Federal Aviation Administration

Memorandum

Date: SEP 30 2008

To: All Employees of Central Terminal Operations

From: Nancy Kort, Director of Terminal Operations, Central Service Area

Subject: Central Service Area, Safety Risk Management Implementation

FAA Order JC 7232.15, Safety Risk Management Implementation, effective October 1, 2008, establishes District/Facility responsibilities and procedures to achieve Safety Risk Management (SRM) compliance within the Central Terminal Service Area (CTSA). The Order serves as a supplement to the ATO Safety Management System (SMS) Implementation Plan by providing implementation guidance for the CTSA.

Order JC 7232.15 clarifies procedures used for routing of Safety Risk Management Documents (SRMDs) and Safety Risk Management Decision Memorandums (SRMDMs) within the CTSA. In addition, Order 7232.15 will provide further clarification of the District and Facility Offices, as well as the Service Center roles and responsibilities for continued SRM compliance in the CTSA.

All Facility and District Offices requesting changes to Terminal Airspace and procedures, including waivers and/or waiver renewals, shall submit those requested changes along with appropriate SRM documentation to Operations Support Group (OSG), AJV-C2.

Each Support Specialist within the OSG will serve as the primary District/Facility interface for airspace and procedural changes requiring Safety Risk Management (SRM). The Operations Support Specialist will coordinate subsequent documentation with the Safety Assurance Group, AJV-C1.

If you have any questions regarding SMS or integration of SRM in the CTSA, please contact Sharon Rushing, Central Service Center, Safety Assurance Group (AJV-C12), at (817) 222-4714, or Dennis Hinton, Central Service Center, Safety Assurance Group (AJV-C12), at (817) 222-4566.

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
CENTRAL SERVICE AREA

ORDER
JC 7232.15

Effective Date:
09/30/2008

SUBJ: Safety Risk Management Implementation for Central Service Area

1. Purpose of this Order. This Order supplements the Air Traffic Organization (ATO) Safety Management System (SMS) Implementation Plan by providing implementation guidance for the Central Terminal Service Area (CTSA).

2. Audience. All Central Terminal Service Area (CTSA) personnel should read and be familiar with this order.

3. Where Can I Find this Order? This order is available to anyone in the FAA at https://ksn.faa.gov/km/teams/atotsms and https://employees.faa.gov/tools_resources/orders_notices/

4. Cancellation. Not Applicable

5. Background. Aviation safety is a fundamental mission of the Federal Aviation Administration (FAA). In accordance with Annex 11 to the Convention on International Civil Aviation, *Air Traffic Services*, FAA Order 1100.161, *Air Traffic Safety Oversight*, and ATO Order JO 1000.37, *Safety Management System*, the ATO has implemented a formal SMS program. The SMS program requires a Safety Risk Management (SRM) analysis be conducted and supporting documentation referred to as a Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memorandum (SRMDM), be prepared and retained for all changes impacting the National Airspace System (NAS). SRM analysis must be conducted prior to any change or modification to terminal airspace procedures, change or modification to terminal NAS systems, and prior to submitting any request for waiver of air traffic control requirements identified through FAA Order JO 7110.65.

6. Explanation of Policy Changes. This order establishes District/Facility responsibilities and procedures to be utilized to achieve Safety Risk Management (SRM) compliance within the CTSA.

7. SMS Policy. ATO Order JO 1000.37, *Safety Management System*, defines the policy, application, and supporting documents of the SMS within the ATO. It identifies the strategic and tactical safety responsibilities of all of the Service Units; addresses the requirements, safety standards, and guidance under which the ATO operates; and establishes the SMS policy all ATO personnel must adhere to.

8. SMS Objectives. The overarching objective of the Safety Management System (SMS) is to increase the safety of the NAS by reducing the potential for accidents and by knowingly accepting appropriate risk into the NAS. The SMS introduces SRM capabilities needed for a systematic approach to managing the safety risk of Air Traffic Control (ATC) and navigation services.

9. Accountable Officials. The Director of Central Terminal Operations (AJT-C) is accountable for implementation of the SRM process within the CTSA and has the responsibility to fulfill the requirements of this order.

10. Distribution. This order is distributed to the Director, Terminal Operations, all Terminal Facilities in the Central Service Area, Central Planning and Requirements Group, Central Operations Support Group, and the Central Safety Assurance Group.

11. Scope. This order outlines responsibilities and procedures for the training of personnel, the preparation and coordination of SRM documentation, and the exchange of information within CTSA as it pertains to the SRM process. Additionally, it addresses procedures to be used in requesting support for SRM projects.

12. Responsibilities.

a. Facility/District Air Traffic Managers (ATMs) must:

(1) Ensure the SRM process is implemented, resourced, monitored, and evaluated.

(2) Designate District SRM Focal(s) to support the SRM process.

(3) As appropriate, designate a Facility SRM Focal to support the SRM process.

(4) Ensure all CTSA personnel receive the appropriate training (see Appendix A – Training Courses for available SMS/SRM training). This must be in conformance with national policy and directive established within the Terminal Operational Services Unit.

(5) Ensure all SRMDs and SRMDMs initiated at the Facility/District level are coordinated with the appropriate offices based on level(s) of the risk identified (see Appendix C for coordination/routing of documentation based on the level of risk).

(6) For SRM activities impacting the Airport Line of Business, request airport Subject Matter Expertise (SME) support through appropriate Airport District Office[1] (ADO).

(7) Ensure that experts from all impacted lines of business and organizations are represented in the SRM process.

(8) Ensure copies of all final (signed) SRMDs and SRMDMs are maintained on file and a copy is uploaded and available on the ATO-T Knowledge Sharing Network (KSN) at: https://ksn.faa.gov/km/teams/atotsms. Additionally, an electronic signed copy and the original word processed form (plus any Preliminary Hazard Analysis [PHA] and/or Comparative Analysis [CPA]) should also be provided to the Central Safety Assurance Group.

(9) Evaluate the process, procedures, and effectiveness of the SRM process.

(10) Make recommendations to improve the overall SRM process.

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[1] Refer to ARP Safety and Standards Guidance Letter 08-1, *Interim Guidance for Safety Management Systems (SMS)/Safety Risk Management Document (SRMD) Activities Requiring ARP Participation*, for detailed guidance when requesting ARP SMEs.

b. Facility/ District/ Safety Risk Management (SRM) Focal(s) must, as necessary:

(1) Assist in determining whether local facility changes are safety significant and thereby requiring development of an SRMD or SRMDM.

(2) Assist in identification of SMEs as participants on SRM panels.

(3) Assist in verifying that SRM panel proceedings are effectively documented and that all documentation is complete.

(4) Ensure all hazards are input, tracked and maintained in the FAA's Hazard Tracking System (HTS), which can be found on line at http://host.ato-p.faa.gov/htstest/login.cfm.

(5) Monitor effectiveness of hazard mitigation strategies.

(6) Ensure SRM documents (SRMDs/SRMDMs) are correctly formatted based on level(s) of identified risk; evaluate and/or support the facilities in the assessment of these mitigation requirements. This will include ensuring the proper documentation, updates, SRMDM/SRMD coordination, correct signature levels, and maintenance of data within the FAA's HTS is accomplished (see Appendix B – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Signatures and Appendix C – Safety Risk Management Document (SRMD) Coordination and Signatures).

(7) Maintain a copy of all final and/or revised (signed) SRMDs and SRMDMs developed within the Central Terminal districts.

(8) Participate in all SRM meetings and teleconferences as requested.

(9) Coordinate SRM activities with the Central Service Center Safety Assurance Group SMS Coordinator.

It is anticipated the Central Service Center, Operations Support Group (OSG), the Safety Assurance Group (SAG), and the Planning and Requirements Group (PRG) will support the Terminal Operations Directorate by providing the necessary assistance as requested/required. These may include:

c. The Central Service Center, OSG will support the Terminal Operations Directorate by:

(1) Serving as the Service Center's entry/exit point for all SRM correspondence associated with terminal airspace and/or terminal ATC procedural changes.

