



SAFETY OVERSIGHT AND CERTIFICATION ADVISORY COMMITTEE (SOCAC) MEETING AGENDA

September 22, 2021 *** 1:00 PM – 3:00 PM

- Welcome and Introductions
- Federal Advisory Committee Act (FACA) Statement
- Acceptance of March 2021 Meeting Minutes
- Subcommittee Update
 - Workforce Development and Training Tasking Status Report
- FAA Updates
 - FAA Update on Certification & Oversight Reform
 - ODA Expert Panel
- Other Business and Closing Remarks

SOCAC agendas, meeting minutes, and reports are available on the FAA's committee website at https://www.faa.gov/regulations_policies/rulemaking/committees/documents/index.cfm/committee/browse/committeeID/717.

**Safety and Oversight Certification Advisory Committee Meeting
Record of Meeting (DRAFT)**

MEETING DATE: March 29, 2021

MEETING TIME: 1:00 p.m. - 4:00 p.m.

LOCATION: Virtual Meeting via Zoom

PUBLIC ANNOUNCEMENT: Federal Aviation Administration (FAA) provided notice to the public of the Safety and Oversight Certification Advisory Committee (SOCAC) meeting in a Federal Register notice published on March 11, 2021 (86 FR 13964).

Members

Attendees	Occupation Or Affiliation
Bill Ayer (SOCAC Chair)	National Business Aviation Association (NBAA)
Jason Dickstein	Modification and Replacement Parts Association
Eric Fanning	Aerospace Industries Association (AIA)
Bob Fox	Air Line Pilots Association, International (ALPA)
Chris Jackman	Wing Aviation LLC
Paul La Pietra	Honeywell Aerospace
John Laughter	Delta Air Lines, Inc.
Shelly deZevallos	West Houston Airport Corporation
Sarah MacLeod	Aeronautical Repair Station Association (ARSA)
Colin Miller	Gulfstream Aerospace
Bradley Mottier	GE Aviation
Timothy Obitts	National Air Transportation Association (NATA)
Beth Pasztor	The Boeing Company
Michael Perrone	Professional Aviation Safety Specialists (PASS)
Michael Quiello	XTRA Airways
Gregory Shoemaker	National Air Traffic Controllers Association (NATCA)
Alan J. Stolzer	Embry-Riddle Aeronautical University
Phillip Straub	Garmin International, Inc.
Michael Thacker	Bell/Textron Aviation
Jim Viola	Helicopter Association International

Ali Bahrami (Designated Federal Officer)	Associate Administrator for Aviation Safety (AVS)
Bob Busto	FAA Aircraft Certification Service (AIR)
Robert Duffer	FAA Flight Standards Service (AFS)
Non-SOCAC Members	
Name	Occupation Or Affiliation
Chad Balentine	ALPA
Stacey Bechdolt	ALPA
Greg Beneteau	GE
Doug Carr	NBAA
Andy Cebula	Airlines for America (A4A)
Keith DeBerry	NATA
Emily Durham	Lewis-Burke Associates, LLC
Tony Fazio	GIFAS - French Aeronautics Association
Jennifer Holder	Boeing
John McGraw	NATA
Paul McGraw	A4A
Yvette Rose	Cargo Airline Association
David Silver	AIA
Jarrold Thompson	A4A
Greg Walden	Dentons US LLP
FAA PARTICIPANTS	
Tim Adams	Office of Rulemaking (ARM)
Angela Anderson	ARM
Chris Carter	AIR
Thuy Cooper	ARM
Kevin Dickert	AIR
Richard Doan	AGC
Rick Domingo	AFX
Aliah Duckett	ARM
Emma Duncan	AOC
Mara Jenkins	AVS

Earl Lawrence	AIR
Lynn Lunsford	AOC
Natalie Mitchell-Funderburk	ARM
Lakisha Pearson	ARM
Luis Ramirez	AIR
Shalini Razdan	AIR
Brandon Roberts	ARM
Chris Rocheleau	AVS
Puja Sardana	ARM Contractor
Tim Shaver	AFS
Jamie Showman	AIR
Dustin Talkington	AIR
Elizabeth Williams	AFS

Welcome and Introduction

Mr. Ali Bahrami, the Designated Federal Officer (DFO), called the meeting to order at 1:02 pm. Mr. Bahrami greeted SOCAC members, reminded participants that the meeting will be recorded, and provided instructions on how the meeting will be conducted on Zoom.

