



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
AVS Policy

ORDER
VS 1100.2

Effective Date: 3/17/06

SUBJ: Managing AVS Delegation Programs

1. **PURPOSE.** This order provides direction for the management of AVS delegation programs.
2. **DISTRIBUTION.** This order is distributed to the office and service level in Washington headquarters, and to the branch level in the Office of Aerospace Medicine, AAM, Aircraft Certification Service, AIR, and Flight Standards Service, AFS.
3. **AUTHORITY TO CHANGE THIS ORDER.** The Office of Aerospace Medicine, AAM, Aircraft Certification Service, AIR and Flight Standards Service, AFS, have the authority to revise material in this order. Depending on the change, the appropriate office (AAM, AIR, AFS) will initiate the change and coordinate with the other offices.
4. **DEFINITIONS.** For the purposes of this order, the following definitions apply.
 - a. **Delegation.** Authorizing an organization or individual to perform functions on behalf of the FAA Administrator.
 - b. **Designee.** Private persons (i.e., individuals) or organizations delegated to act as representatives of the Administrator.
 - c. **Specialist.** FAA employee with the primary interface and oversight responsibility for designees and who recommends selection, renewal and termination actions to the appropriate level. Although a team may manage designees, the person on the team with the primary interface and oversight responsibility will be identified as the "specialist."
 - d. **Oversight.** Act of reviewing designee performance to determine sufficiency.
 - e. **Risk.** An expression of the impact of an undesired event in terms of event severity and event likelihood.
 - f. **Risk Management.** Any activity designed to ensure that risk is identified and eliminated or controlled within established risk parameters.
 - g. **Risk Based.** A term used to imply the use of risk management techniques and tools.
 - h. **Selecting Official.** The person with authority to determine the eligibility of a designee for consideration of appointment. This person may or may not be the appointing official.

i. Appointing Official. The person with authority to issue the Certificate of Designation or Certificate of Authority to designees. This person may or may not be the selecting official.

5. DELEGATION VISION. The vision of the delegation system is a robust and forward looking system that increasingly leverages FAA resources; responds to changes in workload and industry needs; demands the highest technical and ethical standards from its designees; and ensures public, congressional, industry, and FAA confidence in aviation safety.

6. DELEGATION PRINCIPLES. The principles on which this vision is based should be implicit in the day-to-day management of the delegation programs:

a. Delegation is Essential to Aviation Safety. Delegation programs are necessary for aviation safety, and the integrity of the delegation system must be maintained. Therefore, management of delegation programs is inherently governmental and must be a top priority within AVS.

b. Designation is a Privilege. Designees serve the needs of the FAA in fulfilling its safety mission, allowing the FAA to leverage its resources. Designation is a privilege that conveys responsibilities but does not imply employment or other rights unrelated to FAA needs.

c. Designees Must be Knowledgeable, Qualified and Competent. All designee qualifications must be defined in objective standards that guide selection, oversight, training, and termination decisions; designees have the primary responsibility for maintaining their knowledge and qualifications. FAA must evaluate designee competence at time of selection and, if appointed, on an on-going basis.

d. Administration of Delegation Programs Must Employ a Risk Management Approach. Effective use and oversight of designees requires a risk management approach that utilizes oversight based on differences in the potential impact on safety and the likelihood of error. Sufficient resources must be allocated to ensure effective management and efficient oversight of designees. Resources include, but are not limited to clear policy, appropriate databases and surveillance tools, and focused training of oversight personnel and designees.

e. Delegation Program Evaluations are Essential. Regular evaluations of each delegation program are required to improve designee and oversight staff performance. These evaluations will be accomplished at all levels of the organization to assess program effectiveness and efficiency.

