



## Safety

Oversee and operate the safest aerospace system in the world, all with a culture of continuous improvement

### Safety Culture Commitment

Reinforce and promote “Safety Culture” across FAA and industry that integrates all aspects of Safety Culture (i.e., Just Culture, Reporting Culture, Learning Culture, Flexible Culture, and Informed Culture) to improve safety performance throughout the NAS. Safety culture commitment promotes safety policy, manages resources and invests in safety training, safety systems, and safety solutions; documents processes and procedures, and ensures accountability for safety.

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#### Initiative: Advance the Safety Culture Surrounding Air Cargo

Advance our safety culture and capacity to manage safety risks by reaching across FAA LOBs to address safety risks in aircraft cargo.

##### Activity: Implement Cargo Safety Enhancements

Cargo safety policy requires a multi-disciplinary approach that harnesses the knowledge of the FAA and industry to identify air cargo hazards and implement comprehensive strategies to mitigate safety risks. The FAA’s cargo safety initiative recognizes that cargo safety risks in freight, baggage, and mail are a result of many factors. The Cargo Safety Executive Committee is advancing cargo safety by bridging knowledge and culture gaps through engagement, research, and data sharing to proactively encourage mitigation of cargo safety risks.

##### Target: Strengthen Oversight of Air Carrier Cargo Safety Risk Management (SRM) Decisions

Provide Hazardous Materials Aviation Safety Inspectors (HM ASIs) and Aviation Safety Inspectors (ASIs) with policy/guidance, plus briefings and/or training necessary to conduct safety oversight inspections (surveillance) of air carrier cargo SRM processes, as outlined in FAA Advisory Circular 120-121.

##### Target: Address the Increasing Number of Lithium Battery Fires in Aircraft Cabins

The Cargo Safety Sub-Committee will review the FAA’s guidance, Safety Alerts, incident reports, and inspection findings related to lithium battery heat, smoke, or fire events in the aircraft cabin. The goal of this review is to measure and assess the effectiveness of safety risk controls set by FAA, to include those developed as a result of the product/service providers’ SRM processes and determine the need for additional safety risk controls or changes to existing controls. The Sub-Committee will provide the results of the risk control assessment to the Cargo Safety Executive Committee.

## **Initiative: Aviation Safety and Security Awareness**

Assess the current deployment of resources based on measurable impact on risk to aviation security and safety.

### **Activity: Advance the ASH Safety Management System (SMS)**

The Office of Hazardous Materials Safety (AXH) SMS Advisory Board (AB) and AXH SMS Collaboration Group (CG) work together to coordinate and collaborate safety management efforts across the program office, ensuring an integrated approach to continually improve the SMS, identify, and reduce duplicative activities, and promote a positive safety culture.

#### **Target: Strengthen Hazardous Material Safety (AXH) SMS Training and Culture**

A strong comprehension of SMS across AXH supports a robust safety culture and AXH employees' ability to conduct safety oversight of air carriers and other entities that have adopted the principles of SMS. These principles connect us as an organization and drive our focus on positive safety outcomes. To continue to strengthen our commitment to SMS, AXH will evaluate and seek revisions to the existing AXH Core Curriculum Documents to ensure core competencies and SMS-related training are addressed within the training curriculum. Progress toward this target will be measured through the following milestones: Perform a preliminary evaluation on the adequacy of inspector core competencies and SMS-related training in the AXH Core Curriculum Documents; recommend improvements to the AXH SMS Advisory Board by the end of Q2; provide the finalized evaluation and recommended improvements report to leadership for approval by the end of Q3; revise the AXH Core Curriculum Documents based on recommended improvements by the target due date.

