

SECURITY AND HAZARDOUS MATERIALS

FEDERAL AVIATION ADMINISTRATION
Fiscal Year 2004 Business Plan



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INTRODUCTION

Introduction

Who are we?

The **Office of Security and Hazardous Materials (ASH)** is the FAA's line of business that has primary responsibility for critical infrastructure protection and the safe transportation of Hazardous Materials in Air Commerce. ASH has three major program areas and staff offices that assist in carrying out this function.

The protection of FAA's critical infrastructure is a national security concern which, since September 11, 2001, continues to receive a high level of attention. In recognition of the impact that Air Traffic Services has on our country's transportation infrastructure, ASH develops and implements policy to protect FAA employees, contractors, facilities and assets. ASH's Office of Internal Security (AIN) and Office of Investigations (ANS) perform facility inspections and various types of investigations to help ensure FAA accomplishes its mission undeterred by criminal acts. ASH is the focal point for all security and national security initiatives within the FAA. This includes the requesting, receiving and disseminating of intelligence information on behalf of the agency. This program is administered through the ASH National Security Coordination Staff. This includes the receipt and dissemination of intelligence information through the ASH National Security Coordination Staff and providing support to the law enforcement community through the Law Enforcement Assistance Unit. Automated Information Security remains the responsibility of the Office of the Chief Information Officer (CIO).

The Office of Hazardous Materials (ADG) administers the agency's Hazardous Materials Program. This office develops and implements national policy, inspects, and provides training and outreach to those involved in this industry worldwide. ASH's goal is to have **"No fatalities resulting from improperly shipped hazardous materials in U.S. air commerce."** To accomplish this, ASH will need to work smarter and collaborate with the shipper industry. ASH plans to target its compliance and enforcement efforts by identifying those areas that create the greatest dangers for airplanes. ASH will jointly implement a voluntary compliance program for shippers that will allow them to report incidents to the FAA. ASH will enhance its information technology so that management and the workforce are better able to identify trends and focus their efforts on prevention. Automation

will allow ASH to move away from the old mentality of "find the problem and then fix it." With industry participation, ASH will be able to quickly analyze information, identify the trends and jointly with industry participation develop a solution to prevent problems. ASH also wants to ensure that the public and industry are better informed and have outreach efforts that will accomplish this goal.

The organization's core responsibilities are briefly described below.

How does ASH assist the FAA in accomplishing its mission?

The Office of Security and Hazardous Materials' Strategic and Business plan are directly linked to the FAA Flight Plan. ASH has responsibility for a major safety program within the FAA and a vital role in critical infrastructure protection. There are numerous support activities that address critical infrastructure protection, which include national security. These areas are extremely vital to FAA's successful accomplishment of its mission.

How will ASH know they are successful in FY 2004?

ASH has identified its initiatives and measurements for fiscal year 2004 below under each objective.

What are ASH's Core Responsibilities?

1. The Office of Internal Security (AIN) has five major program areas:

Facility Security Management Program (FSMP). The FSMP develops security processes and standards that are applied to all FAA facilities. The program uses a threat-based formula that combines a facility's population and criticality to the National Airspace System (NAS) to assign a security level, which defines baseline protective measures at each facility. These protective measures are then communicated, established, and verified through a system of assessments, inspections, and accreditation. The results are sound security practices that enhance the security and safety of FAA employees and assets, and by extension, the air-traveling public.

Communication Security (COMSEC). The COMSEC program provides safeguarding procedures for U.S. classified cryptographic material and equipment used to

dispatch and receive classified information over voice networks. The COMSEC program supports the FAA mission in maintaining a secure information environment for the many sensitive missions traversing the NAS that support the work of several government agencies, including the Department of Defense, the Department of State, and the Department of Justice.

Classified and Sensitive Security Information Protection Program. This program develops standards and programmatic controls over all aspects of securing classified and sensitive information from inadvertent or unauthorized disclosure. It provides agency guidelines on the creation, storage, accountability, dissemination and destruction of classified and sensitive information. It directly supports the FAA mission by protecting information that, if released to unauthorized persons, could damage the effectiveness and security of FAA personnel and resources and jeopardize the safety of the traveling public dependent on the NAS.

FAA Identification Media. This program provides for positive and verifiable access control into FAA facilities and critical areas in that it describes the process for issuing, protecting, and controlling FAA identification media throughout the agency. Identification media is used as the principal tool for granting entry into all FAA (and other government) facilities. It directly supports the NAS and the FAA mission by establishing positive control over who is allowed into defined areas, thereby limiting unauthorized or uncontrolled access to mission critical systems and providing a secure and safe environment for personnel administering and using the NAS.

Technical Surveillance Countermeasures (TSCM) Program. The TSCM program supports the Classified and Sensitive Security Information Protection Program by utilizing techniques and measures that detect and neutralize hostile technologies that surreptitiously attempt to gain access to this information through optical, electro-optical, electromagnetic, fluidic, and acoustic means as well as modification to equipment or building components for direct transmission of information. The TSCM program employs methods that protect telephones and telephone systems, equipment, conference rooms, and office areas that are used for classified and sensitive information processing.

2. The Office of Investigations (ASN) has four major program areas:

Personnel Security. The personnel security program supports the agency by initiating and adjudicating all employee and contractor suitability and security requests.

