HANDBOOK** until it is superseded by a new basic order.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
v (and vi)	9/20/07	v (and vi)	4/17/08
14	9/20/07	14	4/17/08
87 (thru 94)	2/14/05	87 (thru 94)	4/17/08



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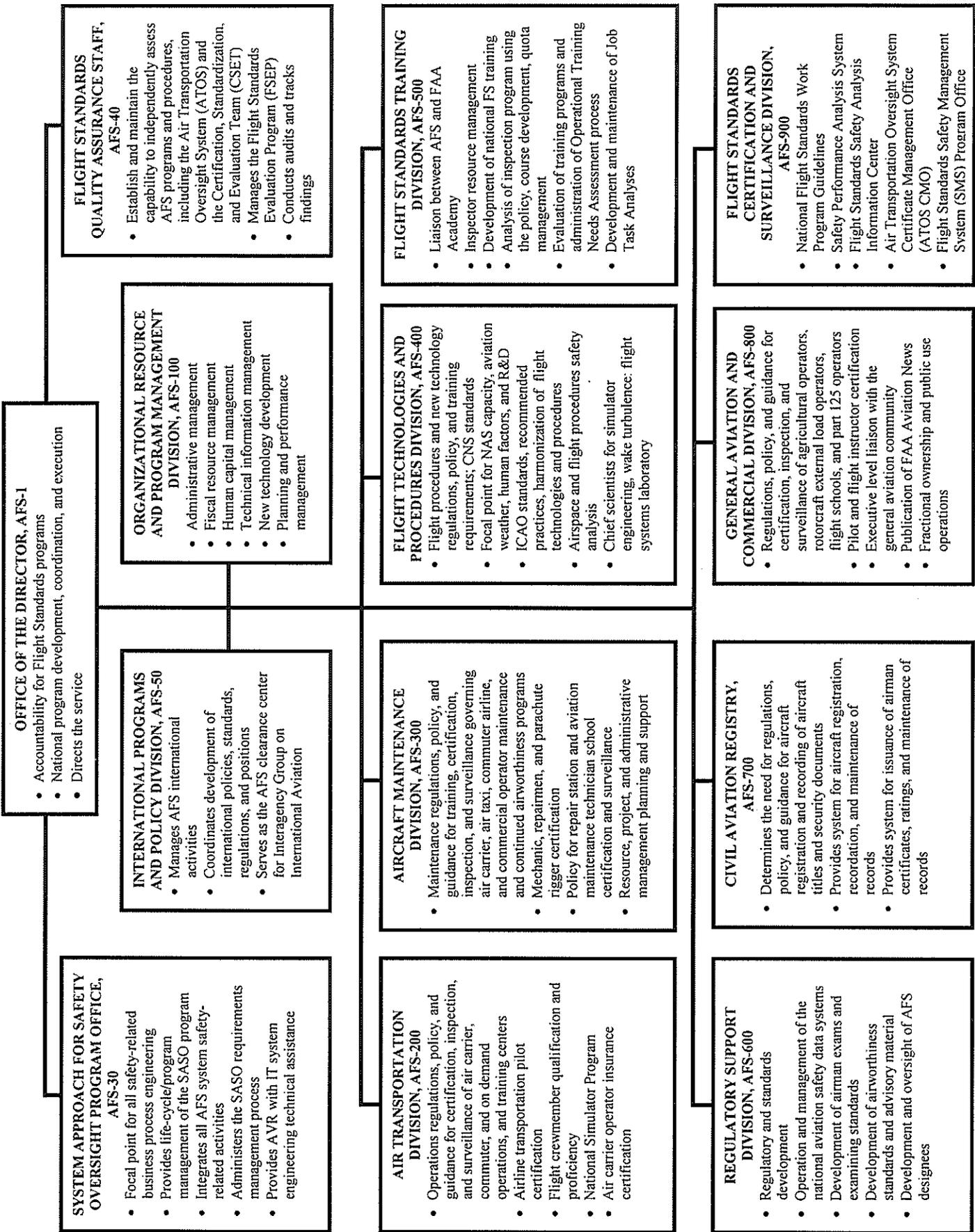
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## CHAPTER 10. FLIGHT STANDARDS CERTIFICATION AND SURVEILLANCE DIVISION, AFS-900

