U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVATION ADMINISTRATION

Detailed Implementation Plan

For

The Federal Aviation Administration Modernization and Reform Act of 2012

Public Law No. 112-95, Section 312

January 29, 2016

This document reflects the original plan for each of the initiatives responsive to Section 312 of the Modernization and Reform Act of 2012. The progress of each initiative is tracked in the Appendix.

REVISION HISTORY

Revision	Description of Change	Date
0	Original release.	January 7, 2013
1	Added reference to the appendix in the Executive Summary and FAA Initiatives. Added Appendix A to provide the status of the milestones and measures of effectiveness of each initiative. Removed "Completed" status from milestones in Section B, F, G, H, I, J, L, M, N since status is covered in the appendix.	May 14, 2013
2	Corrected the responsible organization in section F. Clarified details of the FAA Plan in sections J & K. Clarified the intent of the Closure of Recommendations in section K. Clarified details of the Measures of Effectiveness in sections K & N. Updated status for each initiative in appendix A.	July 12, 2013
3	Revised section A to increase the scope from AIR SMS Implementation to the AIR Strategic Roadmap.	July 31, 2013
4	Updated responsible organizations in section A, H, & L. Updated milestones for sections A, C, D, E, G, H, I, J, K & N. Added Status Summary section for each initiative. Updated status for each initiative in appendix A.	January 31, 2014

5	Revised measures of effectiveness in sections A, D, F, & J. In appendix A, updated status for each initiative and added measures of effectiveness to sections A – N.	July 29, 2014
6	Updated status, summary, milestones, or measures of effectiveness for each initiative in appendix A.	January 6, 2015
7	Updated status, summary, milestones, or measures of effectiveness for initiatives C, F, H, I, M, and N in appendix A.	July 28, 2015
8	Updated status, summary, milestones, or measures of effectiveness for initiatives A, B, C, D, E, G, H, I, J, L, M and N in appendix A.	January 29, 2016

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Executive Summary

This implementation plan is a follow-up of the Federal Aviation Administration (FAA) response on August 13, 2012, to Section 312 of the FAA Modernization and Reform Act of 2012, Pub. L. No. 112-95 ("FAA 2012"), that required the FAA, in consultation with the aviation industry, to conduct an assessment of the aircraft certification and approval process under 49 U.S.C. Section 44704. Consistent with the FAA response, the FAA has developed a comprehensive implementation plan, along with a plan to measure the effectiveness of the recommendations which the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee submitted to the Director of Aircraft Certification on May 22, 2012. Furthermore, the FAA has begun implementation of these actions which FAA 2012 required to begin no later than February 14, 2013, and which FAA monitors by other means than in this plan. The FAA considers this implementation plan a living document which is periodically updated to reflect its progress and completion.

Committee Recommendations

The Aircraft Certification Process Review and Reform (ACPRR) Aviation Rulemaking Committee (ARC) submitted the following recommendations to the Director of Aircraft Certification on May 22, 2012:

1. Development of Comprehensive Means to Implement and Measure the Effectiveness of Implementation and Benefits of Certification Process Improvements
2. Enhanced Use of Delegation
3. Integrated Roadmap and Vision for Certification Process Reforms
4. Update Part 21 to Reflect a Systems Approach for Safety
5. Culture and Change Management
6. Process Reforms and Efficiencies Needed for Other Aircraft Certification Service (AIR) Functions

FAA Initiatives

The FAA is acting on these recommendations. The FAA has already initiated many activities as part of on-going, continuous certification process improvement efforts which are associated with the committee's recommendations and will begin others to fulfill the intent of all of the recommendations. These FAA initiatives are linked to the committee recommendations and identified below in the table of Committee Recommendations to FAA Initiatives.

The FAA initiatives related to the ARC's recommendations are briefly described in this plan. The description includes the plan, milestones, the ARC recommendations, the closure of the recommendation and measures of effectiveness. This plan is a reflection of the FAA's normal business planning. Consequently, the FAA will periodically update this implementation plan to reflect the current state of the initiatives that are described, particularly the appendix will show the status of the milestones and measures of effectiveness for each initiative. This implementation plan is a living document.

TABLE: Committee Recommendations Mapped to the FAA Initiative

No.*	Recommendation	FAA Initiative
1a	**Development of Comprehensive Implementation Plans** The ARC recommends the FAA develop comprehensive implementation plans for certification process improvement initiatives, including Safety Management System (SMS), that address—	Develop an Integrated Comprehensive Roadmap for Major Change Initiatives in AIR
1a(1)	People (FAA staff knowledge, skills, and abilities; roles/responsibilities; and culture change),	
1a(2)	Process (including change management),	
1a(3)	Tools,	
1a(4)	Training, and	
1a(5)	Implementation.	
1b	**Development of Tracking and Monitoring Process to Ensure Effectiveness** The ARC recommends the FAA develop a means to track and monitor certification process improvement initiatives, including those in the Certification Process Improvement (CPI) Guide, to ensure effectiveness of implementation, including—	Deploy System to Monitor Process Improvement and Effectiveness
1b(1)	A database for tracking recommendations and FAA response initiatives;	
1b(2)	Metrics for implementation and measuring expected benefits; and	
1b(3)	Establishment of a joint FAA/industry group to review the status of implementation.	
2	**Enhanced Use of Delegation** The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—	
2(a)	Implementation of the Organization Designation Authorization (ODA) action plan, including assessment of metrics to determine the effectiveness of improvements and periodic joint FAA/industry review of the status.	ODA Action Plan
2(b)	Ensuring appropriate training and resources are available to maintain robust oversight of delegation programs, including teams/individuals with specialized audit training to conduct ODA audits.	Establish Internal Evaluation Program for FAA Personnel.

2(c)	Expanding delegation capability to include support for all certification airworthiness standards when appropriate, particularly low-risk or routine activities such those related to noise and emissions tests and instructions for continued airworthiness (ICA).	Delegation Expansion – ICAs – Emissions – Noise
2(d)	Reviewing and updating the AIR certification project sequencing program to account for ODA.	Project Sequencing Process Improvement
3	**Integrated Roadmap and Vision for Certification Process Reforms** The ARC recommends the FAA develop an integrated, overarching vision of the future state for certification procedures and a roadmap such that—	Develop an Integrated Comprehensive Roadmap for Major Change Initiatives in AIR
3(a)	A detailed roadmap clearly shows how initiatives/programs support the future state and provides gates or phases with clear milestones and success criteria; and	
3(b)	There is a periodic review and update to the vision and roadmap for certification procedures which includes input from affected stakeholders.	
4	**Update Part 21 to Reflect a Systems Approach for Safety** The ARC recommends the FAA undertake a review to update Title 14, Code of Federal Regulations (14 CFR) part 21 certification procedures to reflect a system safety approach to product certification processes and oversight of design organizations which includes consideration of—	
4(a)	Minimum qualification and organizational requirements for design approval applicants and holders including responsibilities and privileges,	Update Part 21
4(b)	Certified Design Organization (CDO) and the recommendations of the FAA's CDO ARC for implementation of this concept,	Part 21/SMS ARC
4(c)	Training and resources necessary to maintain robust oversight of design organizations and certification activity,	
4(d)	SMS for design approval holders (DAHs), and	
4(e)	Issuance of an advance notice of proposed rulemaking (ANPRM) to solicit public input and views on some of the concepts to be considered.	
5	**Culture and Change Management** The ARC recommends the FAA develop and implement a comprehensive change management plan that takes full advantage of training development capability to prepare the workforce for its new and evolving roles and responsibilities in a systems safety approach to certification and oversight. The SMS principles, data analysis, evaluation of safety systems, and root cause analysis should be required training for those AIR staff overseeing safety systems.	Develop an Integrated Comprehensive Roadmap for Major Change Initiatives in AIR
6	**Process Reforms and Efficiencies Needed for Other AIR Functions**	

	The ARC recommends AIR undertake a review of continued operational safety (COS) and rulemaking processes and implement reforms necessary to improve efficiency, including—	
6(a)	Increased design approval holder responsibilities for continued operational safety activities.	Update Part 21 Part 21/SMS ARC
6(b)	Strengthening the effectiveness of validation programs under bilateral agreements through the establishment of metrics and joint FAA/industry review of performance to eliminate redundant activities and ensure the intended efficiencies for both FAA and the industry.	Validation Process Improvements
6(c)	Eliminating duplication of efforts in issuing mandatory continuing airworthiness information (MCAI) by leveraging bilateral agreements and capability of the civil aviation authority (CAA) state of design.	International COS Improvements
6(d)	Fast Track rulemaking process to update airworthiness standards in cases where special conditions (SC) have been used for a period of time and the design is no longer new and novel.	Expediting Rulemaking
6(e)	Implementing the recommendations provided by the Aviation Rulemaking Advisory Committee (ARAC) Rulemaking Prioritization Working Group (RPWG).	
6(f)	Implementing the recommendations provided by the consistency of interpreting regulations (CRI) ARC to improve efficiencies in the certification process.	Consistency of Regulatory Interpretation
6(g)	Implementing the Part 23 ARC recommendations to address the Part 23 certification process study (CPS) recommendations.	Part 23 Reorganization

* The ARC's recommendation numbers are modified in this table to facilitate reference between the ARC's recommendations and FAA initiatives.