Processes all required reinvestigations for persons occupying national security and high risk positions and provides national security indoctrination briefings and debriefings to employees approved for security clearances and access to classified information. Serves as adjudicative authority over all agency security clearance denials and revocations. Develops and implements policy, as required, for the FAA's Personnel Security Program, Contractor and Industrial Security Program, and Visitor Procedures for FAA Facilities. Ensures visit requests received for foreign nationals are processed in accordance with current agency policy.

Investigations Program. Title 49, United States Code, Sections 106, 40113, 40114, 46101, and 46104 confers to the Administrator of the Federal Aviation Administration (FAA) the administrative and regulatory investigative functions, powers and duties of the Secretary, Department of Transportation (DOT) as they pertain to aviation safety. The Office of Security and Hazardous Materials performs this function on behalf of the FAA Administrator.

The types of investigations include Administrative, Accountability Board, Civil, Regulatory and other Special Inquiries. This office initiates and conducts investigations on FAA employees, contractors, Non-Employees and Certificated Airman suspected of violating various FAA Orders and Regulations. Serves as investigative authority over agency employee misconduct and Airmen revocations. They develop and implement policy, as required, for the FAA's Investigations Program.

Drug Interdiction Support Program (DISP). The DISP supports the national drug interdiction effort. DISP administers the FAA Drug Investigation Support Program, which provides training to State and Local Law Enforcement departments regarding aviation smuggling.

Driving Under the Influence and Driving While Intoxicated (DUI/DWI) Investigations Program. The Office of Investigations administers the DUI/DWI program, which ensures the safety and security in air commerce and, if necessary remove from navigable airspace pilots who demonstrate an unwillingness to comply with certain safety regulations.

3. The Office of Hazardous Materials (ADG) has three major programs and they all involve the safety of air transportation.

Technical Leadership and National Guidance for Inspectional Workforce. The Office of Hazardous Materials (ADG) directs the operational and regulatory

work of subordinate headquarters staff. ADG develops the strategic goals and annual work plan targets for the nation and serves as the principal technical hazardous materials liaison to the inspectional workforce. ADG provides technical guidance regarding hazardous materials for our Information Technology requirements and coordinates hazardous materials data applications with other Department of Transportation Modal Administrations. ADG advises ASH-1 regarding allocation of staffing budget resources and provides national hazmat guidance to the ASH Budget Officer. ADG serves as the principal hazardous materials advisor to the Office of Security and Hazardous Materials Training Staff.

Hazardous Materials Support and Coordination. The Office of Hazardous Materials provides support to FAA's Flight Standards Service, Office of Airport Safety and Standards, Office of the Chief Counsel, Office of International Aviation, DOT, and the National Transportation Safety Board in a number of areas involving the safe transportation of hazardous materials. ADG provides supports or coordination in the following areas:

- Certification, review, and approval of air carrier hazardous materials training programs;
- Certification, review, and approval of air carrier hazardous materials and operations manual;
- Coordination of national surveillance efforts;
- Coordination and review of airport emergency plans;
- Coordination of National Transportation Safety Board investigations and recommendations;
- Coordination of legal enforcement activities having national impact;
- Coordination of press release information; and,
- Coordination of international issues.

Regulatory and Policy Development. The Office of Hazardous Materials serves as the principal aviation policy advisor to the DOT Research and Special Programs Administration and is responsible for managing FAA's hazmat rulemaking efforts. ADG represents FAA as an advisor to the US delegation to the International Civil Aviation Organization (ICAO) Dangerous Goods Panel of experts. ADG also serves as the principal liaison to the International Air Transport Association's Dangerous Goods Committee. ADG ensures policy coordination regarding air transportation issues with the United States Postal Service and the Department of Defense. ADG serves as a member of the Michigan State University's Packaging Consortium and coordinates policy guidance with the American Society of Testing Materials.

4. The Office of Security and Hazardous Materials Support Staff.

Support Staff. The Support staff includes the Human Resource Management Staff, the Training Staff, the Financial Management Staff, the Information Resource Management Staff, the National Assessment and Strategic Planning Staff, and the National Security Coordination Staff. The Training Staff and the National Security Coordination Staff have functions that extend beyond the normal staff function and are described below.

Security and Hazardous Materials Training Staff.

The ASH mission is to provide quality services to ensure and promote aviation safety in support of national security and the national aerospace system. Our current workforce is aging and a large number of executives, managers and senior agents are eligible to retire. Our office has identified a critical need to prepare existing employees for future vacancies in leadership positions. In addition, special agent job processes are changing due to world terrorism threats and the increased use of technology to improve work processes and our service to the end user. An improperly trained workforce cannot perform the job that is required of them by the FAA and the traveling public.

Training and development of our executive, management, and operational employees is essential in order to plan for future leaders and to provide the required skills for our agent and administrative workforce, who carry out the FAA's internal security, investigations, and hazardous materials regulatory programs. Our goal is to have a highly trained, motivated, productive, and diverse workforce by providing training and career development opportunities in the following critical areas:

- Continuous management development for current and future Managers
- Air Transportation of Hazardous Materials Assessments
- Continuous knowledge and skills development for Agents and Administrative Staff
- Training for International officials focused on establishing Facility Security and Air Transportation of Hazardous Materials Programs in their countries
- Drug Investigations/DUI/DWI Programs
- FAA Investigations

- Personnel Security for Employees and Contract Employees
- FAA Facility Security Management Program
- Intelligence, Terrorism, and WMD
- New Facility Security Technologies for Access Control and ID Media
- Cost Accounting Systems and DELPHI
- COMSEC Account Management

The staff also provides training and supports other LOB/SO goals such as the White House Human Capital Initiative, communication security for the Air Traffic Service and the Regional Operation Centers, and agency-wide education on safeguarding classified and sensitive unclassified information.

