

Federal Aviation Administration



FY 2021 Portfolio of Goals



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Background

An accurate and detailed explanation of how a goal is measured, and what success requires, is an important component for any performance management program. Accordingly, the FAA Portfolio of Goals (PoG) provides technical information on the methodology by which progress is measured for the various FAA goals. The information for each Goal's profile is updated annually. As new goals are established, new profiles are developed and designated as "Performance Measure Profiles" at the beginning of each goal. Collectively, these performance profiles are referred to as a "Portfolio," or a "Portfolio of Goals," as the title of this document indicates.

The material that comprises each profile also supports the internal verification review, the Performance and Accountability Report, the Data Completeness and Reliability section in DOT's budget submission, and other performance documents.

Performance Measure Profile

FY 2021 Methodology Report



Federal Aviation
Administration

Commercial Air Carrier Fatality Rate

Performance Metric: Reduce the commercial air carrier fatalities per 100 million persons on board U.S. carriers by 50% over 18-year period - FY 2008-2025.

FY 2021 Performance Target: 5.4 fatalities per 100 million persons on board.

Lead Organization: Aviation Safety (AVS)

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	6.9	6.7	6.4	6.2	5.9	5.7	5.4
Actual	0.1	0.6	0.3	0.1	0.5	0.6	0*

** as of February 19, 2021. FY 2021 data will be finalized in the first quarter of FY 2022.*

Definition of Metric

Metric Unit: Number of fatalities per 100 million persons on board

Computation:
$$\frac{\text{Number of Fatalities (including ramp accidents and other fatalities as a result of the accident)}}{\text{Per 100,000,000 Persons on Board}}$$

Formula: Commercial Air Carrier Fatality Rate =

$$\frac{\text{Number of Fatalities (including ramp accidents and other fatalities as a result of the accident)}}{\text{Per 100,000,000 Persons on Board}}$$

Scope of Metric: This metric includes both scheduled and nonscheduled flights of U.S. passenger and cargo air carriers (14 CFR Part 121) and scheduled passenger flights of commuter operators (14 CFR Part 135). It excludes on-demand (i.e., air taxi) service and general aviation. Accidents involving passengers, crew, ground personnel, and the uninvolved public are all included.

Method of Setting Target: The annual targets were calculated to reflect a linear reduction based on the long-term strategic target to reduce fatalities per 100 million persons on board to 4.4 fatalities per 100 million persons on board by the year 2025. The baseline of 8.9 fatalities per 100 million persons on board was established during the 1997-2006 timeframe.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: FAA chose this metric because it is easy to understand and measures the individual risk to the flying public. The metric will help the agency to move toward a low sustainable rate by maintaining its focus on recently identified risks.



Public Benefit: As fatal air carrier accidents have declined in terms of average fatalities per accident, this metric will sharpen Federal Aviation Administration (FAA) focus on helping air travel become even safer.

Partners: Partners include Bureau of Transportation Statistics (BTS), National Transportation Safety Board (NTSB), FAA's Office of Policy, International Affairs and Environment (APL).

External Factors Affecting Performance: NTSB accident investigations indicate that aviation fatal accidents are largely related directly to some form or combination of human factors. These run the gamut of external organizational influences, inadequate supervision, personnel factors (such as self-imposed stress), to individual acts, such as skill-based errors, misperception errors, judgment and decision-making errors, etc. While an accident's causation can be thoroughly investigated and understood by FAA, as a practical matter, the agency's ability to influence basic decisions by every pilot, every day, and in every circumstance to prevent accidents becomes much more difficult.

Source of the Data: The data on commercial fatalities comes from NTSB's Aviation Accident Database. All but a small share of the data for persons on board comes from the air carriers, who submit information for all passengers on board to the Office of Airline Information (OAI) within Bureau of Transportation Statistics (BTS). In addition, FAA estimates crew on board based on the distribution of aircraft departures by make and model, plus an average of 3.5 persons on board per Part 121 cargo flight.

Statistical Issues: Both accidents and passengers on board are censuses, having no sampling error. Crew on board is an estimate with a small range of variation for any given make and model of aircraft. Departure data and enplanements for Part 121 are from the BTS. The crew estimate is based on fleet makeup and crew requirements per number of seats. For the current fleet, the number of crew is equal to about seven percent of all Part 121 enplanements. The average number of cargo crew on board is 3.5 per departure, based on data from subscription services such as Air Claims (Ascend), a proprietary database used by insurers to obtain information such as fleet mix, accidents and claims. Cargo crews typically include two flight crew members, and occasionally another pilot or company rep, or two deadheading passengers.

Part 135 data also comes from BTS and Air Claims databases, but is not as complete. The Office of Aviation Policy and Plans (APO) verifies with the operators when it identifies gaps in the data. Based on previous accident and incident reports, the average Part 135 enplanement is five per departure. Crew estimates for Part 135 are based on previous accident and incident data. Any error that might be introduced by estimating crew will be very small and will be overwhelmed by the passenger census. Importantly, the fatality rate is low and could significantly fluctuate from year to year due to a single accident.

Completeness: The FAA does comparison checking of the departure data collected by BTS. This data is needed for crew estimates. However, FAA has no independent data sources against which to validate



the numbers submitted to BTS. FAA compares its list of carriers to the Department of Transportation (DOT) list to validate completeness and places the carriers in the appropriate category (i.e., Part 121 or Part 135). The number of actual persons on board for any given period is considered preliminary for up to 18 months after the close of the reporting period. This is due to amended reports subsequently filed by the air carriers. Preliminary estimates are based on projections of the growth in departures developed by APL. However, changes to the number of persons on board should rarely affect the annual fatality rate.

To overcome reporting delays of 60 to 90 days, FAA must rely on historical data, partial internal data sources, and Official Airline Guide (OAG) scheduling information to project at least part of the fiscal year activity data. The FAA uses OAG data until official BTS data are available. The final result for the air carrier fatality rate is not considered reliable until BTS provides preliminary numbers. Due to reporting procedures in place, it is unlikely that calculation of future fiscal year departure data will be markedly improved. This lack of complete historical data on a monthly basis and independent sources of verification increases the risk of error in the activity data.

NTSB and the Office of Accident Investigation and Prevention confer periodically to validate information on the number of fatalities. Accident data is considered preliminary. NTSB usually completes investigations and issues reports on accidents that occur during any fiscal year by the end of the next fiscal year. Results are considered final when all those accidents have been reported in the NTSB press release published early in the following year. FY 2020 results will therefore be final after the 2022 press release. In general, however, the number of fatalities are not likely to change significantly between the end of the fiscal year and the date they are finalized.

Reliability: Results are considered preliminary based on projected activity data. Most accident investigations are a joint undertaking. NTSB has the statutory responsibility to determine probable cause, while FAA has separate statutory authority to investigate accidents and incidents in order to ensure that FAA meets its broader responsibilities. The FAA's own accident investigators and other FAA employees participate in all accident investigations led by NTSB investigators. The FAA uses performance data extensively for program management, personnel evaluation, and accountability.

Performance Measure Profile

FY 2021 Methodology Report



Federal Aviation
Administration

General Aviation Fatal Accident Rate

Performance Metric: Reduce the general aviation fatal accident rate to no more than 0.89 fatal accidents per 100,000 flight hours by FY2028.

FY 2021 Performance Target: No more than 0.96 fatal accidents per 100,000 flight hours.

Lead Organization: Aviation Safety (AVS)

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	1.04	1.02	1.01	1.00	0.98	0.97	0.96
Actual	0.99	0.89	0.83	0.89	0.95	0.93*	0.88**

* as of December 31, 2020. FY 2020 data will be finalized in the first quarter of FY 2022.

** as of December 31, 2020. FY 2021 data will be finalized in the first quarter of FY 2023.

Definition of Metric

Metric Unit: Number of fatalities per 100 million persons on board.

Computation:

$$\frac{\text{Number of GA Fatal Accidents}}{\text{Flight Hours}/100,000}$$

Formula:

$$\text{GA Accident Rate} = \frac{\text{Number of GA Fatal Accidents}}{(\text{GA Flight Hours}/100,000)}$$

Scope of Metric: This metric includes U.S. registered on-demand (non-scheduled Title 14 Code of Federal Regulations (14 CFR) Part 135) and general aviation flights to include everything not Part 121 or Scheduled Part 135. General aviation comprises a diverse range of aviation activities, from single-seat homebuilt aircraft, helicopters, and balloons, single and multiple engine land and seaplanes, to highly sophisticated, extended range turbojets.

Method of Setting Target: The three safest years in general aviation history (FY 2014 – FY 2016) were used as the baseline. Government and industry consensus was to target a 10 percent reduction in 10 years from this baseline. Each year's annual target is a one percent reduction to achieve the overall goal.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The FAA Administrator required the agency to convert the metric from numbers-based to rate-based for FY 2009. The FAA and the general aviation community have determined that a general aviation fatal accident rate rather than the number of fatal accidents is a better performance metric because the rate reflects fleet activity levels and their relationship to the number of fatal accidents. The Fatal Accident Rate is a true rate-based metric and tracks changes in the fatal accident rate for a fixed volume of flight hours (per 100,000).



Public Benefit: By tracking the rate of fatal accidents per flight hours, FAA can more accurately identify trends, indicating a decrease or increase of potential safety risks.

Partners: Partners include the National Transportation Safety Board (NTSB), FAA Office Aviation Policy and Plans (APO) and the FAA and Industry General Aviation Joint Steering Committee (GAJSC): Aircraft Owners and Pilots Association (AOPA), General Aviation Manufacturers Association (GAMA), National Business Aircraft Association (NBAA), Experimental Aircraft Association (EAA), academia, etc.

External Factors Affecting Performance: NTSB accident investigations indicate that general aviation fatal accidents are largely related directly to some form or combination of human factors. These run the gamut of external organizational influences, inadequate supervision, personnel factors (such as self-imposed stress), to individual acts, such as, skill-based errors, misperception errors, judgment and decision-making errors, etc. These human factor influences are occurring in a broad spectrum of general aviation activities from more highly regulated on-demand air taxi service in sophisticated aircraft, to more loosely regulated recreational flying in homebuilt aircraft. While accident causation can be thoroughly investigated and understood by FAA, as a practical matter, the FAA's ability to influence basic decisions by every pilot, every day, and in every circumstance to prevent accidents becomes much more difficult.

Source of the Data: The data for general aviation fatal accidents comes from the National Transportation Safety Board's (NTSB) Aviation Accident Database. Aviation accident investigators, under the auspices of the NTSB, develop the data. Annual flight hours are derived from the FAA's annual General Aviation and Part 135 Activity Survey. The FAA's Forecast and Performance Analysis Division provides current year estimates.

Statistical Issues: The NTSB finalizes the actual number of general aviation fatal accidents. Since this is a simple count of accidents, there are no statistical issues relevant to this data. The general aviation community and the GAJSC, as part of the Safer Skies initiative, recommended development of a data collection program that will yield more accurate and relevant data on general aviation demographics and utilization. Improved GA Survey and data collection methodologies have been developed. As a result of these efforts, FAA, working with the General Aviation Manufacturers Association (GAMA), the NTSB, and other aviation industry associations, has made many improvements to the survey. An improved survey was initiated in FY 2004.

These annual surveys created, for the first time, a statistically valid report of activity on which the general aviation community could agree. First, the sample size has significantly increased. Second, a reporting form has been created to make it much easier for organizations with large fleets to report. Third, the agency worked with the Aircraft Registry to improve the accuracy of contact information. Each year, significant improvements are being made to substantially improve the accuracy of the data.

The General Aviation Joint Steering Committee (GAJSC) and General Aviation Data Improvement Team



(GADIT) worked closely with the general aviation community and industry to develop this performance metric and target. There was unanimous support and consensus for the metric and target.

Completeness: The number of general aviation fatal accidents, even when reported as preliminary, is very accurate. NTSB and the Office of Accident Investigation and Prevention confer periodically to validate information on the number of fatalities. Accident data are considered preliminary. NTSB usually completes investigations and issues reports on accidents that occur during any fiscal year by the end of the next fiscal year. Results are considered final when all those accidents have been reported in the NTSB press release published early in the following year. FY 2021 results will therefore be final after the 2023 press release. In general, however, the numbers of fatalities are not likely to change significantly between the end of the fiscal year and the date they are finalized. General Aviation (GA) Survey calendar hours are finalized by December 31 of the following year. Hence, the fatal accident rate for FY 2020 will not be considered final/complete until December 31, 2021.

Reliability: Results are considered preliminary based on projected activity data. Most accident investigations are a joint undertaking. NTSB has the statutory responsibility to determine probable cause, while FAA has separate statutory authority to investigate accidents and incidents in order to ensure that FAA meets its broader responsibilities. The FAA's own accident investigators and other FAA employees participate in all accident investigations led by NTSB investigators. The FAA uses performance data extensively for program management, and personnel evaluation and accountability.



Expand Safety Management System (SMS) In Industry and Airports

Performance Metric: Complete milestones necessary to publish SMS Rule to implement agency strategy for expansion of SMS.

FY 2021 Performance Targets:

Target 1. Reach Milestone #1 on the SMS Rule NPRM by obtaining preliminary team concurrence of the SMS Rule NPRM. Due September 30, 2021.

Target 2. In coordination with ARM, APL, and AGC provide support to OST to facilitate their approval of the Part 139 SMS Rule. Due September 30, 2021.

Lead Organization: Aviation Safety (AVS)

Definition of Metric:

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: These metrics measure AVS' progress in publishing the SMS Rule to implement agency strategy for expansion of SMS in industry and airports. AVS will provide information as requested by the OST or other offices, in order to facilitate OMB approval for the issuance of the proposed rule RIN 2120-AJ38 and its supporting details that would require an SMS program at qualifying Part 139 certificated airports.

Method of Setting Target: The metric for Target 1 was set based on collaboration with the FAA SMS Executive Council, the Aviation Safety (AVS) Safety Management System (SMS) Management Board (AVSSMS), the FAA SMS Committee, and the FAA Rulemaking Management Council (RMC). The Target 2 metric was set based on collaboration with AVS, ARM, APL and AGC.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This metric constitutes an important step towards the publication of a regulation that would, as described in the Spring 2020 Unified Agenda of Regulatory and Deregulatory Actions, "... apply the requirements of 14 CFR Part 5, with appropriate modifications. As a result, this rulemaking would require persons engaged in the design and production of aircraft, engines, or propellers; certificate holders that conduct common carriage operations under Part 135; persons engaged in maintaining Part 121 aircraft under part 145; and persons conducting certain, specific types of air tour operations under Part 91 to implement a Safety Management System." Successfully providing appropriate support to OST for approval of the Part 139 SMS Rule will facilitate its submittal to the Office of Management and Budget (OMB) for final approval and issuance of the rule.



Public Benefit: Recent incidents and accidents involving Parts 135 and 91 (Section 147) have highlighted the need for a more broad-based approach to make systemic improvements to operations. In addition, certain recent accidents whose causes have been traced to aircraft design and production under Part 21 and maintenance under Part 145 have, similarly, highlighted the need for systemic improvements. An SMS is a formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk. Certificate holders operating under Part 119/121 already have SMS, so this effort will expand the application of SMS beyond Part 119/121 certificate holders.

Successful implementation of the rule will require certain Part 139 certificate holders to develop, implement, maintain, and adhere to an airport SMS. An SMS is a set of decision making tools that a certificate holder uses to plan, organize, direct, and control its everyday activities in a manner that enhances safety. An airport SMS must include, at a minimum, four components: (a) safety policy, (b) safety risk management, (c) safety assurance, and (d) safety promotion. The development and implementation of SMS ensures safety in air transportation by assisting airports to proactively identify and mitigate safety hazards, thereby reducing the possibility or recurrence of accidents in air transportation. The FAA applied a risk-based approach to the final rule's applicability. Instead of requiring SMS at all certificated airports, the FAA chose to require it only at certificated airports with the highest passenger enplanements, the largest total operations and those certificated airports hosting international air traffic. Certificate holders that qualify under one or more triggering criteria (triggers) are required to develop an SMS under this final rule.

Partners: Internally, AVS will work collaboratively with other FAA offices to ensure successful achievement, including: ARM, APL, and AGC. Partners are identified as required to generate information or data to successfully answer any inquiries the OST may have that may impede the approval of the subject rule. In addition, both the National Transportation Safety Board (NTSB) and the International Civil Aviation Organization (ICAO) support SMS as a means to prevent future accidents and improve safety in air transportation. The 2019-2020 (NTSB) Most Wanted list recommends that the FAA "Require... Part 135 operators to establish safety management system programs" (A-16-036). Congress has sent the FAA recommendations and inquiries regarding SMS for Parts 21, 91, and 135. This rulemaking would address recommendations from the NTSB and Congress, as well as move the United States closer to meeting ICAO Annex 19 commitments. Due to the ICAO Annex 19 requirements, certificate holders that operate internationally should embrace the rule because it will enable them to provide documentation that they meet the established SMS requirements in accordance with Annex 19. Additionally, there are a number of certificate holders currently voluntarily implementing SMS, so it is expected that they would also support the rulemaking proposal. Finally, given the support from the NTSB and Congress for SMS, it is expected that their reaction to this rulemaking would also be supportive.



The NTSB has cited organizational factors contributing to some aviation accidents and has recommended SMS for several sectors of the aviation industry, including aircraft operators and aerodromes (airports). The FAA has reached similar conclusions and has determined that the organizational factors and benefits of SMS apply across the aviation industry, including airports.

External Factors Affecting Performance: Achieving Milestone #1 of the FAA Rulemaking Process for the NPRM of the SMS Rule is predicated on collaboration within Aviation Safety (AVS), as well as the Office of the Chief Counsel (AGC) and the Office of Aviation Policy and Plans (APO). Shifting priorities, resources, and other factors could affect completion of this effort. However, given the level of support from FAA leadership for SMS Rulemaking, it is expected to remain a high priority.

Source of the Data: N/A

Statistical Issues: N/A

Completeness: This initiative will be completed once all targets have been met to publish the SMS Rule to implement agency strategy for expansion of SMS in industry and airports. Specifically, Target 1 will be successfully completed once the NPRM of the SMS Rule reaches Milestone #1 of the FAA Rulemaking Process. Target 2 will be successfully accomplished when the subject rule is transmitted to OST and appropriate support is provided to facilitate its submittal to OMB for approval.

Reliability: N/A



UAS Waivers (Operational)

Performance Metric: Develop industry guidelines and inspector guidance to adapt to Part 107 waiver provisions to improve Unmanned Aircraft System (UAS) waiver [operational] processing time (approve or deny).

FY 2021 Performance Targets:

Target 1: Publish update to The Flight Standards Information Management System Order 8900.1 (V16, C4, S3) to clarify the 107 waiver evaluation process to include roles and responsibilities by April 2021.

Target 2: Publish a waiver guidelines document on the FAA UAS website by March 2021.