**1000. FLIGHT STANDARDS CERTIFICATION AND SURVEILLANCE DIVISION.** The division is responsible for designing, developing, and deploying systems that execute the Flight Standards Service's (AFS) responsibilities for certification, surveillance, and resolution of safety issues for air operators and air agencies and for surveillance of AFS designees. The division is located at Dulles, Virginia, and provides services in all regions. The division is affiliated with the Eastern Region, which serves as the "host" region. The Eastern Region's services include, but are not limited to, legal, personnel, payroll, acquisition, budgeting, and security. The functions of the division include:

- a. Designing, developing, and deploying national systems for certification, surveillance, and resolution of safety issues of air operators and air agencies and for surveillance of AFS designees.
- b. Developing national policies, procedures, work instructions, standards, training requirements, and automation requirements for the systems designed by the division.
- c. Developing management tools for resource targeting and workload prioritization to support more efficient and effective accomplishment of national work programs.
- d. Collaborating with the System Approach for Safety Oversight Program Office (SASO), AFS-30, to re-engineer certification and surveillance business processes in accordance with system safety principles and to implement change management strategies for the deployment of re-engineered business processes.
- e. Providing subject matter expertise and field support for the deployment of the systems designed and developed by the division, including assisting Flight Standards District Offices (FSDO) in processing 14 CFR part 121 applicants for air carrier operating certificates and ensuring standardization of the initial certification process.
- f. Providing subject matter expertise and supplemental resources to AFS field offices to assist in processing major changes to the scope of operations of part 121 air carriers.
- g. Developing directives to guide AFS regional, field, and district offices in operational evaluation and analysis of special-emphasis safety programs for air operators, air agencies, and AFS designees.
- h. Developing directives to guide AFS regional, field, and district offices in operational evaluation and analysis of the implementation and effectiveness of policy and procedures developed by the division.
- i. Providing analytical support, management of safety data, examination of safety data for trends, and dissemination of safety information for the AFS community.
- j. Providing policy and guidance on AFS internal and external Safety Management Systems (SMS) requirements and interface.
- k. Interfacing with the Aviation Safety (AVS) SMS Working Group and ensuring alignment of AFS SMS concept development with AVS SMS doctrine and standards.

**1001. PROGRAM MANAGEMENT BRANCH.** This branch, AFS-905, provides administrative management and resource needs including, fiscal management, personnel administration, performance management, labor relations, compensation, training and employee development, office services, directives, reports, and records management, recognition and awards, and logistical support.

**1002. FLIGHT STANDARDS SAFETY ANALYSIS INFORMATION CENTER (FSAIC).** The FSAIC provides analytical products and risk assessment tools to the Air Transportation Oversight System Certificate Management Office (ATOS CMO), Certificate Management Team (CMT) personnel, regions, field offices, and FAA headquarters. In addition, FSAIC develops analytical techniques, provides identification and analysis of aviation safety data for trends, and dissemination of aviation safety data to FSDOs, and other internal and external customers to AFS. Functions of the FSAIC include:

a. Management of the Safety Performance Analysis System (SPAS), including guidance regarding its interpretation, user training, requirements for development of new modules and performance measures, and reporting on effectiveness of indicators.

b. Management of the AFS National Work Program Guidelines (NPG) focusing on new and special emphasis areas for required surveillance programs maintaining a balance across the aviation community.

c. Monitoring, tracking, and performing analysis on all new segments of the aviation industry, including new entrant operators as defined in the FAA's 90-Day Safety Review.

d. Performing comprehensive assessments, ongoing analysis, and coordination of changes to system approach processes with the CMT's and ATOS CMO.

e. Developing air transportation performance assessment techniques based on risk analysis and a systems approach using traditional research and advanced statistical analysis tools. Improving air transportation surveillance and oversight programs by employing systems approach concepts.

f. Providing analytical products to principal inspectors (PI), including the development of desktop analytical tools in the evaluation of certificate holders.

g. Monitoring the financial status of air operators, focusing on those incurring financial distress, and generating reports and information for PI and CMT use.

h. Maintaining accurate and timely reporting procedures to research and analyze aviation safety information for customers working within a limited timeframe and in response to significant aviation events, Congressional inquiries, requests from the Government Accountability Office (GAO), DOT Office of the Inspector General (OIG), and other organizations.

i. Maintaining an interface with Department of Defense (DoD) Air Mobility Command (AMC) so that PIs, ATOS CMO, and ATOS CMT audit teams have access to DoD audit information providing for more comprehensive evaluations, thereby improving aviation safety.

j. Maintaining an outreach partnership program to share information by establishing a partnership with other aviation safety organizations such as, but not limited to, DOT/Office of the Secretary of Transportation (OST), Office of Aviation Analysis (OAA), Bureau of Transportation Statistics (BTS), DoD AMC, and Civil Aviation Authority (CAA) agencies.