National Security Coordination Staff. The ASH National Security Coordination Staff (ASH-60) performs functions which directly support the National Security responsibilities of the FAA. ASH oversees the establishment of intelligence requirements and delivery of intelligence products and services to all FAA Lines of Business by other elements of the US Government. It also validates, coordinates and facilitates all requests by other

agencies for FAA data or action in support of sensitive and classified law enforcement and national security projects. It acts to insure that support of sensitive projects is properly approved, fully supported consistent with FAA primary missions and goals and that operational security is maintained.

Strategic Planning and Evaluation Staff. Evaluation of the progress and effectiveness of security activities within the Office of Security & Hazardous Materials, (ASH), has become increasingly important to stakeholders and decision makers who need to know how funded activities are contributing to the Agency's critical mission and also to employees and managers who seek to continually improve processes to obtain better results.

- Internal Security
- Facilities Security
- Personnel Security
- Internal Investigations
- Drug Interdiction
- Hazardous Materials
- Office Administration
- Management Practices

INCREASED SAFETY



OVERVIEW

The FAA goal is to “achieve the lowest possible accident rate and constantly improve safety.” As stated in the FAA Flight Plan, “Safety is FAA’s primary responsibility. Our dedication to keeping the skies safe is perhaps the single most important step that we can take to revive the industry. Just as aviation is a key component in the economic health of our nation, safety is central to the public’s interest, as well as to the economic health of aviation. Passengers must know they are safe. They will not fly if they do not have confidence in the system.”

The Office of Security and Hazardous Materials has a vital and important role that contributes to FAA’s Strategic “Goal” of Increased Safety. The Office of Security and Hazardous Materials supports the agency with its Internal Security and Investigations programs. These programs ensure the critical infrastructure of FAA and the people that work in those facilities are fully protected. Although there are redundancies built into the National Airspace System, the loss of any facility, especially any FAA employee would be devastating to the FAA mission.

The Office of Security and Hazardous Materials has the agency lead for the safe transportation of hazardous materials in air commerce. In order for FAA to be successful with its mission, the office of Security and Hazardous Materials must successfully accomplish its support and primary roles. Millions of tons of cargo are shipped annually on airplanes and it is estimated that approximately five percent of those shipments are hazardous materials. Hazardous materials can be shipped safely if done so in accordance with the regulations that govern those types of shipments. It is our role and responsibility to ensure the shipper community is properly informed and understands how to properly ship hazardous materials in air transportation. The office of Security and Hazardous Materials will partner with the industry, conduct trend analysis, and focus our efforts to accomplish our goals for the safe transportation of hazardous materials in air commerce.

This Office contributes to the following strategic Safety Objectives outlined in the FAA 2004-2008 Flight Plan:

SAFETY OBJECTIVES

1. Reduce the commercial airline fatal accident rate.

BUSINESS PLAN OBJECTIVES

2. Prevent fatalities resulting from improperly shipped hazardous materials in U.S. air commerce.
3. Ensure FAA people, property, information and assets are fully protected.
4. Ensure the integrity of FAA people, programs, and processes.

A more detailed description of each Objective, including its supporting Initiatives and Performance Targets follows.

The Office of Security and Hazardous Materials (ASH) will support FAA in accomplishing the goal to “reduce the commercial airline fatal accident rate”. AVR is the lead organization within FAA. A more detailed description of each ASH Objective, including its supporting “Strategies”, “Initiatives”, and “Performance Targets” can be found below.

FLIGHT PLAN OBJECTIVE 1: REDUCE THE COMMERCIAL AIRLINE FATAL ACCIDENT RATE. (FP OBJECTIVE 1)

FY04 PERFORMANCE TARGETS

The Office of Security and Hazardous Materials intends to accomplish an initiative that has not been accomplished before in the transportation community. The Office of Security and Hazardous Materials will integrate multiple information sources giving our workforce the capability to better analyze data. The new Office of Security and Hazardous Materials web based platform allows our inspectors and managers to access data from seven different databases to obtain information about shippers of hazardous materials. Our web based platform will link the Research and Special Program Administration's (R) Uniship Program, which contains all hazardous materials civil penalties issued by DOT from 1995 to the present, commercially available information about air shippers in the chemical industry, companies which have been inspected by FAA since 1999, companies that have been responsible for hidden shipments, and companies that have registered with DOT/RSPA to ship certain high level hazardous materials. The analytic capability that this system affords us is a tremendous tool in determining where to focus our resources, and how to target our outreach. In fiscal year 2004, the Office of Security and Hazardous Materials plans to enhance this database so it will automatically analyze the data and project trends and problematic areas. In addition, the Office of Security and Hazardous Materials will share its databases with RSPA and other DOT Modal Administrations. The Office of Security and Hazardous Materials plans to glean information from the other DOT Modal databases as well.

This will give the Office of Security and Hazardous Materials the ability to identify trends as they are occurring and the ability to take preventive measures before an incident occurs. The Office of Security and Hazardous Materials will expand this effort to other modal administrations within DOT.

