

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Air Traffic Organization Policy

N JO 1000.29

Effective Date:
September 14, 2012
Cancellation Date:
March 14, 2013

SUBJ: Safety Management System Requirements for En Route and Oceanic Facilities

- 1. Purpose of This Notice.** This notice describes requirements following the acceptance of risk in a Safety Risk Management Document (SRMD) for facilities in En Route and Oceanic Services (AJE). This notice supplements information in the Air Traffic Organization (ATO) Safety Management System (SMS) Manual.
- 2. Audience.** This notice applies to all AJE Air Route Traffic Control Center (ARTCC) and Combined Center Radar Approach Control (CERAP) facilities.
- 3. Where Can I Find This Notice?** This notice is available on the MyFAA employee Web site at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications Web site at http://www.faa.gov/air_traffic/publications/.
- 4. Cancellation.** This notice will be cancelled upon the cancellation date.
- 5. Explanation of Policy Change.** This notice describes requirements for AJE facilities and supplements the ATO SMS Manual.
- 6. Procedures/Responsibilities/Action.**
 - a. Following the acceptance of risk in an SRMD, the change proponent is required to:
 - (1) Implement all mitigations in the SRMD prior to or in conjunction with the implementation of the change.
 - (a) The change proponent must maintain a record of all mitigations being implemented.
 - (b) Mitigation implementation for changes with associated initial high risk must be reported to the Service Area and the Safety and Technical Training En Route and Terminal Safety Engineering Team Manager, AJI-161, at Washington Headquarters. AJI-161 will provide En Route and Oceanic Services Operations Support, AJE-3, a monthly report of the completed post change reviews.
 - (2) Assess the change and its effects on the National Airspace System (NAS) in a Post Change Safety Review.
 - (a) Post Change Safety Reviews are to be maintained by the change proponent.
 - (b) Post Change Safety Reviews for changes with associated initial high risk must be reported to the Service Area and the Safety and Technical Training En Route and Terminal Safety Engineering Team Manager, AJI-161, at Washington Headquarters. AJI-161 will provide En Route and Oceanic Services Operations Support, AJE-3, a monthly report of the completed post change reviews.

(c) For changes with initial high risk, three separate reviews must be completed 30 days, 90 days, and 360 days after the change is implemented.

(d) For changes with initial medium risk, one review must be completed 180 days after the change is implemented.

(e) For changes with initial low risk, one review must be completed 90 days after the change is implemented.

(f) For any change that is terminated earlier than the above timelines, a review is required no later than 15 days after the termination of the change and the review must describe the reasons for termination.

(g) The Post Change Safety Review must address the following items, at a minimum:

(i) The actual residual risk of hazards observed versus the predicted residual risk from the SRMD

(ii) The effectiveness of mitigations

(iii) Unforeseen effects of the change

(iv) Whether or not the change is a steady state part of the baseline NAS

(h) If the change proponent concludes in the review that the change is not a steady state part of the baseline NAS, one of the following courses of action will be taken:

(i) An additional review will be completed covering a period equal to one half of the original assessment period (LOW – 45 days, MED – 90 days, HIGH – 180 days) beginning from the date of the last review

(ii) The change will be re-analyzed via the safety risk management process to determine additional mitigations that may be applied

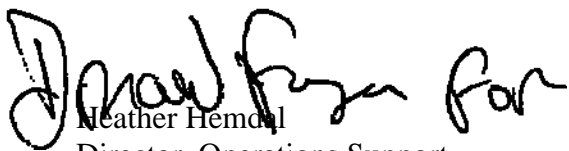
(iii) The project associated with the change will be terminated

b. The baselining of a change is the formal recognition that the change occurred effectively and safely, is now a steady state part of the NAS. Once a change is baselined, all analyses of hazards and mitigations located in the SRMD still remain valid. Likewise, this does not absolve any entity from the responsibility to maintain necessary mitigations or apply safety to items related to the change. Baselining does, however, mark an end to formal monitoring of the change. If, at any time after the change is baselined, mitigations are removed or a modification to the original change is made, a new safety case must be opened in accordance with JO 1000.37 and the ATO SMS Manual.

c. The above requirements are minimum requirements and change proponents may conduct any additional activities or take any additional actions they deem necessary to ensure these requirements are met.

7. Distribution. This notice is distributed to select AJE offices in Washington Headquarters; the Eastern, Central, and Western En Route and Oceanic Operations Service Areas; En Route and Oceanic Air Traffic Control Facilities; and the Service Center Quality Control Groups.

8. Background. This notice supplements the content of the ATO SMS Manual.

A handwritten signature in black ink, appearing to read "Donald Hemdal".

Donald Hemdal
Director, Operations Support
En Route and Oceanic Services
Air Traffic Organization

9.14.12

Date Signed