(2) Review all SRMDs and SRMDMs from a technical perspective to ensure compliance with applicable directives (i.e., FAA JO 7110.65, FAA JO 7210.3, etc.).

(3) Forward all SRM documentation to SAG for review in accordance with Appendix B – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Signatures and Appendix C – Safety Risk Management Document (SRMD) Coordination and Signatures.

(4) Notify originating office when SRM documents/decision memos fail to meet SRM requirements established by the ATO SMS Manual, ATO Order JO 1000.37, and this order.

(5) Ensure SRM documents (SRMDs/SRMDMs) are technically correct based on level(s) of identified risk.

(6) Maintain overall responsibility for processing airspace and procedures change proposals to the NAS. Provide the Director for Terminal Operations proposals concurred with by both the OSG and SAG or when necessary those which should be rejected (this on a case by case basis). .

(7) Upon approval/disapproval by Terminal Operations Director, notify originating office and forward copies of (approved) proposal to appropriate Headquarters offices.

d. Central Service Center, SAG will support the Central Terminal Operations Directorate by:

(1) As necessary provide SMS/SRM support and provide clarification of SMS requirements.

(2) When necessary, facilitate and assist in establishment of SRM Panels.

(3) When requested, assist Facility/District Offices with writing of SRMDs and SRMDMs.

(4) Review SMS/SRM documentation (SRMDs and SRMDMs) from a process perspective to ensure adherence with ATO SMS Manual, ATO JO 1000.37, FAA JO 1100.161, and this Order. Following the review, return comments to the OSG for a consolidated response to originating district/facility office.

(5) Assist in hazard identification by conducting safety data "mining" and safety data analysis of Pilot Deviations (PD), Operational Error (OE), Operational Deviation (OD), accident/incident reports, maintenance logs, etc.

(6) Ensure all initial high as well as residual medium and low risk hazards are entered in the HTS and each hazard mitigation strategy is monitored and tracked by the Facility/District. The SAG will support by ensuring risk levels associated with initial high and medium risk level hazards are monitored and tracked throughout the lifecycle of the change or until risk is mitigated to a low risk level.

Ensure SRM documents (SRMDs/SRMDMs) are accurate, correctly formatted, complete, thorough, properly based on level(s) of identified risk, display correct signature levels, and are coordinated/routed through appropriate offices (see Appendix B – Safety Risk Management

(7) Decision Memoranda (SRMDM) Coordination and Signatures and Appendix C – Safety Risk Management Document (SRMD) Coordination and Signatures for SRMDM/SRMD coordination and routing).

(8) Conduct monthly CTSA telephone conferences (telcons) with District/Facility SRM Focal(s) and actively participate in National telcons with the ATO Terminal Safety and Operations Support Office, Senior Safety Engineer Group (AJT-28). CTSA telcons will address topics regarding SMS and SRM implementation within the Service Area at the facility/district level, while it is anticipated National telcons will address SMS and SRM implementation topics common to all Service Areas.

(9) As necessary, for those SRM activities impacting Airports Line of Business (ARP), the Central Service Area SAG will support requests for airport SME support through Regional Airports Division Manager.

(10) Serve as the primary interface with the Terminal Safety and Operations Support Office, Senior Safety Engineer Group (AJT-28), on terminal SMS policy and terminal SRM implementation.

e. The Central Service Center, Planning and Requirements Group (PRG) will support the Terminal Operations Directorate by:

(1) Serving as the Service Center's entry/exit point for all SRM correspondence associated with terminal systems, equipment, and service changes.

(2) Provide SME support as necessary to SRM panels

(3) Review all SRM documents (SRMDs) and decision memos (SRMDMs) from a technical perspective to ensure compliance with applicable directives (i.e., installation and siting orders, handbooks, maintenance directives, etc.).

(4) Forward all SRM documentation to the Safety Assurance Group (SAG) for review in accordance with Appendix B – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Signatures and Appendix C – Safety Risk Management Document (SRMD) Coordination and Signatures.

(5) Notify originating office when SRM documents/decision memos fail to meet SRM requirements established by the ATO SMS Manual, ATO Order JO 1000.37, and this order.

(6) Maintain overall responsibility for processing Terminal systems, equipment, and service change proposals to the NAS and provide the Director for Terminal Operations only those proposals concurred with by both the Planning and Requirements Group (PRG) and Safety Assurance Group (SAG).

(7) Upon approval/disapproval by Terminal Operations Director, notify originating office and forward copies of (approved) proposal to appropriate Headquarters offices as necessary.

(8) Ensure SRM documents (SRMDs/SRMDMs) are technically correct based on level(s) of identified risk.

Nancy B. Kort,
Director of Terminal Operations, Central Service Area

Appendix A – Training Courses

a. **SMS/SRM Operations and Engineering Practitioners Course 66000004:** This course is required training for all District/Facility SRM Focals and facilitators. District and Facility Managers are also encouraged to take this course.

b. **ATO-T SRM Implementation Workshop**: Workshops are used to gain additional experience in conducting Terminal SRM analysis and for completing associated documentation. This is required training for all District/Facility SRM Focals and highly desirable training for Facility Managers, Operations Managers, Frontline Managers, Support Managers, and Support Staff Specialists involved in making changes to the NAS.

c. **SMS/SRM Web-based training:** Web-based training is available through the electronic Learning Management System (eLMS). Government employees can access this training using the following URL: https://elms.dot.gov/learner/login.jsp. Contractor personnel can access the training through the internet site at the following URL: http://cminet.jccbi.gov/sms/.

1) Course 10603: *Introduction to Safety Management Systems* – This course is required training for all Facility Managers, Operations Managers, Frontline Managers, Support Managers, and Support Staff Specialists. FAA personnel and/or contractor personnel with limited access to eLMS may complete course 10603 via Computer-Based Instruction (CBI).

2) Course 66000001: *The Manager's Role in Safety Risk Management* – This course is required training for all Facility Managers. It is also highly desirable training for Operations Managers, Frontline Managers, Support Managers, and Support Staff Specialists.

Appendix B – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Signatures

When proposing a change to the NAS, a preliminary safety analysis must be performed. If the preliminary safety analysis indicates the change will not introduce risk into the NAS, documentation supporting the conclusion, a brief reasoning/motivation for the change, and rationale for not requiring further SRM analysis, should be presented in a *Safety Risk Management Decision Memorandum* (SRMDM).

a. SRMDMs are required to have a minimum of three signatures – one from the Facility or Support Manager[2] responsible for the change (change proponent) and one from a management official preferably from outside the facility. If the Change Proponent is a Facility Manager or Support Manager, then the District Manager will provide the second signature. The third signature will be through Central Safety Assurance Group (SAG). By signing the SRMDM, the Change Proponent and/or Manager certify that the proposed change will not adversely affect safety or introduce risk into the NAS. The third signatory functions in a quality assurance capacity, endorsing both the preliminary safety analysis and the SRM decision process.

b. Electronic copies of finalized SRMDMs along with source material must be forwarded to the Facility's/District's respective Support Specialist in the Operations Support Group (AJV-C1). The OSG will review SRMDMs from a technical perspective and forward to the Safety Assurance Group (SAG) who will review the memorandum from an SRM process perspective. The SAG will, if necessary, return comments to the OSG for a consolidated response to the originating Facility/District office.

c. SRMDMs are to be maintained in the local Facility/District SRM File for a period equivalent to the lifecycle of the change. Finalized (signed) SRMDMs are to be uploaded and available on the ATO-T Knowledge Sharing Network (KSN) at: https://ksn.faa.gov/km/teams/atotsms.

d. A copy of all signed SRMDS will be sent to the Central Safety Assurance Group (SAG). The preference will be in electronic scanned format, along with an electronic file copy of the final word processed SRMDM.

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[2] ATO Terminal Managers are required to complete Course 10603, Introduction to Safety Management Systems, and Course 66000001, The Manager's Role in Safety Risk Management, prior to approving an SRMDM.

