ORDER

1100.1A

REPRINTED TO
INCLUDE CHANGES 1-6

FAA ORGANIZATION—POLICIES AND STANDARDS

January 19, 1961

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Distribution: A-WXYZ-3; A-FOF-0 (LTD)

Initiated By: AMS-530

RECORD OF CHANGES

DIRECTIVE NO. 1100.1A

CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL	CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL
1				01/25/82					
2				08/09/83					
3				03/28/84					
4				12/10/85					
5				07/10/86					
6				03/02/87					

FOREWORD

The FAA Organization Manual is the principal medium by which the Administrator establishes major organizational concepts and structures, assigns missions and functions, and delegates authority.

The order contains general organizational policies, standards, concepts, and philosophy applicable throughout FAA. It provides the basic authority for controlling and modifying the FAA organization and for obtaining the necessary approvals for appropriate changes. It provides criteria for establishing and procedures for annually certifying to the continuing need for assistant supervisory and special assistant positions.

The material in this order provides direction for the initiation and accomplishment of all types of organizational changes, including notification to the Secretary and Members of Congress of significant changes in field elements.

This order also authorizes the Director of Management Systems to issue changes to this order if the change does not affect policy, delegations of authority, or assignment of responsibilities, and if authority to make the change has not been specifically reserved by the Administrator.

Langhorne Bond
Administrator

TABLE OF CONTENTS

	Page No.
CHAPTER 1. GENERAL.	1
SECTION 1. INTRODUCTION.	1
1. Purpose.	1
2. Distribution.	1
3. Cancellations.	1
4. Explanation of Changes.	1
5. FAA Organization Manual.	2
6. Purpose and Authority of the FAA Organization Manual.	2
7. Organization Manual Format.	3
8. Changes to this Directive.	4
9. RESERVED.	4
SECTION 2. CONTROL OF ORGANIZATION AND DELEGATION.	7
10. Authority to Modify Organization and Redelegate Authority.	7
11. Responsibility for Modifying Organization and Delegating Authority.	9
12. Documentation of Delegations.	11
SECTION 3. OBTAINING APPROVAL OF ORGANIZATIONAL CHANGES.	12
13. Obtaining Approval of Organizational Changes in Washington.	12
14. Obtaining Approval of Organizational Changes in Regional Headquarters and Centers.	15
15. Obtaining Approval of Changes in Field Elements.	18
SECTION 4. NOTIFICATION OF CHANGES IN FIELD ELEMENTS.	23
16. Notification to the Secretary and Members of Congress.	23
17. Exceptions to Requirement to Notify the Secretary.	24
SECTION 5. CRITERIA FOR ESTABLISHING ASSISTANT SUPERVISORY AND SPECIAL ASSISTANT POSITIONS AND ANNUAL CERTIFICATION PROCEDURES.	25
18. Criteria for "Assistant" Supervisory Positions.	25
19. Criteria for Use of "Special Assistant" and "Assistant to" Positions.	25
20. Certification of "Assistant," "Special Assistant," and "Assistant to" Positions.	26
21. Exceptions.	26
22.-29. RESERVED.	26

	Page No.
CHAPTER 2. OVERALL AGENCY STRUCTURE AND RESPONSIBILITIES.	31
Figure 2-1. FAA Organization Chart.	33
Figure 2-2. FAA Functional Organization Chart.	35
Figure 2-3. FAA Associate Administrator Functional Organization Chart.	37
30. Introduction.	41
31. Administrative Levels of Organization.	41
32. Washington Headquarters.	41
33. Federal Aviation Administration Technical Center	43
34. Mike Monroney Aeronautical Center.	43
35. Metropolitan Washington Airports.	43
36. Europe, Africa, and Middle East Office.	43
37. Regions.	44
38.-49. RESERVED.	44
CHAPTER 3. SPHERES OF RESPONSIBILITY.	51
50. Purpose.	51
51. Agency Policy.	51
52. Programs.	51
53. Implementing Guidelines, Standards, Systems, and Procedures.	52
54. Operations.	52
55. Decentralization.	52
56. Authority.	53
CHAPTER 4. COMMUNICATION, COORDINATION, AND CONCURRENCE.	55
57. Communication.	55
58. Coordination and Concurrence.	55
59. Review and Evaluation.	57
APPENDIX 1. DEFINITIONS OF FAA ORGANIZATIONAL TERMS (2 Pages)	1
APPENDIX 2. FAA ORGANIZATIONAL AND POSITION TITLES (2 Pages)	1
APPENDIX 3. SUMMARY OF ORGANIZATIONAL CHANGE PROCEDURES (7 pages)	1
APPENDIX 4. DOT ORGANIZATIONAL AND POSITION TITLES (2 Pages)	1

a. Mission Statement. It describes the goals and objectives of the organization. This statement is required for each office, service, center, region, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports. It is also required for regional and center divisions.

b. Functional Organization Chart. Order 1100.2A shall contain a functional organization chart for each office and service. Order 1100.5A shall contain a functional organization chart for the Aeronautical Center, the FAA Technical Center, the Europe, Africa, and Middle East Office, and Metropolitan Washington Airports, and will illustrate each division level organizational element.

c. Regional Organization Chart. Order 1100.5A shall contain an organization chart for each region. These charts will illustrate division
* and branch level organizational elements and field offices. Each region is responsible for submitting to the Office of Management Systems a copy of the region's current organization chart illustrating division and branch titles and routing symbols.

d. Functional Statements. These will be used at all organizational levels. Summary references to programs may be used. The functional statement, along with the Special Delegations paragraph, is the official assignment of authority and responsibility and should be sufficiently definitive for these purposes.

e. Special Delegations. These express delegations from the Administrator to office, service, regional, and center directors, the Director, Europe, Africa, and Middle East Office, and the Director, Metropolitan Washington Airports, or to any specific member of a particular element. Delegations to the chiefs of regional divisions are not shown in the manual unless they are made directly by the Administrator.

f. Special Relations. These may be used as necessary, but sparingly, to amplify the functional statements; where they express relations with elements outside the office, service, region, center, Europe, Africa, and Middle East Office, or Metropolitan Washington Airports, concurrence is required from the affected elements. In some instances, special relations between regional divisions may be established by the Administrator.

8. CHANGES TO THIS DIRECTIVE. This directive may be changed by the Director of Management Systems if the change does not affect policy, delegations of authority, or assignment of responsibilities, and authority to make the change has not been specifically reserved by the Administrator.

9. RESERVED.

b. On these matters, the manual is the basic authority within the agency. All agency activities and documents which reflect organization, assignment of responsibility, or delegation of authority must conform to the manual. This includes, but is not limited to, documents such as supplementary organization directives, position descriptions, telephone listings, and information released to the public. The manual may be overridden only after written authority is obtained from the Administrator. These decisions by the Administrator shall be followed by amendments to the manual.

c. The manual covers FAA organization generally down to and including the * division level in offices, services, regions, centers, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports, but includes * elements below these levels when prescribed by the Administrator.

d. Organizational material for organizations established below the levels prescribed by the manual shall be published in supplementary organizational directives issued by the appropriate region, office, service, the Aeronautical Center, FAA Technical Center, the Europe, Africa, and Middle East Office, or Metropolitan Washington Airports. These directives have the same standing and authority within their areas of coverage as the manual has for the agency.

e. The manual also contains explicit or implicit (see paragraph 12) delegations of authority from the Administrator. Redelegations of explicitly delegated authority shall be published in supplementary organizational directives.

f. The authoritative and definitive status of the manual provides a basis for accountability for all key officials.

g. The manual emphasizes the unified, integrated, and single-purpose nature of FAA.

h. The manual provides a guide to agency officials in determining where functions are performed, where information may be secured, and points of coordination.

7. ORGANIZATION MANUAL FORMAT. Organizational descriptions shall consist of the components indicated below as prescribed and shall conform to the format and descriptions illustrated in appendixes to Orders 1100.2A and 1100.5A. Formats for unique organizations will be developed as necessary. The Director of Management Systems may authorize other deviations from the prescribed format to meet other special situations.

SECTION 2. CONTROL OF ORGANIZATION AND DELEGATION

10. AUTHORITY TO MODIFY ORGANIZATION AND REDELEGATE AUTHORITY.

a. The Secretary of Transportation has reserved the authority to:

(1) Establish, define, and authorize changes in the overall organizational concept and structure of the Department of Transportation.

(2) Assign functions and delegate authority to the Federal Aviation Administration and require advance notice of changes in the missions or overall functional statements of offices, services, regions, centers, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports.

(3) Require advance notice of:

(a) Proposals to establish, abolish, or relocate regional offices and centers, and to make significant changes to field offices and facilities which may create Congressional, aviation public, or news media interest, as described in paragraph 16.

(b) Significant proposed changes in the geographic jurisdiction of regional offices and field offices.

(c) Any proposals to centralize functions or activities in Washington headquarters from the field or to decentralize functions from Washington headquarters to field elements.

b. The Administrator, subject to the limitations of paragraph 10a, reserves authority to define, establish, and assign organizational concepts, basic missions, and broad functions and to authorize changes requiring major reallocations of resources. The Administrator specifically reserves authority to:

(1) Establish or change the structure of and allocate functions to:

(a) Office, service, and division level elements in the Washington headquarters. This includes changes in locations at which Washington headquarters functions at any level are performed.

* (b) Regional headquarters down through the division level. *

(c) The Aeronautical Center, the Federal Aviation Administration Technical Center, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports down through the division level.

(d) Any level in specified instances.

(2) Open, close, consolidate or relocate, or change the hours of operation of a field element, except in instances specified in paragraph 10c(5).

(3) Establish new types of field elements or so modify the mission or functions of a field element as to change its basic character.

(4) Change the geographic jurisdiction of a regional or a district office. However, regional directors are authorized to execute interregional and interdistrict office agreements or arrangements for handling phases of programs across boundary lines.

(5) Establish "Deputy" positions reporting to office, service, regional, and center directors, to the Director, Europe, Africa, and Middle East Office, and to the Director, Metropolitan Washington Airports. Requests to establish such positions shall be sent to the Administrator through the Executive Personnel Staff.

(6) Change organizational titles (of positions or elements) previously prescribed and approved by the Administrator through the FAA Organization Manual or through any other directive. Any additional title changes must be approved in advance by the Administrator.

(7) Change mission or functional statements in the FAA Organization Manual, except as provided in paragraph 10c.

c. Regional directors are delegated authority to:

* (1) Approve changes below the staff and division level without prior Washington headquarters approval or coordination.

(2) Approve changes at the division and staff level provided that the required submission of such a change to the Washington headquarters for coordination does not result in the specific disapproval by the Administrator within 45 calendar days of the date that the proposed change is received in the Office of Management Systems.

(3) Physically place elements of the regional divisions at locations other than regional headquarters if in their judgment this is necessary and can be accomplished within available position and dollar ceilings.

(4) Relocate or consolidate existing field offices of any type within the same city, metropolitan area, or commuting area, provided that no more than one Congressional district is involved.