The Office of Security and Hazardous Materials can be successful with this effort because we control the information that resides in the Enforcement Information System (EIS) and our Inspection database. Other information required to make this effort successful is

available from the industry. Our potential challenge will be the integration of this system with other operating Administrations within DOT. An effort of this type has never been accomplished before. This system, will for the first time, link hazardous materials information from all the modes of transportation. We will overcome this challenge by presenting the benefits of such a system to DOT and the other operating Administrations. We will partner with the operating Administrations to make it successful. We will demonstrate the enhanced benefits of developing a system that allows the DOT workforce to better analyze data, thus taking steps to prevent incidents. This will lead to better utilization of all our resources.

Flight Plan Initiative 1 (FP10). ASH Leads

Share hazardous materials data within the Department of Transportation to prioritize and coordinate inspections and outreach visits, and identify needed changes to policies and rules.

ASH Activity

- A. ASH's Office of Hazardous Materials will implement a system to electronically share hazardous materials data within DOT.

Performance Target: Design, develop, and implement a system to electronically share hazardous materials data within DOT by September 30, 2004.

ASH 1.

Assess and identify needed changes to policies and rules and increase data sharing with shippers of hazardous materials.

ASH Activity

- A. ASH's Office of Hazardous Materials will implement a system to electronically share hazardous materials data with shipper.

Performance Target: Design, develop, and implement a system to electronically share hazardous materials data with shippers by September 30, 2004.

ASH OBJECTIVE 1: PREVENT FATALITIES RESULTING FROM IMPROPERLY SHIPPED HAZARDOUS MATERIALS IN U.S. AIR COMMERCE.

FY04 PERFORMANCE TARGETS

- Decrease the number of declared and undeclared hazardous materials incidents per million revenue ton-miles (multi-year effort).
- Better educate the public, industry, and carriers in the safe transportation of Hazardous Materials by air.

ASH Initiative 1. Implement a Voluntary Disclosure Program for Hazardous Materials.

ASH Activity

- A. The Office of Hazardous Materials will lead the effort within AHS to design, develop and implement a Voluntary Disclosure Program for Hazardous Materials Air Operators.

Performance Target: Implement a Voluntary Disclosure Program for Hazardous Materials Air Operators by September 30, 2004.

ASH Initiative 2.

Increase the Hazardous Materials Program coordination within DOT.

ASH Activity

- A. The Office of Hazardous Materials will lead the effort within ASH to develop an annual work plan in coordination with RSPA.

Performance Target: Develop and implement an annual work in coordination with the DOT's Office of Research and Special Programs Administration (RSPA) by June 30, 2004.

ASH Initiative 3.

Conduct inspections to assess the compliance of shippers with the Hazardous Materials regulations.

ASH Activity

- A. The Office of Field Operations will lead the effort within ASH to conduct inspections of shippers of Hazardous Materials by air.

Performance Target 1: Inspect 9728 Hazardous Materials Shippers during fiscal year 2004 and accomplish the following:

- 3072 - Air carrier station inspections (24 per year per inspector)
- 6144 - Shipper inspections (48 per year per inspector)
- 512 - Repair station inspections (4 per year per inspector)

Performance Target 2: Conduct 768 outreach efforts to educate shippers of Hazardous Materials in FY04. (six per year per inspector)

ASH Initiative 4.

Enhance the Compliance and Enforcement program.

ASH Activity

- A. The Office of Field Operations, Office of Hazardous Materials, and Office of Investigation will lead the effort within ASH to identify areas within the compliance and enforcement program for enhancement. AGC, ASH and AVR will work together to improve the Compliance and Enforcement efforts of the agency. The multi-year goal is to have an Enforcement System that is effective and timely.

The FAA's Compliance and Enforcement Review Team has initiated efforts for targeted enforcement. ASH will work with AGC and AVR in support of this effort.

Performance Target 1: Develop, in coordination with AGC and AVR, an implementation plan for targeted enforcement by September 30, 2004.

Performance Target 2: Enhance the Enforcement Information System (EIS) to allow ASH offices the ability to analyze information for incident reduction by September 30, 2004.

ASH OBJECTIVE 2: ENSURE FAA PEOPLE, PROPERTY, INFORMATION, AND ASSETS ARE FULLY PROTECTED

The Office of Security and Hazardous Materials goals support FAA's Flight Plan. It is clear to most that the Hazardous Materials Program aligns with the safety mission of FAA, but most people fail to align the Internal Security and Investigations programs. This in itself is a challenge for the Office of Security and Hazardous Materials. Both the Internal Security and the Investigations Programs are essential in the protection of FAA's infrastructure. Protection of FAA's people, property, information, and assets are critical to the agency's ability to carry out its mission. The Office of Security and Hazardous Materials is responsible for assisting the agency in addressing security risks associated with terrorism and other criminal acts. Our national security as a whole relies on FAA's ability to safely perform its mission. We will overcome our challenges by ensuring FAA's lines of business and employees are properly informed and educated regarding the mission of the Office of Security and Hazardous Materials.

ASH conducts Facility Security Assessments, which are formal assessments of a facility's Facility Security Management Program. The assessment includes all pertinent data and required protective measures for the primary and all secondary facilities. Facility Security Inspections are an integral part of the Facility Security Management Program. A comprehensive inspection is an on-site review of the status of all security program areas for a facility. It is also designed to monitor the overall facility compliance with the required protective measures identified during previous assessments or inspections.