Appendix C – Safety Risk Management Document (SRMD) Coordination and Signatures

Safety Risk Management Documents (SRMDs) initiated by Facility/District offices are coordinated and routed based on level(s) of risk and mitigation(s) required to control the risk. Risk is assessed in accordance with the ATO SMS Manual[3] with level of risk determined as ***High***, ***Medium***, **or** ***Low***.

1. Initial High Risks[4] – The SRMD must be coordinated and routed through the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route SRMDs through the Terminal District Office. The District Office SRM Point of Contact (POC) will review and then will coordinate/route to the Operations Support Group (OSG). If the District Office is the initiator, then the District Office will coordinate with and route SRMDs to the OSG. As soon as practicable, the facility/district manager should notify the Safety Assurance Group (AJV-C1) of the proposed change and the associated initial high risk hazard (HRH).

b. Operations Support Group (AJV-C2). The OSG will review SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG). The SAG will review the documents from a Safety Risk Management process perspective and if necessary provide comments and/or recommendations to the OSG. The SAG and OSG jointly will coordinate through Terminal Airspace, Procedures, and Safety Groups (AJT-28) for AOV approval of initial HRH mitigations. SRMDs which meet requirements established in the ATO SMS Manual and have received AOV concurrence throughout each SRM phase identified in Safety Oversight Circulars (SOC) 07-02 and/or SOC 07-05, will be forwarded to the Director of Central Terminal Operations. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews SRM document, indicating approval and by signing a memorandum (requesting approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

d. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) will review and indicate concurrence through signature prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2) for approval/signature (see example *Initial High Risk* signature page at Appendix.

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[3] See ATO SMS Manual, Chap 3: Safety Risk Management, for risk level definitions and determination process

[4] ATO is required to obtain AOV approval for mitigations of initially identified high-risk hazards (HRH). For NAS changes involving initial high risk, Facility/District Offices should notify the Safety Assurance Group (AJV-C1). The Safety Assurance Group will coordinate with Terminal Airspace and Procedures Group (AJT-28) for AOV concurrence at predetermined phases during the SRM process. Offices should refer to Safety Oversight Circulars (SOC) 07-02 and 07-05 for additional guidance on initial HRHs.

e. Safety Management System/Safety Risk Management Office (AJS-2). The Director, ATO SMS/SRM Office (AJS-2) reviews the SRM document, indicating concurrence through signature on the approval line.

f. Air Traffic Safety Oversight (AOV). All high risk hazard mitigation(s) must be approved by AOV prior to implementing a change to the NAS. The Director, Air Traffic Safety Oversight (AOV-1) indicates approval of initial high risk mitigation(s) by providing a *Mitigation Approval Signature* on the SRMD Signature Page.

g. Vice President, Terminal Services (AJT-0). Initial high risk(s) that has/have been mitigated to medium or low, can only be accepted at the Vice President level.

2. Medium/Low Risks – SRMD Risk Acceptance will be within the Facility/District Manager level however, the SRMD approval must also be obtained from the Central Terminal Director and review by the Central Service Center for review and concurrence prior to implementation of the proposed change. The Central Service Center, Operational Support Group (OSG), Safety Assurance Group (SAG), and in select cases the Planning a Requirements Group (PRG) are required to review the SRMDs, monitor and track mitigation of all medium risk hazards throughout the lifecycle of the change or until risk is mitigated to low.

a. Terminal Facility/District Manager. The Initiating Terminal Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the Central Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the OSG.

b. Operations Support Group (AJV-C2). The OSG will review the SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will review the documents from a Safety Risk Management *process* perspective and if necessary, provide comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews SRM document, indicating approval and by signing and attaching a memorandum (requesting approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

Facility/District Manager. Facility/District Manager accepts medium and low risk(s) resulting from terminal airspace and procedural changes (see example *Medium/Low Risk Hazards* signature page at Appendix F.

3. Medium/Low Risks: New Waiver Requests that do not affect separation minima - New waivers are those waivers that constitute the first of a kind or when the location or equipment is changed or modified, or resubmissions of waivers for a specified period of time (e.g., Fly-Ins, Air Shows, etc). SRMDs associated with requests for waivers that do not affect separation minima must be coordinated and routed through the following offices:

a. Terminal Facility/District Manager. The Terminal initiating Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the Central Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the OSG.

b. Operations Support Group (OSG), AJV-C2. The OSG will review the SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will review the documents from a Safety Risk Management *process* perspective and if necessary, provide comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews Waiver Request along with SRM document, and indicates approval and by signing a memorandum (request for approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

d. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) will review the SRMD and indicate concurrence (through signature) prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2). Upon approval by AJT-2, new waivers that do not affect separation minima may be implemented by the initiating Facility/District without further approval by ATO-S. The Director, Terminal Safety and Operations Support Office (AJT-2) will approve/disapprove the waiver via memorandum, to the Director, Central Terminal Operations (AJT-C)

e. Facility/District Manager. Facility/District Manager accepts medium/low risk(s) resulting from new waivers to terminal airspace and procedures which do not affect separation minima (see example *Medium/Low Risk: New Waiver Requests not affecting Separation Minima* signature page at Appendix G).

4. Medium/Low Risks: New Waiver Requests affecting separation minima - New waivers affecting separation minima will require ATO-S as well as AOV approval. SRMDs associated with requests for waivers affecting separation minima must be coordinated with the following offices:

Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the Central

Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

a. Operations Support Group (OSG), AJV-C2. The OSG will review the SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will review the documents from a Safety Risk Management *process* perspective and if necessary, provide comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

b. Director, Central Terminal Operations (AJT-C). Review SRM document and indicates approval and by signing a memorandum (request for approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

c. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) will review the SRMD and indicate concurrence (through signature) prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2) for signature.

d. Safety Management System/Safety Risk Management Office (AJS-2). The Director, ATO SMS/SRM Office (AJS-2) reviews the SRM document and indicates approval by signing the approval line. AJS-2 will coordinate and submit the waiver request to AOV for review.

e. Air Traffic Safety Oversight Office. Air Traffic Safety Oversight (AOV) indicates approval of new waivers affecting separation minima by forwarding a memorandum stating consent. The SRM document is returned to ATO-S for routing back to the Facility/District Office.

f. Facility/District Manager. Facility/District Manager accepts medium/low risk(s) resulting from new waivers to terminal airspace and procedures affecting separation minima (see example *Medium/Low Risk: New Waiver Requests Affecting Separation Minima* signature page at Appendix H).

5. Medium/Low Risks: Waiver Renewals not affecting Separation Minima - Existing waivers are those waivers in effect prior to March 14th, 2005 and accepted by AOV as being part of the NAS baseline. SRMDs associated with requests for waiver renewals not affecting separation minima must be coordinated with the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the

Central Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJV-C2). The OSG will review the SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will review the documents from a Safety Risk Management *process* perspective and if necessary, provide comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews the SRM documentation and indicates approval and by signing a memorandum (request for waiver renewal) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

d. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) review the waiver renewal SRMD and indicate concurrence (through signature) prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2) for signature. Upon approval by AJT-2, waiver renewals not affecting separation minima may be implemented by the initiating Facility/District without further approval by ATO-S or AOV. The Director, Terminal Safety and Operations Support Office (AJT-2) will approve/disapprove the waiver renewal via memorandum, to the Director, Central Terminal Operations (AJT-C).

e. Facility/District Manager. Facility/District Manager accepts medium/low risk(s) resulting from renewal of waivers to terminal airspace and procedures which do not affect separation minima (see example *Medium/Low Risk: Waiver Renewal Requests not Affecting Separation Minima* signature page at Appendix I).