A. Develop an Integrated Roadmap for Major Change Initiatives in AIR

Responsible Organization: AIR-500, Planning & Program Management Division

Point of Contact: AIR-510, Administrative Services Branch

FAA Plan

The ARC's recommendations will be addressed through identified elements of the AIR Strategic Roadmap. This roadmap will include high-level descriptions, outcomes, projects and milestones for the major change initiatives planned for aircraft certification. The Roadmap will be structured around the four key areas of Safety, People, Organizational Excellence, and Globalization based on AIR's vision in AIR: 2018 and will include key certification process change initiatives recommended in the ARC report. Implementation plans for AIR change initiatives and annual business plans and activities will be integrated with this comprehensive and integrated roadmap and will address key phases, decision gates, processes, people and tools that demonstrate integrated implementation.

As one of our major roadmap projects, AIR is developing a scaled change management process for application in all change initiatives. The intent is to begin working the roadmap projects using industry-proven best practices for project/change management and ultimately move to a formally developed and documented process for future initiatives.

The initial AIR Roadmap will be completed by February 2014. However, as the scope of AIR: 2018 extends beyond the recommendations found in the ARC report and to ensure the AIR Vision remains current and relevant, the AIR Strategic Roadmap is viewed as a dynamic work tool.

Milestones

Activity	Start	End
Develop vision AIR: 2018.	6/2012	6/2013
Develop measureable outcomes to establish end targets.	4/2013	6/2013
Develop format, process, requirements, roles and responsibilities and business rules for use and integration of roadmap into current practices.	5/2013	8/2013
Apply risk-based prioritization process to roadmap projects to optimize sequencing and resource allocation.	7/2013	8/2013
Communicate details of roadmap projects and process information to stakeholders.	7/2013	9/2013
Provide select prioritized projects to project managers for project planning.	10/2013	2/2014
Finalize AIR Strategic Roadmap for FY18.	2/2014	8/2014
Integrate select projects into the annual business planning process.	2/2014	8/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 38]

Recommendation 1a: The ARC recommends the FAA develop comprehensive implementation plans for certification process improvement initiatives, including SMS, that address—

- People (FAA staff knowledge, skills, and abilities; roles/responsibilities; and culture change),
- Process (including change management),
- Tools,
- Training, and Implementation (including the transition to new processes and tools).

Recommendation 3—Integrated Roadmap and Vision for Certification Process Reforms

The ARC recommends the FAA develop an integrated, overarching vision of the future state for certification procedures and a roadmap such that—

- A detailed roadmap clearly shows how initiatives/programs support the future state and provides gates or phases with clear milestones and success criteria; and
- There is a periodic review and update to the vision and roadmap for certification procedures which includes input from affected stakeholders.

Recommendation 5—Culture and Change Management

The ARC recommends the FAA develop and implement a comprehensive change management plan that takes full advantage of training development capability to prepare the workforce for its new and evolving roles and responsibilities in a systems safety approach to certification and oversight. The SMS principles, data analysis, evaluation of safety systems, and root cause analysis should be required training for those AIR staff overseeing safety systems.

Closure of Recommendation

The closure of this recommendation will be based on the development and implementation of an integrated roadmap for major change initiatives within AIR.

Measures of Effectiveness

AIR has developed an initial set of success measures to track how effectively AIR's Strategic Roadmap has been embedded in AIR's strategic and business planning processes. AIR is also developing a set of success measures to monitor and evaluate the benefits of the overall change activities contained in the Strategic Roadmap.

Level of Effectiveness	**Measure**
1	FY 2015 AIR Business Plan developed based on the Roadmap and accompanying process. Initial change and project management principles utilized – September 30, 2014.
2	FY 2015 business planning process has been evaluated and modified to incorporate lessons learned and additional best practices. Comprehensive Roadmap refresh process is complete in preparation for the FY 2016 AIR Business Plan development– February 28, 2015.
3	FY 2016 AIR Business Plan developed based on refreshed version of Roadmap and issued – September 30, 2015.
4	Major program, resource, and staffing decisions are made in consideration of goals outlined in AIR: 2018 and Roadmap priorities. Use of full change management principles on 100% of Roadmap initiatives.
5	AIR: 2018 Vision, Roadmap, and enhanced business planning process implemented. AIR's new Roadmap refresh process followed by the business planning process is institutionalized in AIR – December 31, 2015.

B. Deploy System to Monitor Process Improvement and Effectiveness

Responsible Organization: ANM-100, Transport Airplane Directorate

Point of Contact: ANM-109, Oversight and Evaluation Office

FAA Plan

The FAA will deploy a tracking system to track and monitor the implementation of initiatives related to certification. This centralized tracking system will ensure that recommendations for process (system) improvements that come from various sources (e.g., Congress, GAO, NTSB, etc.) will be monitored until completion. The system will also provide a method for developing metrics (or indicators) to measure the benefits or improvements that these initiatives are meant to address.

Milestones

Activity	Start	End
Develop Prototype Tracking System.	8/2012	10/2012
Develop Governance for Managing System and acquiring 'new' or existing recommendations.	8/2012	1/2013
Develop Guidance for Evaluating Recommendation Effectiveness.	8/2012	4/2013
Deploy Tracking System.	1/2013	9/2013

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 39]

> **Recommendation 1b:** The ARC recommends the FAA develop a means to track and monitor certification process improvement initiatives, including those in the CPI Guide, to ensure effectiveness of implementation, including—
>
> - A database for tracking recommendations and FAA response initiatives;
> - Metrics for implementation and measuring expected benefits;

Closure of Recommendation

The deployment of a System to Monitor Process Improvement Effectiveness will directly address the Committee recommendation 1b. This initiative will create:

- A database for process improvement and effectiveness tracking;
- Guidance for developing metrics to assess the effectiveness of process improvements based on recommendations;
- A means to monitor initiative closure (implementation) and effectiveness of intended changes over time.

This initiative will provide AIR with a tool to ensure that recommendations are addressed, implemented, tracked and effective.

Measures of Effectiveness

AIR will develop measures of effectiveness for each recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions or initiatives outlined in this plan. To determine the effectiveness of this tool and any associated guidance it must, qualitatively, be able to capture the right recommendations from appropriate sources internal or external to AIR, have a process defined which allows for development of indicators for effectiveness of change driven by the associated recommendation(s) including changes which are not quantifiable, and managed for all of AIR.

As the tool matures and is effective it should not be limited to AIR and, as such, be shown to work across other service / offices. At mid-level maturity we should be able to show, over a period of about 3-5 years that recommendations for process improvement have been routinely captured and monitored as part of a management review process and that the effectiveness of initiatives initiated and implemented to support said recommendations are continuously tracked. Over a 5-10 year period, this system should demonstrate the ability to historically review the implementation and effectiveness of all initiatives associated with the captured recommendations.

C. ODA Action Plan

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

FAA Plan

The FAA, in collaboration with the General Aviation Manufacturer's Association (GAMA) and the Aerospace Industries Association (AIA), has an existing action plan established to improve the effectiveness of ODA processes. The action plan outlines specific actions needed to increase the efficiency of ODA certification processes including; full utilization of ODA authority, increased FAA focus on ODA-related workload, updating of FAA procedural requirements, and identifying training needs for FAA personnel. Progress on the action plan and outcomes is routinely reviewed by FAA management and industry representatives. The action plan includes the establishment of joint teams, as needed, to focus on and resolve issues.

This recommendation will be addressed by completion of the existing items in the ODA action plan. Multiple action items are being addressed by the issuance of revision B to Order 8100.15 as well as a future policy change and associated training.

Milestones

Activity	Start	End
Publish Order 8100.15 Rev B.	10/2011	2/2013
Update Academy Delegation Management Course 23005 to Address Rev B. of Order 8100.15.	1/2013	4/2013
GAMA/AIA/FAA team meets to assess effectiveness of Order 8100.15 Rev B changes.	9/2013	9/2013
Publish Order 8100.15 Rev B Change 1.	10/2012	7/2013
Update Academy Delegation Management Course 23005 to address Order 8100.15 Rev B Change 1.	8/2013	11/2013
GAMA/AIA/FAA team will meet to assess effectiveness Order 8100.15 Rev B Change 1 changes.	7/2014	7/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

Recommendation 2—Enhanced Use of Delegation

The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—

- Implementation of the ODA action plan, including assessment of metrics to determine the effectiveness of improvements and periodic joint FAA/industry review of the status.

- Ensuring appropriate training and resources are available to maintain robust oversight of delegation programs, including teams/individuals with specialized audit training to conduct ODA audits.

Closure of Recommendation

This recommendation is closed when AIR completes the 23 action items in the current ODA action plan.

Measures of Effectiveness

The FAA/GAMA/AIA ODA team has established the following goals and metrics to be assessed by industry and/or the FAA:

- Timeframes for FAA involvement in the Unit Member selection process:
  - FAA prescreening
  - FAA review of selection decisions.
- Timeframe for FAA review of ODA manual revisions (Goal of 30 days)
- Timeframe for FAA review of certification plans/project notification letters (PNLs) (Goal of 30 days)

D. FAA Audit Training

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Training Development Point of Contact: AIR-520, AIR Training Branch

FAA Plan

The Aircraft Certification Training Advisory Committee has previously identified training in auditing skills, including ODA audits as a high priority. AIR will develop training that addresses auditing skills that would be applicable to ODA oversight and existing production systems, as well as internal evaluation supporting quality and safety assurance systems. Implementation of training will foster increased system-focused oversight of ODA holders.

Milestones

Activity	Start	End
Submit training support request to AIR-520, for the FAA Audit Training.	10/2012	1/2013
Issue training support contract to AIR-520, for the FAA Audit Training.	12/2012	5/2013
Develop training needs analysis and curriculum development for the FAA Audit Training.	4/2013	12/2013
Develop FAA Audit training.	10/2013	8/2014
Establish FAA Audit training requirements in policy.	8/2014	8/2014
Deliver first FAA Audit training session.	11/2014	12/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

Recommendation 2—Enhanced Use of Delegation

The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—

- 2(b)—Ensuring appropriate training and resources are available to maintain robust oversight of delegation programs, including teams/individuals with specialized audit training to conduct ODA audits.

