



SAFETY OVERSIGHT AND CERTIFICATION ADVISORY COMMITTEE (SOCAC) MEETING AGENDA

November 13, 2019 ***1:00 PM – 3:00 PM

- Welcome and Introductions
- Federal Advisory Committee Act (FACA) Statement
- Overview of FACA
- Overview of Aviation Safety (AVS) organization
- Overview of SOCAC
- Other Business

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.

Introduction to the Federal Advisory Committee Act (FACA) Requirements



Federal Aviation
Administration



Federal Advisory Committee Act (FACA)

- FACA governs SOCAC's activities
 - FACA, Title 5 of the United States Code, Appendix 2
- FACA states that:
 - Unless specified by a law or presidential directive, advisory committees must be used solely for advisory functions;
 - Standards and uniform procedures should govern the advisory committee's establishment, operation, administration, and duration; and
 - Congress and the public must be kept informed of the advisory committee's purpose, membership, activities, and cost.
- FACA also includes requirements on:
 - Advisory committee procedures,
 - Meetings,
 - Publication of notices in the *Federal Register*,
 - Annual reports,
 - Federal officer or employee attendance, and
 - Recordkeeping requirements.



Establishing a Federal Advisory Committee

- A notice to the public in the Federal Register is required when a discretionary advisory committee is established, renewed, or reestablished.
- Advance notice must appear at least 15 calendar days before the charter is filed.
- Requirement for advanced notice does not apply to advisory committee renewals, which may be published concurrently with the filing of the charter.
- A formal charter must be prepared and must be filed with the agency head, the Library of Congress, the appropriate standing committees of the Senate and the House of Representatives, and the CMS before the FAC can meet or take any action.
- The charter is informed by, and must be consistent with, the Membership Balance Plan that is prepared for each FAC.
- A FAC automatically terminates two years after its date of establishment unless the statutory authority used to establish the FAC provides a different duration or charter is renewed.



How FACA Applies to Advisory Committees

- FACA requires that, when conducting meetings, the FAA must:
 - Prepare a notice of meeting for publication in the *Federal Register* at least 15 calendar days before the meeting.
 - Keep detailed meeting minutes.
 - Make documents available to the public at a single location for copying and inspection.
 - Certify the accuracy of meeting minutes.
 - Provide an annual report documenting the meetings, the number of recommendations received, the recommendations accepted in full, partial, and not accepted, travel, etc.



Membership

- The Secretary will appoint all FACA membership to parent committees.
 - Secretary will approve the committee Chair and Vice Chair.
- Non-voting membership designations are prohibited unless otherwise required by statute.
- All nominations shall be reviewed by the FAA Ethics Official for proper classification prior to submission to OST.



Member Responsibilities

- Committee members shall prepare all committee reports, recommendations, and other similar committee work products.
- The member is expected to attend meetings.
- The member may only speak with Congress and the media in his or her personal capacity.



Designated Federal Officer (DFO) or DFO Designee Responsibilities

- (1) Perform the duties assigned to the DFOs pursuant to FACA and its implementing regulations;
- (2) Prepare required FACA committee documentation, including charters and membership balance plans, in accordance with Agency and GSA formatting guidelines;
- (3) Ensure that all individuals recommended for appointment to a committee are properly vetted;
- (4) Manage technical, administrative, and other arrangements for meetings;
- (5) Ensure detailed minutes of each FACA committee meeting, including ones that are closed or partially closed to the public, are kept, and ensure they are certified in accordance with 41 CFR 102-3.165;
- (6) Complete the Annual Comprehensive Review and keep the GSA FACA database up-to-date;
- (7) Manage committee records in accordance with General Records Schedule 6.2; and
- (8) Take annual FACA training.



Subcommittee

- FACA subcommittees must report back to the parent committee and must not provide advice or work product directly to the agency or to another subcommittee.
- All nominations must be reviewed by the FAA's Ethics Official before an individual is appointed to a subcommittee.
- Not required to hold public meetings or announce meetings in the Federal Register.
- Not required to take minutes.



FAA FAC Approval Process

Step 1: FAA drafts charter and Federal Register Notice



Step 2: DOT and GSA reviews charter



Step 3: Secretary of Transportation approves establishment of charter



Step 4: FAA Administrator signs charter



Step 5: Publish Federal Register Notice announcing new FAC and solicit new members (for discretionary FAC, must publish at least 15 days before filing charter)



Step 6: CMO files charter



Step 7: FAA recommends membership for S-1 approval



Step 8: S-1 approves membership; FAC may begin meeting





Federal Aviation
Administration

WE ARE AVIATION SAFETY
It's our mission. It's our passion.