#### **Target: Voluntary Adoption of SMS by Non-Certificated Entities**

With the publication of Advisory Circular (AC) 120-119 - Voluntary Safety Management System for Other Regulated Entities Transporting Dangerous Goods by Air, AXH will, on a quarterly basis, prioritize and complete oversight activities for all applicable Other Regulated Entities (OREs) with an FAA-accepted Voluntary Safety Management System (vSMS), applying the Safety Assurance System (SAS) oversight model to proactively identify and take action to reduce emerging safety risks. Responsible personnel will ensure completion of the following risk management activities within established timelines in AXH policy 90% of the time: Manage quarterly Continuous Operational Safety (COS) activities on individual ORE Comprehensive Assessment Plans (CAPs) and submit CAPs for resourcing each quarter; and Conduct Analysis, Assessment, Action (AAA) on assessments within 30 days of the completion of the quarter and track all actions by maintaining current Action Item Tracking Tools (AITT). At the conclusion of each quarter, present findings to AXH Senior Leadership related to vSMS adoption and implementation progress.

## **Target: Expansion of Safety Management Systems (SMS) to Part 135 Certificate Holders**

On January 11, 2023, the FAA published a Notice of Proposed Rulemaking (NPRM) titled Safety Management Systems, proposing to update and expand safety management systems requirements and require certain certificate holders and commercial air tour operators to develop and implement an SMS. The proposed rule would extend the requirement for an SMS to all certificate holders operating under the rules for commuter and on-demand operations, commercial air tour operators, production certificate (PC) holders that are holders or licensees of a type certificate (TC) for the same product, and holders of a TC who license out that TC for production. As the FAA works to finalize this regulatory action, AXH will work with its safety partners, the AXH Policy, Standards & Stakeholder Engagement Division, and the AXH Safety Management System Division to develop a 14 CFR Part 135 SMS safety rollout plan for hazardous materials. The rollout plan for hazardous materials involves creating a draft SMS outreach plan based on the information in the NPRM prior to the implementation of the rule. The focus will be to reach the more than 1,900 existing 14 CFR Part 135 operators via social media, SAS broadcast messages, and public-facing websites. When the final rule is published, the draft will be updated with all of the final information. AXH will create a draft, updating the “AXH-JA-2021-02 AXH Review Aid for Dangerous Goods Manuals”, to include all the requirements of 14 CFR Part 5 found in the NPRM. By updating this job aid, AXH will be able to reinforce the 14 CFR Part 5 regulation, ensuring safety attributes, etc., are included in 14 CFR Part 135 operators’ dangerous goods manuals.

## **Emerging Entrants**

Enable the safe and timely integration of new entrants (unmanned aircraft, commercial space, urban/advanced air mobility, human spaceflight, etc.) into the NAS to keep pace with advancing technologies and developments, while maintaining a safe and secure aerospace system that serves as a world model.

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### **Initiative: Emerging Threats - Planning and Response**

Design a specific approach for identifying emerging threats to the NAS in advance of their widespread prevalence, assessing their potential impact, and coordinating responses as they arise.

### **Activity: Strengthen the Safe Integration of Dangerous Goods into UAS Operations**

Advance the integration for the safe carriage of dangerous goods in UAS operations.

### **Target: Evaluate the safety performance of existing dangerous goods packaging in a UAS environment.**

Support the evaluation of safety risks associated with existing dangerous goods packaging requirements in a UAS operational environment. Provide subject matter expertise of UAS package delivery operations and facilitate, as needed, between FAA and PHMSA offices to support PHMSA-sponsored research on UAS dangerous goods packaging requirements. Respond to FAA and PHMSA requests for comment, information, and/or other support within the deadline requested 95% of the time.

### **Activity: Unmanned Aircraft Systems (UAS) Security**

Support the safe and secure integration of UAS into the National Airspace System (NAS) by anticipating and collaborating with security partners to address their requirements, while preserving the safety, efficiency, and public access to the NAS.

#### **Target: Remote ID Tool Development and Implementation**

Complete development of a comprehensive RID enterprise tool for Law Enforcement Assistant Program Aviation Safety Inspector's to access drone registration and airspace authorization data for law enforcement assistance and investigations by end of Q1-FY24 and produce an external application programming interface (API) for production by Q2-FY24.

#### **Target: UAS Detection and Mitigation National Plan**

Applying recommendations from the UAS Detection and Mitigation Aviation Rulemaking Committee (ARC), draft the UAS Detection and Mitigation National Plan in accordance with Section 383 of the 2018 FAA Reauthorization Act. Disseminate for comments, reconcile edits and publish by the end of FY24.