Lead Organization: Aviation Safety (AVS)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: N/A

Method of Setting Target: AVS initially set a goal to reduce the average number of days to process a waiver to 50 days for FY 2018 with a five-day reduction each subsequent year to FY 2022. The metric has been successfully met for the past three years, due to significant changes made in the waiver process. The most recent change, a result of the published Operation of Small Unmanned Aircraft Systems over People (OOP) Rule which becomes effective 4/21/21, shifts the focus on Part 107 UAS operational waivers to improving the quality and processing of complex waiver applications, as a means to further safe integration of UAS into the NAS.

Additional Information on Metric

Why the FAA and/or DOT chose this Target: The UAS industry is continuously developing innovative uses for operations utilizing unmanned aircraft. In previous years, a calendar-based metric was used to assess the average time it took the FAA to approve or deny a Part 107 waiver. While a valuable data point, recent advances in the waiver process and rulemaking have changed the need to utilize a calendar-based metric. This is supported by the fact that a 5-year plan established in FY 2018 to reduce average waiver processing time to 35 days in FY 2022, has already been met. Another factor that led to



the establishment of a new target is the recently published OOP rule. The new rule will allow for routine operations at night, reducing the number of simple waiver requests (night waivers currently make up a majority of the waivers FAA receives). Night waivers were typically processed much quicker than complex waivers, which include beyond visual line of sight operations, operations from moving vehicles and others. This will no doubt skew the average processing time as the complex waivers require much more in-depth discussions and evaluations. These reasons coupled with a request from industry to have a better understanding and more transparency with the waiver process support this target.

Public Benefit: Unmanned aircraft represent a potentially limitless source of innovation that can revolutionize existing industries or create new ones. From conducting dangerous power line inspections from a safe distance to creating beautiful aerial light shows, UAS have the potential to generate economic activity while also enhancing safety in the NAS. By increasing transparency and an understanding of the waiver process, industry will have the ability to create a robust, well developed safety case. This will increase their chances to receive approvals, which would help materialize new business opportunities.

Partners: MITRE is serving as a technical partner for the development of IT enhancements due to their experience developing a similar system for the FAA and their ongoing subject matter expertise work with the FAA across lines of business to integrate UAS into the NAS. MITRE will assist the FAA (Office of Information and Technology (AIT) and Flight Standards Service (AFS)) in developing technical requirement contributions to DroneZone scheduled releases. These requirements include:

- sUAS waiver risk assessment workflow
- System information content and processing
- Automation supporting the risk assessment methodology

External Factors Affecting Performance: As industry develops new and innovative uses for UAS, the technical complexity of waivers requests and the proposed safety mitigations (for example, technology, equipment, training, and certification) will also increase. This could affect guidance, efficiency, and the transparency of how waivers are evaluated.

Source of the Data: The Flight Standards Information Management System Order 8900.1 (V16, C4, S3) clearly lays out the Part 107 waiver evaluation process to include roles and responsibilities. This document is currently being updated and will be available to the public to increase transparency. In addition, a waiver guidelines document will be published on the FAA UAS website.

Statistical Issues: N/A

Performance Measure Profile

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Completeness: FAA DroneZone provides an improved user experience on a modern platform and design that is easy to understand, which increases the quality of waivers. Both the 8900.1 update, and the waiver guideline documents are in coordination to be published to further improve the user experience.

Reliability: N/A



UAS Integration

Performance Metric: Develop a cross-line of business (LOB) strategy to address security issues related to Unmanned Aircraft System (UAS) Integration.

FY 2021 Performance Targets:

Target 1: Develop a cross-LOB strategy to respond to and address, as appropriate, security issues related to UAS integration that interagency participants identify as a part of the National Security Council UAS Security Policy Coordinating Committee process. (AVS) Due September 30, 2021

Target 2: Document best practices for UAS flight operations under a UAS flight program for DOT-wide use when commissioning UAS vendors for facility, infrastructure, modal-specific inspections, or other needed activities as approved by each mode. (ATO) Due September 30, 2021

Lead Organization: Aviation Safety (AVS) and Air Traffic Organization (ATO)

Definition of Metric

Metric Unit:

Target 1: Unmanned Aircraft Systems Integration Office (AUS)-approved strategic document.

Target 2: Documentation of best practices, operational guidance, and acquisition guidance for UAS flight operations under a UAS flight program.

Computation: N/A

Formula: N/A

Scope of Metric:

Target 1: Security-issues related to UAS Integration as accepted by the FAA that interagency participants identify as a part of the National Security Council UAS Security Policy Coordinating Committee process.

Target 2: UAS Operations under an Agency Flight Program.

Method of Setting Target:

Target 1: The FAA established this method by reviewing the potential risks to the UAS Integration Strategy objectives, and considered the historical impacts that have delayed the advancement of the UAS Integration Strategy.



Target 2: Cross-LOB work group on Integration objectives identified this stakeholder need.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric:

Target 1: Not addressing potential security concerns has delayed our ability to advance UAS integration efforts. For example, the operations over people rule was delayed three years until we could publish and issue the Remote Identification rule. This metric would develop a cross-LOB strategy that would mitigate future delays.

Target 2: FAA, DOT, and other agency stakeholders regularly seek advice on the ability to operate a UAS for agency purposes. Guidance provides consistent useful information for stakeholders to use.

Public Benefit:

Target 1: Mitigating delays to proposed innovative operations by ensuring security issues are addressed alongside the development of innovative concepts.

Target 2: Using UAS reduces costs and risks associated with traditional governmental activities and functions such as a search and rescue, disaster relief, firefighting support, aeronautical research, biological or geological resource management, and more.

Partners:

Target 1: Partners include the National Security Council UAS Security Policy Coordinating Committee.

Target 2: While this is an AVS-owned activity, ATO (AJF) is executing this specific target. AJF will partner with other service units within the ATO to conduct or observe test flights in situ as best practices and guidance are developed, including Technical Operations (AJW) and Mission Support Services (AJV). At least some of these flights will be conducted with identified commercial partners.

External Factors Affecting Performance:

Target 1: The National Security Council UAS Security Policy Coordinating Committee must identify security-related issues.

Target 2: The availability of external partners is needed to conduct testing. Weather and pandemic conditions could affect the ability to conduct tests, as well as the ability of necessary personnel to travel.



Source of the Data:

Target 1: The National Security Council UAS Security Policy Coordinating Committee and the FAA UASstakeholders.

Target 2: FAA Flight Program management processes, documents, and subject matter expertise.

Statistical Issues: N/A

Completeness:

Target 1: This activity will be complete when AUS-1 approves a cross agency vetting of a strategy/response.

Target 2: This target is complete when the FAA publishes or posts guidance.

Reliability: N/A



UAS Remote Identification Next Steps (Outreach and Engagement)

Performance Metric: The FAA will enable the safe and secure integration of Unmanned Aircraft Systems (UAS) into the National Airspace System (NAS). The Remote Identification (ID) of UAS in the airspace of the United States would address safety, national security, and law enforcement concerns regarding the further integration of these aircraft into the airspace of the United States while also enabling greater operational capabilities.

FY 2021 Performance Target: Once the Remote ID rule is published, facilitate early adoption of Remote ID technology by conducting six enterprise-level outreach and engagement events. Target Milestones: Establish cross-agency working-level enterprise-wide outreach and engagement team. Develop a detailed external media plan with the FAA Office of Communications (AOC). Develop a detailed social media plan with AOC. With appropriate internal and external stakeholders, develop a series of virtual informational events (content/schedule/vehicle). Develop educational materials for FAA/DOT employees. Partner with services, offices, and lines of business to ensure consistent Remote ID messaging.

Lead Organization: Aviation Safety (AVS)

Definition of Metric

Metric Unit: Complete at least six enterprise-level outreach and engagement events, as well as provide information to the UAS community, aviation stakeholders, and the general public on the implementation timeline and requirements of the final Remote ID rule.

Computation: This metric is based upon the implementation timeline of the final Remote ID rule.

Formula: Six enterprise-level outreach and engagement events that meet requirements outlined in the performance target.

Scope of Metric: Remote Identification: Remote ID is the ability of an unmanned aircraft in flight to provide certain identification and location information that people on the ground and other airspace users can receive.

Public education and engagement are both essential to the implementation and compliance of the final Remote ID rule. Outreach and engagement, through enterprise-level events and informational campaigns, will provide information for the UAS community and aviation stakeholders to understand and be prepared to comply with the final Remote ID rule.

Method of Setting Target: The enterprise-level outreach and engagement events, along with the associated information campaign, will provide information to the targeted audiences to meet this target.



Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The Remote ID of UAS is necessary to ensure public safety and the safety and efficiency of the airspace of the United States. The final Remote ID rule is performance-based and establishes the timeline for compliance. The agency's outreach and engagement efforts, as well as informational campaigns, will inform the UAS community, aviation stakeholders, and general public of the requirements for the final Remote ID rule and implementation timeline.

Public Benefit: Remote ID helps the FAA, law enforcement, and other Federal agencies find the control station when a drone appears to be flying in an unsafe manner or where it is not allowed to fly. Remote ID also lays the foundation of the safety and security groundwork needed for more complex drone operations.

Partners: The Office of Security and Hazardous Materials Safety (ASH) is working with the Unmanned Aircraft Systems Integration Office (AUS) to facilitate the engagement to our security partners on the implementation of the final Remote ID. The Flight Standards Office (AFS), as the policy office for Remote ID, is working with AUS on the implementation of the final rule.

External Factors Affecting Performance: Implementation of and compliance to the final Remote ID rule will require continued communication and engagement by the FAA with the UAS community and other aviation stakeholders.

Source of the Data: AUS will continue to track outreach, engagement, and communication efforts related to the implementation of the final Remote ID rule.

Statistical Issues: N/A

Completeness: Robust communication, outreach, and engagement will support the implementation of the final Remote ID rule. In addition to hosting at least six enterprise-level outreach and engagement events, the FAA will need to have a sustained communications campaign throughout the implementation period.

Reliability: The FAA will need to continue to provide information and engage with the UAS community and other stakeholders throughout the implementation period, and beyond, to ensure compliance to this new rule.



Commercial and Non-Commercial Surface Safety Risk Index

Commercial Aviation Performance Metric: Measures the overall safety risk of commercial aviation operations in the airport surface environment of the National Airspace System (NAS) by aggregating all relevant risk events that occur on and around runway and taxiway areas.

FY 2021 Commercial Aviation Performance Target: Maintain commercial Surface Safety Risk Index at or below 0.35 per million operations.

Non-Commercial Aviation Performance Metric: Measures the overall safety risk of non-commercial aviation operations in the airport surface environment of the NAS by aggregating all relevant risk events that occur on and around runway and taxiway areas.

FY 2021 Non-Commercial Aviation Performance Target: Maintain non-commercial Surface Safety Risk Index at or below 0.60 per million operations.

Lead Organization: Air Traffic Organization (ATO) Safety

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Commercial Target	N/A	N/A	0.35	0.35	0.35
Actual	N/A	N/A	0.057	0.044	TBD

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Non-Commercial Target	N/A	N/A	0.60	0.60	0.60
Actual	N/A	N/A	0.214	0.222	TBD

Definition of Metric

Commercial Metric Unit: Unit less, an aggregate weighted measure of overall airport surface operations safety risk per million operations.

Commercial Computation: For each commercial accident, a penalty term is calculated by aggregating weights corresponding to the various effects of the accident (i.e., injury types or airframe damage types). A credit term, calculated as the fraction of lesser injured people and/or less-damaged airframes, is deducted from the penalty term to get the final score for the accident. For each commercial incident, only a penalty term corresponding to the incident type is calculated and becomes that incident's score. All event (accident and incident) scores are aggregated over time and normalized by 1,000,000 operations. All rates used in the Commercial Surface Safety Risk Index calculation are derived from a Bayesian network model trained using a supervised algorithm, which essentially assigns a weight value to each event outcome indicative of its closeness to a fatal outcome.



Commercial Formula:

$$\frac{\text{Sum of individual Commercial event scores}}{(\text{Commercial Aviation Operations} \div 1,000,000)}$$

Non-Commercial Metric Unit: Unit less, an aggregate weighted measure of overall non-commercial surface operations safety risk per million operations.

Non-Commercial Computation: For each accident, a penalty term is calculated by aggregating weights corresponding to the various effects of the accident (i.e., injury types or airframe damage types). A credit term, calculated as the fraction of lesser injured people and/or less-damaged airframes, is deducted from the penalty term to get the final score for the accident. For each incident, only a penalty term corresponding to the incident type is calculated and becomes that incident's score. All event (accident and incident) scores are aggregated over time and normalized by 1,000,000 operations. All weights used in the Non-Commercial Surface Safety Risk Index calculation are derived from a Bayesian network model trained using a supervised algorithm, which essentially assigns a weight value to each event outcome indicative of its closeness to a fatal outcome.

Non-Commercial Formula:

$$\frac{\text{Sum of individual Non-Commercial event scores}}{(\text{Commercial Aviation Operations} \div 1,000,000)}$$

Scope of Metric: The Surface Safety Risk Index measures the overall safety performance of the NAS in the runway environment. It includes all manner of operations (commercial and other types), aircraft, vehicles and pedestrians that occur in that environment. It includes runway collision accidents, runway excursion accidents, taxiway collision accidents, runway incursion incidents, runway excursion incidents, and taxiway surface incidents. The definition of operations is total takeoffs and landings. Commercial and Non-Commercial operations are measured separately. The FAA considers operations under FAR Parts 121, 129, and 135 "commercial operations" and all other operation types "non-commercial."

Method of Setting Target: Forecast modeling was used to attain challenging but reasonable targets based on past performance of the metric. Targets for commercial and non-commercial operations were set separately.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: By including various types of surface accidents and incidents the Surface Safety Metric provides a larger picture of National Airspace System (NAS) safety than previous metrics have. Additionally, because the Metric weights accidents and incidents based on their closeness to fatal accidents, it is more representative of safety risk than metrics that focus on simply counting occurrences.



Public Benefit: The Surface Safety Metric represents potential for fatal accidents on the runway or taxiway surface. A reduction in the Surface Safety Metric score is an indication of overall safety performance improvements for the flying public in the surface environment.

Partners: The FAA co-chairs the Runway Safety Council (RSC) with Air Line Pilots Association (ALPA). Other Council members include National Air Traffic Controllers Association, Airlines for America, Aircraft Owners and Pilots Association, National Association of Flight Instructors, National Business Aviation Association, Regional Airline Association, Airport Councils International-North America, the American Association of Airport Executives, along with FAA Flight Standards, Office of Airports, and Air Traffic. The RSC collaborates government and industry leadership to develop and focus implementation of an integrated, data-driven strategy to reduce the number and severity of runway incursions.

External Factors Affecting Performance: Runway accidents and incidents are the result of an error by an air traffic controller, pilot, and/or vehicle/pedestrian event. The FAA has direct influence on air traffic controller performance, but indirect influence on pilots and airport personnel.

Source of the Data: The National Transportation Safety Board (NTSB) database is the primary source of runway accident data. Runway excursion data is supplemented by AVP's Aviation System Analysis and Sharing (ASIAS) database, which aggregates runway excursion data from multiple sources. Air traffic controllers and pilots are the primary source of runway incursion and surface incident reports. The data are recorded in the Comprehensive Electronic Data Analysis Reporting (CEDAR) system. CEDAR replaced the FAA Air Traffic Quality Assurance (ATQA) database for the Air Traffic Organization. Preliminary incident reports are evaluated when received and evaluation can take up to 90 days. Operations data used to calculate the runway incursion rate are provided via OPSNET, and are downloaded directly from the FAA Operations and Performance Data database.

Statistical Issues: Categorization of the various accidents is performed using statistical modeling, which is prone to sampling error.

Completeness: The FAA verifies and validates the accuracy of runway incursion and surface incident data through the initial validation process followed by quality assurance and quality control reviews.

Reconciliation of the databases is conducted monthly and anomalies are explored and resolved. In cases where major problems are identified, a request to re-submit is issued. The FAA conducts annual reviews of reported data and compares them with data reported from previous years. Annual runway incursion incident data are used to provide a statistical basis for research, analysis, and outreach initiatives. The Surface Safety Metric will be recalculated if accidents or incidents are reported late or if operations data are retroactively adjusted.

Reliability: A classification algorithm with approximately 95% accuracy is used to classify NTSB events as runway collisions, taxiway collisions, or runway excursions. Given this classification error, there is a small

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chance that irrelevant accidents will be included in the Surface Safety Metric calculation or relevant accidents will be excluded.



Mitigating the Top 5 Safety Risks

Performance Metric: The Top 5 Safety Risks are a quantifiable list of hazards that contribute to the highest risk in the national airspace system (NAS). It is the culmination of the Air Traffic Organization's (ATO) proactive safety management activities—valuing input from the frontline employees, deploying technology to gather data, improving analysis to identify risk and embracing correction to implement risk mitigations.

FY 2021 Performance Target: Implement 85% of approved mitigation activities in association with ATO's Top Five (5) identified trending safety issues in the NAS.

Lead Organization: Air Traffic Organization (ATO)

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	80%	80%	80%	80%	85%	85%
Actual	88%	93%	89%	93%	86%	TBD

Definition of Metric

Metric Unit: The metric counts the number of activities implemented to address the Top 5 issues/hazards. Each activity is a defined action.

Computation: Implementation of 85% of the activities identified for the fiscal year

Formula: $100 \times (\text{Number of Activities Completed}) / (87 \text{ Activities Identified for FY2021})$

Scope of Metric: This metric measures ATO's success in implementing mitigations to address trending issues in the NAS, as well as the impact of those mitigations on the originally identified trend. The list of FY2021 issues are Traffic Advisories / Safety Alerts, Altitude Compliance, Wrong Surface Landings, Pilot Reports (PIREP) Solicitation / Dissemination and Notice to Airmen.

Method of Setting Target: There will be five phases of the Top 5 process: candidate selection, Corrective Action Plan (CAP) development, CAP implementation, monitoring, and close-out. Metrics have been set that will measure success in each of those phases, all of which are deadline-driven. Each major deadline that is coming up in a fiscal year will count as an activity toward the metric.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This metric was identified because it addresses the issues found within the NAS and moves the agency away from merely counting mistakes. By identifying the Top 5 trending safety issues, developing activities to address them, ensuring mitigations are implemented, monitoring the impact of mitigations, and closing out an issue once we have met performance targets, the agency is taking a proactive stance in identifying and mitigating issues.



Public Benefit: The adoption of this metric benefits the public by identifying and reducing trending safety issues within the NAS.

Partners: ATO Safety and Technical Training works collaboratively with stakeholders including other ATO Service Units (Mission Support, Tech Ops, Air Traffic, etc.); the National Air Traffic Controllers Association (NATCA); the pilot community (A4A, NBAA, AOPA, etc.); and other FAA organizations (Airports, Flight Standards, etc.) to develop comprehensive activities to address the issues identified in the NAS.

External Factors Affecting Performance: N/A

Source of the Data: ATO Safety and Technical Training reaches out to responsible organization points of contact to track the implementation progress of the approved activities and distributes monthly progress reports.