(5) Increase operating hours of any field element or make minor reductions (less than 4 hours) within budgetary and staffing limitations.

d. Regional directors may request the Administrator to authorize specific modifications in structure or assignment of functions for a given region when they do not have that authority themselves.

e. Office, service, regional, and center directors, the Director, Europe, Africa, and Middle East Office, and the Director, Metropolitan Washington Airports, are delegated authority to make changes in structure, authority, or responsibility at branch level and below, except in specified instances prescribed by the Administrator.

f. Office, service, regional, and center directors, the Director, Europe, Africa, and Middle East Office, and the Director, Metropolitan Washington Airports, are authorized and encouraged to redelegate authority for organizational and functional changes within their organization except where specifically limited. These redelegations shall be shown in the supplementary organizational directives of offices, services, regions, centers, the Europe, Africa, and Middle East Office, and Metropolitan Washington Airports. Each head of an organizational element shall insure that the element is organized effectively and that adequate redelegations have been made for accomplishment of the mission. Control over organizational structure and allocation of functions two levels below that of the head (that is branch level) should generally be retained by the organizational head.

g. The Associate Administrator for Administration has been delegated limited authority by the Administrator for approval of proposals for organization change and functional allocations at the division level and above. This authority is limited to those proposals which do not involve substantial interest to the Department, significant controversy, major reallocation of resources, or interest by Congress.

11. RESPONSIBILITY FOR MODIFYING ORGANIZATION AND DELEGATING AUTHORITY.

a. Office, service, regional, and center directors, the Director, Europe, Africa, and Middle East Office, and the Director, Metropolitan Washington Airports, shall:

(1) Effect necessary changes within the level of their authority and recommend changes above that level. Coordination between operating officials, and budget, personnel, and management systems officials is essential. Any organizational proposal at any level that may have an adverse effect on or raise a current Senior Executive Service position, or may result in a requirement for additional Senior Executive Service positions, must be coordinated with the Office of Personnel and Training (APT),

and as determined by APT, with the Office of the Secretary. All operating officials are responsible for applying good position management principles when they consider reorganizations. This consideration should take into account the impact of classification and qualifications of employees affected, in order to assure good personnel management from a regulatory standpoint. The implementation of organizational change can have an impact on the terms of employment and the working conditions of employees. The union which represents employees affected must be notified so that it may, if it chooses, request bargaining on the impact of such change. Therefore, early coordination and involvement of the appropriate personnel office is important before the reorganization proposal is completed.

(2) Make or initiate necessary notifications when a staffed field office or facility element under their line direction is opened, closed, consolidated, or relocated; or when the hours of operation of an Air Traffic Control tower or flight service station are reduced four or more hours, except where there are Congressional constraints in effect. Guidance and procedures are contained in appendix 3. Also see paragraph 15 for decommissioning procedures and appendix 1 for definitions of field offices and field facilities.

(3) Submit proposed functional statements requiring the Administrator's approval in directives format for publication in the FAA Organizational Manual (1100.2A or 1100.5A, as appropriate). The transmittal letter should describe the rationale for the change and the assessment of impact on resources, as specified in paragraphs 13b(3) and 14b(2). An organizational element should not normally be subdivided unless it will contain subelements, each of which contains three or more non-support positions in addition to the supervisor.

(4) Draft new organizational charts to include new organizational titles, paragraph numbers referencing the new functional statements to be published for each organizational element, and, if applicable, new routing symbols proposed.

(5) Establish an internal delegation and organizational review and control system compatible with the system established by this order and providing for the issuance of supplementary organization directives and other necessary documentation of redelegations. Whenever administrative delegations are made, it is with the understanding that the authority may be redelegated unless the delegation specifically states otherwise.

(6) Evaluate and provide advice on the adequacy of delegations and organizational provisions for functions performed in the field for which they have a functional or line responsibility.

b. Office, service, regional, and center directors, the Director, Europe, Africa, and Middle East Office, and the Director, Washington Metropolitan Airports, shall review documents and actions within their functions (such as budget submissions and personnel actions) for adherence

c. The Office of Management Systems:

(1) Has technical responsibility for the system of delegation and for organizational matters in the agency; conducts a continuing program of analysis, advice, and assistance aimed at the progressive improvement of FAA organization, management, and administrative systems.

(2) Analyzes and evaluates organizational proposals, delegations, and assignment of functions; ensures these proposals are fully coordinated with all elements and differences resolved wherever possible.

(3) Submits completed organizational proposals through established channels to the Administrator with a letter outlining the changes, including advantages, possible disadvantages, or problem areas, impact on personnel and resources, and recommendations with any proposed modifications.

(4) Prepares necessary action documents and guides the implementation of changes, including the assignment of standard routing symbols.

(5) Maintains the master FAA Organization Manual including related directives.

(6) Ensures that organizational proposals at any level that involve current or proposed Senior Executive Service positions have been coordinated with the Office of Personnel and Training.

12. DOCUMENTATION OF DELEGATIONS.

a. All delegations shall be in writing in an official document. They may be contained implicitly or explicitly in directives, procedural statements, functional statements, position descriptions, or the like. Implicit delegations of authority are based on the FAA management concept that all authority of the Administrator is delegated to the next lower level, and may be redelegated, unless explicitly reserved. Delegations should be reflected in position descriptions. However, the position descriptions are not the instruments by which authority is delegated.

b. Special delegations (see paragraph 7e) shall be explicitly documented under a "Special Delegations" paragraph in the FAA Organization manual when one of the following applies:

(1) There is a legal requirement for such documentation.

(2) They are significant delegations to Washington headquarters executives to take action which is binding on the agency.

c. Delegations which essentially modify or are necessary for interpretation of functional statements shall be published in the manual or an appropriate supplementary directive. Delegations from the Administrator to an agency official, or to any organizational level to which a direct delegation is made, shall be published in the manual either as a specific delegation or through a functional assignment made at the appropriate level. Generally, the Administrator will make delegations to the office, service, center, and regional level and above, but may, under special conditions, make delegations directly to a division chief or lower.

d. Delegations which need not be published in the manual are those which are:

(1) Inherent in any executive or supervisory position (e.g., authority to assign tasks or discipline employees).

(2) In conformity with published general grants of administrative authority made at a stated level (e.g., authority to sign travel orders).

(3) Contained in and clearly stated in published functional statements.

(4) Internal to a work group, and there is no legal or working need for them to be known outside that group.

(5) Redelegations. They shall be published in supplementary organization directives.

e. Details of delegations from the Administrator which are an integral part of technical standards, procedural flow, or policy delineation should be published in the appropriate order, handbook, or other directive. Cross-references to such other directives may be used in the manual.

f. Proposed documents and actions, including forms, reports, directives, technical manuals, and the like, shall be reviewed by the establishing office and made compatible with established delegations.

SECTION 3. OBTAINING APPROVAL OF ORGANIZATIONAL CHANGES

13. OBTAINING APPROVAL OF ORGANIZATIONAL CHANGES IN WASHINGTON.

a. Secretary's Approval. Notification to and reply from the Secretary is required on organizational proposals to establish, abolish, or combine organizations at the office and service level and above; or to change the mission or overall functional statement of any of these organizations. A complete organization change proposal must be sent to the Secretary with a copy to the
* Assistant Secretary for Administration as prescribed in paragraphs 13b(3) and 13b(4). The Administrator's approval is required to establish an "interim" organization, or to reorganize prior to obtaining final approval of the proposed change. This includes, but is not limited to, retitling organizational elements, changing reporting lines, realigning staff, physical relocations, delegations of authority, changing routing symbols and organizational titles in the DOT Telephone Directory, public announcements of proposed changes, etc. *

Following the Administrator's approval of the interim change to the organization, the Assistant Secretary for Administration must be advised regarding the interim arrangements. *

(1) The memorandum to the Secretary is prepared by the Office of Management Systems, with input from the originating office, for the Administrator's signature and is coordinated with the Office of Budget. The memorandum must contain a concise description of the proposed change and a general justification for the change; information on the expected impact on program costs and benefits; a list of OST organizations contacted for informal or preliminary coordination; the desired effective date of the change (normally, 30 days); and a recommendation on the need for press releases. Enclosed as part of the memorandum must be a copy of the current or proposed overall FAA organization chart that shows the allocation of personnel to each affected organizational element, both before and after the proposed change.

(2) The memorandum must also transmit a proposed change, prepared in final format, to the DOT Organization Manual. This includes a change transmittal, FAA organization charts, as necessary, and revised or added pages. The DOT Organization Manual change shall be prepared by, or in collaboration with, the Office of Management Systems.

(3) A change to Order 1100.2B, Organization - FAA Headquarters, shall be prepared and coordinated with affected offices and services. This change, along with documentation in paragraphs 13a(1) and 13a(2), is forwarded to the Administrator. If the Administrator concurs, the DOT Organization Manual change is forwarded to the Office of the Secretary. The FAA change is returned to the
* Office of Management Systems. After receipt of the Secretary's approval, the change is forwarded to the Administrator for approval. See clearance and approval process outlined in appendix 3.

b. Administrator's Approval.

(1) Approval Authority. The approval of the Administrator is required on proposals to establish, abolish, or combine organizations at the office and service level and above, and to change the mission, organization, and functions down through the division level of such organizations. However, the Administrator has delegated limited authority in paragraph 10g to the Associate Administrator for Administration to approve proposals for organizational changes and functional allocations at the division level and above, whenever such
* proposals are not of substantial interest to the Department and do not involve significant controversy, major reallocation of resources, or interest by the Congress. The Administrator's approval is required to establish an "interim" organization or to reorganize prior to final approval as discussed in paragraph 13a. *

(2) Coordination Prior to Submission. Office and service directors shall coordinate proposed changes to their own organizations within Washington headquarters before submitting them for approval. When such changes affect the functions or authorities of the regions, they shall coordinate the proposed change (and complementary changes, if any, to regional chapters) with the regions.

(3) Form of Submission.

(a) Proposed changes shall be submitted to the Administrator, through the Office of Management Systems, in FAA Organization Manual format and in the same manner as other directives which require the Administrator's approval. The submission shall be transmitted by memorandum identifying the changed or deleted material, describing the need for and objectives to be gained by the change, and assessing the resource impact. Any working papers or staff studies relevant to the change that will permit a clearer understanding of the issue shall be included as part of the documentation package. A transmittal memorandum may not be needed for certain minor changes that can be explained in brief terms on the clearance record. However, it is advisable to coordinate first with the Office of Management Systems before using this option.

(b) The assessment of resource impact shall include, but not necessarily be limited to, the following information. This information aids in the approval process and is not a substitute for any other process, nor does it imply tacit approval of the resource requirement.

1 Number of positions assigned in the current organization.

2 Number of positions required by the proposed organization.

3 Proposed source of any additional positions required.

4 Number of promotions and demotions (including Senior Executive Service positions). If exact numbers are too difficult to obtain, a general statement of the possible effects on positions and employees may be provided.

5 Anticipated changes in ratio of supervisory to nonsupervisory positions.

6 Proposed disposition of any surplus positions, including positions abolished.

(c) The memorandum shall also include the implementing plans developed with the assistance of the servicing personnel organizations. The plans shall include such information as: method of filling additional positions; anticipated or potential adverse actions; plans for consulting with employee organizations (if applicable); and means of communicating the information to affected employees.

(d) A space management plan covering the location or relocation of employees should also be included, if appropriate.

(4) Submission for Approval. The Office of Management Systems ensures that the proposed changes are fully coordinated with affected elements and submits the changes with the necessary documentation to the Administrator through appropriate channels. *

c. Changes Within Authority of Office and Service Directors.

(1) Office and service directors, in exercising their authority to make adjustments at branch level and below as described in paragraph 10e, shall initiate such changes to supplementary organizational directives as may be necessary.