Mr. Bahrami introduced Mr. Bill Ayer, SOCAC Chair. Mr. Ayer recognized SOCAC members, thanked everyone in attendance for joining the meeting, reviewed the meeting agenda, and asked Mr. Bahrami to read the required FACA statement.

Mr. Bahrami read the required Federal Advisory Committee Act (FACA), title 5, United States Code (5 U.S.C.); appendix 2 (2007) statement. He confirmed that the meeting is open to the public and that members of the public may address SOCAC with the permission of the Chairperson.

Ratification of Minutes

Mr. Ayer asked if there was a motion to accept the December 1, 2020, SOCAC meeting minutes. Mr. Bob Fox motioned to accept the minutes, and Mr. James Viola seconded the motion. SOCAC voted to ratify the minutes with no opposition.

Subcommittee Status Reports

The March 29, 2021, meeting packet with presentations is available on the FAA Committee website at

[https://www.faa.gov/regulations_policies/rulemaking/committees/documents/media/SOCAC%20March%20Meeting%20Packet%20\(Final%203-29-2021\).pdf](https://www.faa.gov/regulations_policies/rulemaking/committees/documents/media/SOCAC%20March%20Meeting%20Packet%20(Final%203-29-2021).pdf)

Workforce Development and Training Tasking Status Report

Mr. Ayer reminded members that FAA assigned the tasking on September 16, 2020. He described the tasking and acknowledged that it will require a lot of work. Mr. Bob Fox, Subcommittee Chair, provided the status update for the workforce development and training task. Mr. Fox stated that the group has been reviewing hundreds of relevant regulations associated with the subject matter.

Ms. Sarah MacLeod referenced a three-legged stool of knowledge that should include information on regulations, technology, and professionalism. She indicated that knowledge of all three categories should be refined to develop standards based on existing educational standards. Ms. MacLeod noted that further specific developments would be based on special niche circumstances, but creating a minimum standard of education in the areas of regulations, technology, and professionalism is the goal.

A member asked about the vision of how to execute these standards through the FAA. Ms. MacLeod noted that the agency currently creates its own standards, and she expressed frustration with current FAA standards that she believes do not have adequate baselines of information. The member asked how the recommendations of training will be implemented. The Subcommittee stated that they are aiming for testing each subject at different levels. Ms. MacLeod noted that the information requires a solid understanding before it can be applied. She believes the skills and knowledge that are required within current regulations did not go through proper testing.

Mr. Bahrami commended the three legged stool approach that Ms. MacLeod described, and he asked if there was any feedback to combine the Subcommittee's plan to mesh with FAA's plan to create better expectations. Ms. MacLeod stated that the Subcommittee and the FAA's plans should mesh well but a detailed roadmap including specific training and communication plans would be necessary. Mr. Bahrami agreed and stated that different levels and requirements need to be better defined.

A member noted that input from the FAA along the way would be helpful, and Mr. Bahrami agreed. Another member noted that a defined structure of requirements for levels and advancement would be helpful. Ms. MacLeod noted that there should be requirements for what the industry should know and requirements for what the agency should know. Mr. Bahrami agreed with that line of approach.

Mr. Ayer asked what the first phase of this timeline looks like for the group. Ms. MacLeod described the current training requirements and concerns that the Subcommittee has identified. Another member added that the Subcommittee plans to develop training requirements that would be included as part of the implementation plan

Ms. MacLeod reminded SOCAC that after the Subcommittee finalizes their recommendations, there will likely be a 2-5 year implementation period from the agency. She noted feedback from the agency along the way would be very helpful. She further noted that educational entities would not develop the necessary trainings until the trainings are required. Mr. Bahrami agreed that the governance process can take time for implementation.