Statistical Issues: N/A

Completeness: The activities (for example, corrective action and monitoring plans) to address the Top 5 trending safety issues are formed using specific subject matter experts who are led through a data-driven process. Safety data are comprehensively reviewed to select well-defined issues to the list. Then, CAPs are developed and reviewed by the pertinent responsible organizations to ensure they address the identified issue and can be feasibly accomplished. The monitoring plans measure against safety performance targets to determine whether or not the mitigations are in place and reduce the observed trend. Once those targets are met, the issue is eligible for close-out, and the process begins again to review safety data to select/add a new issue to the list.

This cycle is broken down for each Top 5 into a plan for the coming fiscal year. Once the plans are signed, they represent specific and comprehensive plans that, when executed, should contribute to improved safety in the NAS. Safety and Technical Training solicits status updates regularly from responsible organizations to ensure the work is meeting the intent of the original action and will be completed on time. The activity is not closed until a deliverable confirms its completion. Additionally, a Director-level ATO Top 5 Steering Committee oversees the prioritization and decision-making needs of the Top 5. This committee ensures awareness, transparency, and buy-in at the highest levels.

Reliability: There is no reliability issue with this metric. The activity is either implemented during this fiscal year or not. ATO Safety and Technical Training considers an activity implemented when the requirements associated with the activity are met. Each activity has a point of contact that provides the implementation status to the program manager.



Integrating Commercial Space Transportation into the NAS

Performance Metric: Integrating Space Launches into National Airspace System (NAS) By Using Time-Based Launch/Reentry Procedures to Improve NAS efficiency

FY 2021 Performance Target: Develop and implement Time-Based Launch/Reentry Procedures (TBLP)/Dynamic Launch Reentry Windows (DLRW) procedures at two additional U.S. launch/reentry sites, further integrating commercial space launches and reentries into the NAS, using lessons learned in FY20 Cape Canaveral Space Force Station (CCSFS)/Kennedy Space Center (KSC) pilot project. Due September 30, 2021

Lead Organization: Air Traffic Organization (ATO)

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	N/A	N/A	N/A	2 targets	1 target
Actual	N/A	N/A	N/A	2 targets	TBD

Definition of Metric

Metric Unit: Binary [yes/no] completion of target.

Computation: N/A

Formula: Efficiency gains are derived from procedural and process changes that move from permission-based airspace to time-based management.

Scope of Metric: Procedures to communicate actual launch/reentry impact time and duration and to coordinate airspace and Traffic Management Initiatives (TMI).

Method of Setting Target: The targets were selected in response to a problem identified. Post analysis of launches/reentries has shown that aircraft were routed around launch/reentry hazard areas too early and kept on routes too long causing inefficiency and inland sector overloading. Currently, launch windows are calculated from the operator's estimated start time. A problem was identified where events triggered by launch/reentry operator decisions could have resulted in NAS efficiency gains if procedures were in place to capitalize on these events. Under Dynamic Launch Windows, the launch window calculations will be based on specific information from the operator. For example, if the operator starts an operational procedure that requires a launch within 30 minutes, the FAA will be updated that the actual launch will occur within that 30 minute window.



Additional Information on Metric

Why the FAA and/or DOT chose this Metric: Efficiency gains observed by the implementation and utilization of Time-Based Launch/Reentry Procedures or Dynamic Launch/Reentry Windows can be accurately evaluated and compared against pre-launch projected NAS impact calculations.

Public Benefit: Less aircraft affected by commercial launches/reentries will result in reduced flight times and costs for more flights increasing overall efficiency of the airspace.

Partners: Airlines for America, International Air Transport Association, National Business Aviation Association, Department of Defense as stakeholders. Procedures will be collaboratively developed with launch/reentry operators including SpaceX, Blue Origin, Sierra Nevada, Boeing, Northrup Grumman and other commercial launch operators.

External Factors Affecting Performance: Dynamic Launch/Reentry Windows depend heavily on launch/reentry operators providing timely information to facilitate adjustment of TMLs.

Source of the Data: ATCSCC operational records, logs, and observations by the Space Operations office.

Statistical Issues: N/A

Completeness: Time-Based Launch/Reentry Procedures or Dynamic Launch/Reentry Windows will be implemented once procedures and coordination for their use have been developed, outreach to affected stakeholders has been completed, and an operational demonstration of their use has been completed.

Reliability: The ATCSCC Space Operations office will continue to work to ensure commercial space launch/reentry operations are safely and efficiently integrated into the NAS. Opportunities to execute Time-Based Launch/Reentry Procedures or utilize Dynamic Launch/Reentry Windows will continue to be a priority goal.



National On-Airport Policy, Processes, and Procedures for UAS

Performance Metric: Air Traffic Organization (ATO) service units are working collaboratively to enable the national use of Unmanned Aircraft Systems (UAS) on and/or near airports for a variety of mission types. In FY21, ATO will develop required processes and procedures for agency-wide use of commercial UAS vendors for facility maintenance inspections/surveillance of FAA towers, radars, buildings, and other assets. ATO is to leverage the development of a national on-airports policy to accomplish this strategic priority. When fully developed, the policy will provide clear guidance for safely allowing on and near airport UAS operations for multiple uses, including aircraft inspections and maintenance parts delivery.

FY 2021 Performance Targets:

Target 1: Development and Update to Procedures. Publish National Policy for airspace access for UAS operations at or near airports. Due September 30, 2021

Target 2: Use cases for maintenance and inspections. Develop UAS maintenance implementation plan and data management plan to support Technical Operations use cases for maintenance and inspections. Due September 30, 2021

Target 3: Phase 1 of UAS inspections. Complete Phase 1 of UAS inspections to support the evaluation of UAS applications for on-airport operations. Due September 30, 2021

Target 4: Effectiveness of risk mitigations associated with the national use of UAS. Assess available data sources, and conduct data analyses to determine effectiveness of risk mitigations associated with the national use of UAS on and/or near airports across FAA approved mission types. Due September 30, 2021

Target 5: Support development and update to policy and procedures. Participate in the development and the update to policy and procedures related to UAS operations at or near airports. Due September 30, 2021

Lead Organization: Air Traffic Organization

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: This metric measures ATO progress in supporting UAS operations in the National Airspace System (NAS) and working to ensure the safe and efficient implementation of NAS changes to account for this diverse set of NAS users.



Method of Setting Target: Milestones identified and coordinated by ATO, validated by the UAS Leadership Team (ULT) and tied to ATO's UAS Services Plan and to the strategic priorities of the agency.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: Commercial UAS applications continue to create new opportunities and add significant value to airport operations. Over the next few years, the FAA will establish the national policy and changes for informed decision making on UAS operations on movement and non-movement areas for both Part 107 and Part 91 operations. Further, FAA will also be determining how to utilize commercial UAS services to perform core missions. To help ensure the safe use of commercial UAS application in the NAS, FAA will develop required processes and procedures for agency-wide use of commercial UAS vendors for facility maintenance inspections/surveillance of FAA towers, radars, buildings, and other assets, leveraging the development of the national on-airports policy. Assessing the effectiveness of safety risk mitigations associated with these operations is a key component of the ATO Safety Management System – safety assurance assessments.

Public Benefit: The National On-Airport Policy, Processes, and Procedures for UAS initiative paves the way to increasing at or near airport UAS operations safely and efficiently.

Partners: In addition to FAA partners such as the Office of Airports (ARP) and Aviation Safety (AVS), the ATO reaches out as needed to industry stakeholders (such as Airport Authorities) and to UAS vendors and operators. The FAA will also collaborate with entities such as the National Association of Tower Erectors (NATE), the MITRE Corporation, UAS vendor Skydio, the United States Coast Guard, and NASA to support use case development.

External Factors Affecting Performance: This initiative aims for seamless integration of at or near airport UAS operations within the existing commercial and non-commercial airport flight operations.

Source of the Data: Once approved, the National On-Airport Policy will be published in a Notice to FAA Order JO 7210.3 and FAA Order JO 7200.23. Data are collected during UAS Request for Information (RFI) on UAS capabilities; UAS aircraft evaluation and performance; and Use Case study for Imaging and sensor-based data. Gathered Safety Risk Management (SRM) documentation, as well as Certificate of Authorization (COA) and Letter of Agreement (LOA) information on these operations. SRM documents have been gathered for Part 107 operation by FedEx and, Woolpert, and for Section 349 recreational operations by the Academy of Model Aeronautics at multiple locations. Copies of COAs for on airport UAS operations have been received from AJV-P22) for MEM and SAV. Mitigations identified in these documents will be reviewed and categorized, and then an appropriate method for assessing their individual and collective effectiveness will be defined.

Statistical Issues: N/A

Completeness: This measure specifically delivers a National On-Airport policy (Targets 1 and 5) that will regulate UAS operations at or near airports. This policy is crucial for the seamless integration of UAS



operational integration. UAS usage for maintenance and inspections (Targets 2 and 3) is also analyzed to complete the operational assessment. Importantly, a risk based analysis is conducted for UAS operations, to ensure the safety of overall at or near airport operations (Target 4).

Reliability: The deliverables covered by this measure are based on technical instruction documents, safety risk management and authorized operations data, and extensive best practices analysis. They are setting a solid and reliable foundation for execution of UAS operations and their safety.



UAS Authorizations

Performance Metric: The Air Traffic Organization (ATO) will maintain the processing time for 107.41 authorization requests.

FY 2021 Performance Target: Process 95% of manual Part 107 Airspace Authorizations within the 90-day timeline mandated by Congress. Due September 30, 2021.

Lead Organization: Air Traffic Organization (ATO)

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	N/A	N/A	N/A	95%	95%
Actual	N/A	N/A	N/A	99.5%	TBD

Definition of Metric

Metric Unit: Part 107.41 Airspace Authorizations processed

Computation: An average of the total number of processing days for Part 107.41 Authorizations completed since the beginning of FY21. Processing days are calculated as the number of days from when a Part 107.41 Authorization is received to when it is completed in DroneZone.

Formula: Total Number of Processing days for Applications Processed/Total Number of Applications Processed

Scope of Metric: This applies only to 107.41 Authorizations.

Method of Setting Target: This metric was mandated by Congress. It was set to effectively monitor the approval time to process and disposition controlled airspace authorizations applications as identified in 14 CFR Part 107.41.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: This is a high-priority activity to enable UAS integration into the National Airspace System (NAS). Notification and awareness of sUAS activity in controlled airspace is necessary to ensure overall safety of flight objectives.

Public Benefit: The FAA continues to meet the mandated turnaround time on both application status updates, as well as the issuance of the individual authorizations themselves.

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Partners: Mission Support Service Centers

External Factors Affecting Performance: N/A

Source of the Data: For applications submitted through DroneZone, an application is generated through the system and the system tracks how long it takes to process an authorization. For applications submitted through the Low Altitude Authorization and Notification Capability (LAANC), requests are approved in near-real time whenever those operations occur within the Unmanned Aircraft System Facility Map (UASFM) altitude limitations. If outside of those altitude limitations, applicants will go through DroneZone to be worked manually.

Statistical Issues: N/A

Completeness: The lead office (UAS Policy Team, AJV-P22) tracked Part 107.41 applications from submission to disposition through various sources discussed above. These sources were interacted with assigned staff on a daily basis. The staff followed a standard operating procedure to process applications to ensure continuity and accuracy.

The data was collected via DroneZone to provide the reporting metric, which is the existing manual process.

Reliability: This is a process requiring queries from DroneZone to provide a unified response.



Community Engagement and Noise

Performance Metric: As the public sees us as “one FAA,” develop a series of informational tools (presentations, talking points, infographics, webpages) that can be used by the FAA to educate and inform Airport sponsors and Community Roundtables as well as local elected officials.

FY 2021 Performance Targets:

Target 1: Work with the existing regional Community Engagement matrix teams to develop informational tools on FAA’s efforts to safely and efficiently integrate new entrant vehicles to the national airspace, including: Unmanned Aircraft Systems (UAS), Urban Air Mobility, and Commercial Space operations. (ATO) Due September 30, 2021

Target 2: Work with the existing regional Community Engagement matrix teams to develop informational tools on the FAA’s aircraft noise research programs including efforts to better understand potential community impacts from aircraft noise and ways to address them. (AEE)
Due September 30, 2021

Lead Organizations: Air Traffic Organization (ATO) and Office of Environment and Energy (AEE)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric:

Target 1: Utilizing the existing guidance documents to update the FAA Order 7400.2, Procedures for Handling Airspace Matters, with best practices that promote standardized, repeatable, and scalable community engagement for air traffic actions across the National Airspace System (NAS). The final measure is the change to FAA Order 7400.2, Chapter 32-4-3, that adds the “Scenario- Based Guidance for Community Engagement” document to the list of resource documents in that paragraph.

Target 2: Leveraging both existing and new engagement opportunities, materials to present FAA’s noise research activities to a diverse audience of stakeholders will be developed. These materials will be made available through a variety of platforms, including websites, webinars and other direct engagement.



Method of Setting Target:

Target 1: The target was set based on the need for practitioners of FAA community engagement to collate the best practices from FAA community engagement guidance documents, which are periodically updated. The changes are highly prescriptive regarding community involvement (workshops, airport meetings, roundtables, presentations, etc.), which must be determined on a case-by-case basis.

Target 2: The target was set based the need to increase public awareness of FAA's noise research programs in order to better inform opportunities to address aircraft noise concerns.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: FAA is continuing its commitment to engage in open dialog with the community and to find avenues to communicate decisions that affect the airspace. The FAA has identified this metric in order to assist with the agency's progress towards improving Community Engagement and to increase efforts to educate the public on the FAA's efforts to modernize the national airspace, including the introduction of new entrants; and to provide information on the agency's aircraft noise research program.

Public Benefit:

Target 1: This internal agency guidance is for FAA employees and contractors and does not impose requirements on the public. The public will benefit with a more agile response to frequently asked airspace questions. The public will benefit from a combination of receiving early and consistent engagement via the community based update to FAA Order 7400.2, changes to the "Scenario-Based Guidance for Community Engagement and enhancements to the information delivery of the FAA website."

Target 2: Through providing greater awareness of the FAA's aircraft noise research capabilities and priorities the public will benefit through opportunities to learn about and contribute to a national discussion on aircraft noise.

Partners: N/A – Internal to FAA

External Factors Affecting Performance:

Target 1: Changing priorities with regard to programs and airspace changes can create constraints and can become impediments to a campaign to standardize community engagement practices for airspace actions.



Target 2: Time and resource constraints in scheduling and coordinating outreach activities on aircraftnoise research.

Source of the Data:

Target 1: The “Scenario-Based Guidance for Community Engagement” document is internal agency guidance that promotes standardized, repeatable, and scalable community engagement for air traffic actions across the NAS. Although this document was developed for air traffic actions, the framework applies to other FAA community engagement activities. Input from the guidance documents is reflected in FAA Order 7400.2, Chapter 32-4-3, as of January 30, 2020.

Target 2: The informational tools and materials developed to support outreach on the FAA’s aircraftnoise research program will be refined on a continual basis, based on stakeholder feedback and emerging noise research activities.

Statistical Issues: N/A

Completeness:

Target 1: As FAA employees continue to follow the guidance of the FAA Order 7400.2 Chapter 32-4-3, which dictates early community engagement in the project development process, open dialog with the communities is understood to be an important component in the overall FAA decision making process. Additionally we continually review these practices to ensure we are maintaining an open and productive dialog with local/regional communities.

Target 2: The development of informational tools and materials on the FAA’s aircraft noise research program will become a resource to communicate the ways in which the agency seeks to address aircraftnoise concerns.

Reliability: N/A



Commercial Space Launch and Reentry Accidents

Performance Metric: Maintain the Commercial Space Transportation (AST) goal of ZERO fatalities, serious injuries, or property damage resulting from an AST-licensed or permitted launch or reentry activity.

FY 2021 Performance Target: Achieve zero fatalities, serious injuries, or property damage resulting from an AST-licensed or permitted launch or reentry activity.

Lead Organization: Commercial Space Transportation (AST)

	FY 2019	FY 2020	FY 2021
Target	0	0	0
Actual	0	0	

Definition of Metric

Metric Unit: Report the number of fatalities or serious injuries or dollar damage in excess of \$1 incurred by the public as a result of AST to the uninvolved public.

Computation: This metric is a raw number. It includes the actual number of people killed or seriously injured as a result of launch and reentry operations licensed or permitted by the Federal Aviation Administration Office of Commercial Space transportation.

Formula: This is a raw number of fatalities, injuries, or dollar damage greater than zero. There is no further calculation.

Scope of Metric: This metric applies to all members of the uninvolved public, i.e., those not directly participating in the launch or reentry effort; either as flight crew, spaceflight participants, or support crew and staff.

Method of Setting Target: This target was established as the baseline safety metric for Commercial Space Transportation and has been in place since 1984.

Additional Information on Metric

Why the FAA and/or DOT choose this Metric: This goal was selected as the AST baseline measure of success in the mission of the Office of Commercial Space Transportation, ensuring safety of operations and people. This has been the touchstone metric for AST since its inception in 1984; and though this metric is well-established, its fulfillment is becoming significantly harder to maintain. The



introduction of new space transportation systems, new launch sites and launch site operators, new missions to include the transport of NASA astronauts to the International Space Station and back, commercial resupply missions, sub-orbital spaceflight tourism, provision of low-earth orbit services to the Federal government, increasing oversight of launch operations from overseas launch sites by U.S. operators, and commercial missions to the moon and beyond, have placed AST under greater stress than ever before.

Public Benefit: The public benefits in multiple ways. First, protection of the public from death, injury or financial loss from property damage is an immediate public good. However, the public also benefits greatly from the provision of space-based services that rely on assured access to space provided by AST-licensed launch operations. These include long-haul communications, geophysical observation and mapping, navigation, weather, entertainment, and the Global Positioning System (GPS) timing signal that provides enabling technology for cell phones and banking services. Any disruption in launch services, assured access to space, or launch and reentry capability directly impacts the ability of space-based service providers to maintain these capabilities which are essential to the U.S. national and economic security, as well as the general public.

Partners: To achieve this goal, AST coordinates with Federal, state, and local launch site operators, the Departments of Defense and Homeland Security, and the FAA's Air Traffic Organization, Airports, and Aviation Safety lines of business.

External Factors Affecting Performance: AST's ability to maintain this goal can be impacted by equipment failure, weather, cybersecurity breaches, or hostile acts.

Source of the Data: Data is derived from reported deaths, physical injuries, or damage resulting from launch or reentry operations as reported by Federal, state, and local emergency response personnel.

Statistical Issues: N/A

Completeness: This metric provides the ultimate determination of our success in executing the commercial spaceflight safety mission. Since this goal is a measure of raw data (not interpreted through statistical analysis) and is of such high visibility, its veracity is beyond reproach.

Reliability: N/A



Develop and issue products to assist in fully implementing Part 450, Streamlined Launch and Reentry Rule (SLR2)

Performance Metric: The Office of Commercial Space Transportation (AST) will provide the necessary support and Information to the commercial space industry necessary to fully implement the SLR2.

Develop guidance to assist potential licensees in meeting public safety regulatory requirements where no means of compliance exist in current regulations.