(2) Each office and service director shall establish procedures compatible with the provisions of the FAA Organization Manual for internal
* organization actions. This includes following the basic guidance regarding reorganizations or the establishment of interim organizations. *

14. OBTAINING APPROVAL OF ORGANIZATIONAL CHANGES IN REGIONAL HEADQUARTERS AND CENTERS.

a. Secretary's Approval. Notification to, and reply from, the Secretary is required on organizational proposals to establish, abolish, or relocate regional offices, national centers, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports; to make changes in regional boundaries; or to change the mission or overall functional statement of any of these organizations. A complete organization change proposal must be sent to the
* Secretary with a copy to the Assistant Secretary for Administration. The reply or approval from the Secretary must be received before the proposed organizational changes can be implemented. *

(1) The letter to the Secretary, prepared by the Office of Management Systems for the Administrator's signature, must contain a concise description of the proposed change and a general justification for the change; information on the expected impact on program costs and benefits; a list of OST organizations contacted for informal or preliminary coordination; the desired effective date of the change (normally, 30 days); and a recommendation on the need for press releases. Enclosed as part of the letter must be a copy of the current or proposed overall FAA organization chart that shows the allocation of personnel to each affected organizational element, both before and after the proposed change. Those proposals concerning changes in geographic jurisdiction need only contain a description of the change, including "before" and "after" maps, and a justification for the change; expected program costs and benefits; a list of OST organizations contacted for informal or preliminary coordination; the desired effective date of the change; and a recommendation on the need for press releases.

(2) The letter must also transmit a proposed change, prepared in final format, to the DOT Organization Manual. This includes a change transmittal, FAA organization charts, as necessary, and revised or added pages. The DOT Organization Manual change shall be prepared by, or in collaboration with, the Office of Management Systems.

(3) A change to Order 1100.5B, FAA Organization - Field, shall be prepared and coordinated with affected offices and services. This change, along with the documentation in paragraphs 14a(1) and 14a(2), is forwarded to the Administrator. If the Administrator concurs, the DOT change is forwarded to the
* Office of the Secretary. The FAA change is returned to the Office of Management Systems. After receipt of the Secretary's approval, the change is forwarded to the Administrator for approval. *

b. Administrator's Approval.

(1) Approval Authority. The approval of the Administrator is required on proposals to establish, abolish, or combine regions, to relocate regional headquarters, or to change regional boundaries; to change the functions and organization of the regions down through division level; to abolish or relocate the national centers, the Europe, Africa, and Middle East Office, and the Metropolitan Washington Airports, or to change their functions and organization down through the division level. However, the Administrator has delegated authority to the Associate Administrator for Administration to approve proposals for organizational changes and functional allocations, whenever such proposals do not involve substantial interest to the Department, significant controversy, * major reallocation of resources, or interest by the Congress, or have been previously approved in concept by the Administrator. Prior approval of the Associate Administrator for Administration is required to establish "interim" organizations or to reorganize under this delegation of authority. *

(2) Form of Submission.

(a) Proposed changes shall be submitted by regions and centers to the Administrator, through the Office of Management Systems, in FAA Organization Manual format and in the same manner as other directives which require the Administrator's approval. The submission shall be transmitted by memorandum identifying the changed or deleted material, describing the need for and objectives to be gained by the change, and assessing the resource impact. Any working papers or staff studies relevant to the change that will permit a clearer understanding of the issues shall be included as part of the documentation package.

(b) The assessment of resource impact shall include, but not necessarily be limited to, the following information. This information aids in the approval process and is not a substitute for any other process, nor does it imply tacit approval of the resource requirement if additional regional resources are required to fully implement the change.

1 Number of positions assigned in the current organization.

2 Number of positions required by the proposed organization.

3 Proposed source of any additional positions required.

4 Number of promotions and demotions (including those in the Senior Executive Service). If exact numbers are too difficult to obtain, a general statement of the possible effects on positions and employees may be provided.

5 Anticipated changes in ratio of supervisory to nonsupervisory positions.

6 Proposed disposition of any surplus positions, including positions abolished.

(c) The memorandum shall also include the implementing plans developed with the assistance of the servicing personnel organizations. The plans shall include such information as: method of filling additional positions; anticipated or potential adverse actions; plans for consulting with employee organizations (if applicable); and means of communicating the information to affected employees.

(3) Submission for Approval. The Office of Management Systems assures that the proposed changes are fully coordinated with the offices and services that have a functional interest and with other elements as appropriate; and submits the changes with the necessary documentation to the Administrator through appropriate channels.

c. Changes within Authority of Regional and Center Directors, the Director, Europe, Africa, and Middle East Office, and the Director, Metropolitan Washington Airports.

* (1) To make adjustments described in paragraphs 10c(1) and 10e, these officials shall initiate such changes to their own supplementary organizational directives as may be necessary. *

(2) These officials shall establish procedures compatible with the provisions of the FAA Organization Manual for internal organization actions.

15. OBTAINING APPROVAL OF CHANGES IN FIELD ELEMENTS.

a. Opening, Closing, Consolidating, or Relocating Field Offices and Facilities. Generally, items to be referred for approval are those which will affect staffing, result in significant changes to field offices, facilities, or services to the public, or create Congressional, aviation public, or news media
* interest. (Refer to paragraph 17 for more information on exceptions.) *

(1) These proposals should be submitted at least 90 days before the proposed effective date. As a part of the agency's concern for the potential impact on employees, such proposals should be coordinated with the operating human resource management division well in advance of any decision to close facilities, etc. Submission of such proposals is required even though the change may have been previously approved by the Administrator and the Congress through the budgetary process. This lead time should make it possible, in most cases, to give interested members of Congress up to 30 days advance notification after the required 10-day waiting period following notification to the Secretary. Consideration should be given to providing additional lead time if prior coordination with the operating human resource management division has indicated that there may be human resource management issues in implementing the change. Sufficient lead time should also be planned so that exclusive representatives of employees affected by organizational changes can be given advance notification in order to request bargaining on the impact of the change on bargaining unit employees.

(2) The proposal should include the following information as applicable: reason for the change and possible reactions to it (include the opinions of Federal, State, and municipal government officials and military authorities having an interest in the matter, if known); number of, and proposed disposition of, personnel and positions affected; one-time and annual recurring costs versus savings involved; changes in workload distribution; geographical boundary and jurisdictional changes; explanation of how users will be affected; impact on services available before and after the change; and proposed effective date. Also see paragraph 16a(1).

(3) Proposals to open, close, consolidate, or relocate field offices and facilities shall be submitted by the regional director to the Administrator through the concerned associate administrator:

* (a) Associate Administrator for Air Traffic on air traffic field offices, facilities, and services.

(b) Associate Administrator for Aviation Standards on flight standards field offices, aircraft certification offices, civil aviation security field offices, and flight inspection field offices.

(c) Associate Administrator for Airports on airport district offices.

(d) Associate Administrator for Development and Logistics on * airway facilities field offices.

* (4) The concerned Washington office shall coordinate the proposal with the Office of Management Systems, the Special Projects Staff (AOA-10), the Office of Budget, the Office of Public Affairs, other appropriate offices and services, the Associate Administrator for Human Resource Management, and the Associate Administrator for Administration. The Office of Aviation Safety should also be included in the coordination process when there is a proposal to decommission Air Traffic facilities and services. *

(5) Paragraph 16 outlines the procedures to be followed in notifying the Secretary and Members of Congress of those actions which have an impact on staffing and service to the public. Also see appendix 3 for steps in the notification procedures. PRELIMINARY coordination of proposals in the study stage is encouraged with Members of Congress, concerned officials, and users BEFORE formal proposals are submitted by regional directors to the Administrator. Each situation is a matter of judgment to be exercised by the regional director. However, regional directors are required to delay official announcement of an approved change until after the expiration of 10 working days following the transmittal date of the notification to the Secretary by the Administrator. The Secretary should learn of significant plans, developments, and effective dates through Departmental channels rather than from external sources in order to be prepared for any necessary actions.

b. Decommissioning of Air Traffic Facilities and Services.

(1) As a rule, facilities and services not listed in paragraph 15b(2) may be decommissioned without advance notice to, and approval from, the Administrator, but must still be reported in accordance with the provisions of Order 7900.2A, Reporting of Electronic Navigation Aids and Communications Facilities Data to the National Flight Data Center. Some examples are:

(a) Limited aviation weather reporting service (LAWRS).

(b) Automatic terminal information service (ATIS).

(c) Airport surface detection equipment (ASDE).

(d) Direction finder (DF, UDF, VDF, UVDF).

(e) Transcribed weather broadcast (TWEB).

(f) Air traffic control radar beacon system (ATCRBS).

(g) Very high frequency omnidirectional range - test facility (VOT).

(h) Fan marker (FM).

(i) Sequence flashing lights (SFL).

(j) Visual approach slope indicator (VASI).

(k) Runway end identification lights (REIL).

(l) Weather observations by FAA (unless change in an FAA facility is involved).

(m) Airport information desk (AID) at level I FSS.

(n) Flight assistance telephone (FAS, Enterprise/Zenith).

(o) Very high frequency omnidirectional range (VOR).

(p) Terminal VOR (TVOR).

(q) Combined VOR and tactical air navigation system (VORTAC).

(r) Nondirectional beacon (NDB).

(s) Distance measuring equipment (DME)

(2) Facilities and services that require providing advance notice to, and receiving approval from, the Administrator prior to decommissioning are:

(a) Airport traffic control tower (ATCT).

(b) Air route traffic control center (ARTCC).

(c) Flight service station (FSS) (as permitted by legislation).

(d) Combined station/tower (CS/T).

(e) Radar approach control (RAPCON), radar air traffic control facility (RATCF), terminal radar approach control (TRACON).

(f) Nonradar approach control service.

(g) Airport surveillance radar (ASR).

(h) Precision approach radar (PAR).

(i) Air route surveillance radar (ARSR).

(j) Instrument landing system (ILS).

(k) Approach lighting systems (all configurations).

(l) International flight service station (IFSS).

(3) Proposals to decommission these facilities and services should be
* submitted to the Administrator through the Associate Administrator for Air Traffic at least 90 days before the proposed effective date. The proposals should include information on the decommissioning, the reason for the decommissioning, and the possible reactions (Congressional, employee, or aviation public, etc.).

(4) The Air Traffic Plans and Requirements Service will coordinate proposals with the Program Engineering and Maintenance Service, the Office of Flight Standards, the Office of Management Systems, the Special Projects Staff (AOA-10), the Office of Budget, the Office of Public Affairs, and other appropriate offices or services, the Associate Administrator for Aviation Standards, the Associate Administrator for Development and Logistics, the Associate Administrator for Human Resource Management, and the Associate Administrator for Administration. *

(5) The procedures, outlined in paragraph 16, should be used to notify the Secretary of those actions which have an impact on staffing, service to the public, or have a known controversial feature.

c. Changes in Hours of Operation of Airport Traffic Control Towers, Combined Station/Towers, and Flight Service Stations.

(1) Regional directors are authorized to either increase operating
*hours or to make minor reductions in operating hours of airport traffic control towers within budgetary and manpower limitations. This may be accomplished without notifying the Secretary or receiving approval from the Administrator. * Minor reductions are defined as reductions in operating hours of less than 4 hours. Recurring seasonal changes in operation (may be more than 4 hours, such as facilities serving resort areas) may also be made without notification and prior approval.

* Because of the interest and concern of some Members of Congress, current guidance requires that "no reduction in hours of service nor closure of any flight service station be undertaken without prior approval of the Appropriation Committees of both Houses." Such proposed actions must be forwarded to Air Traffic and coordinated with the Office of Budget in order to obtain advance Congressional approval. *

Order 7232.5E, Reduced Operating Hours for Airport Traffic Control Towers/Approach Control Facilities, provides guidance for reducing the hours of operation of airport traffic control towers. Order 7232.11, Decommissioning or Reducing Hours of Operation of Flight Service Stations, provides guidance for reducing the hours of operation of flight service stations.