FY04 PERFORMANCE TARGETS

Reduce security incidents at FAA facilities.

ASH Initiative 1.

Conduct facility Inspections to assess the security of FAA facilities.

ASH Activity

- A. The Office of Field Operations and the Office of Internal Security will lead the effort within ASH to conduct inspections of FAA facilities to assess their compliance with FAA Orders.

Performance Target 1: ASH will conduct 200 assessments and 410 comprehensive inspections of FAA facilities during Fiscal Year 2004.

Performance Target 2: ASH will, in coordination with the Air Traffic Organization, accredit 80% of the facilities identified for accreditation in the Fiscal Year 2004 budget.

ASH Initiative 2.

Conduct information protection program reviews with program offices and lines of business to ensure classified information protection compliance with applicable executive orders.

ASH Activity

- A. The Office of Internal Security and the Office of Field Operations will lead the effort within ASH to accomplish the following performance targets.

Performance Target 1: ASH will conduct 55 classified information protection reviews by September 30, 2004.

Performance Target 2: ASH will conduct 40 Communication Security Inspections by September 30, 2004.

Performance Target 3: ASH will conduct one awareness briefing on how to protect classified and sensitive unclassified information by September 30, 2004.

ASH OBJECTIVE 3: ENSURE THE INTEGRITY OF FAA PEOPLE, PROGRAMS, AND PROCESSES

FY04 PERFORMANCE TARGETS

Implement automated systems and processes to ensure employees and contractors have the proper suitability investigations.

ASH Initiative 1.

Conduct targeted outreach to increase voluntary compliance of pilots with the DUI rule.

ASH Activity

- A. The Office of Investigations and the Office of Field Operations will lead the effort within ASH to conduct outreach activities and awareness briefings in conjunction with the FAA Registry to educate the pilot community on the DUI program.

Performance Target: ASH will conduct two briefings on the Driving Under the Influence (DUI) program by September 30, 2004.

ASH Initiative 2.

Ensure appropriate background checks are conducted on FAA employees and contractors.

ASH Activity

- A. The Office of Investigations and the Office of Field Operations will lead the effort within ASH to conduct background investigations on FAA employees and contractors.

Performance Target 1: ASH will complete background investigations on 90% of 15,000 (est.) (13,500) employees during fiscal year 2004.

Performance Target 2: ASH will complete background investigations on 85% of the identified FAA contractor employees during fiscal year 2004. (FAA contractors vary throughout a given year).

INTERNATIONAL LEADERSHIP



OVERVIEW

The FAA goal is to “increase the safety and capacity of the global civil aerospace system in an environmentally sound manner.” As stated in the FAA Flight Plan, “growth over the next century is going to occur primarily overseas” which means more flights to and from the United States. FAA has lots of intellectual support that it provides to the International Civil Aviation Organization (ICAO) and this must continue into the next century. The Office of Security and Hazardous Materials is committed to providing intellectual support in the form of technical expertise in the areas of safety and security. We are committed to working with our international partners to bring our experience, expertise, and new technology to ensure a safer and more secure global airspace.

This Office contributes to the following strategic International Leadership Objectives outlined in the FAA 2004-2008 Flight Plan:

INTERNATIONAL LEADERSHIP OBJECTIVES

1. Promote improved safety and regulatory oversight in cooperation with bilateral, regional, and multilateral aviation partners.

BUSINESS PLAN OBJECTIVES

1. Prevent fatalities resulting from improperly shipped hazardous materials in U.S. air commerce.
2. Ensure FAA people, property, information and assets are fully protected.

The Office of Security and Hazardous Materials (ASH) has no direct links to FAA’s goals for International Leadership, but will support FAA in accomplishing the goal to “promote improved global safety and regulatory oversight in cooperation with bilateral, regional, and multilateral aviation partners.” The Office of Security and Hazardous Materials has two initiatives that it will accomplish during fiscal year 2004 for International Leadership. A more detailed description of each ASH Objective, including its supporting “Initiatives” and “Performance Targets” can be found below.

A more detailed description of each Objective, including its supporting Initiatives and Performance Targets follows.

FLIGHT PLAN OBJECTIVE 1: PROMOTE IMPROVED SAFETY AND REGULATORY OVERSIGHT IN COOPERATION WITH BILATERAL, REGIONAL, AND MULTILATERAL AVIATION PARTNERS. (FP OBJECTIVE 1)

The Office of Security and Hazardous Materials will conduct outreach activities to at least one country during fiscal year 2004. The Office of Security and Hazardous Materials will share its technical expertise in the safe transportation of hazardous materials by conducting seminars and providing technical training.

FY04 PERFORMANCE TARGETS

- Provide new or expanded technical assistance to 6 key countries or regional authorities.
- Conclude new bilateral agreements recognizing safety certification/approval systems with 2 key countries or regional authorities.
- Secure a 20% increase, over FY03 levels, in financial assistance for international aviation activities from the United States and international government organizations, multilateral banks, and industry.
- No new regional aviation authorities or organizations created in FY04. Activities are occurring to establish regional aviation authorities in FY05 and beyond.

ASH Initiative 1.