FY 2021 Performance Targets:

Target 1: AST will provide industry-wide SLR2 implementation educations by a virtual three-day Workshop for current and potential users of Part 450. Due September 30, 2021

Target 2: AST will publish ten (10) Advisory Circulars (AC) which provide implementation guidance and examples for meeting the requirements of the performance-based requirements contained in Part 450. Due September 30, 2021

Lead Organization: Office of Commercial Space Transportation (AST)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: This metric will provide guidance for effectively complying with the new performance-based regulatory requirements of Part 450. It will apply to all Commercial Space Transportation licensees operating from the United States launch or reentry sites, or United States licensees operating from overseas launch and reentry sites.

Method of Setting Target: This metric was determined to be a stretch goal based on the importance of providing this guidance and the level of effort required to develop and finalize ten (10) ACs.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: This metric was selected as a measure the FAA's progress in fully implementing the new Part 450 Streamlined Launch and Reentry Rule. Part 450 represented a major transition from a prescriptive regulatory framework which was directed by the National Space Council. The effort sought to provide a reduction in regulatory burden and unleash the entrepreneurial capacity of the United States commercial Space transportation industry.



Public Benefit: Implementing Part 450, Streamlined Launch and Reentry Rule (SLR2) and supporting advisory circulars will reduce the industry's regulatory burden, allow more rapid innovation, reduce the barriers to increased competition, and reduce costs, while maintaining the same level of safety for the American public. The guidance in these individual ACs will provide a means for Commercial Space Transportation operators to comply with the performance-based regulatory CFR Part, educate the commercial space transportation industry, and help achieve the desired innovation and reduced regulatory burden envisioned by the National Space Council.

Partners: AST will rely on FAA partners to develop, coordinate, and publish the required ACs.

External Factors Affecting Performance: The new administration has paused the implementation of Federal rules finalized in the last months of the previous administration. Changes to the basic rule could be directed by the Executive Office of the President (EOP), National Space Council, or Congress which could require rewriting of ACs at a later date. Finally, during the Office of Management and Budget (OMB) review, they could decide some ACs are "significant" and require additional review through the OIRA process before publication. The attainment of the metric, could be influenced by outside factors if the new Administration directs a rewrite of all or part of the parent CFR Part 450.

Source of the Data: This metric is a measure of individual, discrete, advisory circulars which must be developed to provide guidance to the commercial space transportation industry as to an acceptable manner of complying with the new regulatory requirements.

Statistical Issues: N/A

Completeness: The Target 1 metric was completed in November 2020. AST provided in-depth industry training and awareness of the requirements in the new Part 450 through a three-day workshop held from November 4-6, 2020. The workshop was attended by 361 people representing:

- 62 individual space-related companies
- 3 space-related Law firms
- 15 US government agencies
- 3 state space agencies
- 4 universities
- 6 separate nations

The workshop presented in-depth information on the FAA's transition from a prescriptive regulatory structure to a performance-based regulation designed to allow greater innovation and reduced regulatory burden while maintaining the equivalent level of safety. Major topics were the regulatory



philosophy, implementation rollout and timing, grandfathering provisions, and publication of supporting ACs.

The completion of the ACs as described in Target 2 will be measured through the development of requirements, drafting of the advisory circular, approval, Section 508 compliance and then final publication of the completed document allowing use by commercial space entrepreneurs. The number of ACs is a valid measure of the regulatory information and support provided to the public by AST. In addition, the ACs provide a direct measure of the regulatory guidance and support prepared to assist the industry understanding of the processes and requirements of the new performance based regulation. The fiscal year time line binds the guidance to the implementation of the new Code of Federal Regulations Part 450 and assures the relevance of the information developed and issued.

Reliability: N/A



Multi-Year FAA International Strategy

Performance Metric: Partner to advance FAA position internationally for safety and security by improving collaborative decision-making (CDM) and information sharing on conflict zones with foreignstates to improve risk mitigation capabilities to protect civil aviation in or near conflict zones.

Intending to reaffirm U.S. global leadership and influence through the FAA Organizational Strategy andthe FAA International Strategy, this metric shall improve global system safety for U.S. stakeholders by efficiently integrating threat intelligence into risk-based decision-making.

FY 2021 Performance Targets:

Target 1: Share best practices on risk mitigation planning with at least two key counterpart agencies byengaging in international initiatives such as the Safer Skies Consultative Committee (SSCC) to promote risk mitigation practices in and near conflict zones. Due September 30, 2021

Target 2: Keep the Chapter #31 Crisis Response Working Group (CRWG) informed of emerging threats tocivil aviation operations in hazardous airspace, guide proactive Notices to Airmen (NOTAM)/Special Federal Aviation Regulation (SFAR) mitigation planning, and inform collaboration with foreign partners.Participate in foreign partner information sharing sessions for 95% of emerging threat scenarios. Due September 30, 2021

Target 3: Constructive engagement in planning sessions and other meetings with foreign partners and groups on a recurring basis, including monthly FIVE EYE Partners, periodic Experts Working Group, andthe Safer Skies Consultative Committee sessions and support State Department’s quarterly Overseas Security Advisory Council’s Aviation Security Working Group to discuss emerging threat concerns andrisk mitigation planning. Due September 30, 2021

Lead Organization: National Security Programs and Incident Response (AXE)

Definition of Metric

Metric Unit: Milestones identified and coordinated by ASH (AXE) with the Office of Policy, InternationalAffairs, & Environment (API), validated by the Crisis Response Working Group (CRWG), and approved bythe Crisis Response Steering Group (CRSG).

Computation: N/A

Formula: N/A



Scope of Metric: The supporting milestones have been approved based on their relative importance to the success of the overarching goals and objectives for ensuring aviation safety and efficiency worldwide that are listed in the ASH Organizational Strategy and the FAA International Strategy.

Method of Setting Target: The U.S. benefits from FAA global leadership to realize improvements in aviation safety and security. U.S. citizens travelling abroad and flights between the U.S. and other countries benefit from increased safety and security due to FAA expertise and leadership in developing and sharing critical intelligence and information as well as processes for assessing potential threats and leading the international community in providing notifications to airmen of dangerous areas or zones of conflict. Milestones were developed and aligned with the integrated FY 2021-24 FAA Organizational Strategy and the FAA International Strategy to ensure support of the strategic priorities of the agency.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: The U.S. has long been the gold standard internationally when it comes to threat discrimination and analysis in order to achieve a common process. A failure in this regard could undermine U.S. leadership and negatively impact safety, operational efficiency and the adoption of U.S. technology worldwide.

Public Benefit: This metric will allow the FAA to provide global leadership toward ensuring a more safe and secure airspace system for all aviation, to include internationally. Applying this integrated approach to address and warn of threats across the globe thereby assisting countries to improve aviation safety, efficiency, and capacity to the benefit of the U.S. flying public. Additionally, this metric will allow the FAA to make better resource decisions about how we engage globally using integrated, data-informed analytics. We will make decisions about our activities and programs based on our ability to enhance U.S. influence and better target our resources to shape global standards and assist our partners to improve aviation safety.

Partners: Partners include, but are not limited to, FAA lines of business, bilateral partners in civil aviation authorities and air navigation service providers, U.S. industry, regional organizations, and U.S. Government agencies as well as the international intelligence communities.

External Factors Affecting Performance: Historically, the U.S. has led the way shaping the global aviation sector based on its intelligence network, threat assessments, and risk assessment processes. The FAA has been the leading model for safety, security, risk assessment, threat warning, and notification for decades. However, the global transportation network is changing with more entities striving to influence global standards based on their regional and State priorities (not those of the U.S.). While the U.S. still maintains the largest airspace in the world, its percentage of overall global traffic and



operational aerospace products is decreasing. Hence, the FAA needs to adapt its international approach to maintain and enhance its leadership position.

Source of the Data: At the request of agency executives, industry partners, the inter-agency United States Government (USG), and international partners, we have been asked to continue to provide outreach to international partners to provide intelligence analysis, risk assessment, and threat notification.

Statistical Issues: N/A

Completeness: As the multi-year strategy evolves, it may be necessary to revisit the identified data and revise the criteria on a regular basis to ensure it is valid and supports the strategy.

Reliability: The identified data collection criteria will change on a regular basis as it is updated at the source. Although this may not affect the future inclusion of this criterion in the future, it would affect the prioritization process.



Return of Our Aviation System Post-COVID Impacts

Performance Metric: This metric documents and assesses the FAA's operational and safety insights, impacts, opportunities, and costs resulting from our response to the stressed COVID-19 pandemic environment. These insights may be extremely valuable during the development, review, and implementation of effective strategies that support, sustain, and improve operations as we return to operations post-COVID, and can be codified and implemented in the event of another global health pandemic.

FY 2021 Performance Targets:

Target 1: Identify key FAA cross-cutting functions, challenges, and opportunities, especially those requiring collaboration across the agency. Deliverable: FAA crosscutting functions, challenges and opportunities identified and categorized. Due March 15, 2021 (Notional Date)

Target 2: Develop lessons learned, processes, and mechanisms to encourage best practices. Deliverable: Report outlining insights gained for strategy framework. Due June 15, 2021

Target 3: Develop a strategy to enhance cross-cutting support functions in order to enable FAA safety and efficiency operations to remain intact [in case of another global pandemic emergency]. Deliverable: FAA Pandemic Strategy. Due September 30, 2021.

Lead Organization: Security and Hazardous Materials Safety (ASH)

Definition of Metric

Metric Unit: Binary [yes/no] dependent upon if the deliverables are met and approved by senior leadership.

Computation: N/A

Formula: N/A

Scope of Metric: The metric will apply to activities performed through the Incident Management Team (IMT), Recovery Readiness Team (RRT), and executive collaboration.

Method of Setting Target: The targets were developed in collaboration between the organizations with shared responsibility for the safety and security of the NAS and approved by senior stakeholders.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The disruption attributed to the pandemic was well managed by any number of measures. The metric will build upon the resilience demonstrated and formalize FAA preparedness for any future, potentially disruptive events.



Public Benefit: An FAA Pandemic Strategy will lead to increasing the efficiency and effectiveness of senior executives and subordinate staff.

Partners: DOT, other Federal agencies, and the public will benefit from increased efficiency and effectiveness of the FAA.

External Factors Affecting Performance: N/A

Source of the Data: The measurement data is observed and reported by the Project Team.

Statistical Issues: N/A

Completeness: The completion of these targets are evidenced through internal reporting and effectively measure sustainable success post COVID.

Reliability: These metrics directly relate to the completion status of targets. Reporting is highly reliable and has a direct correlation to the status of targets.



C-UAS Research

Performance Metric: Support testing and evaluation of unmanned aircraft system (UAS) detection and mitigation technologies to ensure that technologies or systems that are developed, tested, or deployed by Federal departments and agencies [to detect and mitigate potential risks posed by errant or hostile UAS operations] do not adversely impact or interfere with the safe and efficient operation of the National Airspace System (NAS) as required by Section 383 of the 2018 FAA Reauthorization Act.

FY 2021 Performance Targets:

Target 1: Begin the testing and evaluation of at least three UAS detection and mitigation technologies at one airport (Atlantic City International Airport (ACY)). Due September 30, 2021

Target 2: Establish an Aviation Rulemaking Committee (ARC) under Section 383 of the 2018 FAA Reauthorization through development of a draft charter that has been approved by the Office of Rulemaking (ARM), a rough outline of the structure for the ARC, and a potential membership list that has been coordinated across FAA. Due September 30, 2021

Lead Organization: Office of Security and Hazardous Materials Safety (ASH); Phase 1 Lead: Office of Airports (ARP)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets

Computation: N/A

Formula: N/A

Scope of Metric: This metric applies to the detection or mitigation testing program at Atlantic City Airport and the establishment of the ARC.

Method of Setting Target: The targets represent the initial phases of the 383 Program. Phase 1 is a multi-year testing evolution occurring at five different airports. Based on planning required and airport and vendor selections, an initial target of testing three different technologies at the first airport was determined as Target 1. The establishment of the ARC (Phase 2) is also a foundational element of the program that will help inform the subsequent phases. Executives agreed to structure the 383 Program in five phases:

- Phase 1: Airport UAS Detection and Mitigation Research Program (led by ARP)
- Phase 2: Aviation Rulemaking Committee (led by ASH)
- Phase 3: Plan for Certification, Permitting, Authorizing Detection and Mitigation Systems (lead TBD)



- Phase 4: Additional Regulatory and Policy Development (led by ASH)
- Phase 5: Implementation of Plan and Airport Improvement Program (AIP); Funding (led by ASH and ARP)

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This metric was chosen to act as a benchmark to ensure the overall 383 test program could be achieved by end of FY 23.

Public Benefit: Achieving a better understanding of how UAS detection and mitigation technology affects the safety and efficiency of the NAS in the airport environment.

Partners: ASH continues to work closely with the Transportation Security Administration (TSA) to leverage lessons learned and share testing data. FAA also continues to coordinate closely with airport authorities to determine test sites and conduct testing through a Bilateral Airworthiness Agreement (BAA). ASH and ARP are working closely with technology vendors who have applied for participation through the solicitation and to coordinate testing. ASH is working with security and interagency partners as well as local law enforcement stakeholders to educate and familiarize all on testing.

External Factors Affecting Performance: Delays in coordinating with participating airports and vendor selection processes may affect testing start dates. Additional challenges may arise once the equipment is deployed into the airport environment; the ability of the technology to perform as advertised; weather; and potential delays in obtaining necessary equipment and supplies that may result from the pandemic or other local or national level incidents.

Source of the Data: 383 program management processes and reporting

Statistical Issues: N/A

Completeness: Measure of completeness determined by initial testing and evaluation activities and establishment of the ARC. The initial testing is on target. The ARC will be informed by testing and is currently on target. ASH will report on ACY testing status and ARC establishment status monthly.

Reliability: N/A

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Runway Pavement

Performance Metric: Maintain runway pavement in excellent, good, or fair condition for 93% of the paved runways in the National Plan of Integrated Airport Systems (NPIAS).

FY 2021 Performance Target: Maintain runway pavement in Excellent, Good, or Fair condition (based on visual inspections) for 93% of the paved runways in the NPIAS.

Lead Organization: Office of Airports (ARP)

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	93.0%	93.0%	93.0%	93.0%	93.0%	93.0%
Actual	97.6%	97.7%	97.9%	97.9%	97.6%	TBD

Definition of Metric

Metric Unit: On an annual basis, this metric tracks the number of open and paved runways at public use airports included in the Federal airport system that meet FAA's standard for safe operation of aircraft with runway pavement considered to be in excellent, good, or fair condition. The metric covers all paved runways at Federally-funded NPIAS airports.

Computation: Runway Pavement Condition data is collected annually by FAA Airport Certification Safety Inspectors during their physical inspection of all certified airports in the U.S. and its territories. Other public-use airports are inspected by airports or airport safety data inspectors under an FAA contract every three years. Information is collected through visual inspection of runway pavement in accordance with existing FAA guidance, resulting in a condition rating for each runway of excellent, good, fair, poor, or failed. The number of paved runways in the NPIAS with surface ratings in each of the five conditions (excellent, good, fair, poor, and failed) is totaled. Paved runway ratings are then numbered by condition: excellent = 5; good = 4; fair=3; poor=2; failed=1.

Landing surfaces that are not paved, including water, dirt, turf, gravel, and permafrost, are not included. The percentage of runways rated excellent, good, and fair is calculated based on the total number of paved runways at NPIAS airports.

$$\text{Formula: } \frac{\text{X condition 5 runways} + \text{y condition 4 runways} + \text{z condition 3 runways}}{\text{Total NPIAS paved runways}} \times 100$$

Scope of Metric: The metric covers all open and paved runways at Federally-funded NPIAS airports.

Method of Setting Target: Maintaining runway pavement conditions requires careful coordination, often years in advance, of a runway rehabilitation project. Projects must be timed carefully, regardless

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of whether they involve the phased reconstruction of a single-runway airport or the sequential resurfacing of multiple runways over a period of several years. In addition, there cannot be too many runways undergoing reconstruction at any one time. If we reconstruct too many in any given year, then we lose system-wide capacity during reconstruction. On the other hand, if we reconstruct too few in any given year, then we lay the groundwork for having to catch up in a subsequent year, with corresponding impact on system-wide capacity. Due to the length of time required to plan and implement major pavement projects and in order to maintain the overall condition of the system, 93% of the system in excellent, good or fair condition is a long established standard that sponsors understand and support. With a goal of 93%, this means no more than 7% of the runways should be undergoing reconstruction at a time. Some of the nation's largest airports resurface their runways on an established revolving basis. As a result, at times the FAA is able to exceed the goal. However, this does not necessarily represent a sustainable trend. For major reconstruction, runways must typically be taken out of service for a full construction season or longer. It can be particularly challenging to rehabilitate one runway while keeping intersecting runways operational. FAA works with airports to ensure that the system never has too many runways out of service at any given time.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This metric was chosen because if runway pavement is neglected, severe deterioration can cause damage to airframes, engines, and landing gear; unnecessarily compromising safety, and leading to higher rehabilitation costs.

Public Benefit: Periodic maintenance of runways, particularly resurfacing, has proven a cost effective way to delay the need for major runway rehabilitation. The FAA funds a broad range of capital infrastructure development at most NPIAS airports; however, airports are generally responsible for funding periodic and ongoing maintenance. More significant rehabilitation, resurfacing or reconstruction projects may be funded through a variety of funding sources, including Airport Improvement Program (AIP) grants, Passenger Facility Charge (PFC) revenues, airport revenues, and/or other funding sources. Deferred or delayed maintenance creates an increased risk of damage to aircraft and is a safety concern for the travelling public, increasing both the scope and cost of eventual rehabilitation or reconstruction.

Partners: FAA's Regional Airports Division and Airports District Offices partner with individual airports to identify poor or failed pavements. Three other FAA entities support this effort: the Air Traffic Organization (ATO), which helps evaluate and minimize the capacity and delay impacts resulting from runway reconstruction projects and helps communicate temporary closures; the Aircraft Certification Service (AIR), which helps assess the impact of pavement conditions on aircraft; and the William J. Hughes Technical Center, which assists with a broad range of pavement research. External partners include State aeronautical agencies and other aeronautical user groups.

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External Factors Affecting Performance: Airport infrastructure, particularly airfield facilities at commercial service airports, is exposed to constant heavy use and harsh environmental conditions. Runways, taxiways, and aprons are designed to withstand the heavy equipment that operates on them, but even so these facilities require frequent maintenance and rehabilitation in order to remain in good working condition. Runways and taxiways have to be kept clear of snow, ice, and ponding water that can jeopardize aircraft directional control or braking action. Chemicals and plowing, as well as freeze-thaw cycles, all take a toll on runways, taxiways, and other paved areas. Even at smaller, non-commercial airports, pavement degradation due to meteorological conditions quickly lead to more serious damage if periodic maintenance and resurfacing is not completed in a timely manner. At the same time, limited financial resources can lead airport operators to try to defer needed capital projects, which both increases costs and may impact operational capacity if runways and taxiways require more in-depth reconstruction. Funding constraints may significantly affect when the airport sponsor is able to fund pavement rehabilitation. This is why it is so crucial that the FAA offer airports financial assistance in the form of Airport Improvement Program (AIP) grants, in order to ensure infrastructure is properly protected and preserved at the lowest possible cost.