(2) A reduction in personnel as a result of a decrease in operating hours is considered a significant change. These significant changes can only be made after providing advance notice to the Secretary and receiving approval from the Administrator.

(3) Proposals to reduce the hours of operation of airport traffic control towers, combined station/towers, and flight service stations by 4 or more
* hours should be submitted to the Administrator through the Associate Administrator for Air Traffic at least 90 days before the proposed effective date. The proposal should include information on the reduction in hours of operation, the reason for the reduction, and possible reactions (Congressional, employee, or aviation public). The Air Traffic Plans and Requirements Service shall coordinate the proposal with the Office of Management Systems, the Special Projects Staff (AOA-10), the Office of Budget, the Office of Public Affairs, any other appropriate office or service, the Associate Administrator for Human Resource Management, and the Associate Administrator for Administration. *

(4) The procedures outlined in paragraph 16 should be followed in notifying the Secretary of those actions which have an impact on staffing and service to the public.

SECTION 4. NOTIFICATION OF CHANGES IN FIELD ELEMENTS

16. NOTIFICATION TO THE SECRETARY AND MEMBERS OF CONGRESS.

a. Notifications to Secretary. To keep the Secretary informed of significant changes to field offices and staffed facilities, including reductions in hours of operation, which may create Congressional, aviation public, or news media interest, the agency shall give advance notification to the Secretary by means of the Biweekly Highlights Report prior to an official announcement.

(1) The office or service concerned shall prepare an item for the Biweekly Highlights Report to the Secretary for the Administrator's approval based upon the proposal received from the region. This Highlights item and the Administrator's memorandum of approval to the regional director shall be *coordinated with the Office of Management Systems, the Special Projects Staff (AOA-10), the Office of Public Affairs, the Associate Administrator for Human Resource Management, the Associate Administrator for Administration, and other concerned offices and services, as appropriate. Essential facts in the Highlights item regarding the proposed change include: *

(a) Reason for the change and anticipated benefits.

(b) Number of and proposed disposition of affected personnel, including any grade changes.

(c) One-time and annual recurring costs, including official change of station costs, indicating any offset by one-time and recurring savings. The dollar value of indirect savings, such as additional productive employee hours resulting from reduced travel time, should be listed separately and not added to net dollar savings.

(d) Changes in workload distribution, geographical boundary and jurisdictional changes, including relocations between Congressional districts.

(e) Impact on services available to users before and after the change.

(f) Possible Congressional, employee, and aviation public reaction.

(g) Effective date.

(2) Official announcement of the change shall be delayed until 10 work days following the transmittal date of the notification to the Secretary by the Administrator by means of the Biweekly Highlights Report. This transmittal date will be indicated in the Administrator's memorandum of approval to the regional director. This waiting period gives the Secretary an opportunity to review, complete, and up-to-date information about proposed changes prior to official announcement.

b. Notifications to Members of Congress.

(1) Following final approval and notification to the Secretary and before official announcement is made to the public, regional directors should notify interested Members of Congress of openings, closings, relocations, or changes in hours of operation of FAA field offices or facilities after waiting the required 10-day period. Send AOA-3 two copies of each letter sent to a Member of Congress.

(2) In the letter, indicate it is DOT policy to keep Members of Congress informed of major actions affecting their districts or States. Also in the letter, include the type of field office or facility involved, number of personnel affected, reasons for the change, considerations of improved management, better utilization of technological advancements, better service at same or reduced costs, and effective date.

* c. Notifications to the Public. Regions shall send to the Office of the Chief Counsel (Attention: AGC-204) notices for publication in the FEDERAL REGISTER concerning all changes to field offices which serve the public directly, even though some of those changes are considered too minor to require advance notification to the Secretary. Each such notice should be sent at least 1 week before the scheduled effective date. An illustration of such a FEDERAL REGISTER * notice is contained in appendix 3.

17. EXCEPTIONS TO REQUIREMENT TO NOTIFY THE SECRETARY. Notification to the Secretary normally will not be required when changes are being made to field offices and facilities which have no responsibility for public service contacts and affect less than four employees. The magnitude of such actions and the nature of such work assignments will rarely create public, press, or * Congressional interest, or have a significant public impact. In those cases that are considered too minor to require notification to the Secretary, notification to or approval by the Administrator is also not required, therefore, regional directors may take immediate actions to implement such field office changes. However, if a significant interest or public impact is anticipated, the regional * director shall initiate notification to the Secretary as specified in paragraph 16.

SECTION 5. CRITERIA FOR ESTABLISHING ASSISTANT SUPERVISORY AND SPECIAL ASSISTANT POSITIONS AND ANNUAL CERTIFICATION PROCEDURES

18. CRITERIA FOR "ASSISTANT" SUPERVISORY POSITIONS. "Assistant" shall be used to designate an overall second ranking line official at all organizational levels other than those levels that report to the Administrator or an associate administrator. Office, service, regional, and center directors, the Director, Europe, Africa and Middle East Office, and the Director, Metropolitan Washington Airports, are authorized to approve the establishment of essential "assistant" supervisory positions only if there is a demonstrated need for a supervisor who must have the authority to make timely and affirmative decisions for the chief of the organizational entity concerned over the entire range of duties and responsibilities. When this requirement exists and at least one of the following criteria, which are not meant to apply to field offices and facilities, is met, an "assistant" supervisory position is justified.

a. The chief is removed from effective exercise of his supervisory authority by virtue of field travel or conference activity for at least 25 percent of the total work period, not counting annual or sick leave.

b. The organization requires at least four valid organizational subelements, each of which consists of at least three non-support positions in addition to the supervisor. Field offices and facilities may be included in the count of subelements.

19. CRITERIA FOR USE OF "SPECIAL ASSISTANT" AND "ASSISTANT TO" POSITIONS. The titles "special assistant" and "assistant to" may be used to designate staff officials in certain cases. Such titles must be qualified as, for example, "Staff Assistant (Noise Abatement)" or "Special Assistant for Noise Abatement." Such positions should be established only in limited circumstances. As a general rule, functions of an organization should be assigned to its subordinate elements (divisions, branches, sections); the use of special purpose staff positions reporting to the same supervisor as the subordinate organizational elements should be avoided. The incumbent in this type of position must not have line authority over other organizational elements, and the workload involved throughout the element must not be enough to warrant establishing a separate organizational element. In addition, at least one of the following conditions must be met by the position:

a. The function or program is so significant that it must be performed at the level of the head of the organizational element.

b. The function or program cuts across organizational lines, and designation of one of the subordinate elements as the focal point of the function or program is not practical.

c. The position is designed to provide an extraordinary career development opportunity for the incumbents who are judged to have great potential and who will occupy the position for relatively short time periods.

20. CERTIFICATION OF "ASSISTANT," "SPECIAL ASSISTANT," AND "ASSISTANT TO" POSITIONS. Supervisors shall certify as to their continuing need for currently filled "assistant," "special assistant," and "assistant to" positions by September 30 of each year to their appropriate director for approval. Justification shall be provided with this certification, indicating how specified portions of the above criteria apply to current duties of the position. Regional, center, office, and service directors who supervise "special assistant" and "assistant to" positions should maintain current documentation of the need for these positions.

a. When new positions are proposed or when vacant positions are being filled, the need for the position shall be completely reviewed and documented. Specific work situations that exist and how these situations meet the established criteria to justify each position shall be described. The positions must be completely evaluated with respect to workload, classification, and organizational placement.

b. The initial justification and recertification of such positions should be submitted to the appropriate director for approval and to the servicing Personnel Management Division to be retained for classification purposes.

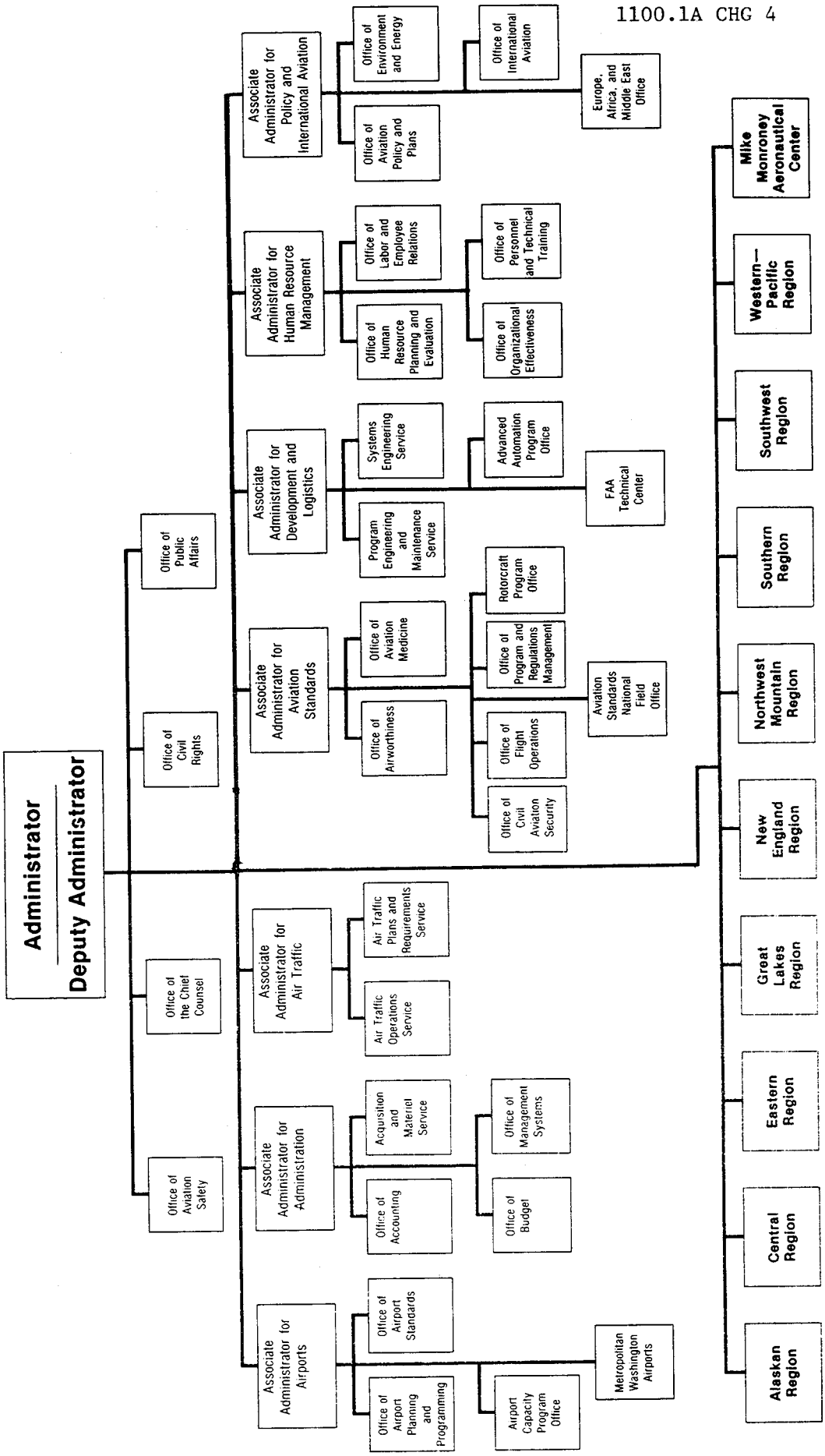
21. EXCEPTIONS. Exceptions to the standards above for "assistant" supervisory, "special assistant," and "assistant to" positions must be approved by the Associate Administrator for Administration (AAD-1). Each request shall be supported by a complete justification and description of the unique work situation that requires the additional position.