#### **Target: Section 2209: Security Risk Assessment Evaluation System**

In unison with FAA's intent to publish a notice of proposed rulemaking (NPRM) on Section 2209, UAS Restrictions over Certain Fixed Sites, the Office of UAS Security will complete the development and deployment of the security risk assessment evaluation system and roll out the portal for beta testing before final production.

## **Safety and Security Risk Management**

Ensure a formalized and proactive approach to aviation safety by identifying, monitoring, assessing, and managing safety and security risks through enhanced access to data and analytics, informed risk-based decision making, improved safety metrics and security measures, and increased system safety awareness and performance.

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### **Initiative: Leading Practices in Risk Management**

Adopt leading practices in risk management from FAA, government, and industry to improve risk identification, assessment, and mitigation practices across ASH Program Offices.

#### **Activity: Continuity of Operations**

Lead agency planning and preparedness efforts to ensure the FAA continues operation of essential functions under all-hazard emergencies. Ensure viable continuity of operations facilities and procedures, to include communications and logistics, are continually operational and available through readiness exercises and continuity cadre management.

#### **Target: NAS Recovery Communications (RCOM)**

Complete the procurement, installation, and testing of twelve (12) fixed-based satellite terminals.

### **Activity: Personnel Security Background Investigations**

The Office of Personnel Security (AXP) will initiate and adjudicate initial and recurring background investigations on FAA employees and contractors in accordance with Office of Personnel Management (OPM) and Office of Director National Intelligence (ODNI) published policy and guidelines. The agency depends on AXP's ability to properly vet the people managing and operating the NAS in a timely manner to meet the agency mission while reducing risk wherever possible.

### **Target: Trusted Workforce 2.0 Implementation**

Continue phased enrollment of the FAA employees into Rap Back within federally mandated timeframes. Complete enrollment of FAA national security employees in Bargaining Units (BUEs) and Non-Bargaining Units (non-BUEs) without fingerprints on file. Begin enrollment of those FAA public trust employees in Bargaining Units (BUEs) and Non-Bargaining Units (non-BUEs).

# People

Strengthen our current and future aviation workforce by holding ourselves accountable, developing our people and planning for the aviation workforce of the future

## Diversity, Equity, Inclusion, and Accessibility

Ensure a more conscious and inclusive culture that embraces the diverse talents of employees, ensures fair and equitable treatment, and advances broader gains in diversity, equity, inclusion, and accessibility.

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### **Initiative: EEO/Diversity and Inclusion Action Committee (EAC)**

Utilize the EEO Action Committee (EAC) to enhance, collaborate and support a diverse and inclusive workplace with existing employee workgroups and LOBs/SO. Collaborate with AHR's Corporate Recruitment Council to develop an annual outreach plan, targeting underrepresented groups within the agency.

#### **Activity: Ensure a Diverse and Inclusive Workforce - Reasonable Accommodations**

Support the FAA's corporate goal to process 90% of the agencies Reasonable Accommodation request within 25 days or less.

#### **Target: ASH - Reasonable Accommodations**

Support the FAA's corporate goal to process 90% of the agencies Reasonable Accommodation request within 25 days or less.

#### **Activity: Ensure a Diverse and Inclusive Workforce - Mediation**

Managers engage in the mediation/facilitation process when requested.

#### **Target: ASH - Mediation**

Ensure that 70% of managers engage in mediation when requested by employees.

### **Initiative: ASH Diversity, Equity, Inclusion and Accessibility (DEIA) Strategy**

Incorporate DEIA initiatives into recruiting, people development, and employee engagement activities to increase recruitment, development, and retention of diverse staff.

#### **Activity: Implement DEIA Plan & Support FAA DEIA Efforts and Strategies**

Implement the ASH DEIA Strategic Plan actions that align with FAA's DEIA Strategic Plan in effort to create an inclusive work environment.

## **Target: ASH Diversity, Equity, Inclusion & Accessibility (DEIA) Implementation Plan**

Apply the ASH DEIA Strategic plan to strengthen the workforce by reinforcing our commitment to diversity, equity, inclusion, and accessibility.