6. Medium/Low Risks: Waiver Renewals that affect separation minima - Renewals to existing separation minima waivers require ATO-S approval and AOV acceptance. SRMDs associated with requests for renewal of separation minimal waivers must be coordinated with the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the Central Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJV-C2). The OSG will review the SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will review the documents from a Safety Risk Management *process* perspective and if necessary, provide

comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews waiver SRM document and indicates approval and by signing a memorandum (request for approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

d. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) will review the waiver SRMD and indicate concurrence (through signature) prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2) for signature.

e. Safety Management System/Safety Risk Management Office. The Manager, Safety Risk Management Group (AJS-22) will review the waiver SRM document and indicate concurrence by forwarding to the Director, ATO SMS/SRM Office (AJS-2) for approval and signature. AJS-2 will coordinate and submit the waiver request through ATO-S to AOV for acceptance.

f. Air Traffic Safety Oversight Office. The Air Traffic Safety Oversight Office (AOV) accepts renewals to existing separation minima waivers[5], however, an AOV *Acceptance Signature* is not required on the SRMD Signature Page. The SRM document is returned to ATO-S for routing back to the Facility/District Office. AOV will initiate a separate memorandum, signed indicating concurrence or non-concurrence for the request.

Facility/District Manager. Facility/District Manager accepts medium/low risk(s) resulting from renewals to existing separation minima waivers (see example *Medium/Low Risk: Waiver Renewals Affecting Separation Minima* signature page at Appendix J).

7. Medium/Low Risks as a result of an IG, NTSB, AOV inquiry or High Visibility item. The SRMD should be coordinated with the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. The District Office SRM POC will review and then will coordinate/route to the Central Operations Support Group (OSG), AJV-C2. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJV-C2). The OSG will review the SRM documents from a *technical* perspective and forward to the Safety Assurance Group (SAG), AJV-C1. The SAG will

[5] AOV/ATO-S Memorandum of Agreement dated Jun 8th, 2005

review the documents from a Safety Risk Management *process* perspective and if necessary, provide comments and/or recommendations to OSG. OSG will combine SAG comments and/or recommendations with their own and provide a consolidated response to the Facility/District Office. The SAG and OSG member reviewing the SRM document will indicate by signing they have reviewed and are in concurrence with the contents, SRM processes, and format of the document. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Central Terminal Operations. Should the change require involvement by the Planning and Requirements Group (PRG), the SRMD will be coordinated/routed to the PRG for their review and comments.

c. Director, Central Terminal Operations (AJT-C). Reviews waiver SRM document and indicates approval and by signing a memorandum (request for approval) addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

d. Terminal Safety and Operations Support Office. The Terminal Airspace and Procedures Group (AJT-22) will review the waiver SRMD and indicate concurrence (through signature) prior to forwarding to the Director, Terminal Safety and Operations Support Office (AJT-2) for signature.

e. Safety Management System/Safety Risk Management Office. The Manager, Safety Risk Management Group (AJS-22) will review the waiver SRM document and indicate concurrence by forwarding to the Director, ATO SMS/SRM Office (AJS-2) for approval and signature. AJS-2 will coordinate and submit the waiver request to ATO-S for acceptance.

f. Air Traffic Safety Oversight (AOV). The Safety Management System/Safety Risk Management Office (ATO-S) will determine whether the SRMD requires coordination with AOV.

g. Air Traffic Safety Oversight Office (AOV). The Air Traffic Safety Oversight Office (AOV) accepts renewals to existing separation minima waivers[6], however, an AOV *Acceptance Signature* is not required on the SRMD Signature Page. The SRM document is returned to ATO-S for routing back to the Facility/District Office. AOV will initiate a separate memorandum, signed indicating concurrence or non-concurrence for the request.

Note: High visibility items include Land and Hold Short Operations (LAHSO), Simultaneous Convergent Instrument Approaches (SCIA), Taxi Into Position and Hold (TIPH), Simultaneous Dual/Triple/Quadruple Instrument Landing (ILS) Approaches, etc.

8. SRMD Signature Levels. The following signatures should be included on the SRMD signature page and while additional review/approval signature lines may be provided, these represent the *minimum* required signatures for documentation of high, medium, or low risk hazards.

[6] AOV/ATO-S Memorandum of Agreement dated Jun 8th, 2005

Terminal signatures presume the other ATO Service Units are not required signatories. In the event the other Service Units or other Lines of Business are required for signature, their appropriate requirements/Directives must also apply as necessary.

Signatures required on the SRMD are dependent upon level of risk identified (See appendices E through J for Signature Page examples):

a. **High Initial Risk (Applicable for any SRMD with initial high risk)**. See Figure C-1 for a flowchart depicting required signature levels for High Initial Risk.

(1) Reviewed by:
District Safety Risk Management Focal (SRM POC)
Terminal Facility Manager or Terminal District Support Staff Manager
Central Service Center Operations Support Group (AJV-C2)
Central Service Center Safety Assurance Group (AJV-C1)
Terminal Airspace and Procedures Group (AJT-22)
Terminal Safety Group (AJT-28)

(2) Approved by:
Director, Terminal Operations, Central Service Area (AJT-C)
Director, Terminal Safety and Operations Support (AJT-2)
Director, Safety Risk Management and Safety Management System (AJS-2)

(3) Risk Accepted by:
Vice President, Terminal Services (AJT-0)

b. **Medium /Low Risk (SRMD not associated with a waiver request)**. See Figure C-2 for a flowchart depicting required signature levels for Medium/Low Risk.

(1) Reviewed by:
Central Service Center Operations Support Group (AJC-C2)
Central Service Center Safety Assurance Group (AJV-C1)

(2) Approved by:
Terminal Facility Manager or Terminal District Support Staff Manager

(3) Risk Accepted by:
District Manager (see Note)

Note: At the discretion of the District Manager, the Facility Manager has the authority to accept risk associated with Medium/Low Risk SRMDs. When the Facility Manager accepts risk, the SRMD must be approved by a trained SRM Focal assigned to the facility where the change is initiated.

c. **Medium /Low Risk (SRMD associated with a waiver request not affecting separation minima)**. See Figure C-3 for a flowchart depicting required signature levels for Medium/Low Risk associated with waivers not affecting separation minima.

(1) Reviewed by:
District Safety Risk Management Focal (SRM POC)
Terminal Facility Manager or Terminal District Support Staff Manager
Central Service Center Operations Support Group (AJV-C2)
Central Service Center Safety Assurance Group (AJV-C1)
Terminal Airspace & Procedures Group (AJT-22)

(2) Approved by:
Director, Terminal Safety and Operations Support (AJT-2)

(3) Risk Accepted by:
Facility/District Manager

d. **Medium /Low Risk (SRMD associated with a waiver request affecting separation minima)**. See Figure C-4 for a flowchart depicting required signature levels for Medium/Low Risk associated with waivers affecting separation minima.

(1) Reviewed by:
District Safety Risk Management Focal (SRM POC)
Terminal Facility Manager or Terminal District Support Staff Manager
Central Service Center Operations Support Group (AJV-C2)
Central Service Center Safety Assurance Group (AJV-C1)
Terminal Airspace & Procedures Group (AJT-22)

(2) Approved by:
Director, Terminal Safety and Operations Support (AJT-2)
Director, Safety Risk Management and Safety Management System (AJS-2)

(3) Risk Accepted by:
District Manager

e. **Medium / Low Risk (IG, NTSB, AOV inquiry or High Visibility items)**. See Figure C-5 for a flowchart depicting required signature levels for Medium/Low Risk associated with IG, NTSB, AOV inquiry or High Visibility items.