22.-29. RESERVED.

CHAPTER 2. OVERALL AGENCY STRUCTURE AND RESPONSIBILITIES

U.S. Department of Transportation

FEDERAL AVIATION ADMINISTRATION



CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 6

3/2/87

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 1, General.

2. EXPLANATION.

a. The practice of establishing "interim" organizations and/or announcing changes to organizations during the approval process has increased to the point where it has become an accepted practice. This change adds language requiring the Administrator's approval to establish interim organizations or announce organizational changes prior to final approval. This applies to all changes within the Administrator's approval authority, as well as those requiring final approval by the Secretary of Transportation.

b. Appendix 1 contains a definition of an interim organization.

3. DISPOSITION OF TRANSMITTAL. After filing the revised pages, this change transmittal should be retained.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
11 and 12	1/19/81	11	1/19/81
		12	3/2/87
13 and 14	1/19/81	13 and 14	3/2/87
15	12/10/85	15 and 16	3/2/87
16	7/10/86		
Appendix			
1	12/10/85	1	3/2/87
2	1/25/82	2	1/25/86

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Distribution: A-XYZ-2; A-FOF-0 (Ltd)

Initiated By: AMS-530

CHAPTER 1. GENERAL

SECTION 1. INTRODUCTION

1. PURPOSE. This order establishes general FAA organizational policies, standards, concepts, and philosophy.

2. DISTRIBUTION. This order is distributed to the division level in Washington, regions, and centers, and a limited distribution to field offices and facilities.

3. CANCELLATIONS. The following orders are canceled:

a. 1100.1, FAA Organization - Policies and Standards.

b. 1100.99A, Decommissioning of Facilities and Services.

c. 1100.115A, Notification of Changes to Field Elements or Facilities.

4. EXPLANATION OF CHANGES.

a. Instructions on opening, closing, consolidating, and relocating field offices, decommissioning field facilities and services, changing hours of operation of towers and stations, and notifying the Secretary of Transportation and Members of Congress have been clarified and updated. Preliminary coordination of proposals by regional directors with Members of Congress, concerned officials, and users BEFORE submitting proposals to the Administrator is encouraged. Regional directors are required to delay official announcement of an approved change until after the expiration of 10 work days following transmittal of the notification to the Secretary by the Administrator by means of the Biweekly Highlights Report. This order consolidates instructions previously contained in the canceled orders.

b. A proposal to open, close, consolidate, relocate, or change hours of field offices or facilities must be submitted to the Administrator for approval, even though the change may have been approved at an earlier date through the budgetary process. Such a proposal is to be submitted by the regional director to the Administrator, through the Washington program office instead of through the Office of Management Systems for staff work leading to the Administrator's approval and notification to the Secretary.

c. Exceptions are permitted in notification requirements to the Secretary when changes are being made to field offices and facilities which have no responsibility for public service contacts and affect less than four employees.

d. Limited authority for approval of proposals for organizational changes and functional allocations at the division level and above has been delegated by the Administrator to the Associate Administrator for Administration. This authority is limited to those proposals which do not involve substantial interest to the Department, significant controversy, major reallocation of resources, or interest by the Congress.

e. Criteria for establishing "Special Assistant" and "Assistant" supervisory positions have been revised.

f. Officials initiating major FAA actions under delegated authority are responsible for keeping the Administrator informed of key events or developments having a significant management, political, or public impact on the agency.

g. Other changes have been made to update organizational references and to amplify procedural requirements.

5. FAA ORGANIZATION MANUAL. The FAA Organization Manual is made up of the following orders.

a. Order 1100.1A, FAA Organization - Policies and Standards, contains general organizational policies, standards, concepts, and philosophy applicable throughout FAA.

b. Order 1100.2B, Organization - FAA Headquarters, prescribes the organization and functions of the offices and services to the division level.

c. Order 1100.5B, FAA Organization - Field, prescribes the organizational structure and functions to the division level for the regions, the Aeronautical Center, the FAA Technical Center, Metropolitan Washington Airports, and the Europe, Africa, and Middle East Office, but includes elements below this level * when prescribed by the Administrator. *

d. Order 1100.148, FAA Organization Manual, contains the mission and functional statements for the FAA organizational elements approved by the Secretary of Transportation.

6. PURPOSE AND AUTHORITY OF THE FAA ORGANIZATION MANUAL.

a. The FAA Organization Manual is the principal medium by which the Administrator establishes major organizational concepts and structure, assigns missions and functions, and delegates authority.

APPENDIX 1. DEFINITIONS OF FAA ORGANIZATIONAL TERMS

This appendix lists organizational terms and definitions for use in the FAA Organization Manual and for general use in FAA to promote common understanding of terminology. These are generic terms covering organizational concepts and designation of organizational elements. Internal organizations of field offices and facilities and terms related to such internal organizations are not included in the FAA Organization Manual. These specialized terms are defined in directives in the 1100 series which describe standard organizations of various types of facilities.

1. Washington headquarters--the central executive and staff structure of the agency, consisting of the Office of the Administrator, the offices of the associate administrators, and offices and services.

2. Washington headquarters field extensions--organizational segments of offices and services which are physically located outside of the District of Columbia.

3. Office of the Administrator--the Administrator and Deputy Administrator.

4. Offices and services--collective terms used to refer to principal organizational elements of the agency, the directors of offices and services and assistant administrators which report to the Administrator directly or through an associate administrator. Excluded from this term are the regions, the Mike Monroney Aeronautical Center, the Metropolitan Washington Airports, the FAA Technical Center, and the Europe, Africa, and Middle East Office.

5. Tenant organization--an FAA or DOT organizational element occupying space administered by an FAA organization under separate line jurisdiction.

6. Organization--"organization" or "organizing" means those actions taken, or to be taken, by management that result in the approval and establishment of an organizational element such as office, service, national center, region, division, branch, section, or unit. It also pertains to actions and approvals to combine or abolish those elements. It includes the assignment of functions and any delegations of authority to the heads of each organizational element.

* 7. Interim organization--an FAA organizational element established prior to formal final approval by the agency official authorized to approve the new organization and the Secretary of Transportation, if appropriate.

8. Staff--an organizational component consisting of personnel who provide * specialized advice, assistance, or supporting services to the parent organization. A staff is the equivalent of the subdivisions that report to the same supervisor; that is, the equivalent of a division if reporting to an office or service head, or a branch if reporting to a division manager. However, no staff is the equivalent of an office or service, and no subdivision of a staff is the equivalent of a division. Staff denotes role, not size, of an organization.

*8. Directorate--the term "Aircraft Certification Directorate" means an organization formed and staffed for the purpose of managing the various elements of the aircraft certification program. The Directorate is headed by a Regional Director who has final authority and responsibility and is ultimately accountable for the certification programs assigned to that Directorate. *

9. Division--the first organizational subdivision of an office, service, region, the Aeronautical Center, Metropolitan Washington Airports, the FAA Technical Center, or the Europe, Africa, and Middle East Office, which is responsible for one or more program functions of the parent organization.

10. Branch--the first organizational subdivision of a division.

11. Section--the first organizational subdivision within a branch.

12. Unit--the first organizational subdivision within a section.

13. Subunit--the first organizational subdivision within a unit.

14. Region--a principal subdivision of the agency organized to carry out agency programs under the executive direction of a regional director within specific geographic boundaries.

15. Regional headquarters--the headquarters of the regional organization at a specific geographic location consisting of the regional director and divisions, staffs, and officers directly responsible to the regional director.

16. FAA field organization--the combined total of all agency organizational elements which are not a part of the Washington headquarters.

17. Field office--any staffed regional organizational office element which reports directly to, but is not part of, the regional headquarters. Field offices are responsible for assigned day-to-day technical program activities within their assigned geographical boundaries. Some examples are air carrier district offices and civil aviation security field offices.

18. Field facility--any regional operating facility which is staffed on a regular basis to conduct FAA operations and which reports directly to, but is not part of, the regional headquarters. Field facilities are responsible for assigned operational activities within their assigned geographical boundaries. Some examples are airport traffic control towers and flight service stations. Throughout this order, references to facilities include only manned facilities, except in paragraph 15b, which explains procedures for decommissioning manned and unmanned facilities.

19. Field element--any staffed regional field facility or field office.

APPENDIX 2. FAA ORGANIZATIONAL AND POSITION TITLES

1. STANDARD TITLES FOR HEADS OF ELEMENTS. An organizational title may be approved in Orders 1100.2B and 1100.5B as well as in this order. Specialized titles of positions in field offices and facilities are included and defined in directives in the 1100 series which describe standard organizations of various types of facilities, and in the 1380 series which describe staffing standards. Also see paragraph 10b(6).

a. Associate Administrator is prescribed and reserved for an official who reports directly to the Administrator and exercises executive direction over two or more offices or services.

b. Assistant Administrator is reserved for the head of a single element who reports directly to the Administrator and has been so designated by the Administrator.

c. Federal Air Surgeon is prescribed and reserved for the head of the Office of Aviation Medicine.

d. Chief Counsel is prescribed and reserved for the head of the Office of the Chief Counsel.

e. Director is prescribed and reserved for heads (other than above) of offices, services, regions, and centers.

(1) The full title for the head of a service, or of the two national centers, or Metropolitan Washington Airports is Director,_____." Examples:
* Director, Systems Engineering Service; Director, Mike Monroney Aeronautical *
Center.

(2) The full title for the head of an office is "Director of (function)." For example, Director of Budget; Director of Management Systems.

(3) "Office directors" is a collective term referring to the heads of "offices and services," regardless of actual titles.

(4) The full title of the head of a region is "Director," followed by the full name of the region; for example, "Director, Eastern Region."

(5) "Regional directors" is a collective term used to refer to heads of regions.

* f. Manager of Administrative Systems is an optional position and is reserved for that staff member reporting to an office, service, regional, or center director, who has the principal responsibility for administrative management *
matters in that organization.

* g. Withdrawn--CHG 4.

h. Manager is prescribed for the head of a staff, division, or branch. Exceptions: Assistant Chief Counsels; Deputy Assistant Chief Counsels; Regional Flight Surgeons; regional staff officers, traditionally or normally referred to by functional title (such as Regional Counsel, Regional Public Affairs Officer) as opposed to title of an element; and titles specifically approved in the FAA Organization Manual and in other directives in the 1100 series or the 1380 series approved by the Administrator are excluded from the provision. Also see paragraph 10b(6).

i. Supervisor is prescribed for the head of a section, unit, or subordinate organization. *

2. STANDARD TITLES FOR DEPUTY AND ASSISTANT HEADS OF ELEMENTS.

a. Titles. "Deputy" and "assistant" are prescribed and reserved for designating the overall second ranking position of an element.

(1) "Deputy" is prescribed and reserved for the overall second ranking position in each element that reports to the Administrator or to an associate administrator.

(2) "Assistant" shall be used to designate an overall second ranking line official at all organizational levels other than those specified in 2a(1) where there is a demonstrated need for an individual who must have the authority on a continuing basis to act for the head of the organizational entity involved over the entire range of the official's duties and responsibilities.

(3) The full title for second ranking officials is the same as the head of the element, preceded by the word "Deputy" or "Assistant." For example:
* Deputy Director, Systems Engineering Service; Assistant Manager, Configuration Management Division.