Source of the Data: Data and information is collected through visual inspection of runway pavement in accordance with existing FAA guidance; including Advisory Circular 150/5320-17, Airfield Pavement Surface Evaluation and Rating Manuals, which provides uniformity to field observations made by individuals collecting data for the Airport Master Record (FAA Form 5010). The pavement condition is reported in the 5010 Airport Master Record database, and inspection results are entered into FAA's National Airspace System Resource.

Statistical Issues: N/A

Completeness: The inspection and reporting of conditions are conducted in accordance with existing FAA guidance. The data is publicly available and therefore can be examined and evaluated by any Federal auditor.

Reliability: N/A



Align FAA Investments in Airport Infrastructure and FAA-Owned Facilities

Performance Metric: Develop a coordinated FAA national infrastructure strategy to help define, prioritize, align (where possible) Airport Improvement Program (AIP) and Facilities & Equipment (F&E) infrastructure investments, and inform future budget requests.

FY 2021 Performance Targets

Target 1: Develop a process to ensure appropriate cross-line of business (LOB) coordination and approval of infrastructure investments. Due June 30, 2021

Target 2: Develop an implementation plan for a national airport strategy to provide a top-down framework for AIP investments in airport infrastructure; including resiliency, unmanned aircraft systems(UAS), and spaceport integration. Due September 30, 2021

Lead Organizations: Office of Airports (ARP)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: Applies to airports included in the National Plan of Integrated Airport Systems (NPIAS).

Method of Setting Target: The demand for airport infrastructure investment far exceeds available FAA grant funding. Therefore, it is necessary to look at the FAA's overall infrastructure and plan to help formulate future budget requests and resource investments. To this end, a comprehensive national airport strategy that defines, identifies, and prioritizes infrastructure investments is needed. The FY 2021 Performance Targets were selected as the first necessary steps in this multi-year, dynamic effort.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This is a multi-year, dynamic effort that begins with two targets this fiscal year. Target 1's intent is to increase transparency between AIP and F&E investments in order to maximize contributions to the national airport system, and minimize unknown or unintended funding consequences of independently identified AIP and F&E priorities. ARP and ATO have agreed to the need for cross-LOB coordination. Target 2 is the first step in a multi-year effort, which is to develop an implementation plan for developing a national airport strategy. Conceptually, a framework for the National Airport System of the Future will be developed that includes analysis of the strategic situation



(i.e., problem statement, key facts, and assumptions, critical uncertainties, and national interests), desired end state (constraints and objectives), identifying/developing means (capabilities needed, assumptions and limitations, and required elements), designing the ways (strategic approaches), and assessing the costs, benefits, and risks (cost reduction, strategic benefits, risks to the strategy, and risks from the strategy). The framework will provide a basis from which ARP and ATO can begin discussion (i.e., “plan to plan”) on how to proceed with development of the strategy, goals, objectives, and a multi-year Plan of Actions and Milestones (POAM).

Public Benefit: There are 3,300 public-use airports in the NPIAS, including more than 500 airports that support commercial airline service and another 2,800 general aviation airports that support flight training, emergency medical services and disaster response, law enforcement support, agricultural activities, and business/corporate activities. This effort will help to prioritize and synchronize limited national resources to ensure a safe, efficient, sustainable, and resilient national system of airports; which is key to connecting local, national, and international communities and economies. It will provide a flexible, efficient process that successfully and safely integrates traditional and emerging aviation operations, advanced air mobility, and space launch and recovery operations without considerable additional funding.

Partners: Initial developmental (working group) stakeholders include ARP (Headquarters and Region), ATO Technical Operations (AJW) Engineering Services (AJW-2), AJW Service Area Directors, Program Office Operations Director (AJM-1), and the Office of Policy, International Affairs, and Environment (APL) Regional Administrators. The multi-year strategy development and successful execution will likely encompass other FAA LOBs, FAA senior leadership, Department of Transportation, Congress, American Association of Airport Executives (AAAE), Airports Council International-North America (ACI-NA), Airport Consultants Council (ACC), National Association of State Aviation Officials (NASAO), Aircraft Owners and Pilots Association (AOPA), and other affected or interested organizations, associations, and groups.

External Factors Affecting Performance: Historical, current, and anticipated interests indicate strong and continued support for this initiative. Shifting priorities, resources, special interests, and other factors could affect or slow full realization of the long-term objectives of the strategic vision.

Source of the Data: N/A

Statistical Issues: N/A

Completeness: This year’s targets will be complete when 1) a cross-LOB AIP and F&E coordination process is delivered to the appropriate level of ARP and ATO leadership for approval and 2) when the working group establishes an initial framework for an AIP investment strategy.

Reliability: N/A



Alaska Safety Initiative

Performance Metric: Conduct safety program inventory and develop FAA's Implementation Plan to reduce the total fatal and serious injury (FSI) accident rate of the state of Alaska.

FY 2021 Performance Targets:

Target 1: Conduct Safety Program inventory of existing programs and research and near future plans within ATO, AVS, and ARP to include written recommendations on actions needed to reduce FSI. Complete post safety program inventory analysis and establish prioritized list. Due 4/15/2021

Target 2: Collaborate with Alaska aviation stakeholders and system users to evaluate FAA recommendations developed in Target 1 and develop prioritized proposals based on a combination of greatest impact and reasonable ability to implement programs/projects identified by the collaborative team. Shared with the industry the prioritized plan to move forward.

Lead Organization: Office of Policy, International Affairs & Environment (APL) / Office of National Engagement and Regional Administration (ARA) / Alaskan Region (AAL)

Definition of Metric

Metric Unit: No later than September 30, 2021, issue the FAA Alaska Aviation Safety Initiative (FAASI) report.

Computation: N/A

Formula: N/A

Scope of Metric: This metric measures FAA's success in developing prioritized recommendations, in collaboration with stakeholders, to bring safety parity to the National Airspace System (NAS) in Alaska.

Method of Setting Target: The activity and targets were set through discussions with FAA leadership.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The Federal Aviation Administration Alaska Aviation Safety Initiative (FAASI) has its origins in the September 2019 National Transportation Safety Board (NTSB) Part 135 Roundtable discussion held at the University of Alaska Anchorage (UAA). During that discussion, the group focused on the relatively high accident rate in the Federal Aviation Regulation (FAR) Part 135 aviation community.



Fatal accidents in Alaska are proportionally more common than our population would estimate. Alaska has far less than 1% of the population and greater than 4% of fatal and serious injury accidents. Air transportation is the main way to access over 80% of Alaska. However, aviation infrastructure density in Alaska is far below the contiguous states. Additionally, flying in mountainous terrain plagued by rapidly changing weather results in increased complexity.

In October 2020, the FAA Administrator hosted an Alaska Aviation Safety Summit. The Administrator directed the Alaskan Region Regional Administrator (RA) to lead a cross-agency group of FAA experts to focus on safety issues specific to Alaska and to determine how the FAA is deploying resources, their effectiveness, and how the FAA can improve in delivering services and how to prioritize the delivery of the resources.

FY 2021 is the year to develop an agency plan to enhance aviation safety in Alaska. FAA, working across lines of business (LOB), will document our current and near-term future programs/projects already enhancing Alaska's aviation safety culture, engage our stakeholders and system users to gather crucial input on where our system needs improvement, and propose a program of prioritized recommendations, that will bring aviation-safety parity to the NAS in Alaska. The use of single engine aircraft is common in Alaska by Part 135 scheduled and on-demand air carriers and many are unpressurized. Part 121 operations in rural Alaska may be conducted under visual flight rules. Injured and ill patients must be medevac'd for medical treatment. Throughout most of the year, air cargo delivers most supplies (medicine, food, school supplies, household supplies, and most everything needed). General aviation has a substantial beneficial impact on Alaska's economy.

Public Benefit: The FAASI will result in a report that includes recommendations, outlining the collaboration between FAA and aviation stakeholders, for enhancing safety in this aviation-dependent state. The FAASI process will not end with publication of the final report, but represents a continuing approach and process to improve aviation safety within the Alaskan Region.

Partners: FAA and Alaska aviation stakeholders. Stakeholders include but are not limited to: aviation safety experts, government officials, Part 91 pilots, Part 135 operators, Part 121 air carriers, airport operators, the State of Alaska, and academic institutions. Our partnerships reflect both a realization and commitment that improvement in safety requires the most robust sources of information and development of strategies collaboratively between FAA and aviation partners. Collaboration remains a key piece of the FAASI.

External Factors Affecting Performance: The successful completion of FAASI depends on participation of aviation stakeholders. The window for stakeholder engagement is short and will occur during the summer. Summer in Alaska is a busy season and care is needed to coordinate with stakeholders. Stakeholder outreach is scheduled to begin in early May, where the interim report will be shared



with stakeholders, and their responses recorded and cataloged. The stakeholder input will be integrated into the FAASI report and used to develop prioritized findings and recommendations.

Source of the Data: Each LOB on the FAASI team was tasked with developing a list of FAA efforts, projects, and programs that affect aviation safety. The inventory consists of programs and projects that the FAA has completed, are in progress, or are proposed. As a reference, the teams used information contained in multiple studies by the FAA and external entities (NTSB) related to aviation safety in Alaska. Going forward, the information will be shared with representative external stakeholders across the aviation community as an integral part of determining valid conclusions and the identification of needs and best practices.

Statistical Issues: N/A

Completeness: The process used to complete this performance goal is based on developing a prioritized plan and sharing with the industry. The internal FAASI team structured processes to ensure subject matter experts across all LOBs vetted, evaluated, and discussed the inventory of past and current agency programs. Through thorough vetting, both internally and subsequently with external stakeholders, FAASI will apply an optimal analysis to current programs and provide a framework for future recommendations for new approaches or modification to existing programs.

Reliability: N/A



Increase FAA Science, Technology, Engineering, and Math (STEM) Aviation and Space Education (AVSED) Program Outreach Capabilities

Performance Metric: Fully implement the cross-agency STEM AVSED governance structure, to include the STEM AVSED Executive Board (EB) and the STEM AVSED Steering Committee (SC).

FY 2021 Performance Targets:

Target 1: Identify committed members of the STEM AVSED EB and SC from all FAA organizations involved in STEM AVSED engagement initiatives. Due March 31, 2021

Target 2: Establish recurring meetings and develop charters for STEM AVSED EB and SC. Due June 30, 2021

Target 3: Implement oversight procedures for cross-agency STEM AVSED engagement initiatives, to include development of annual agency business plan goals and activities for FY22 and identification of resources to support those goals. Due September 30, 2021

Lead Organization: Office of Policy, International Affairs & Environment (APL) / Office of National Engagement and Regional Administration (ARA)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: This metric measures APL's success in implementing the across-agency STEM AVSED governance structure, to include the STEM AVSED Executive Board (EB) and the STEM AVSED Steering Committee (SC). Once all committee members are identified, the STEM AVSED program will establish the recurring meetings and develop the charters. ARA will also draft an action plan to outline resources needed and recommendations for FY22 STEM-related goals and activities.

Method of Setting Target: These targets were set through discussions with leadership from the FAA Administrator and agency lines of business and staff offices.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The STEM AVSED Program exists due to Public Law 94-353, The Airport and Airway Development Act, which authorized FAA to support the nation's education goals,



acquaint students with aviation and aerospace careers, promote the critical skills and competencies required in accomplishing the Agency's mission, and enhance FAA's image as a responsive Federal partner. In FY21, the STEM AVSED program was aligned from AHR/AHD to APL/ARA to reflect its national reach and reinforce regional engagement. Our goal is to increase awareness, prepare and inspire the next generation of skilled professionals for the aviation and aerospace workforce using STEM, and to raise public awareness about FAA's mission to maintain the safest, most efficient aerospace system in the world. One of the four goals of the recently approved STEM AVSED strategic plan is to implement FAA STEM and AVSED education efforts on a national, regional, and local level through effective cross-agency collaboration. While many FAA organizations currently commit resources to engage in various types of STEM engagement and outreach, cross-agency collaboration and sharing of information does not happen consistently. Collaboration and awareness across all engaged STEM activities will allow for collaboration and focus on the overall strategic goals for the program.

Public Benefit: To address the growing aviation workforce shortage and ensure a consistent pipeline of skilled aerospace professionals.

Partners: This goal is internal to the agency, with no involvement from external stakeholders. However, external stakeholders will benefit from a more cohesive program focused on strategic goals.

External Factors Affecting Performance: N/A

Source of the Data: Data is derived from the meeting records of the Aerospace Workforce Steering Committee, and executive level committee established to respond to FAA's 2018 reauthorization, in which Congress tasked the agency to establish methods to address the overall, nationwide projected shortage of staff in the aerospace sector. The Final Report for FAA STEM AVSED Program dated September 9, 2020, and endorsed by the Administrator, recommend the establishment of the EB and SC. This task follows through on that recommendation.

Statistical Issues: N/A

Completeness: The process used to complete this performance goal is based on the identification of all committee members, establishment of recurring meetings, and development the committee charters. Finally, ARA will implement oversight procedures for cross-agency STEM AVSED engagement initiatives, to include development of annual agency business plan goals and activities for FY22 and identification of resources to support those goals.

Reliability: N/A

Performance Measure Profile

FY 2021 Methodology Report



Federal Aviation
Administration

Implement FAA International Strategy and Enhance ICAO Work

Performance Metric: Contribute to the development of the U.S. Government position regarding the International Civil Aviation Organization (ICAO) Secretary General Election in February 2021, and identification of highly qualified U.S. citizens for ICAO's senior technical and regional positions in order to ensure a robust representation of U.S. values, approaches, and safety culture at the U.N. technical agency.

FY 2021 Performance Targets:

FY 2021 Target 1: Evaluate the technical capabilities and familiarity with managing complex civil aviation matters of each Secretary General candidate, and provide FAA recommendations to the Department of State. Due March 31, 2021.

FY 2021 Target 2: Conduct outreach to States and Regional Organizations in support of U.S. Government positions for the election. Due March 31, 2021.

FY 2021 Target 3: Establish an ICAO Succession Planning strategy to identify and support highly-qualified U.S. candidates for selected ICAO Director-level positions that have a direct impact on FAA's strategic priorities. Due September 30, 2021.

Lead Organization: Office of Policy, International Affairs, and Environment (API); Supporting Organizations: Security and Hazardous Material Safety (ASH); Air Traffic Organization (ATO), Aviation Safety International Strategies (AVS-5), Airports (ARP), NextGen (ANG), and Commercial Space (AST)

FY 2021	
Target 1	3/31/2021
Actual	2/12/2021

FY 2021	
Target 2	3/31/2021
Actual	3/11/2021

FY 2021	
Target 3	9/30/2021
Actual	TBD

Definition of Metric

Metric Unit:

- Target 1 is the submission of the FAA assessment of ICAO Secretary General candidates to the State Department.
- Target 2 is outreach to ICAO member states by FAA representatives to share U.S. views on the key qualifications of ICAO Secretary General candidates.
- Target 3 is the establishment of a process to identify highly-qualified candidates for Director-level positions that have a direct impact on FAA's strategic priorities.

Computation: N/A



Formula: N/A

Scope of Metric: The metric for Targets 1 and 2 is limited to ICAO Secretary General election periods. The metric for Target 3 is active during open recruitment for senior technical and regional positions.

Method of Setting Target: Targets capture final step associated with FAA's role in reviewing qualifications of individual ICAO Secretary General candidates, sharing U.S. views on important qualifications with other ICAO members, and identifying highly-qualified U.S. citizen candidates for key ICAO positions.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: ICAO sets aviation standards and recommended practices applicable to 193 countries. These standards have a significant impact on the safety and security of the American flying public, the sustainability of aviation, and the competitiveness of the U.S. aerospace industry. The FAA supports a safe, secure, and sustainable aviation sector globally by ensuring ICAO is a well-run organization, led by highly qualified leaders that share values in common with those of the United States. These include an emphasis on ethics, organizational culture, safety culture, and fiscal responsibility, among others.

Public Benefit: U.S. citizens flying internationally will benefit from ICAO standards affecting the safety, security, efficiency, and sustainability of airlines and supporting organizations worldwide. The nation will benefit by ensuring the U.S. aerospace industry—our largest exporter by value—will be able to operate seamlessly and compete on a level playing field with international competitors.

Partners: Partners include, but are not limited to, FAA lines of business, civil aviation authorities and air navigation service providers, U.S. industry, regional organizations, and U.S. Government agencies.

External Factors Affecting Performance: The Secretary General is elected by the ICAO Council, composed of representatives of 36 ICAO member states. Some states are influenced by geopolitical factors, deal-making, and other factors external to finding the best qualified candidate for the position. Some of these factors also play into the selection process of high-level ICAO positions, even though they are not elected by the Council.

Source of the Data: Progress is tracked via internal communications and the submission of FAA findings through diplomatic channels.

Statistical Issues: N/A

Performance Measure Profile

FY 2021 Methodology Report



**Federal Aviation
Administration**

Completeness: The completion of these targets are evidenced through internal reporting and effectively measure success.

Reliability: Metrics directly relate to the completion status of targets. Reporting is highly reliable and has a direct correlation to the status of targets.



Promote International Safety and U.S. Interests

Performance Metric: Influence the development of international approaches to ensure the safe and sustainable pandemic recovery of the aviation sector.

FY 2021 Performance Targets:

Target 1: Develop global pandemic risk mitigation measures for passenger and aviation professionals in alignment with U.S. best practices in the ICAO Council Aviation Recovery Task Force (CART). Due September 30, 2021

Target 2: Develop, maintain and actively promote a FAA policy position in support of Council Aviation Recovery Task Force (CART) implementation measures in at least three (3) bilateral and multilateral venues, to include ICAO regional engagement. Due September 30, 2021

Lead Organization: Office of Policy, International Affairs, and Environment (API); Supporting Organizations: Security and Hazardous Material Safety (ASH); Air Traffic Organization (ATO), Flight Standards Service (AFS), Office of Aerospace Medicine (AAM), and Airports (ARP)

Definition of Metric

Metric Unit:

- Target 1 is the publication of ICAO guidance from Phase III of the CART. Target will remain open until Sept. 30 to include reporting on any potential additional CART Phase that might be completed before Sept. 30.
- Target 2 is the development, maintenance and promotion of FAA policy positions in CART implementation measures in at least three bilateral and multilateral venues, to include ICAO regional engagement. Target will remain open for reporting on more than three venues.

Computation: N/A

Formula: N/A

Scope of Metric: Target 1 addresses U.S. leadership in the development of specific ICAO guidance to assist the global aviation industry in reducing the risk of transmission and transmigration of the COVID-19 virus. Target 2 applies to the international promotion of FAA policy positions in relation to CART implementation measures in a specified number of bilateral and multilateral venues.

Method of Setting Target: Target 1 captures the final step associated with FAA's role in developing global guidance for publication by ICAO. Target 2 captures the FAA role in socializing U.S. approaches in the development of the guidance and promoting its implementation globally.



Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: The COVID-19 pandemic has had a major impact on the global economy, and aviation has not escaped its effects. At the same time, aviation is an economic driver, and the global economy cannot recover without aviation. While aviation is critical to economic recovery, it has also played a role in the transmigration of the virus. Therefore, governments worldwide asked ICAO to initiate an effort to minimize the risk of transmission and transmigration of the virus through aviation while also allowing the aviation sector—and, by extension, the global economy—to recover. The FAA has a responsibility for the safety of the flying public, and is the world leader in setting standards to keep passengers safe. The FAA played a leadership role in addressing previous epidemics, such as SARS, and was pivotal in developing initial ICAO CART guidance in 2020. The FAA saw an opportunity once again to provide leadership in keeping the aviation system safe while allowing it to recover.

Public Benefit: The development and maintenance of pandemic response measures throughout the global aviation system reduces the risk of COVID transmission among passengers, crews, and aviation workers while allowing a critical sector of the U.S. economy and provider of U.S. jobs to recover. These measures also allow the public access to air travel while reducing the risk of the transmigration of the COVID virus between and within countries, slowing the global spread of the virus while allowing air travel to continue.

Partners: Partners include, but are not limited to, FAA lines of business, other U.S. Government agencies, ICAO, key ICAO member states, and international industry associations.

External Factors Affecting Performance: The unpredictable nature of the virus and its variants, as well as different philosophical approaches to pandemic containment, among ICAO member states and international organizations could challenge the achievement of the objective. In addition, the ICAO administration must publish and distribute guidance in multiple languages; member states should promote its acceptance; and passengers, crews, and aviation workers should adhere to the guidance.

Source of the Data: Progress is tracked via internal reporting.

Statistical Issues: N/A

Completeness: The completion of these targets are evidenced through internal reporting and effectively measure success.

Reliability: Metrics directly relate to the completion status of targets. Reporting is highly reliable and has a direct correlation to the status of targets.



Environmental Efficiency and Emissions – “CORSIA”

Performance Metric: 2019 CORSIA Emissions Report

FY 2021 Performance Target: Submit monitoring, reporting, and verification information for 2019 emissions from U.S. operators to the International Civil Aviation Organization (ICAO) in accordance with the FAA Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA) Monitoring, Reporting, and Verification (MRV) Program.

Lead Organization: Office of Environment and Energy (AEE)

Definition of Metric

Metric Unit: Annual CORSIA Emissions Report

Computation: The annual CORSIA emissions report is an aggregation of verified, monitored international emissions from U.S. operators. As part of FAA’s CORSIA MRV Program, which implements portions of ICAO Annex 16, Volume 4, the report is limited to those operators who emit more than 10,000 tons of CO₂ per year.

Formula: The annual CORSIA emissions report is an aggregation of country-to-country level emissions. As such, the formula is a summation of values from data submitted to FAA.

Scope of Metric: The annual CORSIA emissions report is limited to U.S. operators. FAA’s CORSIA MRV Program also further limits the scope of applicability (in line with Annex 16, Volume 4) to those operators who emit more than 10,000 tons of CO₂ annually. Further, the scope of reporting is limited to exclude flights for humanitarian, medical, or firefighting purposes; and does not include emissions from flights on aircraft less than 5,700 kg MTOM. Finally, CORSIA does not address military or state operations.

Method of Setting Target: The emissions report is a critical, annual piece to U.S. implementation of CORSIA. It is, in essence, the culmination of each year’s effort.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: This metric represents the annual compilation of U.S. operator data, and is required under Annex 16, Volume 4.

Public Benefit: The metric provides evidence of U.S. compliance with specific international standards.



Partners: N/A – implementation of the CORSIA program is internal to FAA.

External Factors Affecting Performance: Performance could be affected by a variety of factors. Within FAA, support for the program is critical to ensure proper resources for aggregation and validation. External to FAA, data submission by operators depends on their support of the program as well as their economic circumstances and ability to report data to FAA.

Source of the Data: Data comes from actual monitored fuel burn by U.S. operators. For those operators who do not participate in the program, AEE estimates annual emissions based on fuel use data submitted to DOT through BTS.

Statistical Issues: As data is submitted via a standardized form, there are no statistical issues.

Completeness: Pursuant to Annex 16, Volume 4, before submission to FAA, each program participant must engage with a third party verifier to verify, according to the requirements in the Annex, the data to be submitted to FAA. Upon receipt of the verified data, FAA (again pursuant to the Annex) conducts an “order of magnitude” check where FAA uses available data to compare the data submitted with expected results. If FAA identifies discrepancies, the expectation is to contact the operator and verifier to discuss those discrepancies.

Reliability: Given the rigorous process for verification and validation, we have not identified any reliability issues.



Environmental Efficiency and Emissions – CO₂ Rulemaking

Performance Metric: Obtain FAA Office of the Administrator (AOA-1) signature on Notice of Proposed Rulemaking (NPRM) on or before September 30, 2021.

FY 2021 Performance Target: Obtain AOA-1 signature on NPRM for FAA’s airplane carbon dioxide standard (i.e., Airplane Fuel Efficiency Rule) on or before September 30, 2021.

Lead Organization: Office of Environment and Energy (AEE)

Definition of Metric

Metric Unit: Binary [yes/no] completion of target

Computation: Obtain AOA-1 signature on NPRM through FAA’s rulemaking process on or before September 30, 2021.

Formula: N/A

Scope of Metric: FAA’s rulemaking mandate sets the scope of the metric for this performance measure. According to United States law [Clean Air Act, sections 231 and 232], the FAA must enforce regulatory emissions limits set by the Environmental Protection Agency (EPA) for aircraft engines. Traditionally, the FAA complies with this legal requirement by conducting rulemaking to establish type certification airworthiness processes and test procedures that certify emissions compliance with EPA’s regulations.

On January 11, 2021, the EPA published in the Federal Register (Vol. 86, No. 6, pgs. 2136-2174) a final rule in Title 40 Code of Federal Regulations (CFR) Part 1030, “*Control of Air Pollution From Airplanes and Airplane Engines: GHG Emission Standards and Test Procedures*,” that established a metric system and regulatory limits for how far a subsonic airplane, at maximum weight, can fly at optimum cruise altitude on a single unit of jet fuel. In other words, EPA’s rule established a standardized method for determining the fuel efficiency of an airplane based on the type design. As a result, the FAA has the legal obligation to conduct rulemaking in support and enforcement of EPA’s new fuel efficiency regulation.

Method of Setting Target: Given the scope of the measure described above and understanding the deliberate steps of FAA’s rulemaking process, the method for setting the target was to identify the last FAA action required before releasing a draft new rule outside of the agency—which is the FAA Administrator’s (AOA-1) signature on the NPRM. FAA’s rulemaking council approved the NPRM schedule for this new fuel efficiency rule on February 16, 2021, and the performance target was set to obtain AOA-1’s signature on the NPRM on or before September 30, 2021.



Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: Most National Airworthiness Authorities in the world have already promulgated this airplane fuel efficiency standard into their domestic regulations. The United States was delayed in establishing this rule in its domestic regulations, thereby causing an imbalance in the competitive marketplace for U.S. manufactured airplanes. The metric was selected as a way to ensure that domestic rulemaking is moving at a pace to minimize this imbalance.

Public Benefit: Fuel burn is directly synonymous with carbon dioxide (CO₂) emissions. FAA's fuel efficiency rule will be the first regulation in U.S. history that enforces fuel efficient technologies into the type design of U.S. manufactured airplanes. Scientific literature has fully documented the effects of man-made CO₂ as a greenhouse gas that adversely affects the energy balance of the Earth, thereby contributing to global warming. Hence, the promulgation of FAA's fuel efficiency rule is beneficial to the public by ensuring future airplane type designs are minimizing fuel burn/CO₂ emissions.

Partners: Section 231 and 232 of the Clean Air Act require that EPA and FAA coordinate rulemaking efforts.

External Factors Affecting Performance: This performance metric is within control of the agency. The success of obtaining AOA-1 signature on this NPRM on or before September 30, 2021 is contingent upon the FAA's ability to work efficiently and effectively across AEE, Office of Aviation Policy and Plans (APO), Aircraft Certification Service (AIR), Office of the Chief Counsel (AGC), and Office of Rulemaking (ARM). Lack of staffing and resources, the inability to elevate this rule as a priority (in balance with other priorities), and maintaining the commitment to this rulemaking effort, are a few examples of factors that could adversely affect FAA's performance.

Source of the Data: There are two primary sources of data for the Fuel Efficiency rulemaking effort: (1) EPA's final rule published on January 11, 2021, and (2) the International Civil Aviation Organization's (ICAO) Annex 16, Volume III, "*Aeroplane Carbon Dioxide Emissions Standard*" with the associated Environmental Technical Manual, Volume III.

Statistical Issues: N/A

Completeness: Assessing the quality of performance and incorporating best practices into this performance metric is intrinsic to the FAA rulemaking process. Guided by FAA's Office of Rulemaking (ARM), achieving the set of milestones and tracking a high level of review and approvals from all levels of the agency is offered in the approved rulemaking schedule. ARM's rulemaking council approved the following schedule on February 16, 2021. Every step of the schedule below is fully documented and signed off at the appropriate levels of the agency.



Approved Fuel Efficiency Rulemaking Schedule

Milestones	Date
Milestone 1 (MS-1)	April 16, 2021
Milestone 2 (MS-2)	June 15, 2021
Milestone 3 (MS-3)	July 27, 2021
Executive Level 1 (EL-1)	August 16, 2021
Executive Level 2 (EL-2)	August 31, 2021
ADA/AOA Approval	September 30, 2021

Reliability: Overall, this performance metric is highly reliable and within control of the agency. External forces beyond FAA's control that could potentially lower the reliability of achieving this performance measure range from impacts of COVID-19, or other illnesses upon the responsible FAA staff, to prioritize policy shifts from the Administration. However, there is an extremely low chance these external forces will occur.



Charting Aviation's Future: Operations in an Info-Centric NAS

Performance Metric: Charting Aviation's Future includes documenting the vision and high-level concept of operations for an Info-Centric National Airspace System (NAS). These activities will describe how technology advances will enable changes to the future environment in the areas of operations, integrated safety management, and infrastructure that modernize the NAS and facilitate the integration of new entrants. These activities anticipate to deliver benefits for air traffic management in terms of efficiency, environment, flexibility, throughput, safety, predictability, and access for new entrants.

FY 2021 Performance Targets:

Target 1: Develop a vision document that describes the opportunities afforded by technology advances enabling changes to the future environment and the anticipated changes in the areas of operations, integrated safety management, and infrastructure. Due May 31, 2021

Target 2: Develop a preliminary level I Concept of Operations for an Info-Centric NAS that describe the processes, technologies and services envisioned in Charting Aviation's Future. Due September 30, 2021

Lead Organization: Office of NextGen (ANG)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: This metric measures ANG's success in completing the Charting Aviation's Future: Operations in an Info-Centric NAS vision document and a preliminary level I concept of operations.

Method of Setting Target: The scope for setting this target took into consideration the need for a vision document and enterprise level concept that illustrates the approach to serving the needs of new aerospace vehicles using the national airspace to perform new types of services, while continuing to improve the services the FAA provides to traditional air traffic. Operations in an Info-Centric NAS will capitalize on the NextGen infrastructure, and leverage public and private partners' investments and use modern technology to design a scalable system to support a variety of new airspace system stakeholders, such as Unmanned Aircraft Systems (UAS) and commercial space vehicles to deliver commercial services to small and large communities.



Additional Information on Metric

Why the FAA and/or DOT Choose this Metric: Demand for new types of airspace services is increasing and envisioned to expand as private sector research into modern vehicles fulfilling new business services matures. Research is on-going into the use of information technology to deliver both novel business services and new air traffic management methods for meeting this service demand. The FAA needs a vision and concept of operations for how all these technologies and services will work together to form an integrated NAS environment in the future.

Public Benefit: The vision and concept will provide the framework for delivering efficient airspace access to new types of vehicles expected to demand use of the airspace. Technological applications developed to handle this new demand will enable the provision of these services and likely provide commercially-developed capabilities and products that will also help to improve throughput, increase flight efficiency, deliver environmental benefits, improve operational predictability, and enable operational flexibility for traditional air traffic.

Partners: All stakeholders have a vested interest in future NAS operations. Future operators such as UAS, commercial space, and Urban Air Mobility vehicles will work with the FAA to define their operations that will provide commercial services to small and large communities. Traditional commercial, general aviation, and military air traffic also have a vested interest in ensuring the continued support and access for their operations. Research for some of these concepts is being conducted in partnership with National Aeronautics and Space Administration.

External Factors Affecting Performance: N/A

Source of the Data: Research results in the areas of both technology and future operational concepts, including lower level concepts that have been written consulting with industry for Urban Air Mobility, Upper Class E Traffic Management, Performance Based Flow Management, and UAS Traffic Management.

Statistical Issues: N/A

Completeness: In order to ensure acceptance, numerous communication and educational outreach has been ongoing for over a year. The agency has reviewed these products and any comments have been adjudicated to address issues raised. The vision document has been reviewed and approved through official agency correspondence control practices. The preliminary concept document is being developed in line with the FAA's Concept Development and Validation guidelines and is being vetted with subject matter experts across all lines of business and staff offices.

Reliability: N/A



Remote Towers

Performance Metric: Work with ATO Technical Operations (AJW), Air Traffic Services (AJT), and the Office of Policy and Plans (APO) to: 1) develop a strategy for long-term Remote Tower integration into the National Airspace System (NAS), 2) develop a documented process to achieve the approval to integrate Remote Tower systems as an option especially for airport sponsors in the Federal Contract Tower (FCT) program, and (3) study the business case of Remote Tower systems.

FY 2021 Performance Targets:

Target 1: Describe the dependencies between outstanding FAA documentation and submittal and review of type certification deliverables by the Leesburg Remote Tower vendor. Outstanding FAA documentation includes a signed Operational Safety Assessment (OSA), finalized Technical Requirements, signed Operational Visual Requirements (OVR), final Operational Viability Decision by AJT, and completed Remote Towers Advisory Circular. Due January 31, 2021

Target 2: Finalize the Remote Towers Operational Safety Assessment (OSA) for a generic system providing Class D services in a Visual Flight Rules environment. Due March 31, 2021

Target 3: Complete Version 2 of the Remote Towers Draft Technical Requirements document. This update will require input from other FAA stakeholders in order to assure all initial user requirements are captured. Due June 30, 2021

Target 4: Leesburg: Render agency decision on the level of service the Remote Tower system could provide in an environment similar to that of Leesburg Executive Airport (JYO). This decision will allow the agency to focus on integration process documents going forward. Issue FAA Decision Memo on operational viability of Leesburg vendor's Remote Tower system. Due September 30, 2021

Target 5: Establish initial cost benefit model, including draft strategy to evaluate safety and efficiency benefits vs. cost, to apply Remote Tower technology at FCT airports operating in a visual flight rules (VFR) environment. Deliver initial Business Case document for Remote Tower systems at FCT airports. Due September 30, 2021

Lead Organization: Office of NextGen (ANG)

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	N/A	N/A	N/A	4	4	5
Actual	N/A	N/A	N/A	4	4	TBD



Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: This metric measures ANG's progress in supporting certifications of non-Federal Remote Tower Systems.

Method of Setting Target: The approach for setting this target takes into consideration the need for safety requirements in integrating a new system into the National Airspace System (NAS). The FAA does not have a process in place for approving non-Federal Remote Tower equipment and operations. There are no existing Remote Tower systems in the NAS, which are alike and used for providing Air Traffic Control Tower (ATCT) services without an out-the-window view. Therefore, no established requirements or certification approval process exist.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The FAA is exploring the viability of Remote Tower technologies at smaller communities as a potential lower-cost alternative to building brick-and-mortar air traffic control towers. Specifically, the FAA is exploring if air traffic control services can be provided safely, efficiently and potentially at a lower cost. This is an opportunity for Federal, state government, and private partnerships. FAA provides subject matter expertise and the states provide equipment at local facilities. Through these partnerships, we are developing, documenting, and validating a structure that will guide communities to adapt and fund these technologies to grow their local infrastructure.

Public Benefit: Remote Tower systems will potentially provide more cost effective solutions to airport sponsors than traditional brick and mortar towers in the FCT program. By certifying these systems, the FAA will provide opportunities for building new or replacing existing aging brick-and-mortar towers with a cost-beneficial alternative.

Partners: External stakeholders include the local airport authorities at the test sites, the surrounding communities and pilot populations, and the Remote Tower system vendors. The Department of Defense is also evaluating of Remote Tower technology, and the FAA is sharing data and lessons learned with them. International entities such as the International Civil Aviation Organization (ICAO), European Aviation Safety Agency (EASA), and European Organization for Civil Aviation Equipment (EUROCAE) are also working with the FAA to establish global requirements for Remote Towers.

External Factors Affecting Performance: The FAA has been working with Remote Tower system vendors to evaluate the viability of the concept and the capability of the technology to safely provide



air traffic services in the NAS. As a result of the evaluations, the system vendors may have to make significant system adjustments to ensure the systems are robust enough for safe and efficient operations in the NAS. Approval of these Remote Tower systems will depend on the vendors' abilities to address system shortfalls, such that safe and efficient operations are fully enabled in a specific airport environment (e.g., Class D, VFR towers).

In addition, the FAA has been collaborating with other Air Navigation Service Providers (ANSP) worldwide to develop international standards for remote towers. These service providers are applying Remote Tower technologies into differing environments, which necessitates extensive international coordination as the associated remote tower standards are being developed. Although many countries have been evaluating and validating various elements of the remote tower concept, none of the other service providers have applied Remote Tower technologies into as complex of an air traffic environment as the U.S. As a result, the FAA needs to conduct significant amount testing of the capability to ensure safe introduction of Remote Tower technologies into the NAS.

Source of the Data: Remote Tower evaluation sites, Remote Tower system vendors, FAA Air Traffic Organization (ATO), FAA NextGen (ANG), and international safety and standards development organizations such as the ICAO, EASA, and EUROCAE.

Statistical Issues: N/A

Completeness: The FAA continues to make progress on its remote tower system evaluations, which directly inform the development of remote tower standards in the US. These evaluations are also allowing vendors to continue to mature their remote tower system capabilities, which should ensure more robust operations for the long-term. At the same time, the FAA is applying its findings to influence other international air navigation service providers and lead the international community toward worldwide remote tower standards development. The FAA is applying its safety risk management processes throughout the remote tower capability evaluations and associated standard development activities.

Final system verification and validation (V&V) activities at Leesburg Executive Airport (JYO) will commence spring/summer of 2021 now that the remote tower control facility has been relocated. Following the final V&V activities, the Agency will make a decision on the level of services the Remote Tower system can provide in an environment similar to that of Leesburg Airport; this Operational Viability decision will complete the FY 2021 Performance Target 4. Following the Operational Viability decision on the Remote Tower system at JYO, the FAA will continue the activities necessary to type certify the system. To ensure the vendor and FAA are align on the type certification process, the FAA recently developed a document that describes the dependencies between outstanding FAA documentation, and submittal and review of type certification deliverables by the Leesburg Remote Tower vendor. Delivery of the type certification dependency document, in January 2021, completed the FY 2021 Performance Target 1.