(1) Reviewed by:
District Safety Risk Management Focal (SRM POC)
Central Service Center Operations Support Group (AJV-C2)
Central Service Center Safety Assurance Group (AJV-C1)
Terminal Airspace & Procedures Group (AJT-22)

(2) Approved by:
Terminal Facility Manager or Terminal District Support Staff Manager
Director, Terminal Safety and Operations Support Office (AJT-2)

Director, Management System/Safety Risk Management Office (AJS-2)

(3) Risk Accepted by:
District Manager

Initial High Risk SRMD Process

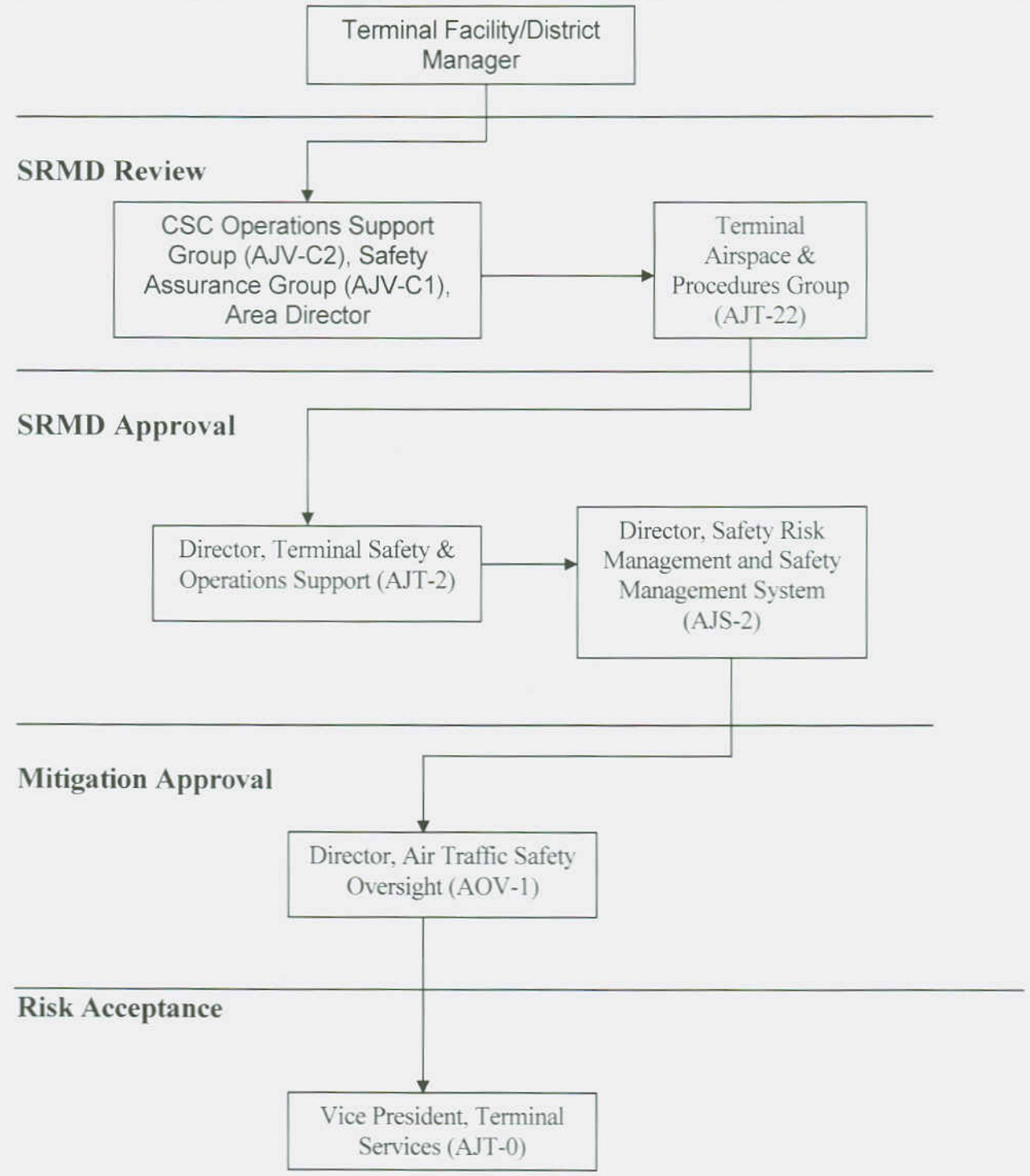

Figure C-1: Initial High Risk SRMD Process

Medium/Low Risk SRMD Process

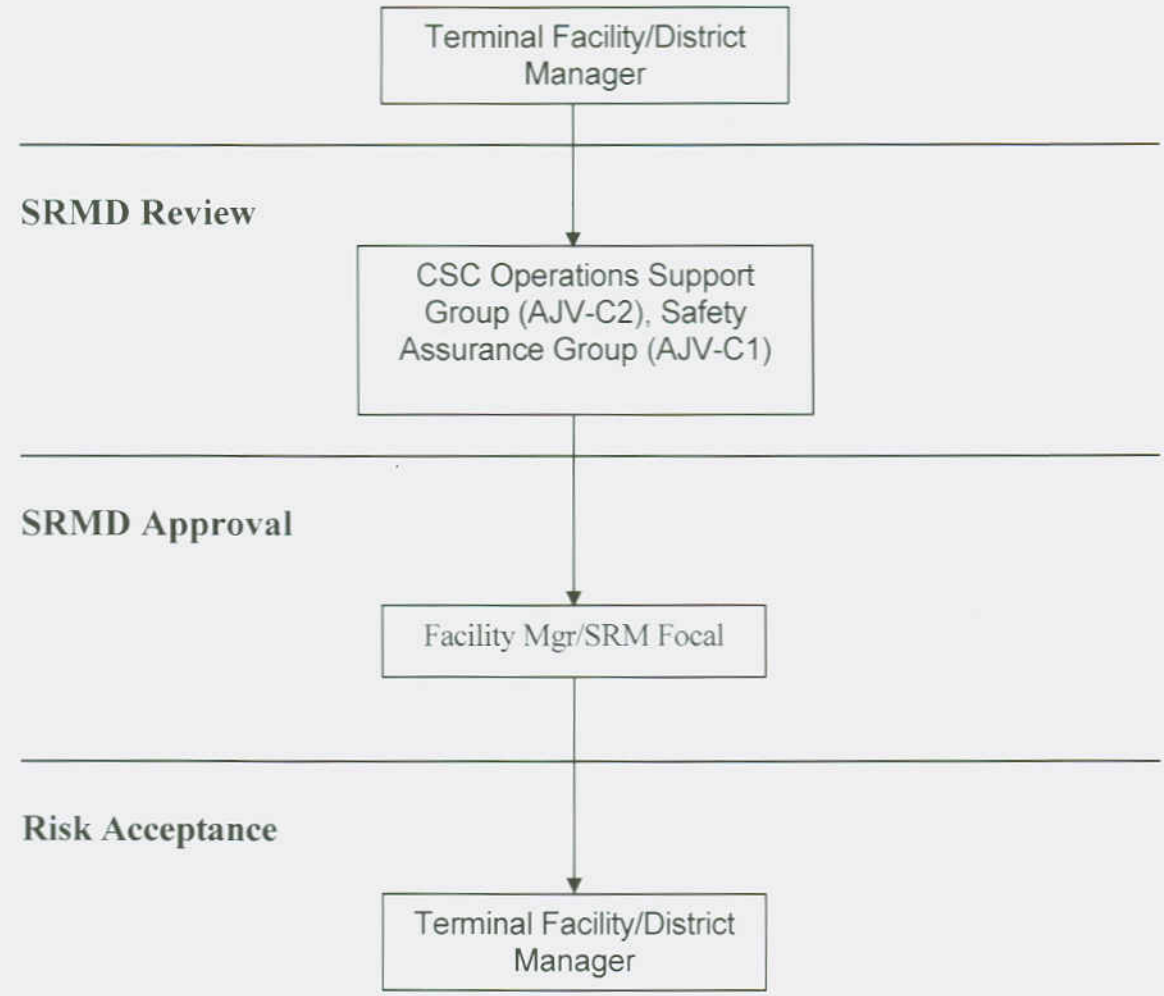

Figure C-2: Medium/Low Risk SRMD Process

Medium/Low Risk SRMD Process (Waiver affecting separation minima)