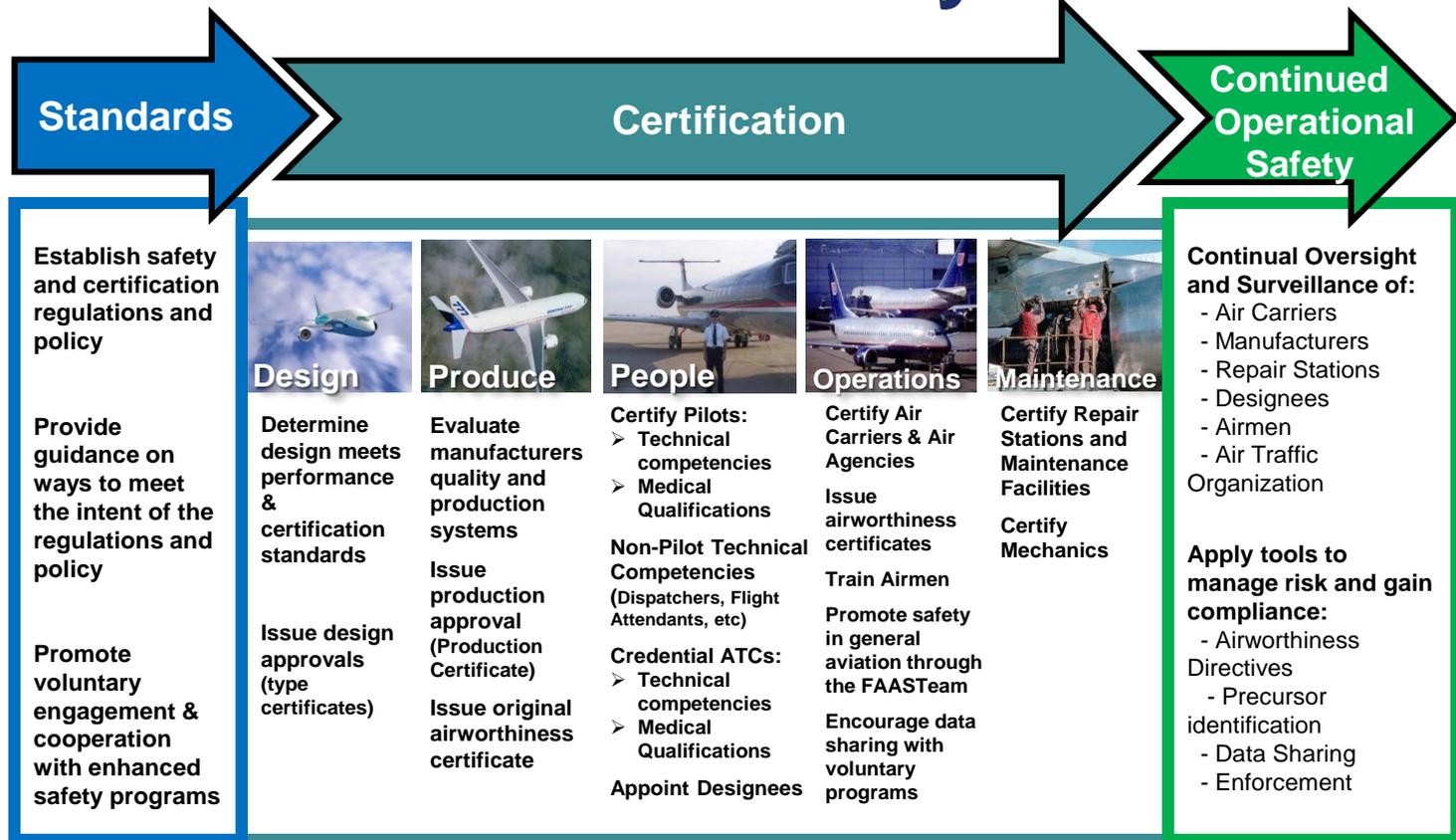
ONEAVS

Aviation Safety: An Overview



Presented to: Safety Oversight and Certification Advisory Committee, November 13, 2019