Mr. Fox stated the Subcommittee intends to submit its report to SOCAC for consideration in either November or December 2021. He further stated that the Subcommittee will meet on April 27.

Aircraft Certification, Safety, and Accountability Act

Mr. Bahrami reminded members that the FAA established SOCAC in response to the FAA Reauthorization Act of 2018. However, the FAA concluded that it would be necessary to amend the SOCAC charter in light of the Aircraft Certification, Safety, and Accountability Act (ACSAA) that was enacted on December 27, 2020. Mr. Bahrami noted that ACSAA rescinded sections 202 (paragraphs 8 and 9), 211, and 221 of the FAA Reauthorization Act, which impacts SOCAC. These sections relate to performance objectives and metrics.

Mr. Ayer emphasized that it is important to discuss changing the charter to add value in the best possible way to align with governmental intentions. Mr. Bahrami noted that he has weekly meetings with the teams in order to determine the best way to move forward. Mr. Ayer asked if there were any questions or comments.

Ms. MacLeod stated that she believed the recommendations proposed by the Flight Standards Transparency, Performance Accountability, Efficiency Aviation Rulemaking Committee (FST PAcE ARC) does not address metrics, so the FAA should be able to accept the work performed by the ARC. Mr. Bahrami agreed that the FAA should consider all current recommendations.

Mr. Ayer asked Mr. Bahrami to describe the process to amend the charter. Mr. Bahrami noted that the FAA intends to remove references to the repealed sections. Once the amended charter is coordinated within the FAA, the agency will send it to the Department of Transportation (DOT) for review and approval. DOT must also coordinate with the General Services Administration, who manages the FACA process.

Aviation Rulemaking Committees (ARCs)

FST PAcE ARC

Mr. Ayer asked Mr. Bob Fox to update the committee on the FST PAcE ARC. Mr. Fox reviewed the members, the tasking, the meeting schedule, and the status of the tasking. He noted that the ARC submitted the Section 221 Subgroup Recommendation Report to the FAA in January 2021. He provided an overview of the ARC's recommendations, which addressed each of the 11 Performance Objectives.

1. Reduce/ Eliminate Delays with Flight Standards Activities
2. Increasing Accountability for both the FAA and Industry
3. Appropriate Utilization of Delegation
4. Implement Risk Management Principles and a System Safety Approach
5. Reduce Duplicative Efforts
6. Eliminate Inconsistencies
7. Improving and Providing Greater Opportunities For Training

8. Develop Single Master Source for Guidance
9. Streamlined Appeal Process for Regulatory Interpretations
10. Maintain and Improve Safety
11. Increase Transparency

Mr. Bahrami commended the FST PAcE ARC for its work on the recommendation report. He noted that the agency is reviewing the recommendations. He further noted that implementation of the recommendations will require engagement by both FAA and industry.

Ms. MacLeod motioned to accept the report, and Ms. Beth Pasztor seconded. Ms. Pasztor emphasized that the recommendations tie into so many other areas within the SOCAC Charter. The committee voted to accept the recommendation report with no objections.

Safety Oversight and Certification (SOC) ARC

Mr. Ayer reminded members that Mr. Michael Thacker presented the SOC ARC Recommendation Report at the previous meeting. He asked for a motion to accept the report. Mr. Fox motioned, and Mr. Jason Dickstein seconded the motion. SOCAC accepted the SOC ARC with no objections.

FAA Updates

FAA Response to Special Committee on Certification Recommendation Report

Mr. Bahrami asked Mr. Kevin Dickert to update SOCAC on the FAA response to the Special Committee on Certification Recommendation Report. Mr. Dickert noted that the FAA modified the category titles outlined in the Special Committee Report to account for the requirements in the Aircraft Certification, Safety, and Accountability Act.

Mr. Dickert described the Special Committee's focus areas:

1. Safety Management Systems
2. System Safety & Human Factors
3. Operational Considerations during Certification
4. Data
5. Integration of AVS Certification & Oversight Functions
6. Personnel
7. Delegation & Oversight
8. Certification & Continued Operational Safety (COS) Processes
9. Innovation
10. Existing Recommendations & Miscellaneous.