(4) Withdrawn--CHG 4. *

b. Establishment of "Deputy Positions." The Administrator is the approval authority for all "Deputy" positions. Requests to establish such positions shall be routed through the Executive Personnel Staff to the Administrator.

APPENDIX 3. SUMMARY OF ORGANIZATIONAL CHANGE PROCEDURES
SECTION 1. COORDINATION, CLEARANCE, AND APPROVAL

	Organizational Proposal	Final Approval Authority	Procedural Reference
1.	Establish, abolish, or combine organizations at the Washington office and service level and above, or change the mission or overall functional statements of such organizations.	Secretary; approval of the Administrator is also required.	Paragraphs 10a, 10b(1)(a), 13a, and 13b.
2.	Establish, abolish, combine, or relocate regional headquarters and national centers, change the mission or overall functional statements of such organizations, or change regional boundaries.	Secretary; approval of the Administrator is also required.	Paragraphs.10a, 10b(1), 10b(4), 11a(1), 14a, and 14b.
3.	Centralize functions or activities in Washington headquarters from the field or decentralize functions from Washington headquarters to field elements.	Secretary; approval of the Administrator is also required.	Paragraphs. 10a(3)(c) and 10b(1)(a).
4.	Change the mission, organization and functions through the division level of Washington offices and services, including changes in locations at which Washington headquarters functions at any level are performed.	Administrator (except when delegated under paragraph 10g).	Paragraphs. 10b, 10g, 11a(1),and 13b.

	Organizational Proposal	Final Approval Authority	Procedural Reference
* 5.	Change the mission, organization, and functions through the division level of the national centers and the Metropolitan Washington Airports.	Administrator (except when delegated under paragraph 10g)	Paragraphs. 10b, 10g, 11a(1), and 14b.
6.	Alter the structure or functions of regional office divisions or move functions among divisions; establish functions for any standard branches.	Administrator (except when delegated under paragraph 10g)	Paragraphs.10b, 10c(2), 10g, 11a(1), and 14b.
7.	Establish organization and functions at the branch level and lower.	Office, service, and center directors, the Director, Metropolitan Washington Airports, and the Director, Europe, Africa, and Middle East Office.	Paragraphs 10e, 11a(1), 13c, and 14c.
8.	Withdrawn - CHG 1		
9.	Establish organization and functions at the staff or division level in the regional office provided that the proposed change is not disapproved by the Administrator.	Regional director	Paragraphs 10c(2), 10e,11a(1), and 14c. *
* 10.	Establish organization and functions at the branch level and lower in the regional office or in field offices or facilities.	Regional director	Paragraphs 10c(1), 10e, 11a(1),and 14c. *

	Organizational Proposal	Final Approval Authority	Procedural Reference
11.	Physically place elements of regional office division at locations other than regional headquarters.	Regional director	Pars. 10c(3), 11a(1) and 14c.
12.	Open or close field offices and facilities. Relocate or consolidate any existing field element in another city, metropolitan area, outside an existing area, and/or in another Congressional district.	Administrator; notification of the Secretary is also required.	Pars. 10a(3), 10b(2), 10b(4), 10c(4), 11a(1), 11a(2), 15a, 16, and 17.
13.	Decommission air traffic facilities and services.	Administrator; notification of the Secretary is also required.	Pars. 10a(3)(a), 10b(2), 11a(1), 11a(2), 15b, and 16.
14.	Reduce hours of operation, four hours or more, of airport traffic control towers, combined station/towers, and flight service stations.	Administrator; notification of the Secretary is also required.	Pars. 10a(3)(a), 10b(2), 11a(1), 11a(2), 15c, and 16.
15.	Extend the operating hours or reduce by fewer than four the operating hours of any field element within budgetary and manpower limitations.	Regional director	Pars. 10c(5), 11a(1), 11a(2), and 15c.

	Organizational Proposal	Final Approval Authority	Procedural Reference
16.	Relocate or consolidate any existing field elements within the same city, metropolitan area, commuting area, or same Congressional constituency.	Regional director	Pars. 10c(4), 11a(1), and 11a(2).
17.	Establish new types of field elements that modify the mission and functions of existing field elements so as to change their basic character.	Administrator; notification of the Secretary is also required.	Pars. 10b(3), 11a(1), 11a(2), and 16.
18.	Change the geographic jurisdiction of a district office.	Administrator; notification of the Secretary is also required.	Pars. 10b(4), 11a(1), 11a(2), and 16.
19.	Execute interregional and interdistrict office agreements or arrangements for handling phases of programs across boundary lines.	Regional director	Par. 10b(4).
20.	Any organizational proposal at any level that may have an adverse effect on or raise a current Senior Executive Service or executive level position or may result in a requirement for additional Senior Executive Service positions.	Coordinate with the Office of Personnel and Training.	Pars. 11a(1) and 11c(6).

	Organizational Proposal	Final Approval Authority	Procedural Reference
21.	Any organizational proposal at any level that adds, deletes, or changes major duties or responsibilities in any of the positions in the organization or affects terms and conditions of employment of any employee in a bargaining unit.	Coordinate with the servicing Personnel Management Division.	Par. 11a(1).
22.	Any organizational proposal that may have an impact on bargaining unit employees.	Coordinate sufficiently in advance with exclusive representative to provide for possible request to bargain on the impact.	Par.15a(1).

SECTION 2. NOTIFICATION ACTIONS CONCERNING FIELD ELEMENT CHANGES

	Notify	How and When	Procedural Reference
1.	Members of Congress	Region sends letter 10 working days after final approval and notification of the Secretary but preferably before official announcements are made to the public.	Par 16b(1) and (2)
2.	Federal, State, Local, and Military Authorities	Region determines method of notification, which should be accomplished after notification to Members of Congress.	Par. 16c.
3.	Office of the Chief Counsel (AGC-204)	Region sends "Notice for the Federal Register" one week before scheduled effective date. Not required on changes in field offices which do not deal with the public.	See section 3, appendix 3., and par. 16c

SECTION 3. "NOTICE" FOR THE FEDERAL REGISTER

This is an illustration of a notice for the Federal Register on changes to FAA offices which serve the public directly. Use the following margins: top - 1 inch, left - 1 1/2 inches, and right - 1 inch. Type the billing code, 4910-13, at the top left of the first page. Send original and three copies to the Office of the Chief Counsel (AGC-204); do not type file data on the carbons.

DEPARTMENT OF TRANSPORTATION

FEDERAL AVIATION ADMINISTRATION

GENERAL AVIATION DISTRICT OFFICE AT_____, _____

Notice of Closing

Notice is hereby given that on or about September 1, 19XX, the General Aviation District Office at _____, _____, will be closed. Services to the general aviation public of _____, formerly provided by this office, will be provided by the General Aviation District Office in _____, _____. This information will be reflected in the FAA Organization Statement the next time it is reissued.

(Sec. 313(a), 72 Stat. 752; 49 U.S.C. 1354.)

(typed name of issuing official)

Director, Eastern Region

Issued in New York, N.Y., on August 15, 19XX.

APPENDIX 4. DOT ORGANIZATIONAL AND POSITION TITLES

1. Department of Transportation, or the Department (abbreviated DOT): The entire Department, consisting of all its organizational elements, wherever located, at headquarters or in the field, within the United States, or abroad.

2. Office of the Secretary (abbreviated OST): The Secretary, Deputy Secretary, Associate Deputy Secretary, General Counsel, Inspector General, Assistant Secretaries, and their staff offices.

3. Secretary: For organizational purposes, the Secretary and the Deputy Secretary. Thus, an Assistant Secretary, or other official, who reports to the Secretary reports also to the Deputy Secretary.

4. Immediate Office of the Secretary: The principal organizational element of the Office of the Secretary, consisting of the Secretary, Deputy Secretary, Associate Deputy Secretary, Executive Secretariat, their special assistants, the Contract Appeals Board, the Departmental Office of Civil Rights, the Office of Public Affairs, and the Office of Small and Disadvantaged Business Utilization.

5. Secretarial Officers: The Secretary, Deputy Secretary, Associate Deputy Secretary, General Counsel, Inspector General, and Assistant Secretaries.

6. Immediate Office of the Assistant Secretary for...: An Assistant Secretary, Deputy Assistant Secretary and special assistants, if any, and immediate staff, excluding directors and their offices.

7. Office of the General Counsel: The General Counsel and staff, together with subordinate offices.

8. Office of the Assistant Secretary for...: The entire complex under an Assistant Secretary, including subordinate offices.

9. Office of (a function): A functional element of the Office of the Secretary, headed by a Director, an Assistant Inspector General, or an Assistant General Counsel who reports to an Assistant Secretary, to the Inspector General, or to the General Counsel, as appropriate. Example: Office of Management Planning. (Some exceptions, such as the Office of Civil Rights and the Office of Public Affairs, report to the Secretary.)

11. Director of (a function): The head of an office as defined in paragraph 10. Examples: Director of Management Planning, Director of Budget. (An Assistant General Counsel heads an office within the Office of the General Counsel, and an Assistant Inspector General heads an office within the Office of the Inspector General.)

12. Division: The first level of subordination within an office, headed by a Chief.

13. Branch: The first level of subordination within a division, headed by a Chief.

14. Section: The first level of subordination within a branch, headed by a Chief.

15. Operating elements:

    a. United States Coast Guard (USCG).

    b. Federal Aviation Administration (FAA).

    c. Federal Highway Administration (FHWA).

    d. Federal Railroad Administration (FRA).

    e. National Highway Traffic Safety Administration (NHTSA).

    f. Urban Mass Transportation Administration (UMTA).

    g. Saint Lawrence Seaway Development Corporation (SLSDC).

    h. Research and Special Programs Administration (RSPA).

16. Heads of operating elements:

    a. Commandant, United States Coast Guard.

    b. Federal Aviation Administrator.

    c. Federal Railroad Administrator.

    d. Federal Highway Administrator.

    e. National Highway Traffic Safety Administrator.

    f. Urban Mass Transportation Administrator.

    g. Administrator, Saint Lawrence Seaway Development Corporation.

    h. Research and Special Programs Administrator.

☆U.S. GOVERNMENT PRINTING OFFICE: 1982-361-428:1561

CHANGE

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 1

1/25/82

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 1, General, Appendix 1, Definitions of FAA Organizational Terms, Appendix 2, FAA Organizational and Position Titles, and Appendix 3, Summary of Organizational Change Procedures.

2. EXPLANATION.

a. The standard regional organization concept is replaced by the basic regional organization concept.

b. The basic regional organization will provide the organization structure only to the staff and division level, except for the Air Traffic Division, identifying those functions assigned to each staff and division. Prescribed branch structure for the regional Air Traffic Division is provided in Order 1100.5A, FAA Organization - Field. Recommended changes to the basic regional organization structure will require Washington coordination; however, the branch level organization will be left to regional management preferences.

c. Appendix 1 contains the definition for the Aircraft Certification Directorate.

d. Appendix 2 contains the definition for the Administrative Services Officer, previously called the Executive Officer in the regional offices.

e. Appendix 3 contains the revised procedures for processing organizational proposals.