A better educated public, industry, and carriers

ASH Activity

A. The Office of Hazardous Materials will implement a hazardous Materials information sharing program.

Performance Target: Design, develop, and conduct one international hazardous materials seminar by September 30, 2004.

ASH OBJECTIVE 1: PREVENT FATALITIES RESULTING FROM IMPROPERLY SHIPPED HAZARDOUS MATERIALS IN U.S. AIR COMMERCE.

The Office of Security and Hazardous Materials goals support FAA's Flight Plan. The Office of Security and Hazardous Materials will develop a training program design to augment the information provided at our International Hazardous Materials Seminars. The Office of Security and Hazardous Materials will share its technical expertise in the safe transportation of hazardous materials by providing technical training.

FY04 PERFORMANCE TARGETS

Better educate the public, industry, and carriers in the safe transportation of hazardous materials by air.

ASH Initiative 1.

Develop an international training program for hazardous materials.

ASH Activity

A. The office of Hazardous Materials will lead the effort within AHS to design, develop and implement an international hazardous materials training program.

Performance Target: Complete the development of an international hazardous materials training program by June 30, 2004

ORGANIZATIONAL EXCELLENCE



OVERVIEW

The FAA goal is to “ensure the success of the FAA’s mission through stronger leadership, a better trained workforce, a closer eye on spending, and improved decision-making based on reliable data.” As stated in the FAA Flight Plan, “the FAA’s workforce is key to achieving our mission.” The Office of Security and Hazardous Materials (ASH) is the newest line of business within FAA, which was formed in July 2003. Our employees have endured some significant and difficult changes. Fiscal year 2002 and the aftermath of the terrorist attacks on September 11, 2001, was a difficult time for the FAA and especially for those of us in Aviation Security. Not only were many of us called upon to take on new roles and responsibilities, we also experienced the dismantling of an organization in which we were proud to serve and the loss of many friends and colleagues to the startup of the Transportation Security Administration.

In many ways ASH is a new organization with a different name and organization than ACS. Where we have the advantage over other start-ups is that we have retained ACS’s greatest asset, our people. Our organization’s strength, and what will make us successful in the future is the 460 plus individuals who have chosen to remain in FAA and be part of our organization. The experience, knowledge, and dedication, which were the hallmarks of ACS’s workforce, are now its legacy and the foundation of our organization.

As we accomplish our mission, providing quality service that is responsive to our customers within the FAA and industry will be our standard. Our organization will continue to operate with integrity while being mission-focused, high-performing, and extremely dedicated.

We are proud to be a part of the FAA family and will strive to ensure the FAA and the ASH organization are successful in accomplishing its mission.

This Office contributes to the following strategic Organizational Excellence Objectives outlined in the FAA 2004-2008 Flight Plan:

ORGANIZATIONAL EXCELLENCE OBJECTIVES

1. Make the organization more effective with stronger leadership, increased commitment of individual workers to fulfill organization-wide goals, and a better prepared, better trained, diverse workforce.
2. Control costs while delivering quality customer service.
3. Make decisions based on reliable data to improve our overall performance and customer satisfaction.

BUSINESS PLAN OBJECTIVES

1. Provide quality services and support.

The Office of Security and Hazardous Materials (ASH) does not have the lead role for FAA’s goals for Organizational Excellence, but has a supporting role. We are committed to support the FAA in accomplishing its goal to “ensure the success of the FAA’s mission through stronger leadership, a better trained workforce, a closer eye on spending, and improved decision-making based on reliable data.” The Office of Security and Hazardous Materials has one major initiative that it will accomplish during fiscal year 2004 for Organizational Excellence.

A more detailed description of each Objective, including its supporting Initiatives and Performance Targets follows.

FLIGHT PLAN OBJECTIVE 1: MAKE THE ORGANIZATION MORE EFFECTIVE WITH STRONGER LEADERSHIP, INCREASED COMMITMENT OF INDIVIDUAL WORKERS TO FULFILL ORGANIZATION-WIDE GOALS, AND BETTER PREPARED, BETTER TRAINED, DIVERSE WORKFORCE. (FP OBJECTIVE 1)

The Office of Security and Hazardous Materials will design and implement a Continuous Growth Program. The Continuous Growth Program will be a two-tier program, the employee tier and the management Tier. The Employee tier is designed for all employees, managerial and non-managerial, within the organization. The employee tier will ensure that all ASH employees continue to maintain a high level of proficiency in technical programs. The employee tier will also ensure all employees gain other skills that will be useful to them in the work environment. The employee tier is designed to ensure all employees gain knowledge, skills, and abilities in a number of areas that the organization considers essential to the overall development of employees. The Office of Security and Hazardous Materials already has several basic courses, which are the baseline courses for technical employees. These basic courses ensure technical employees have gained the basic skills necessary for successful performance of their jobs. These basic courses will also be a part of the employee tier. The employee tier will be referred to as the Employee Development Program (EDP).

The second tier is the Leadership and Management Development Program. This tier is designed for all existing managers and future managers. The Leadership and Management Development Program will have four distinct tracks. Track one is a developmental program designed for developing prospective and future managers. Tracks two, three, and four of the Leadership and Management Development Program will ensure that all existing and future managers have gained a certain set of competencies expected of each manager. The Leadership and Management Development Program will also prepare senior managers for future leadership positions. The Continuous Growth Program, Leadership and Manager Development Tier will be referred to as the Leadership and Management Development Program.