Mr. Bahrami emphasized the importance of taking care of issues before they become safety concerns. Ms. MacLeod noted the importance of balancing expectations versus reality of implementation. Mr. Bahrami agreed.

Mr. Dickert explained that the purpose of Focus Area 10 'Existing Recommendations & Miscellaneous' is to cover anything that didn't fit in the other sections. He asked if anyone had questions regarding any of the projects. Ms. MacLeod asked if there was a special office that would be fielding questions between the agency and Organization Designation Authorization (ODA) managers. Mr. Bahrami explained the overseeing process.

A member asked Mr. Dickert about the priority order of the projects. Mr. Dickert stated that there is not a specific priority order at this time. He noted that several of these projects were underway before the Department assigned the task to FAA. M

ODA Expert Panel

Mr. Bahrami asked Mr. Bob Busto to provide an update on the ODA Expert Panel. Mr. Busto noted that the OMB Control Number for the survey was issued in January 2021. The FAA deployed the survey on February 16, 2021, to approximately 84 people.

A member asked how section 125 relates to section 103. Mr. Busto stated that section 125 is looking more at the ODA program and efficiencies while section 103 is focused on SMS and safety culture and assessment.

Other Business

Mr. Ayer informed the committee that the next meeting will be held in early September 2021. He noted that SOCAC will have three meetings in 2022 - April, September, and December. Mr. Ayer further expressed appreciation for all the work being done.

Mr. Paul La Pietra asked about the status of the charter renewal and amendments to the charter. Mr. Bahrami confirmed that the draft changes include the removal of two sections discussed in the presentation. Mr. La Pietra inquired about the appointments of SOCAC members, as their 2-year term ends in August 2021. Mr. Bahrami asked Ms. Cooper to address the question. She noted that the renewed charter allows members to continue serving until their replacement is chosen or they are reappointed.

Adjournment

Mr. Ayer adjourned the meeting at 3:36 pm EDT.

Certification & Safety Oversight Reform Status Update



Federal Aviation
Administration



Date: August 10, 2021

Introduction

The Federal Aviation Administration (FAA) understands and embraces the need to promote and sustain the primacy of safety, as well as continuous and proactive management of risk throughout its workforce, across industry, and with other aviation authorities.

To meet this need, the FAA is driving greater transparency, collaboration, and accountability across the regulating and regulated communities, with a primary focus on:

- Strengthening corporate safety cultures to improve safety risk management and performance through mandated and voluntary action;
- Improving data availability, accessibility, and analysis through both process and infrastructure enhancements; and
- Advancing system-level safety management through better integration of the design, production, and operational approval processes.

Further, the FAA is committed to thorough and complete implementation of the aircraft certification reform legislation and addressing recommendations from recent investigations and independent reviews.



Approach Overview

The FAA continues to improve and refine our certification and safety oversight processes using a *comprehensive approach* to implementing the provisions from the recent certification reform legislation and the various recommendations received from investigations (OIG, NTSB, KNKT, etc.) and independent reviews (JATR, Special Committee, etc.). We identified the following general themes:

- ***Treat aircraft as complex systems, with full consideration of how all the elements in the operating system interact.***
- ***Integrate human factors considerations more effectively throughout all aspects of the design and certification process.***
- ***Improve the agency's oversight process by ensuring coordinated and flexible flow of data and information.***
- ***Focus on the workforce of the future and develop expertise to evaluate technological advances.***



Sec. 213 ODA Expert Review Panel

SOCAC Update Briefing

Presented to: Safety Oversight and Certification Advisory
Committee (SOCAC)

Date: September 22, 2021



Federal Aviation
Administration



Federal Aviation
Administration

Background

- **Section 213 of 2018 Reauthorization Act requires:**
 - FAA Administrator to convene multidisciplinary expert review panel to examine aspects of the ODA program
- **Composition and Member Qualifications of Panel:**
 - Not more than 20 members
 - Minimum of 5 years of ODA related experience
 - Represent - ODA holders, aviation manufacturers, safety experts, and FAA labor organizations
- **Deliverable:**
 - Report documenting Panel findings and recommendations
 - Submitted to: FAA Administrator, SOCAC, and Congress