3. DISPOSITION OF TRANSMITTAL. After filing the revised pages, this change transmittal should be retained.

Distribution: A-WXYZ-2; A-FOF-0 (Ltd)

Initiated By: AMS-530

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
1	1/19/81	1	1/19/81
2	1/19/81	2	1/25/82
3 and 4	1/19/81	3	1/25/82
(thru 6)		4 (thru 6)	1/25/82
7 and 8	1/19/81	7 and 8	1/25/82
15	1/19/81	15	1/19/81
16	1/19/81	16	1/25/82
17	1/19/81	17	1/25/82
18	1/19/81	18	1/25/82
43	1/19/81	43	1/19/81
44 (thru 50)	1/19/81	44 (thru 50)	1/25/82
Appendix 1		Appendix 1	
1 and 2	1/19/81	1	1/19/81
		2	1/25/82
Appendix 2		Appendix 2	
1 and 2	1/19/81	1 and 2	1/25/82
Appendix 3		Appendix 3	
1	1/19/81	1	1/19/81
2	1/19/81	2	1/25/82

Charles E. Weithoner
Associate Administrator for Administration

CHANGE

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 2

8/9/83

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 2, Overall Agency Structure and Responsibilities.

2. EXPLANATION OF CHANGES. This change contains new agency organizational charts. The revised charts show the Advanced Automation Program Office, the Rotorcraft Program Office, and the new regional structure with the Northwest Mountain Region and the Western-Pacific Region as well as the engineering reorganization.

3. DISPOSITION OF TRANSMITTAL. After filing the revised pages, this change transmittal should be retained.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
33 (and 34)	1/19/81	33 (and 34)	8/9/83
35 (and 36)	1/19/81	35 (and 36)	8/9/83
37 (thru 40)	1/19/81	37 (thru 40)	8/9/83

Brooks C. Goldman
Director of Management Systems

Distribution: A-WXYZ-2; A-FOF-0 (Lrg)

Initiated By: AMS-530

CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 3

3/28/84

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 2, Overall Agency Structure and Responsibilities.

2. EXPLANATION OF CHANGES. This change contains new agency organizational charts. The revised charts reflect the retitling of the Director, Air Traffic Service, as the Associate Administrator for Air Traffic. The charts also reflect the transfer of the aviation education program function from the Office of Aviation Policy and Plans to the Office of Public Affairs.

3. DISPOSITION OF TRANSMITTALS. After filing the attached pages, this change transmittal should be retained.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
33 (and 34)	8/9/83	33 (and 34)	3/28/84
35 (and 36)	8/9/83	35 (and 36)	3/28/84
37 (thru 40)	8/9/83	37 (thru 40)	3/28/84

Brooks C. Goldman
Director of Management Systems

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Initiated By: AMS-530

CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 4

12/10/85

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 1, General, Chapter 2, Overall Agency Structure and Responsibilities, Chapter 3, Spheres of Responsibility, and appendixes 1, 2, and 3.

2. EXPLANATION. This change:

a. Updates FAA policy and philosophy to reflect the Administrator's decision to centralize under the line authority of the Associate Administrator for Air Traffic the operational control and technical direction of the air traffic control system and control of the day-to-day system operation including all matters concerning flow control, air traffic standards and procedures, airspace management, system evaluation, policy and program direction, and separation, control, and flight assistance to aircraft.

b. Specifies appropriate coordination of significant field office changes.

c. Clarifies that regional directors may take immediate actions to implement field office changes considered too minor to require advance notification to the Secretary.

d. Updates the operational line of succession required for continuity of FAA at times other than during a national emergency.

e. Transmits new agency organizational charts. Among other changes, the revised charts reflect the new organizational structure of the Associate Administrator for Human Resources Management.

f. Updates references to organizational and position titles on pages otherwise requiring changes.

g. Clarifies some references in the appendixes.

3. DISPOSITION OF TRANSMITTAL. After filing the revised pages, this change transmittal should be retained.

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Remove Pages	Dated	Insert Pages	Dated
15	1/19/81	15 and 16	12/10/85
16	1/25/82		
17 and 18	1/25/82	17	1/25/82
19 thru 24	1/19/81	18	12/10/85
		19	12/10/85
		20	1/19/81
		21 thru 24	12/10/85
33 thru 37 (thru 40)	3/28/84	33 thru 37(thru 40)	12/10/85
41 and 42	1/19/81	41	12/10/85
		42	1/19/81
43	1/19/81	43 and 44 (thru 50)	12/10/85
44 (thru 50)	1/25/82		
53 and 54	1/19/81	53	1/19/81
		54	12/10/85
Appendix 1		Appendix 1	
1	1/19/81	1	12/10/85
2	1/25/82	2	1/25/82
Appendix 2		Appendix 2	
1 and 2	1/25/82	1 and 2	12/10/85
Appendix 3		Appendix 3	
1	1/19/81	1	1/19/81
2	1/25/82	2	12/10/85

Donald D. Engen
Administrator

CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1100.1A CHG 5

7/10/86

SUBJ: FAA ORGANIZATION - POLICIES AND STANDARDS

1. PURPOSE. This change transmits revised pages to Chapter 1, General, and to Chapter 2, Overall Agency Structure and Responsibilities.

2. EXPLANATION OF CHANGES. This change deletes the prescribed branch structure for the Air Traffic Division and deletes the requirement for the regions to obtain approval of the Associate Administrator for Air Traffic for deviations to the Air Traffic Division branch structure. This change will permit the regions to establish a branch structure to meet their individual requirements without requiring Washington headquarters approval.

3. DISPOSITION OF TRANSMITTAL. After filing the revised pages, this change transmittal should be retained.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
1	1/19/81	1	1/19/81
2	1/25/82	2	7/10/86
7 and 8	1/25/82	7 and 8	7/10/86
15 and 16	12/10/85	15	12/10/85
		16	7/10/86
41	12/10/85	41	12/10/85
42	1/19/81	42	7/10/86

Donald D. Engen
Administrator

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CHAPTER 2. OVERALL AGENCY STRUCTURE AND RESPONSIBILITIES

30. INTRODUCTION. This chapter describes the general plan of organization and the primary responsibilities of the major organizational elements. The organizational chart, Figure 2-1, depicts the basic structure of the agency. The functional charts, Figures 2-2 and 2-3, highlight the functions of those elements.

31. ADMINISTRATIVE LEVELS OF ORGANIZATION. The agency consists of two basic administrative levels of organization, Washington headquarters and regional headquarters, and four special organizational complexes:

a. The Washington headquarters, which is responsible for agencywide program planning, direction, control, and evaluation, and for conducting certain operational activities that can best be performed centrally.

b. Regions, each under a director who is responsible for directing the agency's field operations within assigned geographic boundaries.

c. The Mike Monroney Aeronautical Center in Oklahoma City; the Federal Aviation Administration Technical Center near Atlantic City, where certain centralized activities are conducted; the Metropolitan Washington Airports located near Washington, D.C., which directs the operation of federally owned civil airports serving the District of Columbia and vicinity; and a Europe, Africa, and Middle East Office headquartered in Brussels, Belgium, which has responsibility for FAA programs and policy in its assigned area.

32. WASHINGTON HEADQUARTERS. The Washington headquarters consists of:

a. The Office of the Administrator which is responsible for:

(1) Overall planning, direction, and control of agency activities.

(2) Executive relationships with the Secretary and the Deputy Secretary of Transportation, the assistant secretaries, the heads of other operating elements, the Congress, other agencies, the aviation community, and the public.

b. Associate administrators who:

(1) Advise and assist the Administrator and the Deputy Administrator in directing, coordinating, controlling, and ensuring the adequacy of agency plans and programs within their spheres of responsibility.

* (2) Exercise executive direction over offices or services assigned to them. In addition, the Associate Administrator for Air Traffic exercises operational control and technical direction of the air traffic control system and exercises line authority for day-to-day operations of the preceding system. *

(3) Take action and issue orders in the name of the Administrator.

c. Offices and services reporting directly to the Administrator, and offices and services under the executive direction of the associate administrators. These offices and services are responsible for:

(1) Formulation of overall agency objectives, plans, policies, programs, standards, and procedures, for issuance by or on behalf of the Administrator.

(2) Development of agency rules and regulations to be promulgated by or on behalf of the Administrator for observance by the agency and members of the public.

(3) Technical guidance, coordination, and review and evaluation of regional program performance.

(4) Conduct of functions relating to such matters as legislation, requests for appropriations, and interagency coordination at the national level.

(5) Conduct of activities which, in the interest of effectiveness, efficiency, and economy, must be performed centrally. These include:

(a) National airspace system research and development.

(b) Development and maintenance of the National Airport System Plan and basic allocation of grant funds to airport development projects.

(c) Major national procurement.

(d) Management of major facility and equipment installation projects.

* (e) Operation of the National Flight Data Center and Traffic Flow Management Branch. *

(f) Management of the agency's foreign technical assistance activities.

(g) Supervision of air traffic liaison service provided to headquarters of major DOD commands.

(h) Jet and semi-automatic flight inspection operations.

(i) Security inspection of foreign and U.S. carriers in AEU geographic area and foreign air carriers serving the United States.

(j) National airspace programs.

(k) Development and maintenance of operational air traffic control software computer programs.

(6) Conduct of administrative support activities, such as personnel, training, accounting, security, office services, etc., which must be performed locally to support the FAA headquarters.

33. FEDERAL AVIATION ADMINISTRATION TECHNICAL CENTER. The FAA Technical Center is a major organizational complex headed by a director who reports to the
* Associate Administrator for Development and Logistics. Located near Atlantic City, New Jersey, it conducts developmental, test, and evaluation activities * supporting the agency's approved research and development program, and performs aircraft fleet maintenance. The Technical Center includes only those organizational elements which report to the Director. Tenant organizations located on center property are not integral parts of the center.

34. MIKE MONRONEY AERONAUTICAL CENTER. The Aeronautical Center is a major organizational complex in Oklahoma City, Oklahoma, headed by a director who reports to the Administrator. It conducts centralized training, aircraft fleet maintenance and modification, central warehousing and supply, aeromedical research, and maintains and administers aircraft and airman (including medical) records, provides centralized administrative automatic data processing for national programs, and provides engineering support, technical modification, and maintenance field guidance for the operation and maintenance of assigned facilities in the National Airspace System. The term "Aeronautical Center" includes only those organizations that report to the Director, Mike Monroney Aeronautical Center. Tenant organizations located on the Aeronautical Center property are not integral parts of the Aeronautical Center.

35. METROPOLITAN WASHINGTON AIRPORTS. The Metropolitan Washington Airports is a major organizational complex located near Washington, D.C., and is headed by a director who reports to the Associate Administrator for Airports. It plans, constructs, operates, and maintains federally owned civil airports serving the District of Columbia and vicinity.

36. EUROPE, AFRICA, AND MIDDLE EAST OFFICE. The Europe, Africa, and Middle East Office is a major organizational complex headquartered in Brussels, Belgium, and is headed by a director who reports to the Associate Administrator for Policy and International Aviation. This office discharges the responsibilities of the Federal Aviation Administration within the assigned areas of Europe, Africa, and the Middle East, including the Azores, Iceland, the Soviet Union, and all countries that are both south of the People's Republic of China and west of Burma. It works in coordination and in conjunction with elements of U.S. diplomatic missions with a view toward:

a. Encouraging and fostering the development of civil aeronautics and air commerce.

b. Providing for the safety and efficiency of United States aviation.

37. REGIONS. Each region consists of a regional headquarters and field offices and facilities.

a. The regions, within assigned geographic areas of responsibility, provide:

* (1) Administrative direction encompassing all matters not included under "operational control." These include resources, personnel, budget, accounting, logistics support, and direct support of air traffic operations. They will provide assistance in monitoring the air traffic system within their region.

(2) Flight standards inspection, certification, and surveillance services (not provided by all regions). *

(3) Facilities and equipment installation and maintenance services.

(4) Airport development and certification services.

(5) Airman medical certification and education, aircraft accident investigation (including medical), and employee health services.

(6) Civil aviation security services.

(7) Ancillary supporting services.