The Office of Security and Hazardous Materials Training Staff will lead ASH's effort in this training initiative.

FY04 PERFORMANCE TARGETS

- Directly relate 80% of all employee performance plans to FAA strategic goals and their organization's performance plans.
- Reduce the time it takes to hire mission critical positions by 3% over FY2003 baseline.

Flight Plan Initiative 1 (FP1). (ASH Supports)

Implement an executive development program. (ASH Support)

ASH Activity

- A. Our top executives will help guide corporate leadership development policies, processes, and programs and will hold their subordinate managers accountable for implementation. They will set an example by personally engaging in ongoing learning activities and will ensure that subordinate managers do likewise. Senior ASH managers and executives will serve as mentors, presenters, and advisors in management development activities.

Performance Target: Participate and support AHR to implement an executive development program during FY04.

Flight Plan Initiative 2 (FP2). (ASH Supports)

Put in place a management workforce planning and development program.

ASH Activity

- A. The Office of Security and Hazardous Materials will design and implement a Continuous Growth Program. The Continuous Growth Program will be a two-tier program, the employee tier and the management Tier. The Employee tier is designed for all employees, managerial and non-managerial, within the organization. The employee tier will ensure that all ASH employees continue to maintain a high level of proficiency in technical programs. The employee tier will also ensure all employees gain other skills that will be useful to them in the work environment. The employee tier is designed to ensure all employees gain knowledge, skills, and abilities in a number of areas that the organization considers essential to the overall

development of employees. The Office of Security and Hazardous Materials already has several basic courses, which are the baseline courses for technical employees. These basic courses ensure technical employees have gained the basic skills necessary for successful performance of their jobs. These basic courses will also be a part of the employee tier. The employee tier will be referred to as the Employee Development Program (EDP).

The second tier is the Leadership and Management Development Program. This tier is designed for all existing managers and future managers. The Leadership and Management Development Program will have four distinct tracks. Track one is a developmental program designed for developing prospective and future managers. Tracks two, three, and four of the Leadership and Management Development Program will ensure that all existing and future managers have gained a certain set of competencies expected of each manager. The Leadership and Management Development Program will also prepare senior managers for future leadership positions. The Continuous Growth Program, Leadership and Manager Development Tier will be referred to as the Leadership and Management Development Program.

Our top executives will help guide corporate leadership development policies, processes, and programs and will hold their subordinate managers accountable for implementation. They will set an example by personally engaging in ongoing learning activities and will ensure that subordinate managers do likewise. Senior ASH managers and executives will serve as mentors, presenters, and advisors in management development activities.”

The Office of Security and Hazardous Materials Training Staff will lead ASH’s effort in this training initiative.

Performance Target 1: Design and develop the second tier of the Continuous Growth Program by September 30, 2004. Implement the program as specific phases are developed and execute Management Development plans as appropriate by September 30, 2004.

Performance Target 2: Conduct 360 degree assessments of 65 managers by April 30, 2004.

Performance Target 3: Develop nine trainers to serve as ASH Situational Leadership trainers by April 30, 2004.

Performance Target 4: Train 65 managers in Situational Leadership by the June 30, 2004.

Performance Target 5: Conduct two orientation classes for current managers by April 30, 2004.

Flight Plan Initiative 3 (FP3). (ASH Supports)

Undertake a timely and effective approach to conflict management.

ASH Activity

- A. Pending guidance regarding specific requirements, we commit to supporting the accomplishment of this corporate initiative.

The Office of Security and Hazardous Materials Human Resource Management Staff will lead ASH’s effort in this initiative.

Performance Target: Support AHR in accomplishing this corporate initiative during FY04.

Flight Plan Initiative 4 (FP 6). (ASH Supports)

Directly link all employee performance plans to FAA strategic goals and line of business and staff office performance plans.

ASH Activity

- A. We will have an activity in our business plan to track the percentage of employees with performance plans in place, and the percentage of performance plans that are directly linked to agency strategic goals and organizational performance plans.

The Office of Security and Hazardous Materials Human Resource Management Staff will lead ASH’s effort in this initiative.

Performance Target 1: Develop and implement a system to track percentage of employees with performance plans in place by April 30, 2004.

Performance Target 2: Link employee performance plans to FAA and ASH strategic goals and organizational performance plans. Track the percentage of employees with linked performance plans by April 30, 2004.

Flight Plan Initiative 5 (FP 8). (ASH Supports)

Put in place a corporate and employee training and development program.

ASH Activity

- A. ASH will participate in the design and development of a corporate employee development program and leverage our existing programs and systems in support of this strategic objective.

The Office of Security and Hazardous Materials Training Staff will lead ASH's effort in this training initiative.

Performance Target: Design and Develop the first tier of the Continuous Growth Program by September 2004. Implement the program as specific phases are developed during FY 2004.

Flight Plan Initiative 6 (FP9). (ASH Supports)

Implement corporate recruitment initiatives.

ASH Activity

- A. ASH will support AHR with corporate recruitment initiatives.

The Office of Security and Hazardous Materials Human Resource Management Staff will lead ASH's effort in this initiative.

Performance Target: Participate and support AHR with the corporate recruitment initiative to reduce the time it takes to hire mission critical positions by three percent over the fiscal year 2003 baseline during FY04.