ODA Survey Updates

- Data collected from 16 Feb - 5 Apr 2021
- Responses were anonymous (i.e., companies cannot be identified)
- Received 61 responses (76.3% participation rate) with a 92% completion rate
- 102 Questions in total (combination of both quantitative and qualitative questions*)
 - Qualitative questions were categorized into themes based on responses
- 49 minutes was the average time to complete
 - Average time did not include additional time it took ODA's to collect information prior to completing the survey



Survey Sections Reference

- **Demographics**
- **Program Applicant Questions**
 - Communications/Expectations
 - Efficient Practices
- **ODA Holder Questions**
 - Certification
 - Continued Operational Safety
 - Culture/Incentives/Environment
 - Benefits of ODA
 - Delegation/Designation
 - Procedures Manual
 - ODA Internal Self-Audit
 - FAA Oversight



ODA Survey Update

- **ODA Survey Next Steps**

- ODA Expert Panel received survey results June 28, 2021
- Panel currently assessing survey results against existing draft recommendations
 - Validate existing draft recommendations or identify gaps that require additional panel consideration/recommendations



ACSAA Impact

- **On December 27, 2020 Congress passed the Aircraft Certification, Safety, and Accountability Act**
- **Section 125 modified Section 213 of 2018 FAA Reauthorization Act**
- **Major Change Summary:**
 - Added a new paragraph (c)
 - To identifying best practices related to:
 - Undue pressure and perceived regulatory coziness, and independence,
 - Improve ODA/FAA communications,
 - Examine FAA designee programs, advisor appointments to identify components that could improve the ODA program.



ACSAA Impact

- **Panel working since May to address new ACSAA requirements**
 - Works groups formed each focused on one of the new requirements
 - Examined regulated industries at local, state, and national level
 - Conducted literature search and interviews with subject matter experts focused on controls of undue pressure/influence and regulatory coziness
 - Conducted interviews with OMT members, Policy Offices, and ODA Administrators to examine ODA/FAA communication and undue pressure
 - Conducted interviews with SME's from other FAA Designee programs
 - Flight Standards, Aero Medical, Aircraft Certification



Driving to Completion

- **Finalize review and incorporation of survey results into recommendations report**
- **Finalize reviews and document best practices recommendations from new 125 requirements**
- **Release recommendations report**



Requirements, Recommendations, and Provisions

REQUIREMENTS

- **Aircraft Certification, Safety, and Accountability Act** (December 27, 2020)
 - 100+ provisions

INVESTIGATIONS AND INDEPENDENT REVIEWS

- **Joint Authorities Technical Review Submittal** (October 11, 2019)
 - 12 recommendations
 - All 737 Max Return to Service items have been completed
- **Official Report of the Special Committee (Spec Comm) to review the Federal Aviation Administration's Aircraft Certification Process** (January 16, 2020)
 - 10 Focus Areas
- **National Transportation Safety Board (NTSB) Report** (September 19, 2019)
 - 7 recommendations
- **JT610 Final Komite Nasional Keselamatan Transportasi (KNKT) Aircraft Accident Investigation Report** (October 29, 2018)
 - 8 recommendations to the FAA
- **Office of Inspector General *Weaknesses in FAA's Certification and Delegation Processes Hindered Its Oversight of the 737 MAX 8*** (February 23, 2021)
 - 14 recommendations
- **Technical Advisory Board (TAB) Final Report** (November 18, 2020)
 - 5 action items for the FAA
 - All 737 Max Return to Service items have been completed



Certification and Safety Oversight Reform

The FAA has organized certification and safety oversight reform provisions and recommendations into the following workstreams:

- Safety Management Systems
- System Safety and Human Factors
- Global Collaboration
- Data
- Integration of Certification and Oversight Functions
- Culture of Safety and Excellence
- Delegation
- Certification and Continued Operational Safety Processes
- Innovation
- Other Requirements



Safety Management Systems: Overview

Objective: To enhance and promote the use of safety management systems (SMS) to ensure a holistic and proactive assessment of hazards and support improvement in safety performance.