Aviation Life Cycle



AVS Safety Continuum



Standards



Certifications



Continued Operational Safety



AVS Activity by the Numbers



Air Agency Certificates: 6,266

834 Pilot Training Schools
4,921 Repair Stations
176 Maintenance Training Schools
335 Pilot Training Centers

Air Operator Certificates: 5,116

70 Major Air Carriers -- (e.g. United Airlines)
1,991 Commuter Air Carriers/On Demand Air Taxis
85 Commercial Operators (e.g. Baltimore Orioles)
484 Foreign Air Carriers (e.g. Lufthansa)
354 External Load (Logging/Oil Platform)
1,810 Agricultural Operators
322 Public Use Authorities (State/City/Police)



Mechanics with Inspection Authority: 21,769

Approved Manufacturers: 1,553



Designees: 9,136

2,701 Aircraft Certification
3,762 Flight Standards
2,673 Aerospace Medicine

Non-Pilot Air Personnel: 699,138

311,213 Mechanics & repairmen
25,208 Control Tower Operator
233,244 Flight Attendant
68,114 Ground instructors
61,359 other (dispatchers/flight navigators/parachute riggers/flight engineers)



National Transportation Safety Board: 619

39 Safety Recommendations (avg/yr based on last 5 yrs)
337 Formal NTSB requested for FAA research & info
243 Open NTSB Safety Recommendations

ATCS Medical Clearance Exams: 11,765

11,672 Air Traffic Controller Workforce
93 Flight Service Station Workforce

Airmen Medical Examinations: 306,958

25,218 Special Issuances
281,740 Standard Issuances

Aviation Industry Entities Covered by Anti-Drug & Alcohol Programs: 7,278



Aircraft: 290,544



Aviation Authorities - other countries: 427

48 Bilateral Agreements
192 Foreign Civil Aviation Authorities
187 Accident Investigation Authorities



Check Airmen: 9,325

5,698 Part 121
117 Parts 121/135
3,510 Part 135

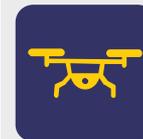
Active Pilots: 789,736

161,766 ATP
101,932 Commercial
165,217 Private
137 Recreational
6,336 Sport
174,375 Student
42,433 Foreign Pilot
137,540 UAS Remote Pilots

AOV Credentials: 16,906

12,296 ATCS Credentials
4,415 ATSS Credentials
195 AIS Credentials

Flight Instructors: 109,053



UAS Registrations: 1,311,295

991,245 Hobby
314,084 Commercial
5,966 Paper Registration

Aviation Workload Drivers

AVS workload changes are driven by:

- New entrants – Operators, manufacturers, and repair stations
- New aircraft and equipment
- New users – Unmanned Aircraft Systems (UAS)
- Growth in outsourcing – Domestic and foreign
- Safety Management Systems (SMS)
- Increased globalization