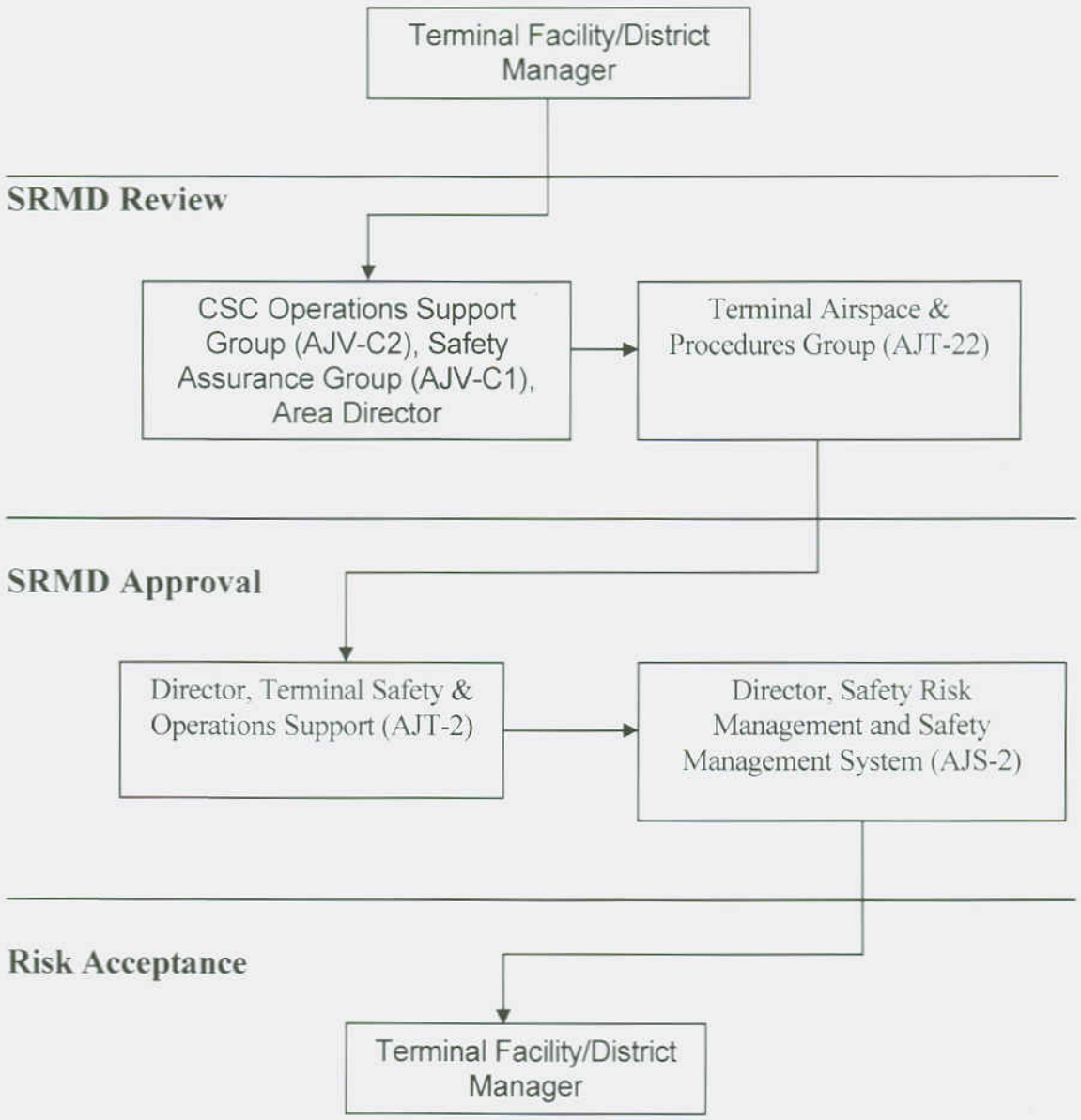

Figure C-3: Medium/Low Risk SRMD Process (waiver affecting separation minima)

Medium/Low Risk SRMD Process (Associated with waiver not affecting separation minima)

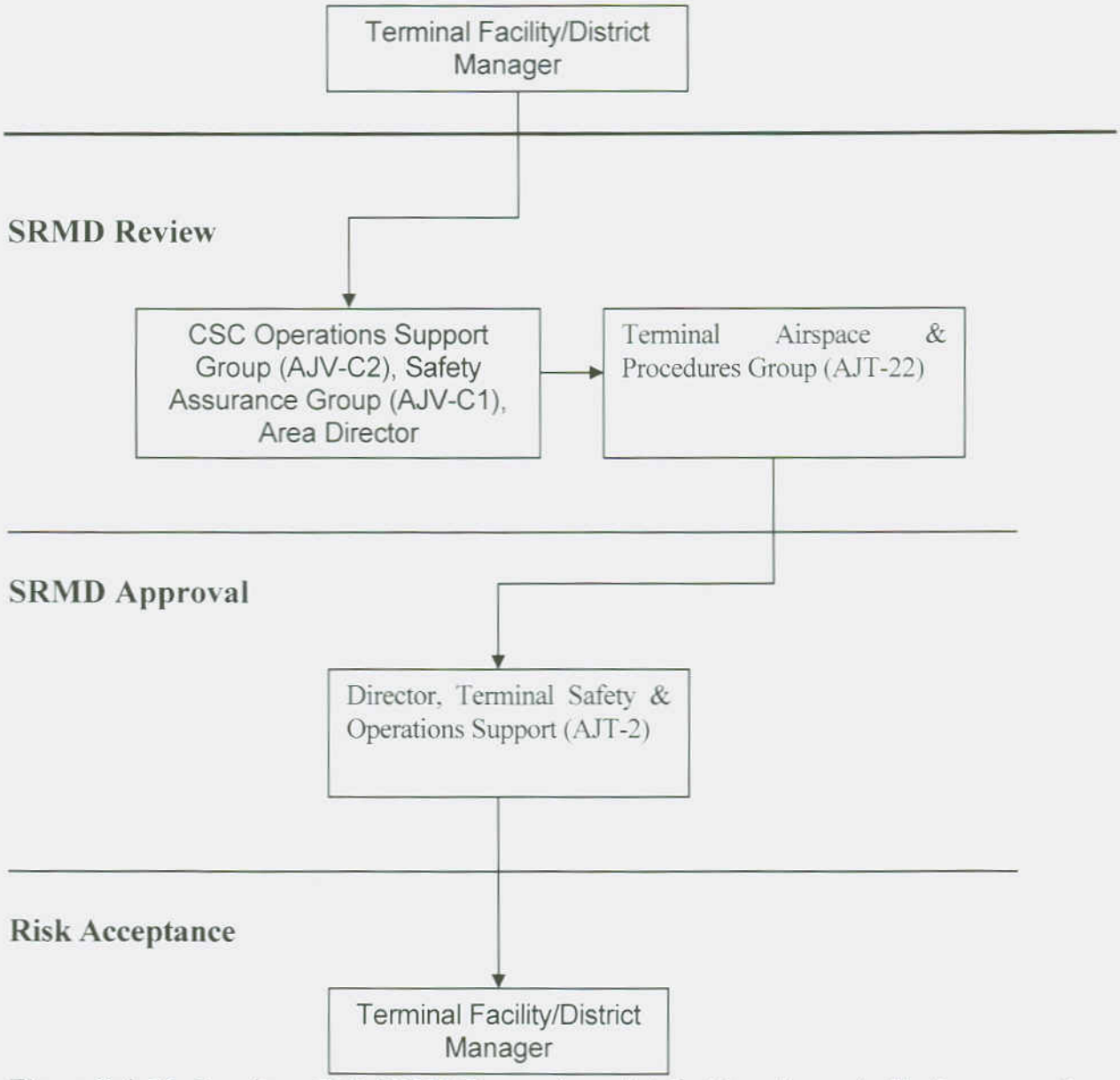

Figure C-4: Medium/Low Risk SRMD Process (associated with waiver not affecting separation minima)

Medium/Low Risk SRMD Process (IG, NTSB, AOV Inquiry or High Visibility Items)