Behavioral and Process Benefits:

- Increased transparency from industry will drive behavioral changes, which allow the agency to be more proactive in our decision making.
- Key decisions made by industry will be prioritized by the safety impact.
- Strengthen risk management interfaces and feedback loops within industry and the FAA for design, manufacturing, operation, and maintenance.

Overview of Actions:

- SMS rulemaking for design and manufacturing organizations, repair stations, Part 135 operators, and air tour operators conducting operations under 14 CFR 91.147.
- Promoting the use of voluntary SMS programs:
 - Voluntary SMS programs in place for Design & Manufacturing organizations and for Operations & Maintenance Organizations.
 - Voluntary SMS participants submit elements of SMS to FAA for acceptance.
 - Voluntary SMS participants commit to regular oversight of their SMS by the FAA.
- Corporate implementation of the FAA & Industry Guide to Product Certification (CPG).
 - The CPG promotes a systems approach to certification with appropriate involvement and oversight by the FAA.

Cert Reform Bill	JATR	Spec Comm	Other
Section 102	Recommendation 6	Focus Area 1	OIG Recommendations 4, 14



System Safety and Human Factors: Overview

Objective: Implement changes to ensure system safety analyses and human factors assumptions are incorporated into the FAA's Aviation Safety (AVS) policy and oversight.

Behavioral and Process Benefits:

- Human factors activities will improve the way aircraft designs account for the broad range of pilots and pilot capabilities around the world.)
- System safety assessment activities will generate earlier, more frequent, and timely assessments of potential hazards and risks associated with aircraft and operations during the design and certification process.
- Comprehensive understanding of the interconnectivity of the airplane lifecycle.

Overview of Actions:

- Provision a number of efforts regarding system safety assessments and human factors including:
 - Rulemaking for System Safety Assessments, system safety advisory circular, and new policy for flight path management.
 - Establishing a System Safety Implementation Team to support future rulemaking and policy development, including:
 - Improved FAA-recognized industry methods, best practices, training, and tools that provide a holistic approach to assessing system safety, including integration of the human element as part of the system.
 - Greater system safety expertise within the FAA, sustained by clear guidance, training, and tools for engineers reviewing system safety assessments.
 - Evaluation of pilot response times to non-normal and failure conditions as an input to the System Safety Assessment.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 105, 106, 115, 116, 119, 124, 126, 127	Recommendations 2, 3, 4, 6	Focus Areas 2	OIG Recommendations 3, 5 NTSB A-19-10 through A-19-16 KNKT 2018-35.20; -21; -23; -24 <i>TAB Report Action Item 5</i>



Global Collaboration: Overview

Objective: Expand global engagement with other Civil Aviation Authorities to foster improvements in international safety standards and practices for how the operational requirements for an aircraft are evaluated by the State of Design as part of the certification effort.

Behavioral and Process Benefits:

- Increased sharing of information about the type design from the State of Design and improved information flow from States of Registry to the FAA to assist in continued operational safety.
- Harmonization of standards, guidance, and practices.
- Improved information flow from States of Registry to the FAA to assist in continued operational safety management.

Overview of Actions:

- Adjust the requirements for establishing pilot training requirements for new or amended type certificates to require additional information from the manufacturer.
 - Initiate a call to action safety review of pilot certification standards.
 - Work with International Civil Aviation Organization (ICAO) ICAO and other international stakeholders to improve the FAA’s ability to influence the maintenance and pilot training requirements for U.S. products operating under the oversight of another civil aviation authority.
 - Member of the ICAO Personnel Training & Licensing Panel (PTLP), championed by the FAA at ICAO (kickoff meeting held in February 2021 and meetings continue—next meeting in early September 2021).
- Chartered the Changed Product Rule International Authority Working Group.
 - This working group will develop recommendations for international policy and guidance to ensure proposed changes to an aircraft are evaluated from an integrated whole aircraft system perspective.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 117, 119, 128	Recommendation 1	Focus Areas 3, 8	TAB Report Action Items 7, 8 KNKT Recommendations 2018-35.25, .27



Data: Overview

Objective: Enhance the capability to collect, consolidate, analyze, and share safety data within the FAA and between industry stakeholders and international partners.