Closure of Recommendation

This recommendation is closed when AIR finalizes auditing skills training necessary to support ODA supervision and inspections.

Measures of Effectiveness

In order to determine the success of the ODA audit training, a questionnaire will be used to obtain the auditor's feedback on their perceived benefit to their auditing and oversight activity by having attended the ODA audit training. In addition, measures of effectiveness will be based on the percentage of audit team members who attended training. The measures of effectiveness are:

- 75% of the class questionnaires are positive on the effectiveness of the training.
- 50% of audit team members attended training by the end of 2016.
- 75% of audit team members attended training by the end of 2018.
- 90% of audit team members attended training by the end of 2020.

E. Delegation Expansion - ICAs

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

AFS-300, Flight Standards Service - Aircraft Maintenance Division

FAA Plan

FAA Order 8100.15A authorizes ODA holders, to find acceptability of ICAs. However, implementation of ICA authority has progressed slowly, partly due to a lack of ODA holder interest in getting the delegation. The AIR, in conjunction with the Flight Standards Service (AFS) has increased the focus on increased utilization of ICA delegation under ODA by establishing a pilot program for ICA development with four ODA organizations. As part of the pilot program, one ODA holder is operating with ICA acceptance authority on a limited basis, and the FAA has requested that three additional ODA organizations place a priority on obtaining ODA acceptance authority under the pilot program. Successful implementation of this recommendation will require commitment by both the FAA and the ODA organizations, who must develop acceptable ICA development and review procedures.

Milestones

Activity	Start	End
Address ICA acceptance authority policy at 2013 ODA Seminars.	6/2012	9/2013
Add ICA delegation process to procedures manual of the 3 additional lead ODA organizations.	6/2012	6/2014
Address ICA acceptance authority policy at 2014 ODA Seminars.	6/2012	9/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

Recommendation 2—Enhanced Use of Delegation

The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—

- Expanding delegation capability to include support for all certification airworthiness standards when appropriate, particularly low-risk or routine activities such those related to noise and emissions tests and ICA.

Closure of Recommendation

This recommendation is closed upon completion of the ODA ICA pilot program.

Measures of Effectiveness

AIR will develop measures of effectiveness for each recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions and be based on the release of coordinated orders, and the number of ODAs with ICA delegation approved.

F. Delegation Expansion - Emissions

Responsible Organizations: ANE-100, Engine and Propeller Directorate

AEE-001, Office of Environment and Energy

Points of Contact: ANE-110, Aircraft Certification Service Engine & Propeller Directorate - Standards Office

AEE-300, Office of Environment and Energy - Emissions

AIR-112, Delegation Procedures Branch

AGC-200, International Law, Legislation & Regulations Division

FAA Plan

Congress established the Clean Air Act in 1963 and amended it in 1967 to mandate that the Environmental Protection Agency (EPA) must regulate aircraft engine exhaust emissions, with the FAA being identified as the regulator that enforces the EPA-established emissions standards. FAA's Office of Environment and Energy (AEE) is responsible for working with the EPA to establish FAA regulations (14 CFR part 34), policy and guidance on turbine engine exhaust and aircraft emissions standards, as well as fuel venting requirements. AIR is responsible for making findings of compliance to part 34.

The AIR will collaborate with AEE to develop criteria and qualifications to enable designees to approve emissions data.

Milestones

Note: The following milestones have been agreed between AEE and AIR. The interim milestones and dates may be adjusted to support the objective of section 312 of the FAA Modernization and Reform Act of 2012 and hold the end milestone of June 2015.

Activity	Start	End
Develop an agreed AEE and AIR plan to complete this recommendation.	9/2012	10/2012
Review legal issues for delegation including The Clean Air Act. ➢ Coordinate with AGC-200.	9/2012	1/2013
Develop knowledge, skills and attributes (KSAs) for engine designated engineering representative (DER) for emissions approvals.	10/2012	6/2013
Develop recurrent training for engine DER for emissions approvals.	6/2013	6/2014
Revise DER Handbook, Order 8110.37E, Designee Management Handbook, 8100.8D and ODA Procedures, Order 8100.15A, to include emissions delegation. ➢ Coordinate with AIR-112.	6/2013	6/2014
Deliver initial training to engine DERs for emissions approvals.	10/2014	12/2014
Issue AEE/AIR delegation memo announcing expanded delegation of emissions compliance findings.	6/2014	6/2014
Evaluate designee applications for DER-appointment to be an approved engine DER for emissions approvals.	6/2014	6/2015

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

Recommendation 2—Enhanced Use of Delegation

The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—

- Expanding delegation capability to include support for all certification airworthiness standards when appropriate, particularly low-risk or routine activities such those related to noise and emissions tests and ICA.

Closure of Recommendation

This recommendation is closed when AIR designees are authorized to approve emissions data. An FAA delegation memo will be jointly released to the aircraft certification offices (ACOs) by AEE-300/ANE-110.

Measures of Effectiveness

The primary indicator of effectiveness for Recommendation 2 - Enhanced Use of Delegation, will be the issuance of revised Orders 8110.37E, the DER Handbook, and 8100.15A, ODA Procedures, and 8100.8D, Designee Management Handbook, with clear criteria defined for delegating part 34 emissions compliance findings to designees. These order revisions will be followed by a delegation memo highlighting this change to the delegation criteria to the ACOs. Completion of the actions for this recommendation will lead to full delegation to designees for part 34 compliance findings.

Once the policy and orders have been revised, an initial training of designees will follow where the expanded delegation will be rolled-out to the ACOs and designees. This will be followed by periodic recurrent regulatory and technical emissions training.

Part 34 compliance is required for any new part 33 type certificate (TC) program or for any substantially new amended TC. Only one finding of compliance is required for all of part 34 during the completion of a TC program. So there is a one-to-one correlation of part 34 approvals to engine TC programs.

Starting in June 2014, after designees have been appointed as engine DER for emissions, ANE-100 will track for one year, or 20 new TC programs, whichever is longer, the number of delegated part 34 approvals against the total number of new turbine engine or aircraft type certification programs.

On an on-going basis, lessons learned will be incorporated into the orders and the on-going training to assure improvements to the process are realized.

Measures of Effectiveness
1. Policy has been issued and distributed to ACOs, Designees, and industry.
2. Initial delegation training for designees has been provided at DER seminars and ACO Hot Topics session.
3. Ongoing regulatory and technical training for designees has been initiated.
4. The number of effective TC program delegations where designees are fully delegated 14 CFR part 34 compliance findings has achieved 20, or one year of expanded delegation has occurred, whichever is greater.
5. Incorporate lessons learned from delegations and revise delegation orders and the ongoing training to assure improvements.
6. 100% of qualified applicants granted emissions authority.

G. Delegation Expansion – Noise

Responsible Organization: AIR-001, Aircraft Certification Service

Point of Contact: AIR-004, Aircraft Certification Service

FAA Plan

The FAA's Office of Environment and Energy (AEE) is responsible for the FAA regulations (14 CFR part 36), policy and guidance on noise.

At the sole discretion of the Administrator, 14 CFR 183.29 permits FAA acoustical engineering representatives to witness and approve aircraft noise certification tests and approve measured noise data and evaluated noise data analyses. Consequently, we infer that the recommendation to expand delegation capability for noise is related to the FAA's authority to determine the "acoustical change" of a type design change in accordance with 14 CFR 21.93(b). Therefore, because 14 CFR 21.93(b) is a procedural regulation, AIR will review and revise its "acoustical change" procedures to streamline the process. This will be accomplished by way of a pilot project with a candidate ODA to determine whether this type of delegation is appropriate and feasible.

The FAA and a candidate ODA will collaborate on a two-year pilot project that will expand noise delegation functions for noise certification of the candidate's aircraft under their ODA program. The purpose of this pilot project is to identify the cooperative activities, including planning, of a pilot project that the FAA, as the regulatory agency, and the candidate ODA, as the applicant, will conduct in order to increase noise delegation functions and prototype accountability processes that are expected to increase certification efficiency, while maintaining noise compliance and FAA oversight and accountability.

The goals of the Noise Delegation Pilot Project are to:

- Expand noise delegation functions for acoustical ARs in the candidate ODA;
- Test and measure work flow efficiency for new noise actions;
- Demonstrate the accountability of the candidate ODA's delegated noise compliance function;
- Create and exercise the new required oversight activities for the candidate ODA's noise findings; and
- Identify methods and procedures for discovering and correcting noise finding "escapes" from the candidate ODA.

Pursuant to this pilot program, AEE will administer the related noise certification policy and coordinate pilot project activities. AIR will administer comprehensive aircraft certification policy and coordinate the field support services and pilot project ODA activities. The appropriate OMT will provide ODA administrative guidance for incorporation of the noise delegation functions and technical support services and oversight for all certification projects using the expanded authority. The cognizant directorate's Noise Certification Specialist (NCS)

will provide technical field support on noise policy, coordination, implementation, and noise certification services, requirements and limitations.

The candidate ODA will provide the corporate engineering support necessary to substantiate noise certification delegation analyses, and coordinate the pilot project introduction within their ODA. The candidate will provide ODA process and service support for the expanded noise delegation functions and formally exercise the agreed upon activities of noise certification as required. All activities will adhere to ODA regulations and prescribed procedures manual requirements.