AVIATION SAFETY ORGANIZATION

AVS-1

Associate Administrator for Aviation Safety

AVS-2

Deputy Associate Administrator

AAM Office of Aerospace Medicine

AAM-1

Federal Air Surgeon

AAM-2

Deputy Federal Air Surgeon

AAM-3

Director Civil Aerospace
Medical Institute

FS Flight Standards Service

AFX-1

Executive Director

AFX-2A

Deputy Executive Director

AFX-2B

Deputy Executive
Director

AIR Aircraft Certification Service

AIR-1

Executive Director

AIR-2

Deputy Exec. Director
Regulatory Operations

AIR-3

Deputy Exec. Director
Strategic Initiatives

AVS International Strategies

AVS-5

Director

ARM Office of Rulemaking

ARM-1

Executive Director

ARM-2

Deputy Executive Director

AQS Office of Quality, Integration
& Executive Services

AQS-1

Executive Director

AQS-2

Deputy Executive
Director

AOV Air Traffic Safety
Oversight Service

AOV-1

Executive Director

AOV-2

Deputy Executive
Director

AUS Unmanned Aircraft
Systems Integration Office

AUS-1

Executive Director

AUS-2

Deputy Executive
Director

AVP Office of Accident
Investigation & Prevention

AVP-1

Executive Director

AVP-2

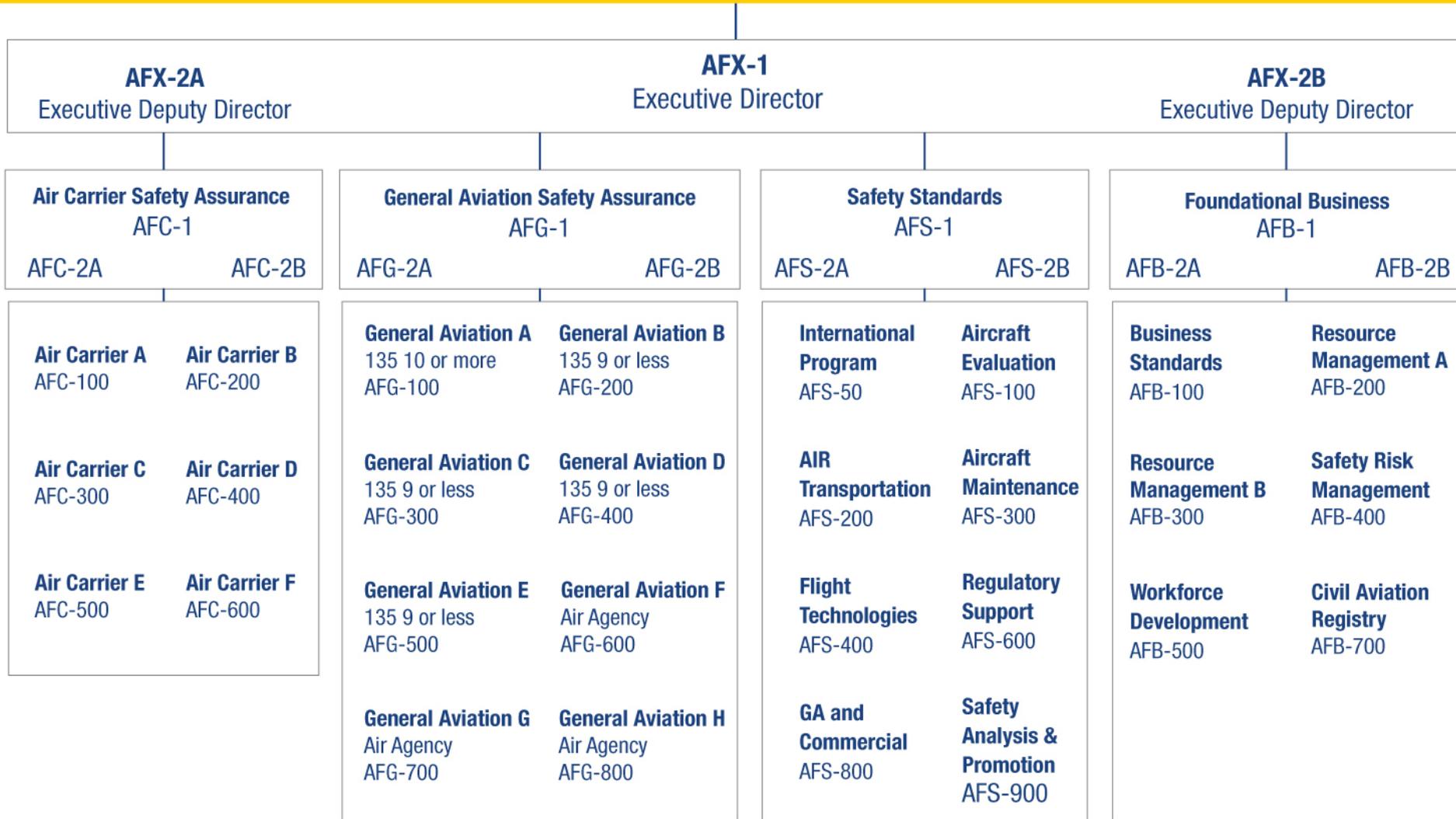
Deputy Executive
Director



FS

Flight Standards Service

Staff of
5,200+ employees





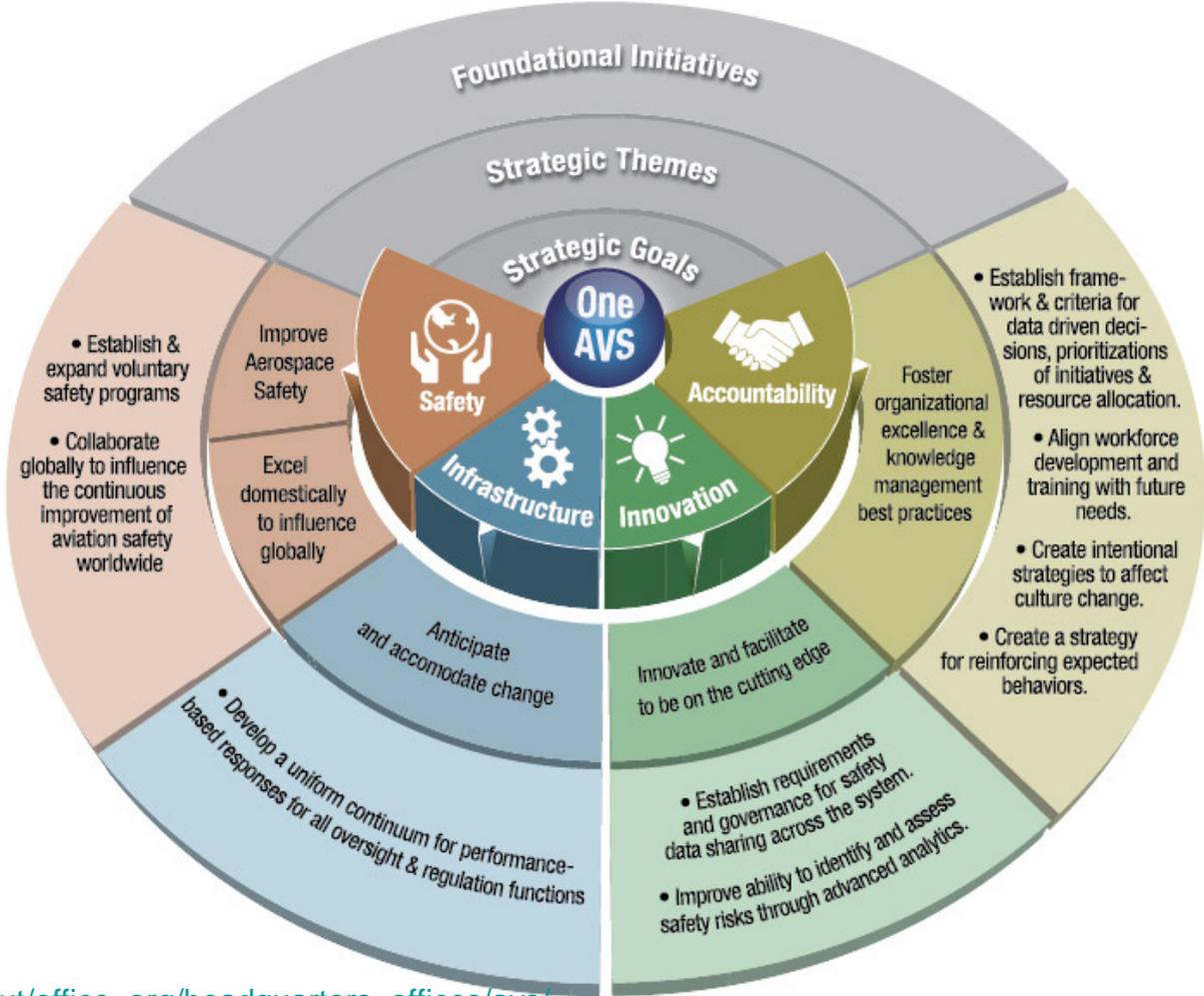
AIR

Aircraft Certification Service

Staff of
1,300+ employees



AVS Strategic Plan



https://www.faa.gov/about/office_org/headquarters_offices/avs/



Charter of the Safety Oversight and Certification Advisory Committee

U.S. Department of Transportation

1. Committee's Official Designation: Safety Oversight and Certification Advisory Committee (SOCAC).

2. Authority. The Committee is established pursuant to section 202, "Safety Oversight and Certification Advisory Committee," of the FAA Reauthorization Act of 2018, Public Law 115-254. The SOCAC will operate in accordance with the provisions of the Federal Advisory Committee (FACA) as amended, Pub. L. 92-463, 5 U.S.C., App. 2.

