

FAA Compliance Philosophy

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Federal Aviation
Administration



Our Mission

**Is to find and fix safety issues in the National
Airspace System (NAS)**

**The FAA Compliance Philosophy supports
and reinforces how we perform that mission.**



Challenges to Implementation

- **The agency's organizational culture has traditionally focused on enforcement**
 - Enforcement focus creates an “us versus them” mentality that is at odds with the principles of SMS and the Compliance Philosophy
 - While trends show that the workforce is slowly increasing use of informal actions our training has focused more on enforcement



FAA Compliance Philosophy

- **Emphasizes the accountability of all stakeholders**
- **Compliance with law and regulations is both expected and required**
- **Enables us to focus on how airmen and operators ensure compliance rather than just a determination of whether they comply**
- **Clarifies and reinforces the discretion that we already have via public law and agency policy to use most appropriate means of resolving safety problems**



Compliance Philosophy and the Big Picture

- **The Compliance Philosophy Emphasizes Risk Based Decision Making**
 - It supports a shift to safety management principles
 - It concentrates our resources on risk and problem solving
 - It requires managing operational risks through positive, system-level action by airmen and organizations



FAA Compliance Philosophy

- **It clearly distinguishes between compliance and enforcement**
 - Voluntary compliance is expected
 - Airmen and operators must be willing and able to meet requirements



Inadvertent vs Intentional

- If deviations arise from factors such as flawed procedures, simple mistakes, lack of understanding, or diminished skills, the most effective way to fix the problem is through root cause analysis and compliance action tools. These may include appropriate improvements to procedures and training.
- If, however, deviations arise from intentional or reckless behaviors or if an Airman or operator is unwilling or unable to comply, the FAA will use enforcement tools to resolve the problem and regain compliance.



Compliance Philosophy

- Allows the FAA to work with stakeholders to concentrate resources on controlling risk and solving safety problems
- Compliance and the interaction between FAA and certificate holders may take the form of managing sophisticated programs and formal sharing of structured data, or it may be as simple as an exchange of information between individual airmen and FAA representatives



Compliance Philosophy and the Big Picture

In all cases, the goal of the FAA Compliance Philosophy is to assure compliance, to reduce risk to an acceptable level, and to ensure positive, permanent change.



Questions



Alaskan Loss of Control Accidents 2016

Data From January 1, through September 30, 2016:

- 76 Total Accidents
- 57 Loss of Control



Alaskan Loss of Control Accidents 2016

Loss of Control Categories

Loss of Control -- Primary Factor

- 31 Human Factor

Loss of Control – Secondary Factor

- 12 Hit an object attached to the ground
- 7 Weather (Windshear, ice, etc.)
- 3 Bird Strikes
- 2 VMC into IMC
- 2 Mechanical



Alaskan Loss of Control Accidents 2016

Why do we lose control?

Recent Experience

- General Proficiency
- Proficiency in Particular Operation

Attention to Details

- Cite Selection (Off Airport Operations)
- Weather

Recent Critique

- Set defined parameters for practice/instruction
- Get an honest critique on your flying skills



Alaskan Loss of Control Accidents 2016

FAA Safety Team Resources

- www.faaafety.gov
 - WINGS Pilot Proficiency Program
- **Alaska Resources**
 - www.faa.gov/go/flyalaska/
 - Local FSDO FAASSTeam Program Manager
 - Regional FAASSTeam POC



Alaskan Loss of Control Accidents 2016

Questions and Comments