Under the Fort Collins remote tower project, the FAA is collaborating with the State of Colorado and the system vendor to evaluate the system at Northern Colorado Regional Airport (FNL). The next step is to begin passive evaluation of the system in a controlled airport environment (i.e., a mobile air traffic control tower is providing services, while data is collected from the remote tower). Overall, the Fort Collins system will go through the same safety centric evaluation process that was applied at Leesburg. The findings at FNL will inform updates to the remote tower standards, approval processes, and cost benefit model that are currently under development.

For the overarching remote tower standards and cost benefit development, both the Leesburg and Fort Collins activities are continuing to provide relevant data. Using this first version of the Operational Visual Requirement (OVR) document, the FAA recently developed a system level Operational Safety Assessment (OSA) for a Remote Tower operating in a VFR environment. Completion of the OSA will complete FY 2021 Performance Target 2. Follow-on work is being conducted to assess the allocation of hazard responsibility to the Remote Tower system. This work will provide information necessary to finalize minimum technical requirements such as Design Assurance Levels (DAL), and reliability and/or continuity numbers. Finalization of the Technical Requirements will complete FY 2021 Performance Target 3.

Concurrently to developing remote tower standards for the U.S., the FAA has been working with the ICAO, EASA, and EUROCAE to establish remote tower standardization and guidance material for worldwide compliance. To fully characterize standards for remote towers, including airports with more complex environments, significant additional evaluation of the technology will still be required over the next decade.

In terms of the cost benefit model, the FAA is working to mirror the existing FCT Benefit-Cost (B/C) model for application to remote towers. The existing model uses two benefits categories (i.e. safety and efficiency). In December 2019, the FAA sponsored an efficiency study of the JYO remote tower to inform the efficiency component of the model. The safety benefits of current brick and mortar towers, in conjunction with results of the JYO operational evaluations and Subject Matter Expert surveys (completed in December 2020), informed the safety benefit component of Remote Towers B/C model. Operating cost data from JYO and FNL was used to identify costs to be included in the Remote Tower B/C model. The model is under final review; completion of the initial remote tower B/C model in September 2021 will satisfy the FY 2021 Performance Target 5.

Leesburg and Fort Collins are the first two sites under the FAA's Remote Tower Pilot Program. Both sites are evaluating technology considered to be developmental in nature. At its future third site of the Pilot Program, the FAA plans to conduct V&V of its newly drafted advisory circular, which will reference the OVRs and Technical Requirements currently under development. The V&V will be conducted at the third site to ensure that the drafted process can be seamlessly applied at additional future airports. For its fourth and fifth Pilot Program sites, the FAA is considering airports with higher levels of environmental



complexity, such as longer runways, multiple runways and crossing runways.

Finally, for its sixth site, the FAA is considering the application of remote tower capabilities at a larger hub airport. This effort would likely require considerable system adjustments as compared to the systems being evaluated today. Overall, the execution of these Remote Tower Pilot Program plans are dependent on availability of future funding over the next decade.

Reliability: N/A



Unmodified Audit Opinion

Performance Metric: Obtain an unmodified audit opinion on the FAA’s Fiscal Year (FY) 2021 financial statements. This goal requires an unmodified audit opinion identified by external independent auditors.

FY 2021 Performance Target: Obtain an unmodified audit opinion on the FAA’s FY 2021 financial statements identified by external independent auditors.

Lead Organization: Office of Finance and Management (AFN)

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	Unmodified Audit Opinion w/NMW	Unmodified Audit Opinion w/NMW	Unmodified Audit Opinion w/NMW	Unmodified Audit Opinion	Unmodified Audit Opinion
Actual	Unmodified Audit Opinion w/MW (target not met)	Unmodified Audit Opinion w/NMW	Unmodified Audit Opinion w/ NMW	Unmodified Audit Opinion	TBD

Definition of Metric

Metric Unit: Unmodified independent auditors’ opinion rendered on FAA’s annual financial statements.

Computation: N/A

Formula: N/A

Scope of Metric: The scope of this measure includes FAA’s annual audited financial statements, which include several required elements such as related footnotes, required supplementary information, and management’s discussion and analysis. The financial statements, together with the auditors’ report (the audit opinion referenced in this goal), are published by FAA in its annual Performance and Accountability Report.

Method of Setting Target: This measure was set as “unmodified.” This means that in the opinion of independent auditors, FAA’s financial statements are fairly stated in all material respects, in accordance with generally accepted accounting principles.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The FAA chooses this measure because it is an



independent and objective assessment about whether the FAA's financial statements are fairly presented in all materials respects, in accordance with generally accepted accounting principles. During the course of the financial statements audit, the auditors also consider the internal control environment over financial reporting, and FAA's compliance with certain laws and regulations.

Public Benefit: The public benefits because an unmodified opinion by independent auditors is a critical indicator of financial condition. It is an independent and objective assessment of the fair presentation of FAA's financial statements, and in connection with that process, considers the internal controls over financial reporting.

Partners: Although the Office of Financial Services takes the lead in achieving this goal, all FAA organizations have key roles. They have responsibility for initiating only bona fide transactions, entering accurate and timely source data into the accounting system, and following accounting policy properly. These are essential components to achieving an unmodified audit opinion. The following activities in particular, are required from all lines of business and staff offices to accomplish this goal (but this is not an all-inclusive list):

- Financial and budgetary transactions (e.g., obligations and expenditures) must be accurate, timely, and for bona-fide needs. This also includes removing assets, liabilities, and budgetary balances from the books and records accurately and timely (e.g., de-obligating, closing out contracts, recording asset retirements, etc.).
- The Enterprise Services Center (ESC) must achieve a good audit result on its service provider audit so that any information technology and systems security-related findings are insignificant. Similarly, the Office of Information and Technology (AIT) must adopt and enforce appropriate information technology controls to protect the data that is processed through FAA's business systems.
- Lines of business and staff offices must continue to review their aged obligations (defined as no activity for 12 months) quarterly and de-obligate amounts no longer needed. They must also take the Federal Managers' Financial Integrity Act (FMFIA) vulnerability assessment process seriously to identify and mitigate any significant financial control weaknesses.
- Program offices must process paperwork for asset acquisitions and deployments in a timely manner. Also, they must report asset transfers and disposal activities timely so that the financial effects of those activities can be recorded into the FAA's financial statement.

External Factors Affecting Performance: External factors that can affect FAA's financial audit results include the fact that certain financial data, such as excise tax revenue of the Airport and Airway Trust Fund (AATF), are collected and attributed to the AATF by the Department of Treasury (Treasury). While FAA analyzes this data to ensure reasonableness, FAA must rely, to some degree, upon various Treasury bureaus (such as the Internal Revenue Service) for the accuracy of these amounts which are reported in FAA's financial statements.



Source of the Data: The data used to evaluate FAA's measure against this target comes from the independent auditors' report, issued at the conclusion of their audit of FAA's annual financial statements. The auditors' report is published annually in FAA's Performance and Accountability Report (PAR). The PAR is the agency's annual public-facing document that includes the agency's financial statements, the auditors' report on those financial statements, as well as a summary of performance against agency-wide performance measures.

Statistical Issues: N/A

Completeness: Because of the nature of this measure and how the outcome is reported, there is virtually no possibility that the result could be reported inaccurately or incompletely. FAA reports the outcomes of this goal in its annual Performance and Accountability Report (PAR) together with a full copy of the auditors' official report (called the audit "opinion letter"). The auditors' opinion letter is the official "ruling" from the independent third party source (the auditors) of the outcome of this measure. The auditors' opinion is published on the letterhead stationery of the audit firm, and bears the signature of the audit partner on behalf of the audit firm. Therefore, the FAA does not have any opportunity to interpret the results, translate data, make projections, or perform calculations, in order to identify whether this goal was met or not. The auditors tightly control the publication of the PAR and will not allow FAA to publish or release the report until they have verified that it includes the official and final version of their audit report. Office of Management and Budget Circular A-136, Financial Reporting Requirements, specifies that agency financial statements, together with the auditors' report on those financial statements be published no later than November 15th annually.

Finally, the financial statements audit is the responsibility of the independent Office of Inspector General (OIG). The OIG must perform sufficient quality control procedures over the contract auditors' work, so that the OIG can accept the conclusions reached as their own. As evidence of the OIG's quality control review over the work and conclusions reached by the third party auditors, the OIG issues a quality control memorandum, on the OIG's letterhead, under the signature of the Inspector General.

The OIG's quality control memorandum is also fully published in FAA's PAR. For these reasons, the performance of this measure that is reported by FAA is beyond reproach. There is virtually no method of erroneously reporting this measure because both the third party auditors and the OIG provide the final outcome in written documents that they each issue and that FAA publishes without any summarization or interpretation.

Reliability: The outcome of this measure is reliable because it is reported by a third party auditor and the OIG in the PAR. This document is closely scrutinized by both the contract auditors and the OIG before it is published; therefore, it is virtually impossible that this result could be reported inaccurately.



Critical Acquisitions Milestones on Schedule

Performance Metric: Critical Acquisitions Milestones on Schedule

FY 2021 Performance Target: 90% of the critical acquisitions selected annual milestones (72) are achieved by their scheduled due dates.

Lead Organization: Office of Finance and Management (AFN)

	FY 2017	FY 2018	FY 2019	FY 2020	FY2021
Target	90.00%	90.00%	90.00%	90.00%	90.00%
Actual	100.00%	95.16%	97.50%	97.00%	TBD

Definition of Metric

Metric Unit: Number of milestones completed by their target due date, compared to the number of milestones selected as the starting baseline of measurement, results in the percentage of milestones completed by their target due date.

Computation: Performance is measured by dividing the total number of milestones for the Fiscal Year (FY) that completed on or before their target due dates by the total number of milestones planned.

Formula:
$$\frac{(\text{Total Number of Critical Acquisition Milestones}) \text{ Met} \times 100}{\text{Total Number of Critical Acquisition Milestones Tracked}}$$

Scope of Metric: FAA organizations in coordination with the Capital Program Formulation Branch (ABP-310) select annual milestones and completion dates based on established criteria. Programs strategically important to the FAA and programs with approved Acquisition Management System (AMS) Acquisition Categories (ACATs) of new investment, technology refreshment, variable quantity, and facility programs are the basis for this goal.

The designation of “critical acquisition programs” in the title of the performance target expresses the critical value of the program to the FAA. The schedule measure is set to only those milestones selected for the fiscal year. Once the selected milestones are approved, no milestones are added, deleted, or changed during the year unless unforeseen circumstances arise.

Method of Setting Target: Maintaining the 90 percent target each year ensures that FAA demonstrates its commitment to meet cost and schedule goals and benchmarks using a 90% target parameter that is well established across government agencies.



Additional Information on Metric

Why the FAA and/or DOT chose this Metric: The Critical Acquisitions on Schedule target represents a progressive measure for each fiscal year of the performance of FAA acquisition programs. The performance measure began in FY 2003 and will continue each fiscal year through the acquisition of the selected programs. The performance target increased each year until it reached 90 percent in FY 2008.

Public Benefit: FAA's ability to keep acquisitions within specific schedule dates demonstrates the Agency's commitment and accountability to meet key schedule commitments. These commitments also indicate the FAA's ability to manage programs that will allow for a timely transition of NextGen programs. The transition involves acquiring numerous systems to support precision satellite navigation, digital, networked communications, integrated weather information, layered adaptive security, and more.

Partners: ABP-310 works with the FAA Lines of Business (LOB)/Service Units (SU) responsible for the programs selected. These organizations include ATO, AFN, AVS, etc. Programs provide monthly updates of the critical acquisition milestones using the SPIRE Portal system. A rigorous assessment and review process is conducted monthly to ensure status and appropriate commentary is completed.

External Factors Affecting Performance: External factors that may affect the achievement of this performance target include funding limitations, unanticipated political developments, legislative constraints, global pandemics or policy changes.

Source of the Data: FAA tracks and reports the status of all schedule targets using Strategic Planning, Implementation, Reporting and Evaluation (SPIRE) Portal tool, an automated database. FAA LOBs provide a monthly red, yellow, or green assessment that indicates their confidence level in meeting their established milestones. Comments are provided monthly that detail problems, issues, and corrective actions to ensure milestones meet their planned target dates. The performance status is reported monthly during the AFN monthly performance reviews and performance committee meetings.

Statistical Issues: The programs and milestones that are selected each fiscal year represent a cross-section of programs within the Agency. There is no bias with the selection of milestones, and there are established criteria for selecting milestones included in the annual goal. The milestones selected represent the program offices' determination as to what efforts they deem "critical" or important enough to warrant inclusion in the performance goal for the year.

Completeness: This measure is current with no missing data. Reporting will begin 30 days after the finalization of the milestones included in this measure.



Reliability: Each FAA organization uses the data during periodic acquisition program reviews, to determine resource requests. They are also used during the annual budget preparation process, for reporting progress made in the President’s budget and for making key program management decisions. The monthly status is reported through the automated databases and included in monthly high-level management reviews. Since the “Critical Acquisition Milestone on Schedule” target is a fiscal year performance measure, the specific milestones and date selected are not changed (unless external factors impact the programs’ ability to accomplish the milestone). Once the milestone is approved, it is reported on with detailed commentary each month and assigned a red, yellow, green, purple, or blue confidence indicator that the milestone will be met on schedule. These detailed reports are reviewed at all levels of the appropriate organization, executive levels up to the Performance Committee.



Cybersecurity/Information Technology (IT) Risk Management and Information Systems Security

Performance Metric: Implement vulnerability management processes to address high value risks, threats and vulnerabilities to FAA Information Systems, and continue to provide information to the Cybersecurity Steering Committee to assure consistent risk acceptance decisions.

FY 2021 Performance Target: Address 80% of the FAA's Internet accessible high value assets with critical and high vulnerabilities in accordance with Department of Homeland Security (DHS) Binding Operational Directive (BOD) 19-02. This Directive requires Internet accessible critical vulnerabilities be remediated within 15 days and high vulnerabilities be remediated within 30 days. Should remediation not be possible within the aforementioned timeframes, a report will be submitted to DHS every 30 days that articulates plans and progress for remediation.

Lead Organization: Office of Finance and Management (AFN) and Office of Information and Technology Services (AIT)

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	80% of high value risks within 30 days	80% of high value risks within 30 days	80% of high value risks within 30 days	80% of high value risks within 30 days	80% of the FAA's Internet accessible high value assets with critical and high vulnerabilities in accordance with DHS BOD 19-02.
Actual	100%	100%	99.7%	100%	TBD

Definition of Metric

Metric Unit: Percentage of critical and high vulnerabilities as identified by the DHS Cybersecurity and Infrastructure Security Agency (CISA) cyber hygiene (CyHy) report associated with Agency- determined, external facing, high value assets (HVA) and remediated in accordance with BOD 19-02.

Computation: The performance target is measured by dividing the number of critical and high vulnerabilities from the CyHy report and associated with external facing high value assets (HVA) remediated within the timeframes specified by BOD 19-02 by the total number of critical and high vulnerabilities associated with external facing high value assets identified.

Formula:
$$\frac{(\text{HVA CyHy vulnerabilities remediated within BOD-19-02 timeframes})}{(\text{Total Number HVA CyHy vulnerabilities identified})} \times 100$$



Scope of Metric: Critical and high value vulnerabilities associated with external facing high value assets are detected across the three FAA domains of National Airspace System (NAS), Mission Support, and Research and Development (R&D). These risks are identified through the DHS CyberHygiene Vulnerability scanning.

Method of Setting Target:

80 % Goal: The FAA's vulnerability management branch executes the process to identify critical and high vulnerabilities on external facing high value assets (HVA) and tracks their disposition by establishing a baseline and notifying domain points of contact (POCs) with high value risk information. Domain POCs will address risks within BOD 19-02 timeframes and report disposition to the vulnerability management branch. The Cybersecurity Steering Committee will review for consistent risk acceptance decisions.

Reporting to Cybersecurity Steering Committee: On a monthly basis, provide information to the Cybersecurity Steering Committee to assure consistent risk acceptance decisions by the appropriate Authorizing Official within each of the three operating domains for security incidents and/or vulnerabilities with residual risks.

Visualization Dashboard: Monitor FAA information systems vulnerabilities through the deployment of a visualization dashboard, in conjunction with the implementation of continuous diagnostics and mitigation (CDM) capabilities, provides near, real-time information about Agency hardware, software, and vulnerabilities. In addition, support of other Information Security Continuous Monitoring (ISCM) activities, such as integrating information from the NAS domain.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: Today's electronically-dependent environment demands that IT systems be delivered securely and cost effectively, while meeting the Agency's diverse business requirements. The Information Systems Security (ISS) metric measures the FAA's response to vulnerabilities against persistent and evolving cyber threats.

Public Benefit: The Office of Information and Technology Services (AIT) is dedicated to providing the highest level of cybersecurity available and is committed to the security and protection of personally identifiable information.

Partners: AIT continues to strengthen ties with partners in the DOT and the DHS. DOT and DHS support our efforts of a cyber-defense strategy to harden the internal backbone of FAA systems and networks to avoid disruptions to services. Collaboration, both internally and externally, will help mitigate risks to an acceptable level.

The Security Operation Center (SOC), a 24x7x365 day operation, is the central reporting point for all cyber events occurring within the FAA and as well as all other modes within the DOT. The SOC is the



single source provider of the cyber “big picture” when reporting to the DHS.

External Factors Affecting Performance: The occurrence, pace, and volume of emerging threats and vulnerabilities that could potentially target the FAA are unpredictable.

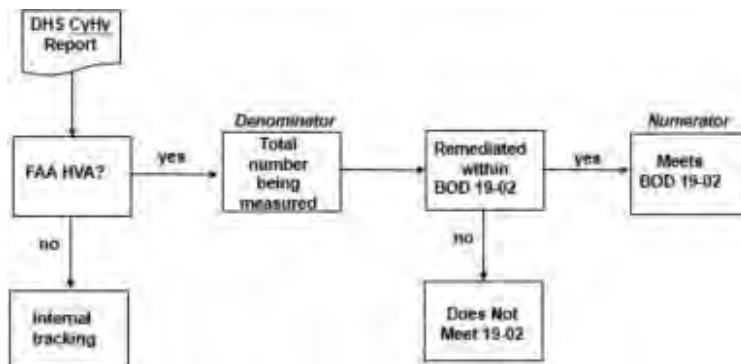
Source of the Data: Critical and high vulnerabilities are identified by the DHS via weekly vulnerability scans of all Federal civilian Agency Internet-accessible systems to identify known critical vulnerabilities and configuration errors, capturing the total number of critical vulnerabilities in the CyHy report. Critical systems are rated as Federal Information Processing Standards (FIPS)-199 “HIGH” in the Cyber Security Assessment and Management (CSAM) system, and support mission-essential services identified in the FAA’s Continuity of Operations plans.