7. ROLES AND RESPONSIBILITIES.

a. AVS Delegation Steering Group. This order establishes an AVS Delegation Steering Group consisting of at least one and not more than three representatives from each service and office with delegation programs. The Steering Group will meet on an established schedule and will report to the AVS Management Team at least annually to ensure that delegation management remains a top priority. The Steering Group will focus on continuing improvements in the delegation programs, review service and office audit findings, monitor compliance with this

order, share information on innovative ideas and best practices, and recommend changes to the AVS Management Team. The Steering Group will also mediate conflicts between services and offices, including Information Technology (IT) resource issues.

b. Service and Office Level Roles and Responsibilities.

(1) Policy Development and Implementation. Each service and office must have or develop their own service and office policy to provide adequate information on managing their designees.

(2) Delegation Program Evaluation. Each service and office must develop, manage and administer an evaluation process for its delegation program(s). The delegation system consists of two levels: management of the delegation program and management of designees. Each service and office must develop and maintain methodologies to evaluate the delegation system using risk management principles. In addition, all aspects of the delegation system, including sufficiency of policy, process, documentation, training, tools, and audits, will be periodically evaluated. Evaluation must include assessment of the designee's performance, technical proficiency, and judgment.

(3) Oversight Staff Management Requirements. Each service and office must implement a process for evaluating specialists and their managers, including a mechanism for holding them accountable. The service and office must also assure that qualified specialists are selected and assigned.

(4) Continuous Improvement. Each service and office must have mechanisms to receive feedback about its delegation program(s). The responsible service and office must establish a process to evaluate and respond to feedback regarding its delegation program(s).

(5) Designee and Oversight Staff Training. Each service and office must provide initial and recurrent training programs for designees and oversight staff.

c. Information Technology (IT). IT supports designee oversight, and will be directed by AVS and the services and offices.

(1) AVS Delegation Steering Group. The AVS Delegation Steering Group will recommend strategic direction for development of automation tools affecting delegation.

(2) Service and Office. As part of continuous improvement process, each service and office will review the effectiveness of delegation program automation tools and oversight staff tools to determine if improvements are necessary. It is the responsibility of each service and office to manage day-to-day revisions and improvements to applications that do not impact another service and office.

(3) IT Governance Bodies. The IT governance bodies must coordinate all changes to delegation program automation tools with the AVS Delegation Steering Group or service and office, as appropriate.

8. OVERSIGHT STAFF QUALIFICATIONS AND TRAINING.

a. Qualifications. Minimum qualifications of specialists must be established by each service and office. Depending on the complexity or risk associated with the work performed, additional requirements may be identified. If necessity dictates the assignment of a specialist who does not meet minimum qualifications, the specialist's first level supervisor must document the rationale for the decision and implement a plan to rectify the deficiency.

(1) **Technical Skills.** Each service and office should recognize that the qualifications of specialists may vary depending on the risks inherent in a given designee's assigned responsibilities, even within a single program, so care must be taken in assigning specialists to designees. However, minimum qualifications of specialists must be established, to include:

(a) education and/or experience levels appropriate to manage the designee, and

(b) minimum experience working with or for the FAA or be enrolled in an appropriate mentoring program.

(2) **Interpersonal Skills.** Designee management requires certain interpersonal skills. Each service and office will establish an evaluation methodology for determining that specialists communicate appropriate expectations, provide constructive feedback, and deal with conflict in a proactive manner.

(3) **Minimum Qualification Training Requirement.** Each service and office must define minimum training requirements for specialists.

b. Training. Training may take various forms, including classroom, distance learning, on-the-job Training (OJT), or mentoring programs. Service and office training requirements for specialists and those that manage specialists must include the following:

(1) **Initial Specialist Training.**

(a) **Procedural.** Delegation management procedures must be taught to all employees with oversight responsibilities. Specialists must receive sufficient procedural training before managing designees.

(b) **Technical.** Specialized technical training may be required prior to allowing a specialist to manage a designee. A specialist that fully meets the technical qualification criteria identified in paragraph 8a(1) may not need additional technical training prior to managing a designee, but if deficiencies exist they must be addressed before assuming designee management responsibilities.

(2) **Recurrent Specialist Training.** Recurrent technical and procedural training requirements must be established, defining training intervals and content for each delegation program.

