

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

N 1100.322

National Policy

Effective Date:
12/08/08

Cancellation Date:
12/08/09

SUBJ: Establishment of the Audit and Evaluation Office (AAE)

1. Purpose of this notice. This notice establishes the Office for Audit and Evaluation in the Office of the Chief Counsel.

2. Who this affects. This notice affects everyone who does business with AGC.

3. Where you can get a copy of this notice. FAA Orders and Notices website:
https://employees.faa.gov/tools_resources/orders_notices/.

4. Background.

a. Currently, the FAA has several different programs and entry points for disclosures and recommendations on safety-related issues and personnel issues, including whistleblower issues. These include, among other sources, four different FAA hotlines, as well as external sources such as the DOT Office of the Inspector General (OIG), the Government Accountability Office (GAO), and the Office of Special Counsel (OSC). In many cases, the various systems operate independently, without a structure that ensures issues are coordinated among the various entities and addressed in a timely and appropriate way. Each forum follows different processes and timelines for documenting issues, investigating them and bringing them to resolution.

b. The FAA is hereby establishing the Audit and Evaluation Office to provide a centralized focus for safety-related complaints and other audits and investigations as identified in this order. The Director will coordinate and provide independent quality control evaluations of certain investigations, and will analyze data from a broad range of sources. However, the Director will not determine the technical merits of safety-related issues or make recommendations for resolution of particular safety-related cases. These determinations will remain the responsibility of the appropriate safety office.

5. Structure. The Staff for the Director for Audit and Evaluation shall consist of:

- a. a Coordinator for OIG and GAO audits;
- b. the Safety Hotline;

- c. the Safety Issues Reporting System;
- d. the Whistleblower Hotline;
- e. the Administrator's Hotline;
- f. the Public Inquiry Hotline (formerly known as the Consumer Hotline); and
- g. such staff as may be requested by the Chief Counsel and approved by the Administrator.

6. Supervision And Oversight. The Director for Audit and Evaluation shall report directly to the Chief Counsel.

7. Function. The Director for Audit and Evaluation shall have the following functions:

- a. Be the primary interface and maintain a continuous liaison with GAO, OSC and the DOT OIG investigations/audit staffs.¹
- b. Record, track, review, and confirm implementation of FAA responses to all DOT OIG, OSC and GAO audits and investigations.
- c. Staff and operate the Safety Hotline, the Whistleblower Hotline, the Administrator's Hotline and the Public Inquiry Hotline, and develop standard procedures and timelines for responding to Hotline issues.
- d. Analyze data from the Safety Hotline, the Whistleblower Hotline, the Administrator's Hotline, and the Public Inquiry Hotline to identify trends and issue reports to the Administrator and appropriate LOBs based on this analysis.
- e. Serve as an alternative point of contact for receipt of safety related disclosures and/or allegations of retaliation against whistleblowers.
- f. Provide intervention assistance for managers to help resolve workplace conflicts.
- g. Conduct an initial review of disclosures, complaints and investigations received, including an immediate assessment (in consultation with appropriate parties), and review responses for consistency and appropriateness of handling.
- h. Task appropriate organizations for investigation and resolution of issues raised to the Safety Hotline, the Whistleblower Hotline, the Administrator's Hotline, or the Public Inquiry Hotline within a specified time.
- i. Liaison with the Director of the Accountability Board.

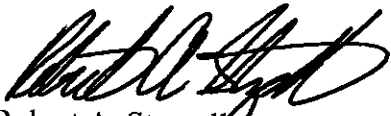
¹ Inquiries involving FAA employee conduct and discipline shall be coordinated with the FAA Office of Security and Hazardous Materials and conducted in accordance with FAA Order 1600.38E.

j. Provide guidance to lines of business and staff offices on how to conduct investigations thoroughly and impartially.

k. Assess whether investigations and resolutions are fair, impartial, and in conformance with established processes.

8. Prohibition on Retaliation. FAA employees are entitled to contact the Director for Audit and Evaluation without fear of reprisal. Retaliation against employees who do so is prohibited

9. Distribution. This notice is distributed to the division level in the Washington headquarters, regions and centers with distribution to each field office and facility. Attached as Appendix A is the Office of the Chief Counsel Organization Chart.



Robert A. Sturgell
Acting Administrator

Appendix A. Office of the Chief Counsel Organization Chart

