



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Eastern En Route and Oceanic Service Area

ORDER
JE 7231.5

Effective Date:
8/28/2011

SUBJ: Safety Management System (SMS)

1. Purpose of This Order. This Order supplements the Air Traffic Organization (ATO) Safety Management System (SMS) Plan by providing SMS guidance for the Eastern En Route and Oceanic Service Area (EEOSA).

2. Audience. All Eastern En Route and Oceanic Service Area 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 and may be found at: https://employees.faa.gov/tools_resources/orders_notices/

4. Cancellation. Cancels Safety Management System (SMS) Implementation Memorandum dated July 9, 2008.

5. Background. In accordance with Annex 11 to the Convention on International Civil Aviation, *Air Traffic Services*, FAA Order 1100.161, *Air Traffic Safety Oversight*, and FAA Order JO 1000.37, *Air Traffic Organization Safety Management System*, the ATO has implemented a formal SMS program. The SMS program requires a Safety Risk Management (SRM) process be conducted and that documentation of each completed SRM process, referred to as a Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memorandum (SRMDM), be prepared and retained for all changes impacting safety of the National Airspace System (NAS). The SRM process must be conducted prior to any change or modification to En Route airspace and procedures, and prior to changes or modifications to En Route NAS systems.

6. SMS Policy. FAA Order JO 1000.39A, *Air Traffic Organization En Route and Oceanic Services Safety Management System*, defines the policy, application, and supporting documents of the SMS in the En Route Service unit. It identifies the strategic and tactical safety responsibilities of all of the En Route facilities, discusses the requirements, safety standards, and guidance under which the AJE operates. It also establishes the SMS policy that all AJE personnel must follow.

7. SMS Objectives. The main objective of the Safety Management System (SMS) is to increase the safety of the NAS by reducing the potential for accidents by only knowingly accepting *thoroughly understood and well defined* risk into the NAS. The SMS introduces SRM capabilities needed for a systematic approach to managing the safety risk of ATC and navigation services.

8. Accountable Officials. The Director of Eastern En Route and Oceanic Operations (AJE-E) is accountable for the SMS program within the EEOSA and has the responsibility to fulfill requirements of this order.

10. Distribution. This order is distributed to all Facility Offices in the Eastern En Route Service Area, the Eastern Service Center Planning and Requirements Group, the Operations Support Group, and the Quality Control Group.

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

12. Responsibilities.

a. Facility Air Traffic Managers (ATMs) must:

- (1) Ensure the SMS process is resourced, monitored, and evaluated.
- (2) Designate Facility SMS Points of Contact (POC) to support the SMS program.
- (3) As appropriate, designate a Facility Alternate SMS POC to support the SMS program.
- (4) Ensure all EEOSA personnel, including new-hires, complete eLMS Course 10603 *Introduction to Safety Management Systems* (see Appendix C for SMS/SRM training currently available).
- (5) Ensure that all Safety Risk Management documentation is coordinated with appropriate offices based on level(s) of risk (see Appendix A – *Safety Risk Management Decision Memoranda (SRMDM) Coordination* and Appendix B – *Safety Risk Management Document (SRMD) Coordination*).
- (6) Ensure electronic copies of all signed SRMDs and SRMDMs are uploaded into the SRM Project Tracker and all hazards are entered into the Hazard Tracking System (HTS)¹.
- (7) Evaluate the process, procedures, and effectiveness of the SMS program.
- (8) Make recommendations to improve the overall SRM process.

b. Facility Safety Management System (SMS) POCs must, as necessary:

- (1) Assist in determining whether local facility changes affect the NAS, thereby requiring development of an SRMD or SRMDM.
- (2) Assist in identifying Subject Matter Experts (SMEs) as participants on SRM panels.
- (3) Assist in verifying that SRM panel proceedings are effectively documented and complete.

¹ Air Traffic Managers and SRM Points of Contact (POCs) should contact the Eastern Service Center, Quality Control Group for credentials (UserID/Password) to access the SRM Project Tracker and HTS.