Assuming all requirements have been met, the FAA will, as appropriate, grant specific functions of increased noise delegation authority to the candidate's acoustical ARs. Periodically such actions and approvals by the ARs for the newly delegated noise functions will be assessed and checked for compliance acceptable to the FAA. In addition, regular cycle OMT audits for certification will be performed to train FAA OMT noise staff on the new noise oversight process requirements. Tracking performance results will aid future decisions to either—

- Maintain/increase delegation scope,
- Identify corrective limitations to remediate non-compliance, or
- Rescind unsuccessful delegation functions.

Milestones

Activity	Start	End
Draft memorandum of understanding (MOU).	4/2012	9/2012
FAA and ODA agree on program functions.	1/2013	2/2013
Management finalize and sign MOU.	2/2013	2/2013
Candidate ODA submits procedures manual to FAA for approval.	4/2013	4/2013
Expanded noise delegation granted to candidate ODA.	10/2013	10/2013
Launch Pilot Project.	10/2013	10/2013
Informal FAA audit on noise determinations.	5/2014	6/2014
Annual performance review.	10/2014	11/2014
Complete pilot and assess it before full approval.	10/2015	10/2015
Based on the results of the pilot program satisfactorily meeting all requirements, AIR grants delegation authority for specific noise functions.	11/2015	12/2015

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

Recommendation 2—Enhanced Use of Delegation

The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—

- Expanding delegation capability to include support for all certification airworthiness

standards when appropriate, particularly low-risk or routine activities such those related to noise and emissions tests and ICA.

Closure of Recommendation

This recommendation is closed when AIR delegates determination of no acoustical change to a candidate ODA. Follow-on activities may include revisions to FAA advisory and directive materials; however, completion of those subsequent activities is not necessary to close this ARC recommendation. Based on the successful outcome of this pilot activity, AIR-100 will develop suitable policy and guidance for publication and use.

Measures of Effectiveness

AIR's measures of effectiveness for this recommendation are described as the audit functions included in the Milestones Table, above. Other success measures may be developed if data exist that can accurately portray how long findings of no acoustical change currently take, and after delegation of these determinations, whether that time is reduced. Although there may not be any baseline against which to compare improvements, the FAA intends to consider—

- Identifying metrics,
- Gathering and developing baseline data, and
- Periodically measuring any changes, positive or negative, in rates of completion.

H. Project Sequencing Process Improvement

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

FAA Plan

The FAA will update the sequencing process of certification projects to include ODAs and other improvements. On September 1, 2011, the FAA announced the availability of and requested public comments on the Standard Operating Procedures (SOP) of the AIR Process for the Sequencing of Certification and Validation Projects. The FAA will revise the proposed process to address the public comments which closed on October 31, 2012. The FAA will again request public comments of the proposed process before issuing the updated sequencing process.

Milestones

Activity	Start	End
Request for public comments.	9/2011	10/2012
Develop new standard operating procedures (SOP).	11/2012	4/2013
Request for public comments.	4/2013	6/2013
Revise SOP based on disposition of public comments.	6/2013	9/2013
Obtain concurrence from unions, as needed.	12/2013	5/2014
Complete training package for revised procedures.	12/2013	9/2014
Issue revised ACO Project Sequencing SOP.	12/2013	9/2014
Evaluate SOP effectiveness.	10/2014	5/2015
Issue FAA Order on ACO Project Sequencing.	9/2015	12/2016

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 39-40]

> **Recommendation 2**—Enhanced Use of Delegation
>
> The ARC recommends the FAA continue to improve the effectiveness of delegation programs to achieve full utilization as a priority and realize the safety benefits of leveraging FAA resources and improved efficiency of the certification process by—
>
> - Reviewing and updating the AIR certification project sequencing program to account for ODA.

Closure of Recommendation

The FAA will account for applicants with an ODA which have an established FAA-designee relationship and working procedures in a revised process for sequencing certification projects. This recommendation is closed when the revised sequencing process is issued.

Measures of Effectiveness

AIR will develop measures of effectiveness before closing this recommendation. The measures will be defined in a manner to monitor and evaluate the benefits of the actions outlined in this section. The measures will be taken for at least a one year period and be related to the number of sequenced projects, as appropriate.

I. Update Part 21

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-150, Safety Management Design and Analysis Branch

FAA Plan

The FAA will charter an ARC to evaluate certain improvements to the effectiveness and efficiency of existing "certification procedures for products and parts" along with incorporating SMS in the design and manufacturing environment. This includes considering the effects of certain changes to the existing regulations, such as applicant qualifications, hazard (or safety) reporting, compliance assurance and continued operation safety assurance systems for all DAHs. The intent is to facilitate shifting towards a systems approach for DAHs that is similar to that used for production approval holder requirement's which involves a clear understanding of roles, responsibilities and privileges. Upon completion of the ARC, the FAA will convene a rulemaking team and begin the formal process for revising Part 21.

The ARC will produce a final report with recommendations for changes to Part 21. The FAA will take this report and initiate a rulemaking project that will result in a final rule change.

Milestones

Activity	Start	End
Charter Part 21/SMS ARC.	5/2012	10/2012
ARC Kick-off Meeting.	11/2012	11/2012
Develop ARC report on Part 21/SMS changes. (Report due to AIR-1).	11/2012	4/2014
Submit application for Part 21/SMS rulemaking.	5/2014	6/2014
Develop Part 21/SMS Rulemaking Action Plan.	6/2014	8/2014
Release Part 21/SMS NPRM for comment.	8/2014	1/2016
Issue Final Rule for Part 21/SMS.	1/2016	6/2017

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, pages 41-42]

Recommendation 4—Update Part 21 to Reflect a Systems Approach for Safety

The ARC recommends the FAA undertake a review to update 14 CFR part 21 certification procedures to reflect a system safety approach to product certification processes and oversight of design organizations which includes consideration of—

- Minimum qualification and organizational requirements for design approval applicants and holders including responsibilities and privileges,
- CDO and the recommendations of the FAA's CDO ARC for implementation of this concept,

- Training and resources necessary to maintain robust oversight of design organizations and certification activity,
- SMS for DAHs, and
- Issuance of an ANPRM to solicit public input and views on some of the concepts to be considered.

Recommendation 6—Process Reforms and Efficiencies Needed for Other AIR Functions

The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—

- Increased design approval holder responsibilities for continued operational safety activities.

Closure of Recommendation

The current Part 21 ARC will provide recommendations on how to achieve the systems approach to safety within the design and manufacturing community. These recommendations will include new organizational and application requirements for some or all design approval applicants. This recommendation is closed when the FAA implements a revised Part 21 that reflects a systems approach.

Measures of Effectiveness

AIR will develop measures of effectiveness for each recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions outlined in this section. To determine the effectiveness of the final rule and its associated changes to Part 21, we must first identify what we would like to see achieved from a rule change other than just SMS implementation. The Part 21 ARC will develop goals that they would like to see achieved from the change and provide that in the final report. AIR will then transform these goals into measurements that can be monitored throughout implementation and thereafter to determine if the changes accomplished what was intended.

J. Validation Process Improvements

Responsible Organization: AIR-40, International Policy Office

Point of Contact: AIR-40, International Policy Office, Standardization Branch

FAA Plan

The FAA has validation process improvement initiatives underway focused on the bilateral agreements with the technical implementation procedures for airworthiness of the bilateral aviation safety agreements with European Aviation Safety Agency (EASA) and Transport Canada Civil Aviation (TCCA). We will use the recommendations of these initiatives to propose key metrics to monitor the effectiveness of validation processes with bilateral partners in an effort to implement continuous process improvement for the validation process and ensure intended efficiencies.

Milestones

Activity	Start	End
Validation Implementation Team to develop and submit recommendations to the Certification Oversight Board.	1/2012	10/2012
Review recommendations from Validation Implementation Team (FAA/EASA) and the bilateral Program Efficiency Plan (FAA/TCCA).	10/2012	9/2013
Identify key metrics to measure bilateral agreement implementation.	10/2013	8/2014
Develop process to monitor metrics, analyze data, conduct continuous process improvement and review performance with industry.	10/2013	8/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 42]

Recommendation 6—Process Reforms and Efficiencies Needed for Other AIR Functions

The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—

- Strengthening the effectiveness of validation programs under bilateral agreements through the establishment of metrics and joint FAA/industry review of performance to eliminate redundant activities and ensure the intended efficiencies for both FAA and the industry.

Closure of Recommendation

This recommendation is closed when metrics have been established to measure validation program effectiveness and a process to review performance with industry is implemented.

Measures of Effectiveness

While key metrics will immediately provide quantitative data regarding specific areas of the Validation process, broader more qualitative effectiveness indicators have been identified to measure and ensure the overall success of this initiative. AIR has developed measures of effectiveness that will indicate when the benefits outlined in this initiative have been successfully accomplished. These measures comprehensively account for critical areas, roles, and responsibilities for each of the three participants in the Validation process; the applicant, the FAA, and the foreign CAA.

In this manner, the Validations Tracking Tool will provide quantitative data for trend analysis, which in turn will promote discussion and form the foundation for the development of standard validation principles, improved application procedures, and broader understanding of expectations.

The plan for this recommendation is considered effective if the defined process metrics are within bounds of established baseline thresholds. We will work to identify the baseline thresholds based on the metrics which are identified. We have some accepted baselines at this point based on our historical experience with bilateral partners but these may be further honed once the appropriate metrics are identified in accordance with the aforementioned FAA plan and milestones.

Level of Effectiveness	Measure
1	All affected AIR employees are trained.
2	Revised Outbound Validation procedures issued and distributed to ACOs. Database changes implemented for use in AIR.
3	Validation performance metrics are briefed to ACO Managers on a monthly basis.
4	Based on validation metrics, revised validation procedure language is implemented in at least two bilateral partner agreements.