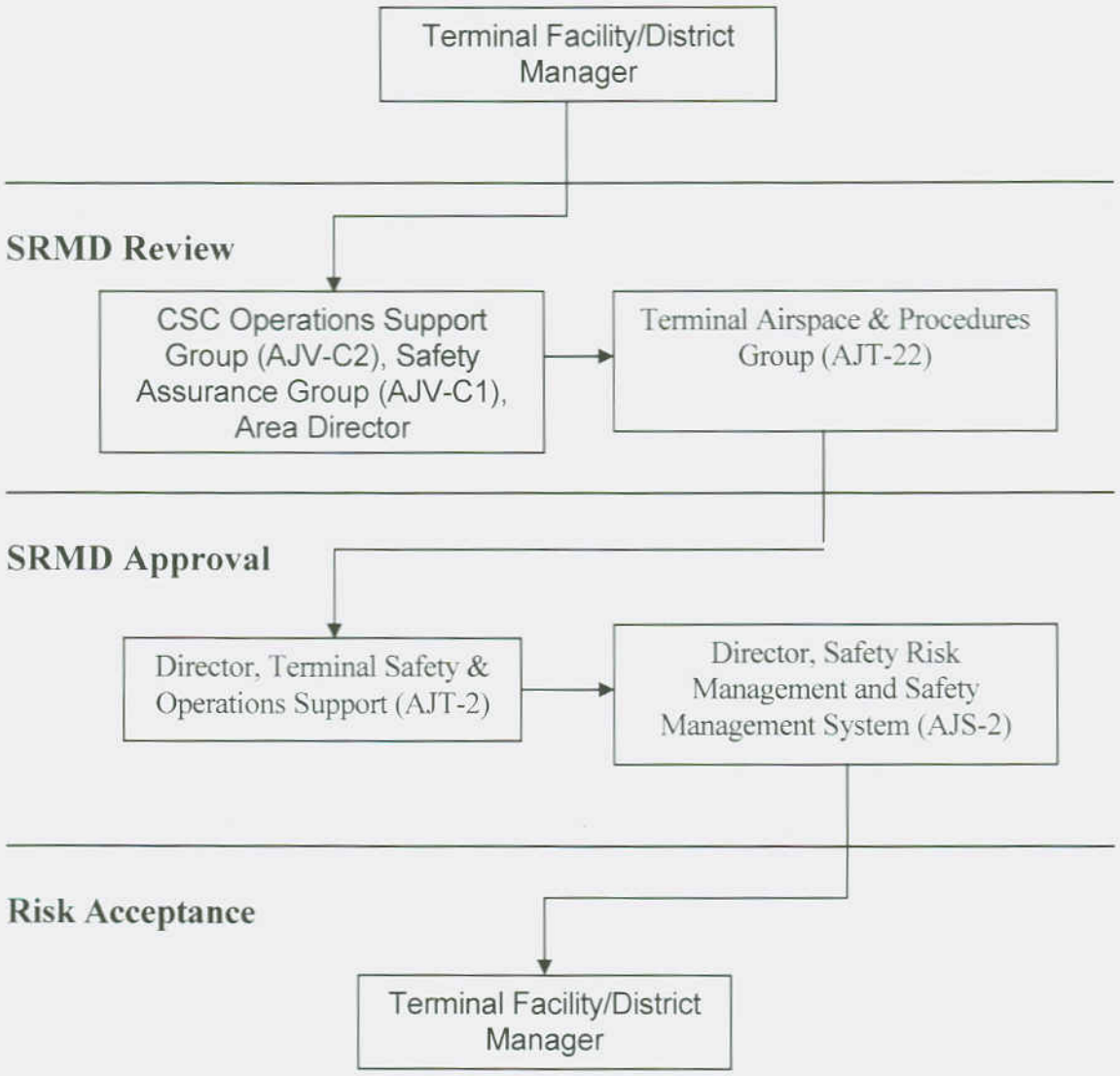

Figure C-5: Medium/Low Risk SRMD Process (IG, NTSB, AOV Inquiry or High Visibility Items)

Appendix D - Safety Risk Management
Central Service Center (CSC) Roles and Responsibilities

The Operations Support (OSG) and Safety Assurance (SAG) Groups Support the Directors of Operation to ensure changes to the NAS comply with the SMS Manual and SRM orders and policies. In certain instances the Planning and Requirements Group will also have a major active role with Terminal changes. The SAG specifically supports Safety Risk Management (SRM) and Safety Management System (SMS) activities. The SAG assists field offices by providing:

- Clarification of SMS/SRM requirements
- Assistance with SRM Documentation
- Assistance with establishing SRM Panels
- SRM Panel facilitation and document preparation
- Assistance with tracking and monitoring of hazards and risk mitigation plans

All proposed changes to the NAS require SRM evaluation prior to implementation. The process below defines Service Center roles and responsibilities, and describes routing of SRM documentation through the Central Service Center:

1. The organizational entity that generates any changes to the NAS such as new procedures, airspace changes, waivers, or changes to air traffic control and navigation systems, must submit those requested changes, along with SRM documentation, to the CSC Operations Support Group (OSG). The OSG Team Manager (AJO-1C) will forward the document to the appropriate Support Specialist. To ensure the Service Center operates as "one" organization, receiving and processing SRM documents, and providing consolidated responses to the facilities/districts, the OSG will be the entry and exit point for all terminal airspace and/or procedural changes.

2. The assigned OSG Support Specialist reviews all SRM documentation from a technical perspective, ensuring compliance with current air traffic control policies and procedures (i.e., FAA JO 7110.65, FAA JO 7210.3, etc) and, in cases involving waivers, adequate justification and rationale.

3. The OSG Support Specialist forwards a copy of the SRM document to the SAG via the Organization Evaluations Team Manager (AJV-C1). The Team Manager will assign the SRM document to the appropriate Specialist. SRM documents will be tracked in the Service Area Action Tracking System (SAATS).

4. Upon receipt, the SAG Specialist will review SRM documentation from a risk management *process* perspective to ensure adherence to the current SMS Manual and all applicable SMS/SRM orders, policies, and procedures. The SAG Specialist will provide any comments or recommendations regarding the SRM document directly to the Operations Support Specialist who will combine these comments with theirs', and prepare a consolidated response to the facility/district office. If the OSG does not have any comments and requests the SAG Specialist to do so, the SAG Specialist may consult directly with the customer to resolve SRM issues. If necessary, the SAG Specialist could also provide a consolidated response to the customer. If the Safety Assurance Group concurs with the

SRM documentation, the SAG Specialist will coordinate with the Operations Support Specialist and sign the SRMD document signifying Safety Assurance's review and concurrence.

5. The Operations Support Group maintains overall responsibility for processing of changes to the NAS. By serving as the primary entry/exit point for SRM documents, the Director of Terminal Operations can be certain that when the OSG recommends an SRM document for approval, both the Operations Support and Safety Assurance Groups concur with the proposed change. Once approved by the Director, the OSG will forward SRM documentation to the appropriate Headquarters offices and copy the SAG.

6. The Safety Assurance Group will ensure that all hazards associated with SRMD's have been entered into the Hazard Tracking System. If they have not, the SAG will coordinate with the initiator of the change and enter the hazards. The SAG will track risk mitigation strategies implemented by the Facility/District Offices and work with the initiator of the change to assure all SMS responsibilities are met.

For any questions regarding safety risk management or the SMS process, please contact the Safety Assurance Group Organizational Evaluations Team at (817) 222-4503. For Operations Support assistance, contact (817) 222-5530.