(4) Ensure electronic copies of all signed SRMDs and SRMDMs are uploaded into the SRM Project Tracker at <http://atfsas.faa.gov/srmtracker/index.cfm>, and all hazards are entered into Hazard Tracking System (HTS)² at <http://10.97.64.161/htstest/login.cfm>.

(5) Monitor effectiveness of all initial High and Medium hazard mitigation strategies and document monitoring efforts along with the results in the ATO Hazard Tracking System (HTS).

(6) Ensure SRM documents are correctly formatted based on the current version of the ATO SMS manual. The level(s) of initial risk dictate the proper signature levels (see Appendix A – *Safety Risk Management Decision Memoranda (SRMDM) Coordination* and Appendix B – *Safety Risk Management Document (SRMD) Coordination*).

c. Eastern Service Center, Operations Support Group (OSG) must:

(1) Review SRM Documents (SRMDs) from a *technical* perspective to ensure compliance with applicable directives (i.e., FAA JO 7110.65, FAA JO 7210.3, etc.). Following review, OSG should return SRMDs to the Quality Control Group (QCG) in accordance with Appendix B – Safety Risk Management Document (SRMD) Coordination.

(2) Work with the Quality Control Group when SRM documents fail to meet SRM requirements established by the current ATO SMS Manual, FAA Orders 1000.37, 1000.39A, and this order.

(3) Maintain overall responsibility for processing airspace and procedures change proposals to the NAS and provide the Director for En Route and Oceanic Operations only those proposals concurred by both the OSG and QCG.

(4) Upon approval/disapproval by the En Route and Oceanic Operations Director, notify originating office and forward copies of the approved proposal to Headquarters offices as appropriate.

d. Eastern Service Center, Quality Control Group (QCG) must:

(1) Serve as the Service Center's entry/exit point for all SRM correspondence.

(2) Provide SMS/SRM support and provide clarification of SMS requirements.

(3) Assist the facilities in the establishment and facilitation of SRM Panels.

(4) Assist facility offices with writing SRMDs and SRMDMs.

(5) Review SMS/SRM documentation from a *process* perspective to ensure adherence with ATO SMS Manual, ATO JO 1000.37, FAA JO 1100.161 and this Order.

² SRM Project Tracker and Hazard Tracking System (HTS) are web-based systems developed by the AJS to record projects and track hazard mitigation strategies associated with those projects. The SRM Project Tracker and Hazard Tracking System are scheduled for replacement by the ATO Safety Risk Management Tracking System (SRMTS) prior to Jan 2012.

(6) Assist in hazard identification by conducting safety data “mining” and safety data analysis of Pilot Deviations (PDs), Loss of Separation, Operational Deviations (ODs), accident/incident reports, etc.

(7) Ensure all hazards are entered in the HTS by the initiating facility and that each mitigation strategy is tracked by the facility office.

(8) Ensure SRM Documents (SRMDs) are correctly formatted and routed in accordance with the SMS manual.

(9) Conduct recurrent EEOSA telephone conferences (telcons) with Facility/Headquarters SMS Focals and actively participate in National telecons with the ATO En Route and Oceanic Safety and Operations Support Office, Senior Safety Engineer Group, AJE-38. EEOSA telecons will address topics regarding SMS and SRM within the Service Area at the facility level, while National telecons will address SMS and SRM topics common to all Service Areas.

(10) Serve as the primary interface with the En Route and Oceanic Safety and Operations Support Office, Senior Safety Engineer Group (AJE-38), for En Route SMS policy and SRM.



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Director, Eastern En Route and Oceanic Operations
AJE-E

Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination

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

- a. SRMDMs are required to have a minimum of two signatures from management officials within the facility. By signing the SRMDM, the submitter certifies that the proposed change will not adversely affect safety, or introduce risk, into the NAS. The second signatory functions in a Quality Assurance capacity, endorsing both the preliminary safety analysis and the SRM decision process.
- b. Electronic copies of signed SRMDMs must be uploaded into the SRM Project Tracker³.
- c. SRMDMs are to be maintained in the facility SRM file for a period equivalent to the lifecycle of the change.