1. Hold at least two special emphasis events, recognizing monthly diversity observances.
2. Administer ASH DEIA pulse check to assess 2022 FEVS DEIA baseline results.
3. Maintain and update the ASH DEIA SharePoint as a repository for monitoring and evaluating progress ensuring transparency and accountability.
4. Feature diverse employees in video(s) on ASH DEIA SharePoint.

## **Initiative: Train Managers and Employees across the Agency in Diversity, Equity, Inclusion, and Accessibility (DEIA)**

ACR will lead collaboration with LOBs/SOs to train managers and employees in DEIA.

### **Activity: ACR will Lead Collaboration with LOBs/SOs to Train Managers and Employees in DEIA.**

The Office of Civil Rights will provide LOB/SOs with a list of DEIA training courses approved by ACR and will provide monthly completion totals to support their efforts in achieving the goal that 75% of managers and 25% of employees attend one training course each fiscal year.

### **Target: ASH - Train Managers and Non-Managerial Employees in a Minimum of One DEIA Training Course**

Ensure at least 75% of managers and 25% of employees attend a minimum of one training course from a menu of DEIA training courses.

## **Human Capital Management**

Enhance FAA's human capital management capabilities to support innovation and collaboration that will empower a synergistic, data-driven workplace. Leverage data and technology to continuously identify and address human capital management opportunities and efficiencies. Position the FAA as an employer of choice by promoting career opportunities to attract the workforce of the future, while maintaining a culture that enhances employee engagement and accountability. Ensure that the FAA retains a diverse and high performing workforce by providing varied learning opportunities and workplace flexibilities.

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### **Initiative: Small Business Opportunities**

Support small businesses and job creation by providing opportunities for small businesses to attain FAA contracts and purchase orders, with special emphasis on procurement opportunities for socially and economically disadvantaged small businesses (including 8(a) certified firms), service-disabled veteran-owned small businesses, and women-owned small businesses.

#### **Activity: Contracting with Small Businesses**

Utilize market analysis and acquisition strategies to provide opportunities for small businesses to compete for, and attain FAA contracts and purchase orders, with special emphasis on procurement opportunities for socially and economically disadvantaged small businesses (including 8(a) certified firms), service-disabled veteran-owned small businesses, and women-owned small businesses, economically disadvantaged women-owned small businesses, and historically underutilized business zone small businesses.

**Target: ASH - Support ACQ's Small Business efforts**

Support ACQ's efforts to ensure 25% of the Agency's total direct procurement dollars are awarded to small businesses.

**Activity: Contracting with Small Disadvantaged Business (SDB)**

Utilize market analysis and acquisition strategies to provide opportunities for Small Disadvantaged Businesses (SDB) to compete for and attain FAA contracts and purchase orders.

**Target: ASH - Support ACQ's Small Disadvantaged Business efforts**

Ensure at least 14% of the Agency's total direct procurement dollars are awarded to Small Disadvantaged Businesses (SDB).



# Global Leadership

Advance global aviation safety, operational excellence and innovation by leading and collaborating with aviation authorities globally

## Global Aviation Safety and Security Enhancements

Improve global aviation safety and security through targeted assistance and collaboration, partnerships on aviation system safety oversight, streamlining regulatory environments, and promoting higher levels of global airspace and cyber security.

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### Initiative: Information Sharing and Coordination

Improve formal information sharing and coordination by proactively engaging with internal, interagency, industry, and global stakeholders through briefings, events, and working groups.

#### Activity: Proactive action to prepare for the International Civil Aviation Organization's (ICAO) Universal Safety Oversight Audit Programme (USOAP) Audit

ICAO's Universal Safety Oversight Audit Programme (USOAP) focuses on a state's capability to provide safety oversight by assessing whether the State has implemented the critical elements (CEs) of a safety oversight system effectively and consistently. This enables the State to ensure the implementation of ICAO's safety-related Standards and Recommended Practices (SARPs) and associated procedures and guidance material. In addition, it provides ICAO with a means to monitor continuously the States' fulfillment of their safety oversight obligations. The ICAO Safety Audit of the USG is scheduled to take place in late FY2024. The Office of International Affairs (API) will be the lead for the US Government (USG) but needs a commitment across the FAA to support audit preparation, conduct, and post-audit activities.