K. International COS Improvements

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

FAA Plan

The FAA will develop a report to address options for streamlining the process for adopting MCAI issued by other CAAs. The options may require a notice to be published in the Federal Register to inform the public of changes to the MCAI airworthiness directive (AD) process and ensure their awareness of the opportunity to comment on proposed MCAI. The report will list a number of U.S. requirements that impact the FAA's ability to make the desired changes; among them are the Administrative Procedure Act (APA) and Executive Order 12866, Regulatory Planning and Review. The report will identify in detail the statutory and procedural requirements that have to be addressed for a streamlined MCAI process and define steps to enable a streamlined MCAI process.

Milestones

Activity	Start	End
Coordinate Mandatory Continuing Airworthiness Information (MCAI) Streamlining report with AGC-1.	3/2012	4/2013
Receive assessment from AGC-1.	10/2012	10/2013
Submit MCAI Streamlining report to AVS-1.	4/2013	6/2013
Receive decision from AVS-1 on the MCAI Streamlining proposal.	6/2013	9/2014
Initiate next-step activities on the MCAI Streamlining report, as necessary.	TBD	TBD

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 42]

Recommendation 6—Process Reforms and Efficiencies Needed for Other AIR Functions

The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—

- Eliminating duplication of efforts in issuing MCAI's by leveraging bilateral agreements and capability of the CAA State of Design.

Closure of Recommendation

This recommendation is closed when the FAA completes the rulemaking and policy changes required to implement this recommendation. However, if the FAA, after a good faith effort to address the statutory and procedural requirements, is unable to streamline the MCAI process, the FAA would consider this recommendation closed.

Measures of Effectiveness

This proposal will be considered effective when AIR is able to publish policy that, consistent with all applicable legal requirements, allows for a reduction in the amount of time necessary to issue an MCAI AD.

L. Expediting Rulemaking

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

FAA Plan

The FAA will adopt the committee recommendations to expedite the rulemaking process. The FAA will establish a rulemaking prioritization tool to update airworthiness standards for special conditions and will implement the recommendations from the ARAC RPWG.

Milestones

Activity	Start	End
ARM tasks RPWG to evaluate prioritization tools and submit a recommendation.	5/2012	12/2012
AIR identifies common special conditions for rulemaking.	10/2012	9/2013
ARM develops and finalizes implementation plan based on RPWG's recommendations.	1/2013	3/2013
ARM implements rulemaking prioritization tools.	4/2013	10/2013
AIR integrates the rulemaking prioritization tools to annually assess and prioritize special conditions and all other rulemaking.	10/2013	9/2014

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 42]

Recommendation 6—Process Reforms and Efficiencies Needed for Other AIR Functions

The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—

- Fast Track rulemaking process to update airworthiness standards in cases where SCs have been used for a period of time and the design is no longer new and novel.
- Implementing the recommendations provided by the ARAC RPWG.

Closure of Recommendation

This recommendation is closed when the SC's for rulemaking have been integrated with the FAA's rulemaking prioritization plan.

Measures of Effectiveness

AIR will develop measures of effectiveness for each recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions outlined in this section.

M. Consistency of Regulatory Interpretation

Responsible Organizations: AFS-1, Flight Standards Service

Point of Contact: AFS-003P, Flight Standards Service Policy Oversight

FAA Plan

On April 30, 2012, the FAA chartered Consistency of Regulatory Interpretation Aviation Rulemaking Committee (CRI ARC) with the task to make recommendations to improve the consistency of regulatory interpretation (specified in Section 313 of FAA 2012). On November 28, 2012, the CRI ARC submitted to the FAA their final report, Recommendations on Improving Consistency of Regulatory Interpretation. Subsequently, AIR and AFS will establish plans to implement the CRI ARC recommendations which are summarized as follows:

- Improve rulemaking procedures and guidance to ensure each proposed and final rule preamble contain a comprehensive explanation of the purpose, technical requirements, and intent.
- Develop a standardized decision-making methodology for the development of all policy and guidance material to ensure such documents are consistent with adopted regulations.
- Review all guidance documents and interpretations to identify and cancel outdated material and cross-reference (electronically link) material to its applicable rule and expand its current Aviation Safety Information Management System (AVSIMS) initiative to consolidate the service organization-level libraries into a single AVS master electronic database resource, organized by rule.
- Review and revise regulatory training, make the curriculum available to industry, and study the feasibility of developing a specific training program designed for personnel with regulatory development and oversight responsibilities.
- Establish a Regulatory Consistency Communications Board (RCCB) comprising representatives from AFS, AIR, and AGC that would provide clarification to FAA personnel and certificate/approval holders and applicants on questions related to the application of regulations.
- Determine the feasibility of establishing a full-time Regulatory Operations Communication Center (ROCC) as a centralized support center to provide real-time guidance to FAA personnel and industry certificate/approval holders and applicants.

Milestones

Activity	Start	End
Submit CRI ARC Final Report to AVS-1.	4/2012	11/2012
Review CRI ARC Final Report and develop an AVS action plan that addresses recommendations.	11/2012	9/2013

Identify key metrics to measure implementation of CRI ARC recommendations within AIR and work with AFS to identify key metrics to measure implementation of CRI ARC recommendations requiring coordination between AIR and AFS.	1/2013	9/2013
Coordinate with AFS to develop performance measures to track implementation of CRI ARC recommendations.	1/2013	9/2013
Develop process to monitor metrics and review performance measures with respect to CRI ARC action plan.	1/2013	9/2013

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 42]

Recommendation 6—Process Reforms and Efficiencies Needed for Other AIR Functions

The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—

- Implementing the recommendations provided by the Consistency of Regulatory Interpretation (CRI) ARC to improve efficiencies in the certification process.

Closure of Recommendation

This recommendation is closed when the CRI ARC recommendations are submitted to AVS-1 and AVS finalizes and publishes the Section 313 Implementation Plan.

Measures of Effectiveness

AFS will develop measures of effectiveness for each of the CRI ARC recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions outlined in this section.

N. Part 23 Reorganization

Responsible Organization: ACE-100, Small Airplane Directorate

Point of Contact: ACE-110, Small Airplane Directorate - Standards Office

FAA Plan

On August 11, 2011, the FAA chartered the Part 23 Reorganization ARC with the task to make recommendations on reorganizing Part 23 based on the recommendations of the Part 23 CPS completed in July 2009. Subsequently, the ARC will produce a final report with recommendations for changes to Part 23. AIR will establish plans to implement the recommendations and initiate new rulemaking of Part 23 in 2015.

Milestones

Activity	Start	End
Charter Part 23 Reorganization ARC.	8/2011	8/2011
Develop and submit ARC recommendations to ACE-100.	11/2011	5/2013
Submit application for Part 23 rulemaking.	12/2012	2/2013
Develop Part 23 Rulemaking Action Plan.	2/2014	4/2014
Approval to proceed with Notice of Public Rulemaking.	4/2014	7/2015
Issue final rule for Part 23.	7/2015	8/2016

Committee Recommendations

[From: A Report from the Aircraft Certification Process Review and Reform Aviation Rulemaking Committee to the Federal Aviation Administration, Recommendations on the Assessment of the Certification and Approval Process, May 22, 2012, page 42]

> **Recommendation 6**—Process Reforms and Efficiencies Needed for Other AIR Functions
>
> The ARC recommends AIR undertake a review of COS and rulemaking processes and implement reforms necessary to improve efficiency, including—
>
> - Implementing the Part 23 ARC recommendations to address the Part 23 CPS recommendations.

Closure of Recommendation

The FAA will assess the Part 23 Reorganization ARC recommendations and take appropriate action including new rulemaking of Part 23. This recommendation is closed when the FAA issues a revised Part 23 that reflect high level, performance based regulations.

Measures of Effectiveness

AIR will develop measures of effectiveness for each recommendation before its closure. The measures will be defined in a manner to monitor and evaluate the benefits of the actions outlined in this section.

Rulemaking will take several years, and given the size of the current general aviation fleet (roughly 185,000 airplanes), it could take 10 years or more before measureable safety improvement occurs. In other words, it will take time to get new, safety enhancing equipment or

newly designed airplanes into the general aviation fleet at a rate fast enough to affect the overall accident rate of the 185,000 airplanes currently in existence.

Although the safety benefits of this rulemaking will take time to manifest themselves as improvements in the accident rates, there are certain items that the FAA can track which will show a positive benefit from this rulemaking.

Metric 1 - Increase in the installation of safety enhancing equipment.

The goal of the Part 23 Reorganization ARC is to increase safety by a factor of two and reduce cost by fifty percent. The ARC has determined that the FAA's own regulations (e.g., part 23) can be a barrier to installing safety enhancing equipment. Performance-based FAA regulations and industry-developed consensus implementation standards will provide a simpler certification process that delivers safe products at a much more reasonable cost than today.

Following issuance of the final rule in July 2016, there should be an increase in the installation of angle of attack sensors, two-axis autopilots, glass displays, and other important safety-enhancing systems that can aid the pilot. These installations will continue to increase over time. As these safety enhancing products are installed, a slight downward trend in the number of Loss of Control (LOC) accidents should occur. LOC accidents are the leading cause of general aviation fatalities. As these products continue to be installed, steeper declines in LOC accidents should occur.

Although it is not feasible to directly measure the number of these safety enhancing installations, AIR will develop a means to estimate the baseline number of installations in the existing fleet before final rule issuance and the number of new installations on an ongoing basis after final rule issuance. To measure the rulemaking's effect on LOC accidents, AIR will use existing methodologies for measuring general aviation (GA) accident rates and will compare those rates to fiscal year (FY) 2014 accident data from before the final rule was issued.

Metric 2 – Increase in the number of Primary Category applications.