Behavior and Process Benefits:

- Significant improvements in data quality and availability to support FAA’s risk-based decision making.
- Technology infrastructure and data integration to support risk-based decision making.
- Data accessibility to make daily safety decisions.

Overview of Actions:

- Contract in place with Transportation Research Board to develop framework for annual analysis and report on emerging safety trends in aviation.
- Charter signed and first meetings held for joint FAA/NASA System Wide Safety (SWS) Research Transition Teams (RTTs) focused on real-time monitoring, assessment, and mitigation of hazards for both current and emerging aviation.
- Enhancements to the Aviation Safety Information Analysis and Sharing (ASIAS) system to integrate new data sources and methods for safety analysis.
- Validation of the initial Safety Data Governance ConOps for a Single FAA Data Repository.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 132	Recommendations 12	Focus Area 3	None



Integration of Certification and Oversight: Overview

Objective: Improve coordination between AVS offices throughout the aviation lifecycle.

Behavioral and Process Benefits:

- Ensure maximum integration between certification and operations.
- Leveraging system safety principles to develop internationally harmonized certification basis for products under the Changed Product Rule.
- Comprehensive assessment of risk through the aviation lifecycle and system approach to safety oversight.

Overview of Actions:

- In June 2020, the FAA commissioned the Integrated Program Management (IPM) team comprised of subject matter experts from the Flight Standards Service (FS) and Aircraft Certification Service (AIR) to assess current practices and policies and make recommendations for improving FAA oversight through the integration between design and operations.
 - Best practices identified from this process are being applied to ongoing certification projects.
- The Compliance Program was launched in 2015 and provides a framework for how the Agency responds to safety deviations, including regulatory noncompliance.
 - Formalizing an Executive Council and Steering Committee to measure the use and effectiveness of the program and make recommendations for improvement annually to the Administrator.
 - Enables the Executive Council chairperson to provide an annual briefing to congressional committees on the effectiveness of the Compliance Program.
- The 2015 Boeing Settlement agreement came to a close in February 2021.
 - Under this agreement, Boeing was required to establish a Safety Management System under the FAA’s Voluntary SMS program.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 108, 118, 122, 123	Recommendations 4, 9, 12	Focus Area 5	OIG Recommendations 6, 7, 13 KNKT Recommendation 2018-35.22



Culture of Safety and Excellence: Overview

Objective: Enhance the FAA’s safety culture by promoting voluntary safety reporting, increasing workforce competencies, and attracting the right talent.

Behavioral and Process Benefits:

- Just culture – employees and designees free to identify, raise or address potential safety concerns without fear of reprisal.
- Workforce that is adaptive and responsive to changing industry technologies and practices.

Overview of Actions:

- Implemented the AVS Voluntary Safety Reporting Program (VSRP) in April 2021.
 - By providing a mechanism for employees to report potential safety issues, VSRP is an integral part of our State Safety Program.
- Implemented a number of efforts to bolster human factors expertise and resources in FY21, including:
 - Almost doubled the number of human factors staff within the Aviation Safety (AVS) organization.
 - Linked the development of human factors education and training through a Center of Excellence grant.
 - Aligned our Chief Scientist and Technical Advisor (CSTA) hiring with critical hiring disciplines, ensuring the right technical expertise involved in critical safety decisions.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 104, 111, 112, 113, 114, 131, 133	Recommendations 5,7	Focus Area 6	OIG Recommendation 10



Delegation: Overview

Objective: Promote consistency and transparency in the applicability of policy, oversight of Organization Designation Authorization (ODA) holders, and communication between the FAA and ODA unit members.

