

SAFETY Safety Management System



Federal Aviation
Administration

FY 2009 Performance Target

Complete nine key activities in preparation for full implementation of SMS in all appropriate FAA organizations in FY 2010.

Flight Plan Objective and Performance Target

Objective 6: Implement a Safety Management System (SMS) for the FAA.

Performance Target: In FY 2010, implement SMS in the Air Traffic Organization, Office of Aviation Safety, and Office of Airports. In FY 2012, implement SMS policy in all appropriate FAA organizations.

	FY 2005	FY 2006	FY 2007	FY 2008 ¹	FY 2009 ²
Target	3	3	3	6	9 SMS Activities Achieved
Actual	3	4	3	6	

¹ In FY 2008, the original Safety Risk Management (SRM) measure was modified, and the name was changed to Safety Management System. The SRM measure for FY 2005 – FY 2007 was the number of applications of SRM to significant changes in the NAS. This measure was kept in FY 2008, and was expected to continue in FY 2009.

² In FY 2009, the measure is redefined as completion of the key activities required for implementation of SMS in ATO, AVS, and ARP in FY 2010. Beginning in FY 2010, the measure will be defined as the number of organizations implementing SMS.

Definition of Measure

Unit of Measure: For FY 2009, the unit of measure is completion of nine key activities that support the 2010 implementation of SMS in the Air Traffic Organization (ATO), Office of Aviation Safety (AVS), and Office of Airports (ARP) appropriate FAA organizations.

Computation: The total number of successfully completed key activities is calculated.

Formula: Count of key activities completed.

Scope of Measure: Key activities selected by ATO, AVS, and ARP for FY 2009. (See list of key activities at the end of this portfolio page)

Why the FAA Chooses this Measure

The FAA Safety Management System is a formal, top-down business-like approach to managing safety risk. SMS relies on developing standardized language, processes, and tools to manage safety risk across the aviation industry. Successful implementation of SMS is critical to meeting the challenges of a rapidly changing and expanding aviation system. The traditional methods of analyzing the causes of an accident or incident, after the fact, are not enough. To achieve the next level of safety a more forward thinking approach is required to analyze trends, data, and systems to manage issues before they become incidents or accidents.

The SMS process ensures that safety-related changes are documented; risk is assessed, analyzed and mitigated; hazards are identified and tracked to resolution; and the performance of any change is monitored throughout its lifecycle. Applying SMS prior to implementing changes to the National Airspace System (NAS) will ensure that unacceptable risk is not introduced. It will also improve the documentation of the processes used to ensure the safety of the NAS.

In order to fully implement SMS in FY 2010, key preparatory activities are required to be completed within ATO, AVS and ARP in FY 2009. These activities represent the continuous effort in implementing SMS in the ATO as stipulated in the approved ATO SMS Implementation Plan. They are part of the roadmap to reach

the goal of full compliance, and hence are key to this accomplishment.

Source of the Data

In FY 2009 the nine critical activities and associated activity targets are included and defined in the FY 2009 Business Plans of ATO, AVS, and ARP. Status on each activity is reported by ARP/AVS/ATO program managers in the FAA's performance management system and reviewed at the monthly FAA Administrator's Flight Plan meeting.

Some examples of ATO documentation for FY 2009 will include training source documents, SRM training announcements, course registrations, and training sign-in sheets. For tracking actual changes to the NAS, source documents will include the ATO NAS Change Tracking Report and monthly ATO Safety Risk Management Activity Reports. ARP documentation will include a draft ARP SMS Order, and the final ARP SMS Order. Some AVS documentation will include: the Advance Notice of Proposed Rulemaking in the Federal Register, Integrated Rulemaking Management Information System/Cyberdocs Tracking System, records of notes from Committee Meetings, Air Traffic Safety Oversight Audit Reports, and FAA Memoranda from AOV-1 to AJO on approvals and/or acceptance.

Statistical Issues

None.

Completeness

ATO, AVS, and ARP are each responsible for ensuring that the documentation of their activity is complete and accurate. The responsible program offices will collect all pertinent documentation related to the completion of this performance target, and then assesses if the performance target was successfully achieved.

Reliability

The program manager for each organization is responsible for attesting to the reliability of information reported and for maintaining backup documentation. They will monitor the key activities and validate the successful completion of this performance target.

List of Key SMS Activities:

Within AVS these activities are:

- 1) Issuing an Advance Notice of Proposed Rulemaking for an Aviation Safety Management System.
- 2) Establishing the Safety Management System Committee in accordance with FAA Order 8000.369.
- 3) Providing safety surveillance and oversight of the ATO to ensure continuous operation safety of the NAS.

Within ATO these activities are:

- 4) Establishing FY2008 safety culture surveys of ATO personnel in order to establish baseline metrics in order to develop lessons learned and implement best practices.
- 5) Completion of the development of Safety Management System (SMS) training materials in order to promote full implementation across the ATO.
- 6) Providing Safety Risk Management (SRM) training to personnel involved with implementing changes within the NAS.
- 7) Monitoring the integration of the SRM process into new system acquisitions to ensure acceptable risk identification and mitigation.
- 8) Developing and conducting the SMS audit process to ensure SMS compliance within the operational ATO Service Units.

Within ARP this activity is:

- 9) Designing and implementing SMS for airport regulation and certification.