**1003. AIR TRANSPORTATION OVERSIGHT SYSTEM CERTIFICATE MANAGEMENT OFFICE (ATOS CMO).** The ATOS CMO provides expert assistance and guidance to AFS field offices in the full range of certification, certificate management, surveillance, and evaluation processes conducted on air carriers operating under part 121. In addition, the ATOS CMO is responsible for on-going assessments and continuous improvement of ATOS processes ensuring that processes and procedures are designed, developed, and deployed to incorporate system safety principles. The ATOS CMO works in a virtual office environment utilizing state-of-the-art automation and communications systems. The ATOS CMO is composed of three sections with the following roles and responsibilities:

a. The Certification Section is responsible for providing FSDOs and certificate-holding district offices (CHDO) with staff support, expert technical guidance, and training in the certification process for new part 121 air carriers and addition of new aircraft. The Section develops and provides input to air carrier inspector handbooks regarding certification, certificate management, surveillance, and evaluation processes and serves as the focal point for application of agency guidance regarding certification, certificate management, surveillance, and evaluation processes for air carriers.

b. The Implementation Section manages and supports the transition of all part 121 CMTs to ATOS. The Section provides support to part 121 CHDOs and CMTs by providing ATOS expert technical guidance in a continuing effort to promote standardization and consistency of the ATOS business process. The Implementation Section also assesses the application of ATOS within the CMOs/CMTs with the objective of improving the ATOS business process, associated automation, and training.

c. The Continual Improvement Section is responsible for managing and supporting the ATOS continual improvement initiative, including the technical support program. The Section collects and responds to feedback from ATOS users, provides input on national policies and procedures for the oversight of air carriers, and recommends enhancements to ATOS business processes and automation tools. This Section is responsible for developing and revising the ATOS automation user guide and tutorials as well as developing and maintaining data collection quality standards. The Section provides subject matter expert support for internal and external customers.

**1004. FLIGHT STANDARDS SAFETY MANAGEMENT SYSTEM (SMS) PROGRAM OFFICE.** The AFS SMS Program Office provides policy and guidance on AFS internal and external SMS requirements and interfaces. The SMS Program Office provides support to the AFS Director, Deputy Director, and Executive Steering Committee in execution of the AFS SMS doctrine. The SMS Program Office interfaces with the AVS SMS Working Group and is responsible for SMS concept development in accordance with AVS SMS doctrine and standards. The office provides direction, guidance, and coordination with points of contact in headquarters and field divisions in development of SMS policies, procedures, and work instructions, in accordance with the AVS Quality Management System (QMS). The office is responsible for SMS standardization and development of training requirements. Specific functions and responsibilities of the office include:

a. Focal point for AFS in future SMS-related rulemaking and policy development efforts.

b. Oversight and evaluation of SMS collaborative testing projects.

c. Standardization of concepts, functional requirements, and terminology across AFS managed and sponsored SMS programs, initiatives, and contracted activities.

d. Alignment of internal and external SMS development activities with AVS SMS standards and AVS Management Team and AFS Executive Steering Committee guidance.

- e. Planning and coordination of SMS activities in AVS and AFS Business Plans.
- f. Representation of AFS in the AVS SMS Working Group.
- g. Ensure integration capability of oversight systems, both within AFS and also between AFS and other AVS lines of business.
- h. Coordination with the ATOS Continual Improvement Section and headquarters policy divisions on SMS-oversight system relationships.
- i. Development and maintenance of SMS policy and guidance documentation.
- j. Development of AFS SMS training requirements and mentorship of SMS related FAA Academy training.
- k. Development of measures of safety performance and effectiveness for both internal and external SMS.
- l. Development and maintenance of SMS data collection and auditing tools.
- m. Development and use of standardized outreach, familiarization and orientation materials for SMS.
- n. Coordination and management of an AFS SMS Standardization and Assistance Team to assist field organizations and service providers in development and implementation of voluntary and mandatory external SMSs.

**1005. thru 1011. RESERVED.**