(3) Training for Managers. Each office and service must assure that those who manage specialists have appropriate training. This training must:

- (a) communicate the AVS Delegation philosophy,
- (b) identify managerial responsibilities in ensuring the integrity and quality of work within the delegation system,
- (c) familiarize management with the policies and tools that are used by specialists to manage designees, and
- (d) emphasize the importance of initial and recurrent training to ensure a high degree of quality and standardization.

9. MANAGING DESIGNEES.

a. General.

(1) The primary responsibility for managing designees resides with the “specialist”. The specialist’s first level supervisor is responsible for evaluating the specialist’s performance and ensuring adherence to written guidance. Additional levels of accountability may be necessary depending on the service and office’s organizational structure.

(2) Each service and office’s policy for managing designees must address the following elements:

- (a) selection,
- (b) appointment,
- (c) oversight,
- (d) training,
- (e) renewal,
- (f) termination, and
- (g) appeal.

(3) Each service and office’s process for managing designees should be data driven, based on objective evidence. Decisions must be documented.

(4) Former FAA employees must be managed using the same processes as any other applicant or designee.

b. Selection. Selection is the process of determining eligibility. This involves the evaluation of an applicant’s technical skills and competence in applying those skills in their area

of expertise as well as their understanding of FAA policy and guidance. The selection process must also consider the interpersonal skills of the applicant and how they would contribute to the applicant's ability to perform as a designee. While the selecting official's past personal knowledge of an applicant's performance can be considered, the selection must not be based solely on personal relationships.

(1) Each service and office will establish a formal application and selection process, specifying criteria for selection.

(2) Selection and appointment may be separate processes. Selection must be time limited and does not necessarily guarantee appointment. The service and office must define the duration for which the selection is valid, but the period of time on a selection list is not an appointment criteria.

(3) The service and office's application must record past performance in the aviation industry, such as a previous experience as a designee, an employee of the FAA, or an FAA certificate holder. Past performance must be a prime consideration in the selection process.

(4) Each service and office will be proactive in seeking out the most qualified applicants.

c. Appointment. Appointment is the action by the FAA to officially designate qualified individuals or organizations as Representatives of the Administrator.

(1) Each service and office will establish a formal appointment process, identifying appointing officials, specifying the extent of the authority given to each appointee, and defining the duration of the appointment.

(a) The duration of appointment for individual designees must not exceed 3 years and the duration of appointment for organizational delegations must not exceed 5 years.

(2) Each service and office must establish a mechanism to determine the need for a designee and whether or not they possess the ability to manage that designee.

(3) Each service and office must require all designees, upon appointment, to acknowledge that designation is a privilege, not a right, and that they understand they may be terminated at any time for any reason at the discretion of the Administrator.

d. Oversight. Oversight is the ongoing task of assuring that a designee performs within established guidelines.

(1) Each service and office must establish a formal process defining the required oversight activities, including:

(a) reviewing the work performed,

(b) evaluating performance for quality assurance,

- (c) ensuring that required training has been completed,
 - (d) verifying that the designee knows how to obtain and complies with current guidance and policy, and
 - (e) providing constructive feedback and taking corrective action, as necessary.
- (2) Each service and office is responsible for efficiently collecting and analyzing information used to oversee the performance of designees.
- (3) Risk based criteria must be used to define the frequency and scope of oversight.
- (4) Oversight does not take place only at the local level. While the specialist has management responsibility for the designee, any FAA employee working with a designee or a designee's work product has responsibility to provide input to the specialist on any performance that could affect the designee's future.

e. Training. Training programs may take advantage of distance learning technologies, but must include some level of face-to-face instruction (e.g. classroom or OJT).

(1) Initial Designee Training. Each delegation program must have a defined initial training program, to include:

(a) amount of training (technical and procedural) that must be completed before performing a delegated function whether expressed in number of hours or completion of required course(s),

(b) attendance and testing criteria, and

(c) record of completion.