(8) Federal Aviation Administration representation on international matters in those geographical areas assigned in Order 1100.5B, FAA Organization - Field.

(9) Aircraft certification region responsibilities as set forth in Order 8000.51, Aircraft Certification Directorates.

b. The regional headquarters consists of:

(1) The Office of the Regional Director, which is responsible for overall planning, direction, organization, management of resources, administration of assigned programs, and evaluation of program performance throughout the region.

(2) Staffs, staff support divisions, and program divisions, which advise and assist the regional director in (a) the elaboration of national policies, standards, and guides within the region, and (b) the evaluation of operations. The program divisions direct operational activities of subordinate field offices and facilities.

38.-49. RESERVED.

CHAPTER 3. SPHERES OF RESPONSIBILITY

50. PURPOSE. This chapter describes how the parts of the agency relate to each other in action, and complements chapter 2, which describes the basic structure of the agency.

51. AGENCY POLICY.

a. Authority to establish or modify FAA policy is vested in the Administrator. The Administrator will either exercise this authority personally or by an express written delegation. In no case may a member of the FAA assume an implicit delegation of authority to establish or modify FAA policy.

b. FAA policy is comprised of the objectives of the agency and the guidelines to be followed in pursuing these objectives. The following are illustrative of when policy determinations are required. If a decision or action will:

(1) Substantially affect or alter any of the agency's major plans or programs or the way they are carried out; or

(2) Have a significant impact on a major segment of the aviation community; or.

(3) Result in a major commitment or shift of agency funds or staffing; or

(4) Have substantial impact on other Government agencies; or

(5) Probably result in substantial Congressional reactions.

c. Any office or service that ascertains the need for the establishment or modification of FAA policy shall prepare a memorandum to the Administrator describing the need for the policy decision, the alternatives available and a recommended decision with respect to its area of functional responsibility.

52. PROGRAMS.

a. The Administrator decides upon and approves agency programs.

b. Regional directors administer assigned national programs and formulate regional programs for their regions, consonant with agency policy, program guides, and budgetary instructions.

c. Each office and service formulates proposed programs for centralized activities in its area of functional responsibility, consonant with agency policy, program guides, and budgetary instructions.

d. Each office and service recommends to the Administrator, through prescribed channels, the overall national programs for its area of functional responsibility.

53. IMPLEMENTING GUIDELINES, STANDARDS, SYSTEMS, AND PROCEDURES.

a. To implement the policies established by the Administrator, each service and office ascertains the need for and proposes, for national application, agency program guides, standards, systems, and procedures in its area of functional responsibility.

b. Heads of the cognizant offices or services, or, when appropriate, the official to whom they report, approve and issue such implementing directives.

54. OPERATIONS.

a. Regional and center directors are responsible for initiating local programs and the execution of approved agency programs for their regions or centers, in accordance with agency policy, standards, systems, and procedures. Each regional office and center element specifically assigned operational control of centralized program activities is responsible for the execution of such programs, in accordance with agency policy, standards, systems, and procedures, and supplementary instructions of the regional or center directors.

b. Heads of offices and services are responsible for the execution of approved programs for centralized activities under the operational control of their organizations, in accordance with agency policy, standards, systems, and procedures.

55. DECENTRALIZATION. It is FAA organizational policy to decentralize responsibility and authority for agency operations to a point as close as practicable to the site of required action. Development of a well-informed judgment on decentralization requires balanced consideration of all applicable criteria listed below. No one criterion can be considered conclusive. Within this framework, decentralization shall be considered practicable if:

a. The benefits to be gained outweigh the costs of decentralization.

b. Better service to the public can be achieved.

c. It is necessary to strengthen the operating official's capability for meeting assigned responsibility for internal management.

d. There exist, or there can be developed, well-defined policies, programs, and standards governing the execution of the work, on the basis of which only limited guidance from the parent headquarters is required.

e. The functions involved are related to other work of a comparable level of importance that has been decentralized.

f. There is no requirement for close coordination, working relationships, or continual communication with the Washington headquarters of other agencies or with the Congress, or for a central point of contact or liaison in agency headquarters with other agencies.

56. AUTHORITY.

a. Regional and center directors derive their authority from the Administrator. Except where the Administrator otherwise provides, they have full authority to take all actions necessary to carry out their assigned responsibilities, within approved agency policies, program plans, guidelines, standards, systems, and procedures. Also, except when the Administrator has otherwise directed, a regional or center director may redelegate, with authority to provide for the successive redelegation, within that region or center, the authority delegated by the Administrator.

b. Regional headquarters and center key personnel derive their authority from the regional or center director. Except where the regional or center director otherwise directs, they have full authority to carry out their assigned responsibilities, within approved agency policies, standards, systems, and procedures, and supplementary instructions of the regional or center director. Also, except as the Administrator or regional or center director has otherwise directed, regional headquarters and center key personnel may redelegate, with authority to provide for the successive redelegation, within their organizations, the authority delegated to them by the regional or center director.

c. The head of each office and service reporting directly to the Administrator derives authority from the Administrator. The head of each office and service reporting to the Administrator through an associate administrator also derives authority from the Administrator. Associate administrators have full authority to exercise all authority directly delegated to each office and service head reporting to that associate administrator. Each office and service head can legally commit the agency only to the extent that authority to do so has been affirmatively delegated to that office or service head. Within the agency, office and service heads have full authority necessary to the discharge of responsibilities assumed under paragraphs 51-54, pertaining to program guidelines, standards, systems, and procedures, for agencywide, as distinguished from local, application. The office and service head has supervisory authority with respect to the centralized operational responsibilities assigned to that organization. Except as the Administrator or the cognizant associate administrator may otherwise direct, heads of offices or services may redelegate, with authority to provide for the successive redelegation, within the organization, the authority delegated to them.

d. Except for the operational line of succession required for continuity of FAA during a national emergency, as established in paragraph 308a of Order 1900.1D, FAA Emergency Operations Plan, the following officials, in the order indicated below, shall act as Administrator, in case of the absence or disability of the Administrator, until the absence or disability ceases, or in case of a vacancy, until a successor is appointed.

(1) Deputy Administrator.

(2) Associate Administrator for Administration.

* (3) Associate Administrator for Human Resource Management. *

(4) Associate Administrator for Air Traffic.

(5) Associate Administrator for Aviation Standards.

(6) Associate Administrator for Development and Logistics.

(7) Associate Administrator for Policy and International Aviation.

(8) Associate Administrator for Airports.

e. Officials initiating major FAA actions under delegated authority are responsible for keeping the Administrator informed of key events or developments having a significant management, political, or public relations impact on the agency. There is no single test for identifying the circumstances where notification is warranted. Coverage, costs, user impact, relationship to previous problems, and controversial issues are approximate indicators. The larger the values involved, the greater the necessity for advising the Administrator in advance.

CHAPTER 4. COMMUNICATION, COORDINATION, AND CONCURRENCE

57. COMMUNICATION.

a. Communication between the different levels of organization follows the line of supervision; i.e., from the Administrator to the regional director, to the division chief, to the branch chief (where applicable), to the field facilities and offices. Communications of a directive nature shall be addressed to the line supervisor through this line of supervision.

b. Washington headquarters elements are authorized to communicate with regional offices and centers on matters within their functional areas of responsibility. Regional directors should authorize and encourage regional divisions to communicate directly with their Washington headquarters counterparts on functional matters. Center directors should also authorize their divisions to communicate directly with the Washington headquarters and regional offices on functional and technical matters. Regional and center directors should establish such controls as are considered necessary over these types of communication.

c. Certain types of communications, because of their nature, are excepted from the regular line of communication. These include communications which:

(1) Are related to security classified matters, investigations, and employee grievances, adverse actions, or appeals, and which are handled in accordance with specialized requirements for such materials.

(2) If sent through regular channels, would tend to violate physician-patient or lawyer-client relationships.

(3) Because of time factors, must be sent directly, but with the intermediate line supervisor notified simultaneously.

(4) Are limited to requests for routine, specific, factual data readily available to the recipient. However, when a request for such data is directed from the Washington headquarters toward several field offices and facilities and imposes an appreciable workload on them, it must be sent to the regional director.

58. COORDINATION AND CONCURRENCE.

a. Coordination is the process whereby all elements of the agency which have a valid concern shall be given a timely opportunity to contribute their views with respect to a matter under consideration.

b. An organizational element shall be recognized as having a valid concern if any of the following apply:

(1) Is responsible for standards, criteria, or procedures affected by the proposed action.

(2) Is responsible for programs or activities which would be materially affected by the proposed action.

(3) Has administrative or legal responsibility for review of the proposed action, including any economic impact that may be involved.

(4) Would be required to take or modify action, as a result of the proposed action, or economic impact may be involved.

c. To be timely, coordination must be effected early enough and at a level appropriate to promote concurrence.

d. Concurrence means formal agreement, ordinarily as the result of coordination. Completed staff work is that which is marked by a reasonable effort on the part of the sponsoring organization to facilitate concurrence and by a reasonable effort on the part of concerned organizational elements to accept the proposal. A reasonable effort, however, does not require and should not be permitted to result in either (1) an undue delay in moving a matter to decision, or (2) a sacrifice of principle by any of the parties concerned. When, following coordination and a reasonable effort to reach agreement, it is not possible to obtain concurrence, the proposal, together with the nonconcurrences, should be submitted through appropriate channels for executive decision.

e. If, for any reason, a matter must be acted on by a fixed date, coordination shall begin early enough, and the effort to obtain concurrence shall end soon enough, to permit submission of the action file to the official who is authorized to act, not less than one working day before the due date. This is especially important where a matter must be submitted to the Administrator for action. Time must be allowed for clearance by the associate administrator(s) concerned, if any.

f. Diligence in the systematic observance of the foregoing instructions will preclude the habitual use of "RUSH" procedures to expedite mail which should have been submitted earlier. The excessive resort to rush timing is an indication of inadequate control by the preparing office. It is irksome to the action officer, and it has the cumulative effect of derogating the significance of justified requests for rush action.

g. In preparing a briefing for the Administrator, an office or service shall take special care to coordinate with other organizations concerned, before the briefing, and, in case of disagreement regarding any substantive points, shall advise the official being briefed regarding the disagreement. Furthermore, it shall be recognized that while a briefing is

a means of coordination, it is not a substitute for formal concurrence in a proposed action. Concurrences in all important matters, where they are required, shall be in writing by the head of the concurring organization or by a person authorized to act for him in matters of the kind involved.

h. A letter or notice should not be used in lieu of an order when the intent of the issuance is to give directions, guidance, procedures, or assign responsibility involving six or more offices. Even temporary instructions or procedures are better contained in an order which remains in effect until revised or canceled. All affected organizations shall have an opportunity to comment, concur, or nonconcur before a letter, notice, or order is submitted for executive decision as described above.

59. REVIEW AND EVALUATION.

a. Each office and service at Washington headquarters is responsible for the review and evaluation of regional functional counterpart activities. This responsibility carries with it the "right to look," subject only to prior notification to the regional director and adjustment of time to accommodate any reasonable requests.

b. Functional responsibility carries with it, also, the obligation to identify the indicators of agency and regional program performance, to develop systems for obtaining the data for the use of these indicators, to make continuing analysis and use of such data, and to keep the Administrator currently advised of agency and regional progress, accomplishments, costs, comparative performance, and problems. Functional responsibility is accompanied by authority to issue agencywide instructions for changes in standards, systems, and procedures needed to overcome deficiencies disclosed by program evaluation. It does not include authority to direct local action, except when so authorized by the Administrator in an agency directive.