The ARC is working to ensure "scalability" of a Production Certificate (PC). This means that applicants for a Primary Category TC will not need to meet the same production rigor as a commercial transport. As a result, the number of applicants for Primary Category certification should initially increase since PC scalability and industry design standards will be in place prior to issuance of the Part 23 final rule. This will lead to newer and safer airplanes entering the general aviation fleet, which should result in a decrease in accidents and an increase in passenger survivability. After final rule issuance, the number of Primary Category TC applications is expected to flatten as the number of Part 23 TC and amended type certificate (ATC) applications increases.

To assess this metric, AIR will track the number of Primary Category TC applications on an ongoing basis and compare it to an FY12 baseline of zero Primary Category TC applications.

Metric 3 – Increase in new TCs/ATCs after rule issuance

One indicator of a successful rulemaking will be an increase in the number of new Part 23 TCs and ATCs sought by industry. If a regulatory structure has been established that leads to safer and more affordable products, it will be easier for industry to build a business case to bring new products to market. As a result, the number of part 23 TCs and ATCs applied for and issued should increase after final rule issuance. New product designs, equipped with the latest in safety enhancing technologies, will replace airplanes in the GA fleet that are 40-50 years old. This will have a real and tangible positive impact on GA safety.

To assess this metric, AIR will track the number of Part 23 TC and ATC applications on an ongoing basis and will compare those numbers to FY14 baseline data from before the final rule was issued. To measure the rulemaking's effect on GA safety, AIR will use existing methodologies for measuring GA accident rates and will compare those rates to FY14 accident data.

APPENDIX A.
Section 312 Implementation Plan
Milestone and Effectiveness Status
As of January 29, 2016

PURPOSE

This appendix shows the status of the milestones and measures of effectiveness for each initiative of the Section 312 Implementation Plan. The purpose of this appendix is to serve as a stand-alone summary of the progress of the Section 312 Implementation Plan and to be updated on a regular basis, independent of the main body of the implementation plan.

DEFINITIONS

Status Colors

- Blue – Complete.
- Gray – No status and considered not complete.
- Green – On track/on schedule.
- Red – Will not meet end milestone as planned.
- Yellow – In danger of going off track/schedule, requires management attention and/or support.

Milestone Dates

Actual – Actual date completed.

ECD – Estimated completion date. Only used to provide a revised end date if end date has or will not be met.

End – Planned completion date.

Start – Start date.

SUMMARY OF ACTIONS

To date, the FAA has completed 11 of the 14 initiatives, many of which directly relate to the FAA's efforts to expand the use of delegated authority and implement a risk-based systems approach to the safety oversight of that expansion. The FAA has also made significant progress on the remaining three initiatives. Two of these initiatives are rulemaking activities, which are governed by the Administrative Procedures Act and follow a structured process including a period for public review and comment.

Update Part 21
In October 2012, the FAA convened a Part 21/Safety Management Systems (SMS) Aviation Rulemaking Committee (ARC). After the ARC submitted its final report in July 2014, the FAA requested further clarification as well as the addition of a regulatory timeline for Part 21 changes. The report was resubmitted in October 2014 with a recommendation to delay initiation of rulemaking until late 2015. Due to FAA rulemaking capacity limits, the application will be submitted for approval in February of 2016.

Part 23 Reorganization
The FAA is reorganizing the Federal Aviation Regulations governing the design of small airplanes (14 CFR part 23) so that the regulations are based on performance and complexity, with specific means of compliance to be defined in industry consensus standards. This rulemaking project follows the recommendations of the Part 23 Reorganization ARC and the mandates contained in the Small Airplane Revitalization Act of 2013.

The draft notice of proposed rulemaking (NPRM) completed FAA review in August 2015. The schedule for this significant rulemaking activity is published by the Department of Transportation in their Significant Rulemaking Report.

The FAA continues to proceed aggressively with this high-priority project, and anticipates publishing a final rule in late fall of 2017.

Delegation Expansion – Noise
The FAA and a candidate Organization Designation Authorization (ODA) have been collaborating since August 28, 2013 on a pilot project that will expand noise delegation functions for noise certification. The goal of this pilot project is to increase noise delegation functions and prototype processes that are expected to increase certification efficiency, while maintaining accountability for noise compliance.

The FAA completed an Annual Performance Review of the pilot noise delegation program in February 2015. In order to grant full approval, the FAA must complete the pilot and conduct an assessment to ensure that all requirements are met.

Pending a positive performance of the candidate review, the FAA will delegate determination of "no acoustical change" to the candidate ODA in April 2016.

The FAA has made significant progress in implementing the recommendations from Section 312 of the FAA Modernization and Reform Act of 2012, and the Aircraft Certification Process Review and Reform ARC to expand the use of delegated authority and establish a risk-based, systems approach to safety oversight. The FAA recognizes that the drivers of change, including the globalization of aviation, the velocity of change, industry growth, and heightened expectations, compel us to become more efficient and effective, and we share the desire of Congress and the aviation industry to streamline aircraft certification.

The FAA continues to measure the outcomes for each initiative on the holistic return of investment for FAA and industry as a whole. One measure of the return on investment is the ODA Scorecard which was developed in collaboration with industry. The FAA conducted a prototype program in 2015. The Scorecard is designed to distinguish between local and national issues to encourage the FAA and industry to work together to implement solutions as appropriate. The Scorecard enables collaboration and open dialogue which will transform aircraft certification through continuous improvement. The prototype yielded several national level improvement initiatives. Some of those initiatives are already being successfully implemented. For example, the scorecard revealed a national policy restriction requiring FAA review of low risk design changes by mandating Project Notification Letters (PNL) for almost all ODA project activity. We issued a policy amendment to eliminate the PNL, where appropriate, which will result in reducing FAA involvement. In addition, all participant ODAs developed local action plans to make improvements or plan for future growth. We will implement the Scorecard across all ODA's that have design approval authorization, by the end of this calendar year (2016).

A. Develop an Integrated Comprehensive Roadmap for Major Change Initiatives in AIR

Responsible Organization: AIR-500, Planning & Program Management Division

Point of Contact: AIR-510, Administrative Services Branch

Initiative Status: B ***Summary:*** Completed. AIR completed development of the Roadmap which is guiding its long-term strategic planning efforts. AIR developed and uses guidance to incorporate the Roadmap into its business planning process since FY 2015 when Roadmap initiatives were assigned, scoped and launched, including change management principles.

Milestones

Activity	Start	End	ECD	Actual	Status
Develop vision AIR: 2018.	6/1/2013	6/28/2013		6/28/2013	B
Develop measureable outcomes to establish end targets.	4/1/2013	6/28/2013		6/28/2013	B
Develop format, process, requirements, roles and responsibilities and business rules for use and integration of roadmap into current practices.	5/1/2013	8/30/2013		8/30/2013	G B
Apply risk-based prioritization process to roadmap projects to optimize sequencing and resource allocation.	7/1/2013	8/30/2013		8/30/2013	G B
Communicate details of roadmap projects and process information to stakeholders.	7/1/2013	9/28/2013		8/30/2013	G B
Provide select prioritized projects to project managers for project planning.	10/1/2013	2/28/2014		1/30/2014	G B
Finalize AIR Strategic Roadmap for FY18.	2/3/2014	8/1/2014		8/29/2014	R B
Integrate select projects into the annual business planning process.	2/3/2014	8/29/2014		8/29/2014	G B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	FY 2015 AIR Business Plan developed based on the Roadmap and accompanying process. Initial change and project management principles utilized – September 30, 2014.	B	9/30/2014
2	FY 2015 business planning process incorporates lessons learned & additional best practices. Roadmap process is refreshed in preparation for the FY 2016 AIR Business Plan development. Feb 28, 2015.	B	2/28/2015
3	FY 2016 AIR Business Plan developed based on refreshed version of Roadmap and issued – September 30, 2015.	B	9/30/2015
4	AIR: 2018 Vision, Roadmap, and enhanced business planning process implemented. AIR's new Roadmap refresh process followed by the business planning process is institutionalized in AIR – December 31, 2015.	B	9/30/2015

5	Major program, resource, and staffing decisions are made in consideration of goals outlined in AIR: 2018 and Roadmap priorities. Use of full change management principles on 100% of Roadmap initiatives.		

B. Deploy System to Monitor Process Improvement and Effectiveness

Responsible Organization: ANM-100, Transport Airplane Directorate

Point of Contact: ANM-109, Oversight and Evaluation Office

Initiative Status: B ***Summary:*** Completed. AIR uses the Process Improvement and Effectiveness (PIE) database to track and monitor reports, recommendations, FAA initiatives and effectiveness for Section 312, Section 313 and other certification process improvements.

Milestones

Activity	Start	End	ECD	Actual	Status
Develop Prototype Tracking System	8/31/2012	10/17/2012		10/31/2012	G B
Develop Governance for Managing System and acquiring 'new' or existing recommendations.	8/31/2012	1/31/2013		7/11/2013	R B
Develop Guidance for Evaluating Recommendation Effectiveness.	8/31/2012	4/30/2013		6/28/2013	R B
Deploy Tracking System	1/31/2013	9/30/2013		6/11/2013	G B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Database developed and implemented for use in AIR.	B	6/11/2013
2	Database incorporates recommendation from other ARC reports and evaluates effectiveness. Rev. as needed.		
3	AIR assesses other data to be included and entered. Evaluating and action plans developed, addressed.		
4	AIR Standard Operating Procedures or Order Issued.		
5	All affected AIR employees are trained.		
6	AIR works with AVS to use this tool across AVS.		
7	All affected AVS employees are trained.		
8	Implementing recommendations and measuring effectiveness is standard operating procedure for AVS.		