3. Objectives and Scope of Activities. The SOCAC will provide advice to the U.S. Secretary of Transportation on policy-level issues facing the aviation community that are related to FAA safety oversight and certification programs and activities, including, at a minimum, the following as authorized by Public Law 115-254:

- a. Aircraft and flight standards certification processes, including efforts to streamline those processes;
- b. Implementation and oversight of safety management systems;
- c. Risk-based oversight efforts;
- d. Utilization of delegation and designation authorities, including organization designation authorization;
- e. Regulatory interpretation standardization efforts;
- f. Training programs;
- g. Expediting the rulemaking process and giving priority to rules related to safety; and
- h. Enhancing global competitiveness of United States manufactured and United States certificated aerospace and aviation products and services throughout the world.

4. Description of duties. The SOCAC will act solely in an advisory capacity and will not exercise program management responsibilities. Decisions directly affecting implementation of transportation policy will remain with the FAA Administrator and the Secretary of Transportation. The SOCAC will undertake only tasks assigned to it by the Secretary of Transportation through the FAA Administrator. As authorized by Public Law 115-254, the SOCAC will:

- a. Provide FAA direct, first-hand information and insight by meeting together and exchanging ideas on the tasks assigned.

- b.** Foster industry collaboration in an open and transparent manner. Consult with, and ensure participation by the private sector, including representatives of:
 - 1.** General aviation;
 - 2.** Commercial aviation;
 - 3.** Aviation labor;
 - 4.** Aviation maintenance, repair, and overhaul;
 - 5.** Aviation, aerospace, and avionics manufacturing;
 - 6.** Unmanned aircraft systems operators and manufacturers and the commercial space transportation industry;
 - 7.** Members of the public; and
 - 8.** Other interested parties.
- c.** Recommend consensus national goals, strategic objectives, and priorities for the most efficient, streamlined, and cost-effective certification and safety oversight processes in order to maintain the safety of the aviation system and, at the same time, allow FAA to meet future needs and ensure that aviation stakeholders remain competitive in the global marketplace.
- d.** Provide policy guidance recommendations for FAA's certification and safety oversight efforts.
- e.** On a regular basis, review and provide recommendations on FAA's certification and safety oversight efforts.
- f.** Periodically review and evaluate registration, certification, and related fees.
- g.** Provide appropriate legislative, regulatory, and guidance recommendations for the air transportation system and the aviation safety regulatory environment.
- h.** Recommend performance objectives for FAA and industry.
- i.** Recommend performance metrics and goals to track and review FAA and the regulated aviation industry on their progress towards streamlining certification reform, conducting flight standards reform, and carrying out regulation consistency efforts.
- j.** Provide a venue for tracking progress toward national goals and sustaining joint commitments.

- k. Recommend recruiting, hiring, training, and continuing education objectives for FAA aviation safety engineers and aviation safety inspectors.
- l. Provide advice and recommendations to FAA on how to prioritize safety rulemaking projects.
- m. Improve the development of FAA regulations by providing information, advice, and recommendations related to aviation issues.
- n. Facilitate the validation and acceptance of United States manufactured and United States certificated products and services throughout the world.

5. Agency or Official to Whom the Committee Reports. The SOCAC reports to the Secretary of Transportation through the FAA Administrator.

6. Support. The FAA's Office of Rulemaking will provide support for SOCAC.

7. Estimated Annual Operating Cost and Staff Years. The estimated annual operating cost (including pro rata share of salaries of U.S. Department of Transportation (DOT) employees, and travel) is \$750,000. The SOCAC will require the support of approximately 6.5 full time equivalent (FTE) employees per year.

8. Designated Federal Officer. The FAA Administrator, on behalf of the Secretary of Transportation, will appoint a full time or permanent part-time Federal employee as the SOCAC Designated Federal Officer (DFO). The DFO (or designee) will:

- a. Ensure compliance with FACA and any other applicable laws and regulations;
- b. Call and attend all of the advisory committee's and subcommittees' meetings and determine where they are to be held;
- c. Formulate and approve an agenda for each meeting, in consultation with the Chair;
- d. Notify all SOCAC members of the time and place, and agenda for meetings;
- e. Chair meetings when directed to do so by the Secretary of Transportation through the FAA Administrator;
- f. Maintain files and records; and
- g. Adjourn any meetings when doing so would be in the public interest.

9. Estimated Number and Frequency of Meetings. The SOCAC will meet at least twice a year. Each meeting of SOCAC will be open to the public, except as provided under Section 10(d) of FACA, as implemented by 41 CFR part 102-3, and DOT Order 1120.3B.