Appendix E
Signature Page for Initial High Risk Hazards (example)[7]

Title: Name/Title of SRMD associated with Initial High Risk Hazard
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Version Number:
SRMD Version Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Office	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date
Designee, Terminal Airspace and Procedures Group AJT-22	Date
Designee, Terminal Safety Group AJT-28	Date

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area	Date

[7] While additional review/approval signatures may be included, this example represents the minimum required signatures for initial high risk hazards

AJT-C

Mr. Raul C. Trevino, Director, Terminal Safety and Operations Support Office AJT-2	Date
Mr. Huan Nguyen, Director, Safety Risk Management and Safety Management Systems AJS-2	Date

Risk Acceptance Signature:

Mr. Bruce Johnson, Vice President, Terminal Services, AJT-0	Date

Appendix F
Signature Page for Medium/Low Risk Hazards (example)[8]

Title: Name/Title of SRMD associated with Medium/Low Risk Hazard
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Version Number:
SRMD Version Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Support Staff Manager	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area AJT-C	Date

Risk Acceptance Signature:

Terminal District Manager	Date

[8] While additional review/approval signature lines may be included, this example represents the minimum required signatures for medium/low risk hazards

Airport Traffic Control Tower/
Terminal Radar Approach Control (ATCT/TRACON) [see note]

Appendix G
Signature Page for Medium/Low Risk:
New Waiver Requests not affecting separation minima (example)[9]

Title: Name/Title of SRMD associated with Waiver Request
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Version Number:
SRMD Version Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Support Staff Manager	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date
Designee, Terminal Airspace and Procedures Group AJT-22	Date
Designee, Terminal Safety Group AJT-28	Date

[9] While additional review/approval signatures may be included, this example represents the minimum required signatures for med/low risk waiver requests not affecting separation minima

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area AJT-C	Date
Mr. Raul Trevino, Director, Terminal Safety and Operations Support Office AJT-2	Date

Risk Acceptance Signature:

Terminal District Manager Airport Traffic Control Tower/ Terminal Radar Approach Control (ATCT/TRACON) [see note]	Date

Appendix H
Signature Page for Medium/Low Risk: New Waiver Requests Affecting Separation Minima (example)[10]

Title: Name/Title of SRMD associated with Waiver Request
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Version Number:
SRMD Version Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Support Staff Manager	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date
Designee, Terminal Airspace and Procedures Group AJT-22	Date
Designee, Terminal Safety Group AJT-28	Date

[10] While additional review/approval signatures may be included, this example represents the minimum required signatures for med/low risk waiver requests affecting separation minima

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area AJT-C	Date
Mr. Raul C. Trevino, Director, Terminal Safety and Operations Support Office AJT-2	Date
Mr. Huan Nguyen, Director, Safety Risk Management and Safety Management Systems, AJS-2	Date

Risk Acceptance Signature:

Terminal District Manager Airport Traffic Control Tower/ Terminal Radar Approach Control (ATCT/TRACON) [see note]	Date

Note: At the discretion of the District Manager, the Facility Manager has the authority to accept risk associated with Medium/Low risk SRMDs.

Appendix I
Signature Page for Medium/Low Risk: Waiver Renewals Not Affecting Separation Minima (example)[11]

Title: Name/Title of SRMD associated with Request for Waiver Renewal
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Version Number:
SRMD Version Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Support Staff Manager	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date
Designee, Terminal Airspace and Procedures Group AJT-22	Date
Designee, Terminal Safety Group AJT-28	Date

[11] While additional review/approval signatures may be included, this example represents the minimum required signatures for med/low risk waiver renewals not affecting separation minima

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area Office, AJT-C	Date
Mr. Raul C. Trevino, Director, Terminal Safety and Operations Support Office AJT-2	Date

Risk Acceptance Signature:

Terminal District Manager Airport Traffic Control Tower/ Terminal Radar Approach Control (ATCT/TRACON) [see note]	Date

Appendix J
Signature Page for Medium/Low Risk: Waiver Renewals Affecting Separation Minima (example)[12]

Title: Name/Title of SRMD associated with Request for Waiver Renewal
Initiator: XYZ Facility/District Manager **(may be a Support Manager or Specialist)**
Initiator's Organization: XYZ Terminal Facility/District
Initiator's Phone Number:
Submission Date:
SRMD Revision Number:
SRMD Revision Date:

SRMD Reviewed by:

Terminal District Office Safety Risk Management Focal	Date
Terminal Facility Manager or Terminal District Support Staff Manager	Date
Designee, Central Service Center Safety Assurance Group AJV-C1	Date
Designee, Central Service Center Operations Support Specialist AJV-C2	Date
Designee, Terminal Airspace and Procedures Group AJT-22	Date
Designee, Terminal Safety Group AJT-28	Date

[12] While additional review/approval signatures may be included, this example represents the minimum required signatures for med/low risk waiver renewals affecting separation minima

SRMD Approval Signature(s):

Mrs. Nancy B. Kort, Director, Terminal Operations, Central Service Area Office, AJT-C	Date
Mr. Raul C. Trevino, Director, Terminal Safety and Operations Support Office, AJT-2	Date
Mr. Huan Nguyen, Director, Safety Risk Management and Safety Management Systems, AJS-2	Date

Risk Acceptance Signature:

Terminal District Manager Airport Traffic Control Tower/ Terminal Radar Approach Control (ATCT/TRACON) [see note]	Date

Appendix K – Definitions and Acronyms

DEFINITIONS

a. **Approval.** The formal act of responding favorably to a change submitted by a requesting organization. This action is required prior to the proposed change being implemented.

b. **Concurrence.** Agreement with results or conclusions expressed in a change justification, SRMDM, SRMD, or other document.

c. **Hazard.** Any real or potential condition that can cause injury, illness, or death to people; damage to or loss of a system, equipment, or property; or damage to the environment. A condition that is a prerequisite to an accident or incident.

d. **NAS.** The National Airspace System is the collection of documents, personnel, procedures, systems, and services that the ATO uses to provide ATC and navigation services.

e. **Oversight.** To validate the development of a defined system and verify compliance to a pre-defined set of standards; Regulatory Supervision.

f. **Requirement.** An essential attribute or characteristic of a system. It is a condition or capability that must be met or passed by a system to satisfy a contract, standard, specification, or other formally imposed document or need.

g. **Risk.** The composite of predicted severity and likelihood of the potential effect of a hazard in the worst credible system state.

h. **Safety.** Freedom from unacceptable risk.

i. **Safety Directive.** A mandate from AOV to the ATO to take immediate corrective action to address a non-compliance issue that creates a significant unsafe condition, as determined by AOV.

j. **Safety Management System (SMS).** An integrated collection of processes, procedures, policies, and programs that are used to assess, define, and manage the safety risk in the provision of ATC and navigation services.

k. **Safety Risk Management (SRM).** A formalized, proactive approach to system safety. SRM is a methodology applied to all NAS changes that ensures that hazards are identified and unacceptable risk is mitigated prior to the change being made. It provides a framework to ensure that once a change is made, it continues to be tracked throughout its lifecycle.

l. **Safety Risk Management Decision Memo (SRMDM).** The documentation of the decision that the proposed change does not impact NAS safety. The memo includes a written statement of the decision and supporting argument and is signed by the manager and kept on file for a period equivalent to the lifecycle of the system or change.

m. **Safety Risk Management Document (SRMD).** Thoroughly describes the safety analysis for a given proposed change. It documents the evidence to support whether or not the proposed change to the system is acceptable from a safety risk perspective. SRMDs are kept and maintained by the organization responsible for the change for a period equivalent to the lifecycle of the system or change.

n. **System.** An integrated set of constituent pieces that are combined in an operational or support environment to accomplish a defined objective. These pieces include people, equipment, information, procedures, facilities, services, and other support services.

ACRONYMS

AOV	Air Traffic Safety Oversight Service
ATC	Air Traffic Control
ATM	Air Traffic Manager
ATO	Air Traffic Organization
ATO-S	Air Traffic Organization Safety Management System (SMS) Office
ATO-T	Air Traffic Organization Terminal
CBI	Computer Based Instruction
CMEL	Center for Management Excellence and Learning
CTSA	Central Terminal Service Area
eLMS	Electronic Learning Management System
FAA	Federal Aviation Administration
HRH	High Risk Hazard
HTS	Hazard Tracking System
ICAO	International Civil Aviation Organization
IG	Inspector General
ILS	Instrument Landing System
KSN	Knowledge Sharing Network
LAHSO	Land and Hold Short Operations
NAS	National Airspace System
NTSB	National Transportation Safety Board
OSG	Operations Support Group
PRG	Programs and Requirements Group
SAG	Safety Assurance Group
SCIA	Simultaneous Convergent Instrument Approaches
SME	Subject Matter Expert
SMS	Safety Management System
SRM	Safety Risk Management
SRMDM	SRM Decision Memo
SRMD	SRM Document
TIPH	Taxi in to Position and Hold