C. ODA Action Plan

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Initiative Status: (B) ***Summary:*** Completed. The FAA issued revision B to Order 8100.15, as well as a follow-on change 1 to the same order. GAMA and AIA representatives have advised that the feedback from its membership regarding the effectiveness of these changes has ranged from positive to neutral. The ODA Action Plan initiative is complete.

Milestones

Activity	Start	End	ECD	Actual	Status
Publish Order 8100.15 Rev B.	10/31/2011	2/28/2013		5/16/2013	(R)(B)
Update Academy Delegation Management Course 23005 to address Rev B. of Order 8100.15.	1/31/2013	4/30/2013		5/16/2013	(R)(B)
GAMA/AIA/FAA team will meet to assess effectiveness of Order 8100.15 Rev B changes.	9/30/2013	9/30/2013	7/30/2014	7/17/2014	(R)(B)
Publish Order 8100.15 Rev B Change 1.	10/31/2012	7/31/2013	2/3/2014	2/3/2014	(R)(B)
Update Academy Delegation Management Course 23005 to address Order 8100.15 Rev B Change 1.	8/30/2013	11/29/2013	2/3/2014	2/3/2014	(R)(B)
GAMA/AIA/FAA team will meet to assess effectiveness of Order 8100.15 Rev B Change 1 changes.	7/31/2014	7/31/2014	12/30/2014	12/19/2014	(R)(B)

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	100% of action items closed.	(B)	12/29/2014
2	Recommended changes are incorporated in Order 8100.15 or other guidance.	(B)	2/3/2014

D. FAA Audit Training

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Initiative Status: (B) ***Summary:*** Completed. The audit training courses have been completed and made available to AVS personnel. A memo has been issued to establish the new training requirements and due dates. The ODA Audit Training Plan initiative is complete.

The FAA Surveys FAA trained audit team members that participate in Delegated Organization Inspection Programs (DOIP) during a given year on the effectiveness of ODA Audit Training, and will capture this data through 2018 to determine the effectiveness of the audit training.

Milestones

Activity	Start	End	ECD	Actual	Status
Submit training support request to AIR-520, for the FAA Audit Training.	10/31/2012	1/31/2013		1/24/2013	G B
Issue training support contract to AIR-520, for the FAA Audit Training.	12/31/2012	5/31/2013		9/27/2013	R B
Develop training needs analysis and curriculum development for the FAA Audit Training.	4/30/2013	12/31/2013		9/30/2013	G B
Develop FAA Audit training.	10/31/2013	8/29/2014	1/30/2015	9/25/2014	R B
Establish FAA Audit training requirements in policy.	8/29/2014	8/29/2014	12/9/2014	12/9/2014	R B
Deliver first FAA Audit training session.	11/28/2014	12/31/2014	12/29/2014	12/29/2014	B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	50% of audit team members attended training - goal by the end of 2016.	○	
2	75% of audit team members attended training - goal by the end of 2017.	○	
3	90% of audit team members attended training - goal by the end of 2020.	○	
4	75% of class post DOIP audit surveys are positive on the effectiveness of the training.	○	

E. Delegation Expansion - ICAs

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Initiative Status: B ***Summary:*** Completed. The FAA will monitor ICA delegation to ODA holders through the national roll up of the ODA scorecard.

Milestones

Activity	Start	End	ECD	Actual	Status
Address ICA acceptance authority policy at 2013 ODA Seminars.	6/19/2012	9/30/2013		9/11/2013	G B
Add ICA delegation process to procedures manual of the 3 additional lead ODA organizations.	6/29/2012	6/30/2014	11/30/2014	10/8/2014	R B
Address ICA acceptance authority policy at 2014 ODA Seminars.	6/29/2012	9/30/2014		9/17/2014	B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	25% of eligible ODA organizations have applied for ICA authority.	B	9/30/2015
2	40% of eligible ODA organizations have applied for ICA authority - goal by end of 2018.		
3	65% of eligible ODA organizations have applied for ICA authority - goal by 2020.		
4	100% of qualified applicants granted ICA authority - goal by 2022.		

F. Delegation Expansion - Emissions

Responsible Organization: ANE-100, Engine and Propeller Directorate

Point of Contact: ANE-110, Engine and Propeller Directorate - Standards Office

Initiative Status: B ***Summary:*** Completed. Full delegation for Part 34, Emissions, is now available to ODA and DER holders. As of June 2015, three of five U.S. aircraft engine manufacturers have applied and are approved for full Part 34 delegation. The remaining two engine manufacturers are finalizing their ODA manual revisions and/or application submittals targeting near term application approval.

Milestones

Activity	Start	End	ECD	Actual	Status
Develop an agreed AEE and AIR plan to complete this recommendation.	9/4/2012	10/31/2012		10/31/2012	G B
Review legal issues for delegation including The Clean Air Act. * Coordinate with AGC-200.	9/4/2012	1/31/2013		7/26/2013	R B
Develop knowledge, skills and attributes (KSAs) for engine designated engineering representative (DER) for emissions approvals.	10/31/2012	6/30/2013		6/28/2013	G B
Develop recurrent training for engine DER for emissions approvals.	6/28/2013	6/30/2014	1/30/2015	1/22/2015	G B
Revise DER Handbook, Order 8110.37E, to recognize this delegation. Revise ODA Procedures, Order 8100.15A, to include emissions delegation. * Coordinate with AIR-142.	6/28/2013	6/30/2014		7/2/2014	R B
Deliver initial training to engine DERs for emissions approvals.	10/31/2014	12/31/2014		12/3/2014	G B
Issue AEE/AIR delegation memo announcing expanded delegation of emissions compliance findings.	6/30/2014	6/30/2014		7/2/2014	R B
Evaluate designee applications for DER-appointment to be an approved engine DER for emissions approvals.	6/30/2014	6/30/2015		6/3/2015	G B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Policy has been issued and distributed to ACOs, Designees, and industry.	B	7/2/2014
2	Initial delegation training announcement for designees has been provided at DER seminars and ACO Hot Topics session.	B	12/3/2014
3	Ongoing regulatory and technical training for designees has been developed.	B	1/22/2015
4	100% of qualified applicants granted emissions authority.	B	6/3/2015

5	The number of effective TC program delegations where designees are fully delegated 14 CFR part 34 compliance findings has achieved 20, or one year of expanded delegation has occurred, whichever is greater.	○	
6	Incorporate lessons learned from delegations and revise delegation orders and the ongoing training to assure improvements.	○	

G. Delegation Expansion - Noise

Responsible Organization: AIR-001, Aircraft Certification Service

Point of Contact: AEE-100, Office of Energy and Environment

Initiative Status: R ***Summary:*** FAA completed the annual performance review of the pilot noise delegation program and is waiting for data from the project company, which is not expected to be available until February, to complete the pilot assessment. The FAA expects to perform its assessment in March and to coordinate final determination to delegate noise by the end of April.

Milestones

Activity	Start	End	ECD	Actual	Status
Draft memorandum of understanding (MOU).	4/30/2012	9/28/2012		7/28/2012	G B
FAA and ODA agree on program functions.	1/31/2013	2/28/2013		9/26/2012	G B
Management finalize and sign MOA.	2/28/2013	2/28/2013		6/20/2013	R B
Candidate ODA submits procedures manual to FAA for approval.	4/30/2013	4/30/2013		7/15/2013	R B
Expanded noise delegation granted to candidate ODA.	10/31/2013	10/31/2013		8/28/2013	G B
Launch Pilot Project.	10/31/2013	10/31/2013		8/28/2013	G B
Informal FAA audit on noise determinations.	5/30/2014	6/30/2014		7/9/2014	R B
Annual performance review.	10/31/2014	11/28/2014	2/2/2015	2/25/2015	R B
Complete pilot and assess it before full approval.	10/31/2015	10/31/2015	3/31/2016		R
Based on the results of the pilot program satisfactorily meeting all requirements, AIR grants delegation authority for specific noise functions.	11/30/2015	12/31/2015	4/29/2016		R

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	ODA order incorporates noise delegation.		
2	All affected AIR employees are trained.		
3	100% of qualified ODA applicants granted noise authority.		

H. Project Sequencing Process Improvement

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: ACE-115N, Anchorage Aircraft Certification Office

Initiative Status: B ***Summary:*** Completed. Certification projects are no longer queued since AIR issued and implemented the Project Prioritization and Resource Management Standard Operating Procedure. This accomplishment satisfies the ACPRR ARC's recommendations.

Milestones

Activity	Start	End	ECD	Actual	Status
Request for public comments	9/30/2011	10/31/2012		10/31/2012	G B
Develop new SOP.	11/30/2012	4/30/2013		4/30/2013	G B
Request for public comments	4/30/2013	6/28/2013	7/3/2013	7/2/2013	R B
Develop revised ACO Project Sequencing standard operating procedures (SOP)	6/28/2013	9/25/2013	9/30/2013	9/30/2013	R B
Obtain concurrence from unions, as needed	12/20/2013	5/30/2014		7/30/2014	R B
Complete training package for revised procedures	12/20/2013	9/30/2014		8/29/2014	G B
Issue revised ACO Project Sequencing SOP	12/20/2013	9/30/2014		9/6/2014	G B
Develop effectiveness measures	10/30/2014	5/30/2015		5/14/2015	G B
Evaluate SOP effectiveness	6/1/2015	5/30/2016			G
Issue FAA Order on ACO Project Sequencing	1/30/2016	12/30/2016			G

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Elimination of the existing certification backlog 30 days before implementation of the revised project sequencing process.	B	9/30/2014
2	Full implementation of revised project sequencing process nationwide consistent with change management process recommended by the ARC by December 30, 2014.	B	9/30/2014
3	No certification project backlog after the implementation of the revised project sequencing. This measure would be satisfied by implementation of the Project Prioritization process in each of the Certification Offices.	B	9/30/2014

I. Update Part 21

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-150, Safety Management Design and Analysis Branch

Initiative Status: R ***Summary:*** AIR is developing policy and guidance to support alignment with a systems approach to certification and SMS. The formal rulemaking project timeline has been developed. We expect to get formal approval for a rulemaking project in February 2016. AIR continues to work with industry representatives to develop advisory material for SMS.