³ The SRM Project Tracker and Hazard Tracking System (HTS) are web-based systems developed by the AJS to record projects and track hazard mitigation strategies associated with those projects. The SRM Project Tracker and Hazard Tracking System are scheduled for replacement by the ATO Safety Risk Management Tracking System (SRMTS) prior to Jan 2012.

Appendix B – Safety Risk Management Document (SRMD) Coordination

Safety Risk Management Documents (SRMDs) initiated by facility 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 current ATO SMS Manual⁴ with level of risk determined as **High, Medium, or Low**.

1. Initial High Risks. The SRMD with an initial *high* risk hazard shall be coordinated/routed through the following offices:

a. En Route Facility. The initiating facility shall coordinate/route the SRMD through the Quality Control Group (QCG).

b. The Quality Control Group (AJV-E1) will review the SRM Document from a Safety Risk Management *process* perspective. The QCG will resolve any SMS issues with the En Route facility prior to forwarding the document to the Operations Support Group (OSG).

c. The Operations Support Group (AJV-E2) will review the SRM document from a *technical* perspective and return the document to the Quality Control Group (QCG). The QCG will then coordinate through the En Route Safety Group (AJE-38) for AOV approval of initial High Risk Hazard (HRH) mitigations. SRMDs which meet requirements established in the current 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 Eastern En Route Operations (AJE-E).

d. The Director, Eastern En Route Operations (AJE-E) reviews the SRMD, indicating concurrence by signing and attaching a memorandum (requesting approval) addressed to the Director, En Route Safety and Operations Support Office (AJE-3).

e. The En Route Safety and Operations Support Group (AJE-3) reviews the SRMD and indicates concurrence through signature prior to forwarding to the Director, Operational Services (AJS-5) for approval/signature (see example *Initial High Risk* signature page at Appendix E).

f. ATO Operational Services Office (AJS-5). The ATO Operational Services Director (AJS-5) reviews the SRM document, indicating concurrence through signature on the appropriate approval line.

g. 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 signing and attaching a memorandum addressed to the Director, Operational Services⁵ (AJS-5).

h. Vice President, En Route Services (AJE-0). Initial high risk(s) that has/have been mitigated to medium or low, can only be accepted at the Vice President level (see example *Signature Page for Initial High Risk Hazards* at Appendix E).

⁴ See ATO SMS Manual, Chap 3: *Safety Risk Management*, for risk level definitions and determination process

⁵ AOV approves/disapproves **mitigations** only; not the SRMD itself.

2. Initial Medium/Low Risks. The SRMD with an initial *Medium* or *Low* risk hazard shall be coordinated and routed through the following offices:

a. En Route Facility. The initiating facility shall coordinate/route the SRMD through the Quality Control Group (QCG).

b. The Quality Control Group (AJV-E1) will review the SRM Document from a Safety Risk Management *process* perspective. The QCG will resolve any SMS issues with the En Route facility prior to forwarding the document to the Operations Support Group (OSG).

c. The Operations Support Group (AJV-E2) will review the SRM Document from a *technical* perspective and return the document to the Quality Control Group (QCG).

d. En Route Facility. The En Route Facility accepts medium/low risk(s) resulting from changes to En Route airspace and procedures (see example *Signature Page for Medium/Low Risk* at Appendix F).

3. 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. Signatures required on the SRMD are dependent upon level of risk:

a. High Initial Risk.

(1) Reviewed by:

Eastern Service Center Quality Control Group (AJV-E1)
Eastern Service Center Operations Support Group (AJV-E2)
En Route Airspace and Procedures Group (AJE-38)

(2) Approved by:

Director, En Route Safety and Operations Support (AJE-3)
Director, ATO Operational Services Office (AJS-5)

(3) Risk Accepted by:

Vice President, En Route Services (AJE-0)

b. Medium /Low Risk.