(2) Recurrent Designee Training. Each delegation program must have a defined recurrent training program, to include:

(a) frequency, type (technical and procedural), and length of training,

(b) attendance and testing criteria, and

(c) record of completion.

f. Renewal. Renewal is the action by the FAA to officially reappoint an individual or organization as a Representative of the Administrator based upon the analysis of past performance, objective observation of behavior and any feedback from other sources.

(1) Each service and office will establish a formal renewal process, identifying who may renew an appointment, specifying the extent of the authority given to each appointee, and defining the duration of the appointment. This process must include a determination of ongoing need and ability to manage the designee.

(2) Each service and office will specify training required for renewal.

(3) Each service and office must require all designees, upon renewal, to acknowledge that designation is a privilege, not a right, and may be terminated at any time for any reason at the discretion of the Administrator.

(4) The duration of a renewal for individual designees must not exceed 3 years and the duration of a renewal for organizational delegations must not exceed 5 years.

g. Termination. Termination is the action by the FAA as a result of a decision to either not renew or to rescind a designee at any time for any reason the Administrator considers appropriate.

(1) Each service and office will establish a formal termination process. The process must provide for fair and equitable treatment of the designee, but the continued integrity, quality and efficiency of the service and office's overall delegation system is paramount. Once the designee has been notified of a termination, designee privileges will be suspended immediately.

(2) Designees may be terminated for any reason and at any time. Each service and office must establish policies for termination of designees that perform poorly or require excessive resources to manage. Termination decisions must be formally documented, to include the specific reason. Where applicable, the decision to terminate should include feedback from those involved in reviewing work performed outside of the designee's managing office.

(3) When termination is warranted, the process must begin immediately.

h. Appeal. A designation is a privilege, not a right, and therefore the Administrator may terminate a designation for any reason. However, AVS recognizes the benefit of having procedures to ensure that due process is accorded, if requested by the applicant, before a final decision is made to not select, not appoint, or to terminate a designation.

(1) Each service and office will establish a process to allow an applicant or a designee to appeal the FAA's decision in certain situations. These situations will include decisions on selection, appointment, and termination of an applicant or a designee, unless the decision is based on need and ability to manage, loss of a prerequisite certification, or failure to meet training requirements. The process must provide for fair and equitable treatment of the applicant or designee.

(2) The appeal process established by each service and office must include the following steps and associated timeframes:

(a) Formal notification of denial and notification of opportunity to appeal.

i. For denial of selection or appointment - applicant's opportunity to appeal within 60 days.

- ii. For termination of appointment - immediate suspension of designee privileges and designee's opportunity to appeal within 14 days.

(b) Review of documentation and decision by appeal panel. The appeal panel will consist of at least 3 persons equivalent to the specialist level or above who were not involved in the original denial or termination decision. The appeal panel can support the original decision, override the original decision, or direct a repeat of any part of the appointment or termination process. This process must be completed within 45 days of receiving the appeal request.

(c) Notification of the appeal panel's decision must be made within 15 days of its determination.

10. INFORMATION CURRENCY.

a. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded for consideration to: The Office of Quality and Integration (AQI). Your assistance is welcome. FAA Form 1320-19, Directive Feedback Information (Appendix 1), is attached to this order for your convenience. If an interpretation is urgently needed, you may contact a member of the AVS Delegation Steering Group for guidance. Contact AQI at 202-267-9612 for a list of AVS Delegation Steering Group members. In addition, use the attached FAA Form 1320-19 as a follow-up to verbal conversation.

b. Use the "Other Comments" block of FAA Form 1320-19, to provide a complete explanation of why the suggested change is necessary. You may correct (as necessary) a copy of the pertinent information or provide a handwritten note for consideration.



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Directive Feedback Information

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: **Order** ****.*

To: . The telephone number is . (Please check all appropriate line items.)

An error (procedural or typographical) has been noted in paragraph _____ on page _____.

Recommend paragraph _____ on page _____ be changed as follows:
(Attach separate sheet if necessary.)

In a future change to this directive, please include coverage on the following subject: (Briefly describe what you want added.)

Other comments:

I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____