Milestones

Activity	Start	End	ECD	Actual	Status
Charter Part 21/SMS ARC.	5/31/2012	10/31/2012		10/15/2012	G B
ARC Kick-off Meeting.	11/30/2012	11/30/2012		11/30/2012	G B
Develop ARC report on Part 21/SMS changes. (Report due to AIR-1).	11/30/2012	4/30/2014	6/30/2014	7/3/2014	R B
Submit application for Part 21/SMS rulemaking.	5/30/2014	6/30/2014	2/29/2016		R
Develop Part 21/SMS Rulemaking Action Plan.	6/30/2014	8/29/2014	11/8/2016		R
Release Part 21/SMS NPRM for comment.	8/31/2015	1/29/2016	5/21/2018		R
Issue Final Rule for Part 21/SMS.	1/29/2017	6/30/2017	2/27/2020		R

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Part 21 rule and guidance are issued.	○	
2	All affected AIR employees are trained.	○	

J. Validation Process Improvements

Responsible Organization: AIR-410, International Policy Branch

Point of Contact: AIR-410, International Policy Branch

Initiative Status: (B) ***Summary:*** Completed. AIR analyzed information provided by FAA-EASA Validation Improvement Team and FAA-TCCA Program Efficiency Plan to support development of metrics for measuring effectiveness of validation programs for aircraft designs approved under a bilateral aviation safety agreement. Key metrics were identified, a centralized collection tool established, and Quality Management System process implemented to manage the effectiveness of the FAAs civil aviation partnerships. The language has been added to two agreements in 2015 and will be included in our negotiations with future agreements. IPAs Basic validation information is regularly shared with industry with the latest information provided during the September 2015 Customer Day in conjunction with the annual FAA-EASA-TCCA-ANAC Quadrilateral meeting.

Milestones

Activity	Start	End	ECD	Actual	Status
Validation Implementation Team to develop and submit recommendations to the Certification Oversight Board.	1/31/2012	10/31/2012		10/31/2012	(G)(B)
Review recommendations from Validation Implementation Team (FAA/EASA) and the bilateral Program Efficiency Plan (FAA/TCCA).	10/31/2012	9/30/2013		9/3/2013	(G)(B)
Identify key metrics to measure bilateral agreement implementation.	10/31/2013	8/29/2014		6/9/2014	(G)(B)
Develop process to monitor metrics, analyze data, conduct continuous process improvement and review performance with industry.	10/31/2013	8/29/2014		8/29/2014	(G)(B)

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	All affected AIR employees are trained.	(B)	10/1/2015
2	Revised Outbound Validation procedures issued and distributed to ACOs. Database changes implemented for use in AIR.	(B)	12/7/2015
3	Based on validation metrics, revised validation procedure language is implemented in at least two bilateral partner agreements.	(B)	10/30/2015
4	Validation performance metrics are briefed to ACO Managers on a monthly basis.	( )	

K. International COS Improvements

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Initiative Status: (B) ***Summary:*** Completed. In a good faith effort to address the statutory and procedural requirements to streamline the MCAI process, AIR completed their review of COS and rulemaking processes and could not implement reforms to improve efficiency for eliminating duplicate efforts in issuing MCAIs because of U.S. regulatory and statutory limitations associated with airworthiness directives. Deleted effectiveness measures.

Milestones

Activity	Start	End	ECD	Actual	Status
Coordinate Mandatory Continuing Airworthiness Information (MCAI) Streamlining report with AGC-1.	3/30/2012	4/30/2013		10/31/2012	G B
Receive assessment from AGC-1.	10/31/2012	10/31/2012	5/31/2014	7/18/2014	R B
Submit MCAI Streamlining Report to AVS-1.	4/30/2013	6/28/2013	6/30/2014	6/8/2014	R B
Receive decision from AVS-1 on the MCAI Streamlining proposal.	6/28/2013	9/30/2014		8/15/2014	G B
Initiate next-step activities on the MCAI Streamlining report, as necessary. TBD				8/15/2014	B

L. Expediting Rulemaking

Responsible Organization: AIR-100, Aircraft Engineering Division

Point of Contact: AIR-110, Engineering Procedures Office

Initiative Status: B ***Summary:*** Completed. The FAA integrated a rulemaking prioritization tool which gives certain special conditions higher priority, on August 30, 2014. The prioritization tool, taking into considerations special conditions, identified an application for rulemaking to be submitted to the Rulemaking Council. The application incorporates into airworthiness standards several special conditions and equivalent safety findings (ESF).

Milestones

Activity	Start	End	ECD	Actual	Status
ARM tasks RPWG to evaluate prioritization tools and submit a recommendation.	5/31/2012	12/31/2012		12/31/2012	G B
AIR identifies common special conditions for rulemaking.	10/31/2012	9/30/2013		9/30/2013	G B
ARM develops and finalizes implementation plan based on RPWG's recommendations.	1/31/2013	3/29/2013		3/26/2013	G B
ARM implements rulemaking prioritization tools.	4/30/2013	10/31/2013		9/24/2013	G B
AIR integrates the rulemaking prioritization tools to annually assess and prioritize special conditions and all other rulemaking.	10/31/2013	9/30/2014		8/30/2014	G B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Tool is deployed to the workforce and is being utilized for all new rulemaking projects.	B	8/30/2014
2	All affected AIR employees are trained.		
3	25% reduction in the number of special conditions that have been used for a period of time and the design is no longer new and novel when compared to the number of these SCs before the prioritization tool was implemented.		
4	50% reduction in the number of special conditions that have been used for a period of time and the design is no longer new and novel when compared to the number of SCs before the prioritization tool - within 16 months of rule issuance.		
5	75% reduction in the number of special conditions that have been used for a period of time and the design is no longer new and novel when compared to the number of these SCs before the prioritization tool was implemented.		
6	25% reduction in the time to process SCs after the prioritization tool was implemented.		

M. Consistency of Regulatory Interpretation

Responsible Organization: AFS-001, Flight Standards Service

Point of Contact: AFS-003P, Flight Standards Service Policy Oversight

Initiative Status: B ***Summary:*** Completed. The FAA considers the Consistency of Regulatory Interpretation initiative completed under Section 312 since this initiative is tracked separately under the Section 313 Implementation Plan which AFS and AIR issued on January 30, 2015.

http://www.faa.gov/regulations_policies/rulemaking/committees/documents/index.cfm/committee/browse/committeeID/239

Milestones

Activity	Start	End	ECD	Actual	Status
Submit CRI ARC Final Report to AVS-1.	4/30/2012	11/30/2012		11/30/2012	G B
Review CRI ARC Final Report and develop an AVS action plan that addresses recommendations.	11/30/2012	9/30/2013	1/30/2015	1/15/2015	R B

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	See the CRI Implementation Plan.	○	

N. Part 23 Reorganization

Responsible Organization: ACE-100, Small Airplane Directorate

Point of Contact: ACE-110, Small Airplane Directorate - Standards Office

Initiative Status: R ***Summary:***

The draft notice of proposed rulemaking (NPRM) completed FAA review in August 2015, and is now currently under executive review. The NPRM is expected to be published following the completion of the executive review in accordance with the established rulemaking schedule which is published on the website: https://www.transportation.gov/regulations/report-on-significant-rulemakings.

The FAA is also closely monitoring the progress of ASTM International's work under the F44 Committee on General Aviation Aircraft. The committee has completed approximately 70% of the developmental work in creating international industry consensus standards and guidance material supporting the part 23 rule change. Additionally, AIR has established and is implementing a change management plan to facilitate an efficient and effective implementation of the new regulatory approach.

Milestones

Activity	Start	End	ECD	Actual	Status
Charter Part 23 Reorganization ARC.	8/31/2011	8/31/2011		8/31/2011	B
Develop and submit ARC recommendations to ACE-100.	11/30/2011	5/31/2013		6/6/2013	R B
Submit application for Part 23 Rulemaking.	12/31/2012	2/28/2013		2/28/2013	G B
Develop Draft Rulemaking Action Plan.	10/2/2013	4/30/2014		9/30/2014	R B
Approval to proceed with Notice of Public Rulemaking (NPRM) .	12/2/2014	7/31/2015	12/31/2015	12/9/2014	R B
Develop Notice of Public Rulemaking (NPRM).	12/10/2014	8/12/2015		8/28/2015	R B
Publish NPRM	8/28/2015	12/28/2015	2/27/2016		R
Issue final rule for Part 23.	3/31/2016	8/31/2016	9/19/2017		R

Measures of Effectiveness

Level of Effectiveness	Measure	Status	Date Achieved
1	Part 23 rule and guidance are issued.		
2	All affected AIR employees are trained.		

3	Based on applications review in the Certification Project Notification (CPN) Database, and actual product count supplied by equipment manufacturers, track increase in the installation of safety enhancing equipment following rule issuance in Nov 2017.	○	
4	Track the increase in the number of Primary Category applications and compare it to FY12 baseline of zero Primary Category TC applications.	○	
5	Increase in new Part 23 TCs/ATCs applications after rule issuance and compare numbers to FY14 baseline data.	○	