- a. Persons wishing to make a presentation before the SOCAC must notify the Chairperson or Vice Chairperson per instructions in the meeting notice. Written materials may be submitted to SOCAC at any time through the DFO.
- b. The FAA will publish a notice of the agenda, date, time, and location, and purpose of the meeting in the Federal Register at least 15 calendar days prior to the date of the meeting.

10. Duration. As directed in Public Law 115-254, SOCAC will terminate on the last day of the 6-year period beginning on the date of the initial appointment of advisory committee members.

11. Termination. This charter terminates 2 years after its effective date, unless renewed in accordance with FACA and other applicable requirements.

12. Membership and Designation.

- a. The SOCAC shall comprise members appointed by the U.S. Secretary of Transportation upon recommendation by the FAA Administrator. All SOCAC members serve at the pleasure of the Secretary of Transportation.
- b. The SOCAC will have no more than 20 voting members who will serve as Representative members. The SOCAC shall comprise the Administrator (or the Administrator's designee) and at least 11 individuals, each of whom represents at least 1 of the following interests: transport aircraft and engine manufacturers; general aviation aircraft and engine manufacturers; avionics and equipment manufacturers; aviation labor organizations, including collective bargaining representatives of FAA aviation safety inspectors and aviation safety engineers; general aviation operators; air carriers; business aviation operators; unmanned aircraft systems manufacturers and operators; aviation safety management experts; aviation maintenance, repair, and overhaul; and airport owners and operators. The designated organizations provide balanced membership in terms of knowledge, expertise and points of view of interested parties relative to SOCAC's tasks.
- c. As authorized by Public Law 115-254, the Secretary shall appoint nonvoting Regular Government Employee (RGE) members representing FAA safety oversight program offices. Nonvoting members may take part in deliberations of the Advisory Committee; and provide input with respect to any final reports or recommendations of the Advisory Committee. Nonvoting members may not represent any stakeholder interest other than that of an FAA safety oversight program office.
- d. All members are appointed for a 2-year term.
- e. The SOCAC shall have the following characteristics as authorized by Public Law 115-254:

1. Each voting member shall be an executive officer of the organization who has decision making authority within the member's organization and can represent and enter into commitments on behalf of such organization.
 2. The ability to obtain necessary information from experts in the aviation and aerospace communities.
 3. A membership size that enables the Advisory Committee to have substantive discussions and reach consensus on issues in a timely manner.
 4. Appropriate expertise, including expertise in certification and risk-based safety oversight processes, operations, policy, technology, labor relations, training, and finance.
- f. Members serve without compensation. The employing organization bears all costs related to its participation.
- g. The Secretary of Transportation shall select a Chairperson from among those members of the SOCAC that are voting members.

13. Subcommittees. The SOCAC DFO has the authority to create and dissolve subcommittees as needed.

As authorized by Public Law 115-254, the SOCAC may establish special committees composed of private sector representatives, members of the public, labor representatives, and other relevant parties. A special committee established by the SOCAC may:

- a. Provide rulemaking advice and recommendations to the SOCAC with respect to aviation-related issues;
- b. Provide FAA additional opportunities to obtain firsthand information and insight from those parties that are most affected by existing and proposed regulations; and
- c. Assist in expediting the development, revision, or elimination of rules without circumventing public rulemaking processes and procedures.

In accordance with Public Law 115-254, any special committee established by the SOCAC is not subject to FACA.

Subcommittees and Special Committees must not work independently of SOCAC. They must provide recommendations and advice directly to the SOCAC for deliberation, discussion, and potential recommendation.

14. Recordkeeping. The records of SOCAC are handled in accordance with National Archives and Records Administration (NARA) General Records Schedule 6.2. Consistent with the

Freedom of Information Act, 5 U.S.C. § 552, the records, reports, transcripts, minutes, and other documents that are made available to, or prepared for or by, SOCAC will be available for public inspection and copying at the Office of Rulemaking, Federal Aviation Administration, 800 Independence Avenue, S.W., Washington, DC 20591. The FAA will charge a fee for information furnished to the public in accordance with the fee schedule published in 49 CFR part 7. The SOCAC records are also located on FAA's committee public website.

15. Filing Date. This Charter is effective March 25, 2019.

A handwritten signature in black ink, appearing to read "DK Elwell". The signature is written in a cursive, somewhat stylized font.

Daniel K. Elwell
Acting Administrator