Behavior and Process Benefits:

- Foster an environment of safety at companies and transparency between applicant and ODA.
- Stronger relationship and trust between the agency and ODA unit members to share information and discuss safety concerns without fear of retribution/barriers.
- Standardization of unit member approval and FAA oversight of the ODA Holder.

Overview of Actions:

- Operationalized the AVS ODA Office on April 11, 2021 (realigned to the Associate Administrator for Aviation Safety).
- Working to convene an expert review panel to make findings and recommendations with respect to ODA holders for the design and production of transport airplanes.
- Drafting new policy to address:
 - Requirements for FAA approval of ODA unit members.
 - Minimizing or eliminating ODA holder interference with unit members and unrestricted communication between FAA and unit members.
 - Assignment of FAA advisors for unit members of transport category airplanes and engines ODAs.
 - Other ODA policy improvements, including risk-based oversight requirements.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 103, 107, 109, 125	Recommendations 5,8	Focus Area 7	OIG Recommendations 8, 9, 11, 12 KNKT Recommendation 2018-35.21



Certification and COS Processes: Overview

Objective: Increase robustness of the type certification process and related reduction of operational risk.

Behavioral and Process Benefits:

- Continuous improvement of our certification process, including the evaluation of the aircraft lifecycle perspective.
- Robust issue resolution and appeals guidance for certification decisions.

Overview of Actions:

- Develop an order for resolving issues.
 - This order will establish overarching principles and requirements for resolving issues and subsequent appeals related to type certification decisions.
- Revise guidance material ensuring that proposed changes to an aircraft are evaluated from a whole aircraft system level perspective, including human interface aspects.
- Develop defined criteria for what constitutes a significant change.
- Consider mandating validation of assumptions and focusing on new and updated training materials.
- Commission external reviews to evaluate our Transport Airplane Risk Assessment Model (TARAM) and type certification processes.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 110, 116, 120, 130, 136	Recommendations 2, 5, 8, 12	Focus Area 8	OIG Recommendation 1 TAB Report Action Items 2,4 KNKT Recommendation 2018-35.26



Innovation: Overview

Objective: Accelerate and expand deployment of new technologies and practices by reducing barriers to innovation and actively promoting innovation that enhances safety and performance of the National Airspace System (NAS).

Behavioral and Process Benefits:

- Early applicant engagement and information sharing to define certification path for emerging technologies and concepts.
- Increased efficiencies through the FAA intake process.
- Enhanced coordination across the FAA on emerging products and concepts.

Overview of Actions:

- Established and staffed the Center for Emerging Concepts and Innovation supporting certification of new aircraft and technologies by providing structured pre-application engagement with companies to identify a clear path to compliance.

Cert Reform Bill	JATR	Spec Comm	Other
Section 134	None	Focus Area 9	OIG Recommendation 2



Other Requirements: Overview

Objective: Evaluate ways to expedite implementation of changes while longer-term policy or rulemaking efforts are underway as well as to address requirements and recommendations that don't fit into other focus areas.

Accomplishments/Actions:

- Rulemaking to issue requirements for aviation maintenance technician school certificates and associated ratings and the general operating rules for the holders of those certificates.
 - Current work in progress to interpret, explain, and draft clarifying regulatory text and preamble to align with legislation.

Cert Reform Bill	JATR	Spec Comm	Other
Sections 121, 135	None	Focus Area 10	None



Moving Forward

- 15 of 18 provisions with 180-day or less timelines are complete.
- Significant accomplishments include:
 - Implementation of Voluntary Safety Reporting Program.
 - Closure of Boeing Settlement Agreement.
 - Finalizing Charter for International Authority Working Group on Changed Product Rule.
- Remaining activities include:
 - Organization Designation Authorization (ODA) Expert Review Panel: Charter and Solicitation drafted, coordination with Federal unions complete, final stages of internal coordination.
 - Order for Issues Resolution: Order is drafted and is being coordinated internally.
 - Promoting Aviation Regulations for Technical Training (Part 147 Rulemaking): Additional time is needed to interpret, explain, and draft clarifying regulatory text and preamble.
- The FAA will provide quarterly updates to Congress on the implementation status of all provisions in the ACSAA.