Statistical Issues: N/A

Completeness: The FAA’s vulnerability management branch executes the process to identify high value risks and track their disposition by establishing a baseline and notifying domain POCs with high value risk information. Domain POCs will address high value risks within BOD 19-02 timeframes and report the disposition to FAA SOC. The Cybersecurity Steering Committee will review high value risks monthly to ensure consistent risk acceptance decisions. For high value risks not addressed within BOD 19-02 timeframes, a detailed justification must be submitted to DHS within a 30-day period, outlining any barriers, planned steps for resolution, and a timeframe for mitigation.

Reliability: DHS leverages multiple sources to determine the validity of the critical and high vulnerability designations. The FAA Authorizing Officials designate the systems in their scope of responsibility as HVAs, which are so critical to their organization that the loss or corruption of the information or loss of access to the system would have serious impact to the FAA’s ability to perform its mission or conduct business.

Process Flow:





Enterprise Information Management (EIM) (Digital Transformation-Big Data)

Performance Metric: Leveraging information management services, big data and integrated data analysis across the Federal Aviation Administration (FAA) to drive safety and efficiency by data that is accessible, easy to understand and use. Making tools and training available across a broad spectrum of use cases to speed up the adoption of advanced analytics to derive business insights. Broadening the adoption of machine learning and artificial intelligence within FAA.

FY 2021 Performance Target: Conduct a data challenge to identify use cases for data integration.

Lead Organization: Office of Finance and Management (AFN) and Office of Information and Technology Services (AIT)

Definition of Metric:

Metric Unit: Binary [yes/no] completion of target.

Computation: N/A

Formula: N/A

Scope of Metric: The data challenge is an opportunity for FAA employees and contractors to explore their ideas to transform FAA data into meaningful insights leveraging resources within our Enterprise Information Management (EIM) data platform. Through access to FAA data sources and numerous tools, the FAA creates an environment to leverage advanced analytics to derive new insights, support data driven decisions, and explore efficiencies in our work.

In addition to identifying demonstrable use cases through the data challenge, the Chief Data Office (CDO) is also working with the Aviation Safety (AVS) organization to support data integration initiatives that support the safety mission.

Method of Setting Target: The target was selected based on the FAA's overarching goal under the EIM program to enable innovation and efficiencies. By launching a data challenge, centered on the EIM data platform, the FAA's CDO exposes FAA stakeholders to quality FAA data and tools available to them.

Creating an environment that provides greater access to data will broaden the user base and encourage new insights and observations derived from the data. Securely exploiting FAA data and other relevant external data to both internal and external stakeholders can foster the rapid identification of new, innovative findings and solutions. Additionally, enhanced development capabilities through the EIM enterprise shared resources will encourage innovation that extends across the agency.



Additional Information on Metric

Why the FAA and/or DOT chose this Metric: Enhancing data analysis capabilities and in-time decision making spans a number of strategic initiatives and priorities. Participants in the data challenge will have an opportunity to voice their ideas on where those opportunities exist. After the challenge concludes, the CDO plans to work with the participants and beneficiaries to gather additional feedback on the use cases. The CDO will leverage these use cases to mature the requirements for the platform by evaluating the data needs and tools in support of these efforts.

Public Benefit: Investments in EIM will strategically transform the agency's organization-centric technology capabilities and processes into a unified enterprise. This will drive cost savings through a reduced infrastructure, while improving efficiencies through shared services and the reuse of capabilities that will ease resource constraints and relieve workload burden. Additionally, creating an environment where resources and information are shared between users can promote collaboration and accelerate innovation.

Partners: In addition to FAA data assets, participants in the data challenge will have access to a number of other data sources, including publicly accessible data (for example, National Transportation Safety Board data).

External Factors Affecting Performance: N/A

Source of the Data: Employees have the ability to search the FAA's Data Governance Center to explore what data exists across the agency. They have the option to access data via the EIM Data Platform or leverage data accessible to them based on their role or by request.

Statistical Issues: N/A

Completeness: At the conclusion of the challenge, the use cases will be evaluated on their impetus for innovation, proposed solution, and business impact. The Chief Data Office will invite subject matter experts to evaluate the submissions. Once the challenge concludes, the agency will have a number of use cases to explore.

Reliability: N/A



Effectively Communicate as “One FAA”

Performance Metric: Establish consistent and unified messaging from the top down across all lines of business.

FY 2021 Performance Target: Scope and adopt a communications strategy and supporting project plan that holistically achieves consistency and unity of messaging across the FAA. To do so, the Office of Communications (AOC) will conduct research and develop a “One FAA” messaging platform. This messaging will establish a single identity for the FAA that conveys “what we do”, “who we do it for”, and the “value add” of our work.

Elements of the strategy may include the following initiatives:

- Update agency directives and guidance for external communications
- Produce agency branding guidance, a house style guide and associated templates, writing style guidance, and a standardized approach to product development
- Update corporate materials to support communicating FAA’s mission and services.
- Establish a design council to drive consistent application of agency branding standards.
- Plan and implement a redesign of faa.gov
- Establish a web council to consolidate and/or integrate the agency’s web presence
- Establish an enterprise customer relationship management capability
- Establish an FAA Speakers Bureau program
- Develop and implement a cross-organization training program to drive consistent messaging through media, speaking, communications, and stakeholder engagement activities.

The strategy and supporting project plan will inform actions and targets for FY 22 and beyond.

Lead Organization: Office of Communications (AOC)

Definition of Metric

Metric Unit: Binary [yes/no] completion of target.

Computation: Project plans for each element will be developed by a cross-agency task force. **Formula:**

Project steps and associated timelines will be established through high-level project plans. **Scope of Metric:**

Acceptance/approval of elements of the “One FAA” initiative.

Method of Setting Target: A program management office (PMO) capability will be established in AOC to facilitate and track the work of the task forces. The PMO’s initial focus will be to engage cross-agency



representatives to scope a more detailed, multi-year project plan; identified resource requirements; and scope a means of measuring consistent and unified messaging.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: The approach reflects the need to establish a baseline that will sufficiently reflect the intended outcome of this initiative.

Public Benefit: Establishing one voice for the FAA that can be fully leveraged to convey our services, products, offerings, and value to customers and the American people will build understanding of and trust in the FAA's work to ensure the safety of the national aerospace system.

Partners: Measurement is largely internal; however, elements of the effectiveness of "One FAA" messaging may be determined through plain agency compliance with Federal law impacting agency communications (for example, plain language, 21st Century IDEA requirements), stakeholder and customer feedback, and employee adoption/understanding.

External Factors Affecting Performance: Resource support to develop, implement, and manage elements of the "One FAA" strategy; resourcing for PMO capacity within AOC; cross-agency adoption and compliance with directives, guidance, and tools.

Source of the Data: Initial source will be qualitative through tracking against an established project plan. The PMO will be charged with establishing a quantitative measurement capability, baseline measurement of current state of messaging consistency, and out-year targets by end of FY 21.

Statistical Issues: Without established measurement tools, to include an established baseline, measuring performance via a statistical increase is delayed. This is proposed to be addressed through an internal audit/analysis of current state to then establish quarterly and annual targets.

Completeness: The proposed approach to measurement of progress towards this performance measure takes into account that existing measurement tools are not available to establish a quantitative metric. The approach provides an iterative means to establish a relevant metric to the priority.

Reliability: Completion of a multi-year project plan and tracking against that plan may be affected by external factors that delay completion of actions and initiatives. Establishing a quantitative measurement through self-reporting or sample based audit may generate measurement results that are not fully reflective of the state of the agency's adoption of "One FAA" messaging.



Use Modern, Open Technology to Increase User Satisfaction and Access to Data

Performance Metric: Use modern, open technologies to communicate and help the public and FAA employees operate safely and make informed decisions.

FY 2021 Performance Target:

Increase user satisfaction and publicly accessible information by 25% from FY20 by making more information and data available to a wider and non-traditional audience by routinely webcasting public meetings and safety summits, deploying tools that work on mobile devices, and providing data outside of the FAA's network through modern platforms such as application programming interfaces (API), geographic information systems (GIS), and data visualizations.

Lead Organization: Office of Communications (AOC)

	FY 2016	FY2017	FY2018	FY2019	FY2020	FY 2021
Target	5	5	10	20	30	40
Actual	3	7	16	22	75	TBD

Definition of Metric

Metric Unit: The number of actual events

Computation: Increase in webcasting public meetings, safety summits and educational webinars; increase in using data visualization tools and GIS to engage the public and employees.

Formula: Increase user satisfaction and publicly accessible information by 25% each fiscal year.

Scope of Metric: All external and publicly-available live events to be held using modern technology as well as streamed on digital platforms.

Method of Setting Target: 25% increase based on the previous year.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: AOC is responsible for the policy, direction, and management of the agency's communications with the public and FAA employees. We embrace the core values of the FAA and relate them to our everyday responsibilities in supporting the FAA and the public. AOC contributes to FAA's mission by delivering timely and accurate safety information to the public and FAA workforce.

Performance Measure Profile

FY 2021 Methodology Report



**Federal Aviation
Administration**

Public Benefit: AOC strives to ensure the public has full and easy access to information critical to safe operations within the National Airspace System. AOC ensures the audience is connected and engaged using modern digital platforms. As a data-driven organization, AOC examines the return on investment for every project, and makes adjustments to ensure we provide maximum value.

Partners: DOT and various offices in the FAA.

External Factors Affecting Performance: Budgetary factors, external sources of data, and a live-streaming platform that is 508-accessible and available to the public without asking for personally identifiable information.

Source of the Data: User satisfaction surveys, social media metrics, website metrics.

Statistical Issues: The FAA does not have a central location for the exchange of data. This could delay the exchange of data for public opportunities in reporting.

Completeness: Data will be verified for data completeness, accuracy, consistency, timeliness.

Reliability: Purchasing a platform to hold live events and using modern technology could get held up in the Office of Finance and Management (AFN) for approval or the Office of the Chief Counsel (AGC) if the cost exceeds \$100,000. Also, the Office of Information and Technology Services (AIT) would need to grant access to the technology, and not disable functionality due to InTune.



Complete next phase of FAA Strategic Workforce Planning to include Workforce Development

Performance Metric: Develop and issue Strategic Workforce Planning (SWP) policy.

FY 2021 Performance Target: Working through all of the lines of business/staff offices (LOB/SO), develop an enterprise-wide strategic workforce planning policy that outlines roles, responsibilities, governance structure, reporting requirements, and key metrics to measure attainment of agency workforce goals.

Obtain policy approval from the Agency Deputies (Dash-2 Board). Due September 30, 2021

Lead Organization: Office of Human Resource Management (AHR)

Definition of Metric

Metric Unit: Binary [yes/no] completion of target.

Computation: On a monthly basis, report progress against the schedule.

Formula: N/A

Scope of Metric: Develop a project schedule that incorporates the eleven steps to establishing agency policy developed by the Human Resources Policy and Compliance (AHR-100) organization. This effort primarily involves the Human Capital Team (AHR-200) and AHR-100, although some steps involve review and approval by the -2 (Deputies) for all LOBs. The metric captures progress made toward submitting the application for a policy change, as well as all eleven steps in the policy establishment process.

Method of Setting Target: These targets were set through discussions with AHR-100.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: This methodology provides the capability to ensure clear, accurate and timely status reporting and projections.

Public Benefit: To address the growing aviation workforce shortage and ensure a consistent pipeline of skilled aerospace professionals.

Partners: All partners are internal to FAA (AHR-100, LOBs/SOs)

External Factors Affecting Performance: Must ensure timely review by LOBs/SOs.

Source of the Data: Program schedule.

Performance Measure Profile

FY 2021 Methodology Report



**Federal Aviation
Administration**

Statistical Issues: N/A

Completeness: The process used to complete this performance goal is based on AHR-100's eleven-step process. The table below identifies the phases in the process along with target dates to ensure milestones are achieved as planned.

Step # (Target Completion Date)	Task Description Strategic Workforce Plan Policy Development
Step 01 (March 25, 2021)	01 - Develop the initial draft of the proposed policy.
Step 02	02 – Solicit feedback from focus group on initial draft. (Typically 15 business days for review)
Step 03	03 - Develop 2 nd draft of the proposed policy.
Step 04	04 - Solicit feedback from focus group on 2 nd draft. (Typically 20 business days for review)
Step 05	05 - Develop the final draft of the proposed policy and submit to AHR-110/120 Branch Manager for review and feedback.
Step 06	06 - Submit final draft to AHR-100 leadership (Executive/Deputy Director) for internal review
Step 07 (June 30, 2021)	07 - Solicit feedback on final draft policy from impacted AHR Exec, AHF, AHL, AGC, and LOB/SOs. (Typically eight business days for review)
Step 08	08 - Finalize the Policy and send to AHR-100 for signature/approval.
Step 09 (July 31, 2021)	09 – Executive Director, AHR-100 signs the policy. (Effective date typically 60 calendar days after signature)
Step 10	10 - Send signed copy of policy to AHL-1 for notice to bargaining units, AHR-1 for notification of issuance, and AHF-1 to plan for implementation.
Step 11 (October 1, 2021)	11 - Send notification to HR community and LOB/SO HR POCs, and post on FAA policy website.

The item is considered complete when final AHR-100 signature is granted, but before the policy is distributed to the unions.

Reliability: N/A



Performance Management & Assessment System (F)

Performance Metric: Develop a plan to expand and communicate the use of the SAP Success factors technology (known internally as Performance Management & Assessment System, or PMAS) for FAA performance programs. The deliverables include a configuration and implementation plan, a communication and training plan, and contract.

FY 2021 Performance Targets:

Target 1: A configuration and implementation plan will be developed and provided to AHR-1. Due July 30, 2021.

Target 2: A communications/training plan will be developed and provided to AHR-1. Due September 30, 2021.

Lead Organization: Office of Human Resource Management (AHR)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: Monthly reporting from technical project lead in Accountability and Strategic Business Management (AHA) and program lead in Compensation, Benefits, and Worklife (AHB)

Formula: N/A

Scope of Metric: Integration and communication to stakeholders of the following technology capabilities: 1) Automated performance and approval processes; 2) Automatic email notifications; and 3) Automated assignment of new manager

Method of Setting Target: The target was set through discussions with eLMS program management office in AHA, performance program director in AHB, and AHR senior leadership after review of an FY19 analysis of data from staff and partners on burden and inefficiencies associated with routine manual operations and the use of multiple systems.

Additional Information on Metric

Why the FAA and/or DOT chose this Metric: Technology offers the ability to automate, streamline, and improve results from routine tasks. Successful adoption of new capabilities requires effective communications and change management.

Performance Measure Profile

FY 2021 Methodology Report



**Federal Aviation
Administration**

Public Benefit: Government personnel time can be freed and redirected to more value-added activities.

Partners: N/A

External Factors Affecting Performance: Continuation of maximum telework and social distancing associated with COVID-19 could reduce effectiveness of certain communications/engagement methods, and may require some re-planning. External factors should have no impact on technology capability testing and production.

Source of the Data: Progress data will come from the technical project lead in AHA and program lead in AHB

Statistical Issues: N/A

Completeness: The communications plan considered advice and practices from leading change management models, for example, ADKAR. Stakeholder questions and feedback will be monitored throughout implementation to assess impact and need for adjustments.

Reliability: N/A



FAA Corporate Diversity and Inclusion Strategic Plan FY 21-25

Performance Metric: The Office of Civil Rights (ACR) will collaborate with the Office of Human Resource Management (AHR) to develop and design a Five-Year Diversity and Inclusion Strategic Plan that will provide the FAA workforce with relevant, strategies, goals and tools needed to create an inclusive, discrimination free workplace where all members of, will have the opportunity to reach his or her full potential.

FY 2021 Performance Targets:

Target 1: Complete the Diversity and Inclusion Strategic Plan and send to FAA Administrators Office for final approval and signature. Due December 9, 2020

Target 2: Market and provide awareness to FAA employees about the Diversity and Inclusion Strategic Plan by conducting 10 webinar and informational sessions to include a taped message from the Administrator, throughout FY2021. Due August 31, 2021

Lead Organizations: Office of Civil Rights (ACR) and the Office of Human Resource Management (AHR)

Definition of Metric

Metric Unit: Binary [yes/no] completion of targets.

Computation: N/A

Formula: N/A

Scope of Metric: No later than August 31, 2021, the National Employee forum, the Employee Action Committee for Diversity and Inclusion and the unions will work along with ACR and AHR to provide the implementation plan. Fulfillment of the Implementation Plan will ensure full integration and understanding of the Diversity and Inclusion Plan to all FAA employees.

Method of Setting Target: The targets were set through discussions with ACR and AHR leadership.

Additional Information on Metric

Why the FAA and/or DOT Chose this Metric: The FAA chose this metric in order to enhance inclusive opportunities to utilize the varied skills and talents of a diverse workforce in order to continue to fulfill the mission of providing the safest aerospace transportation system in the world.



Public Benefit: Implementation of this plan will ensure full integration and understanding of the diversity and inclusion (D&I) plan to all FAA employees. Employees will be inspired to continue to accomplish the agency's mission for the benefit of the flying community.

Partners: The goal is internal to the agency and external partners are not involved in completing this target, but external stakeholders will benefit from the agency's mission being fully accomplished.

External Factors Affecting Performance: External factors affecting performance include, but may not be limited to:

- 1) Fragmented communications to front line management on the value and importance of Diversity and Inclusion;
- 2) Resources and funding;
- 3) Inconsistent development of implementation protocols and guidance throughout the staff offices and lines of business;
- 4) Lack of accountability for non-compliance; and
- 5) Awareness that deficiencies exist through the underrepresentation of people with disabilities, women, and minorities within the FAA workforce.

Source of the Data: Data is comprised of technical and non-technical program evaluations which assist with determination of best practices, useful policies, applicable protocols, and tools.

Statistical Issues: N/A

Completeness: Target 1 is complete. ACR collaborated with the AHR to develop and design a Five-Year Diversity and Inclusion Strategic Plan. This plan is complete and available online on the ACR website.

The Diversity and Inclusion Strategic Plan, Fiscal Years 2021-2025 was a collaborative effort developed by a selected group of individuals representing ACR and AHR. This plan has undergone several iterations since its inception, ensuring that most feedback and comments were incorporated. The plan was circulated to all Lines of Business, Staff Offices, Employee Associations and Special Emphasis groups to ensure complete transparency and to demonstrate the integration of all viewpoints, and visions for the future of the FAA. Over two hundred comments, edits and suggestions have been reviewed and more than 50% of comments/edits were incorporated. The plan was completed and submitted for final approval and signature to the Administrator's office on December 9, 2020.

Regarding Target 2, ACR is currently working with stakeholders to develop an implementation plan. The Diversity and Inclusion (D&I) marketing webinars and informational sessions, inclusive of a message from the Administrator will begin after the completion of the Diversity and Inclusion Implementation plan. The National Employee forum, the Employee Action Committee for Diversity and Inclusion and the unions will work along with ACR and AHR to provide the implementation plan. Implementation of this

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plan will ensure full integration and understanding of the D&I plan to all FAA employees. Employees will be inspired to continue to accomplish the agency's mission for the benefit of the flying community, and continued excellence in global aviation.

Reliability: N/A