FLIGHT PLAN OBJECTIVE 2: CONTROL COSTS WHILE DELIVERING QUALITY CUSTOMER SERVICE. (FP OBJECTIVE 2)

The Office of Security and Hazardous Materials has a variety of customers and stakeholders. It is essential to the success of this organization that we deliver exceptional customer service while efficiently controlling our costs. In order to be a global leader in our field, we must align our products and services with the requirements of our customers. Providing exceptional customer service in a most cost efficient manner will assist us in meeting our goal.

ASH has developed an Executive Information System (ExIS) that links various ASH databases. The Executive Information System is a reporting tool used by the Executives, Managers, and various employees to monitor performance of ASH programs. ASH intends to link the Labor Distribution Reporting (LDR) System to ExIS to improve financial management. ASH is in its infancy stage of using LDR financial data. ASH's goal is to get pricing data on all program activities in FY04. ASH will provide its managers training on what the financial data means and how it impacts the organization. By August 2004, ASH expects to have a better understanding of financial data on program areas, allowing for cost-based decisions on activities. ASH will then build its fiscal year 2005 Business Plan with enhanced linkage between financial and operational relationships.

FY04 PERFORMANCE TARGETS

- Secure 10% of the unfunded portion of the strategic plan through budget requests, reprioritization, and cost savings.
- Complete the closeout of 100% (FY2001 baseline) of cost reimbursable contracts by end of FY2004 and maintain timely closure of future contracts.

Flight Plan Initiative 1 (FP1). (ASH Leads)

Annually review our customers' requirements to better align products and services.

ASH Activity

- A. Our top executives will ensure everyone in the organization supports this effort.

Performance Target 1: Implement a process to annually review customer requirements to ensure

our services and products are aligned to meet those needs.

Performance Target 2: Implement a system to ensure effective cost controls are in place during FY04.

Flight Plan Initiative 3 (FP3).

Put in place an agency-wide cost control program using CAS and LDR, including:

- An executive-level review process
- Identification of cross-organizational initiatives focused on controlling operations costs starting with information technology (IT) expenditures. Savings identified will be used to fund unfunded aspects of the Flight Plan
- A program to create incentives for FAA organizations to identify and implement cost savings initiatives

ASH Activity

- A. The Office of Security and Hazardous Materials goals support FAA's Flight Plan. The Office of Security and Hazardous Materials will improve its cost control process by using FAA's cost accounting and labor distribution reporting systems. Our top executives are committed to implementing organization wide cost controls, which include an executive level review. ASH will identify initiatives focused on controlling costs starting with information technology (IT) expenditures. ASH will create incentives for all offices to identify and implement cost savings initiatives. In order for such systems to be effective, all managers must be fully aware and understand the benefits of sound financial management.

Performance Target 1: ASH will develop and implement a system designed to improve financial management by September 30, 2003.

Performance Target 2: ASH will enhance its management training to ensure all managers have a sound understanding of financial management and the use of the Executive Information System data for improved cost controls by September 30, 2004.

Flight PLAN OBJECTIVE 3: MAKE DECISIONS BASED ON RELIABLE DATA TO IMPROVE OUR OVERALL PERFORMANCE AND CUSTOMER SATISFACTION. (FP OBJECTIVE 3)

The Office of Security and Hazardous Materials is the lead office within the FAA for all security related issues. The protection of information, both paper and electronic, is essential to the FAA mission and to our national security. ASH will demonstrate our commitment to security by ensuring all aspects of security are implemented and fully protected. ASH supports the CIO in their role with automated information security.

FY04 PERFORMANCE TARGETS

- Achieve 80% of the designated milestones and maintain 80% of critical program costs within 10% of the total as published in the CIP.
- Achieve 90% of all performance targets in the Flight Plan. Achieve 30 or more of the 33 performance targets in FY 2004.
- Increase customer satisfaction scores on the American Customer Satisfaction Index to 63.
- Achieve 90% of the milestones for the agency information security plan.

Flight Plan Initiative 1 (FP7). (ASH Leads)

Update and implement an agency security plan to protect our information assets.

ASH Activity

- A. ASH will support the activities of the agency in the development of a security plan to protect our information assets. Electronic Government is the future and the protection of electronic information and access to that information is vital. ASH will ensure our information technology meets or exceeds the requirements of the agency security plan.

Performance Target: Implement a security plan to protect our automated information assets during FY04.

ASH OBJECTIVE 1: PROVIDE QUALITY SERVICES AND SUPPORT.

FY04 PERFORMANCE TARGETS

Improved communications with customers and stakeholders.

The Office of Security and Hazardous Materials goals support FAA's Flight Plan. The Office of Security and Hazardous Materials will improve the communications with our customers and stakeholders. The FAA's operation and maintenance of the National Aerospace System (NAS) plays a key part in ensuring the national security of the United States. National security is key to this organization and our coordination with federal, state, local, and foreign governments is essential to the success of FAA. It is essential that communications with federal, state, and local agencies remain open and unimpeded.

ASH Initiative 1.

ASH will enhance communications by supporting and coordinating with federal, state, local, and foreign government agencies in areas of national and aviation security.

ASH Activity

A. The Office of Security and Hazardous Materials, National Security Coordination Staff will lead the effort within AHS to continuously coordinate with federal, state, local, and foreign government agencies in areas of national and aviation security.

Performance Target: ASH will conduct two classified security briefings for the Administrator and Associate or Assistant Administrators during fiscal year 2004.