#### Target: Identifying Gaps in advance of the ICAO's USOAP Audit

The Office of Hazardous Materials Safety (AXH) will support API's efforts to prepare and plan for the ICAO Safety audit of the USG. Activities include: Continuing to review, edit, and refine responses and evidence supplied for dangerous goods specific Protocol Questions (PQ); conducting a Gap Analysis of each PQ response and evidence to determine areas needed for improvement; compiling a list of gaps and work on resolving said gaps; updating Electronic Filing of Differences (EFOD); reviewing and updating existing differences relating to dangerous goods for Annex 18 and Annex 6, Part 1; coordinating the review with the Pipeline and Hazardous Materials Safety Administration (PHMSA) and Flight Standards Services (FS); submitting the final updated differences to API/Aviation Safety (AVS), as applicable, to be uploaded into EFOD; reviewing, editing, and responding to any feedback from AVS, API, or the ICAO North American, Central American, and Caribbean Regional Office (NACC); and participating in the ICAO Safety Audit of the USG planning, logistics, audit, and post-audit activities that relate to the Standards and Recommended Practices (SARPs) pertaining to dangerous goods/cargo transport.

#### Activity: Aviation Cybersecurity

Expand collaborative efforts to address aviation cybersecurity threats fostering consistency, harmonization, inclusivity of all aviation domains, and alignment with international civil aviation priorities.

## **Target: Cybersecurity Threats**

Collaborate across ASH, FAA LOB/SOs and agency partners to close gaps defining how FAA's security risks are effectively managed, and address identified cybersecurity threats.

Q1 – Continue collaboration with FAA cybersecurity partners (enduring); build and standardize information sharing structure for the Cyber Threat Analysis Team; collaborate with AXI to develop business processes and information sharing internal to ASH.

Q2/Q3 – Support ICAO staff-level effort to synchronize emergency response operations to cybersecurity-related events; collaborate with interagency partners to develop business processes and information sharing for FAA. Collaborate with interagency partners to develop and codify business processes and information sharing for FAA

Q4 – Complete a final draft of the framework of the key elements of effective information sharing, providing a model interagency agreement, and highlighting examples of best practices for partners.

# Operational Excellence

Operate the world's most efficient aerospace system through daily execution, continuous improvement and infrastructure investment.

## Mission Efficiency and Support

Optimize efficiency and support mission requirements through daily execution, continuous improvement, planning, infrastructure resiliency, and investment. Effectively plan for and manage finances, procurement, information technology, and other mission support services.

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### Initiative: Organizational Risk Management

Implement a framework and process for regularly assessing organizational risk and mitigation or maintenance strategies for each risk.

#### Activity: Investigations and Professional Responsibility

The Office of Investigations and Professional Responsibility (AXI), collects and disseminates evidence in support of investigations, e-Discovery, UAS and FOIA requests, and guides procedural standards for the FAA's OPR program. Responsibilities include evaluating allegations, planning, conducting, documenting, and distributing investigations of FAA employees, contractors and non-employees, based on established guidelines, suspected of violating various FAA orders, policies, and procedures, ensuring the safety of the National Air Space and flying public is not affected by workforce misconduct.

#### Target: Advance the Investigations and Professional Responsibility (OPR) Program

Grow the OPR program through agency wide socialization of the intake portal, and provide quarterly reports on briefings, portal usage levels, and reporting of management inquiries. Create and distribute an annual trend analysis on all investigations and inquiries received through the portal or other ASH intake sources, integrating past years trend analysis to create an annual trend line. Mature the OPR program by developing the infrastructure to improve program efforts. Collect, store, and analyze data related to agency wide disciplinary actions, including management deviation from recommended to final action. Provide quarterly reports on progress.

#### Activity: Personnel Security Program Improvement

Develop analytics/metrics to assess AXP's overall impact on reducing security risks at the FAA.

#### Target: Same Day PIV Issuance at ASH ID Media Offices

Implement PIV card printing directly at the ASH ID Media offices--enabling PIV card enrollment and issuance on the same day (one-visit PIV card issuance). Implement same-day PIV issuance at the 12 ASH PIV offices.