(1) Reviewed by:

Eastern Service Center Quality Control Group (AJV-E1)
Eastern Service Center Operations Support Group (AJV-E2)

(2) Approved by:

En Route Facility Support Manager/SRM POC

(3) Risk Accepted by:

En Route Facility Air Traffic Manager

Appendix C – Safety Management System Training

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

SRM Implementation Workshop: Workshops are used to gain additional experience in conducting En Route SRM analysis and for completing associated documentation. This is required training for all facility SRM Focals and recommended for Facility Managers, Operations Managers, Frontline Managers, Support Managers, and Staff Support Specialists involved in making changes to the NAS.

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.faa.gov> .

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

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

Appendix D - Safety Risk Management
Eastern Service Center (ESC) Roles and Responsibilities

The Quality Control Group (QCG) provides support to the Eastern Service Area and Washington Headquarters. This office provides guidance and instruction on the SMS, which includes Safety Promotion, Safety Risk Management, Safety Policy, and Safety Assurance.

SMS Specialist Responsibilities

- a. Provide input to Safety Risk Management Panel (SRMP) participants and ensure appropriate stakeholder involvement.
- b. Schedule permitting, provide SRM Panel facilitation and recording (scribe).
- c. Ensure initial medium and high risk hazard safety requirements are validated and verified by the responsible party. This may require contacting the facility POC.
- d. Ensure that all SRM documents (SRMDs/SRMDMs) are uploaded to the SRM Project Tracker and Hazard Tracking System (HTS).
- e. Ensure the Operations Support Group (OSG) is notified for review of applicable Safety Risk Management Documents (SRMDs). The QCG SMS Specialist reviews the SRMD for process and format and the OSG specialist reviews it in respect to operational/technical procedures.
- f. Review SRMDs/SRMDMs to ensure compliance with the current SMS manual and all applicable SMS directives and guidance. The QCG SMS Specialist signs the SRMD as a "Reviewer."
- g. Monitor SRMD safety requirements for effectiveness and assist the Specialist designated as Quality Assurance in their duties.
- h. Provide guidance to Service Units on proper SRM handling and SMS requirements.
- i. Provide templates on SRMD/SRMDM formats to the Service Unit change proponents.
- j. Assist Service Units in writing SRM documents.
- k. Provide SMS/SRM training.
- l. Prepare and conduct SMS presentations.
- m. Serve as a resource for similar SRM efforts.
- n. Provide assistance for National SRM efforts.
- o. Inform the Team Manager, Team Members, and the Group Manager the status of SRM Documents and/or High Visibility projects that are of significance. In the event a panel identifies a HIGH risk during the SRM process, the specialist shall notify the Team Manager immediately.

- p. Coordinate with the Team Manager to determine the best use of resources in assisting the Service Units with panels and SRM documentation efforts. Specialists will coordinate (verbally or by email) with team members on SRM efforts that may pertain to other members duties.
- q. Generate action items and initiate/develop tracking procedures in response to SMS program non-compliance issues/trends/items (discovered through AOV/AJS audits).
- r. Respond to AJS/AOV regarding safety requirements.

Note: Specialists are expected to take lap-tops and be reachable by their FAA cell phones when in TDY status

The Quality Control Group has established an En Route Lead (duties listed below):

- a. Interface with Headquarters Service Unit SMS offices.
- b. Conduct Eastern Service Area SMS Telecons with POCs.
- c. Represent the Organizational Evaluations Team on all Eastern Service Area/National SU Telecons.
- d. Act as liaison to Service Unit Directors and provide periodic briefings.
- e. Ensure Directors/SUs are SMS compliant.
- f. Monitor SRMDs/SRMDMs through the signature process and assist specialist to ensure that final signed documents are in the National database and on the J Drive.
- g. Assist Service Units with issues regarding the logging and tracking of SRM documents.
- h. Support the monthly goal reporting process.
- i. Support the Service Units with database issues and obtaining access.
- j. Support the quality assurance process by providing data when needed.

Appendix E
Signature Page for Initial High Risk Hazards (example)⁶

Title: *Name/Title of SRMD associated with Initial High Risk Hazard*

Initiator: XYZ Facility (may be a Support Manager or Specialist)

Initiator’s Organization: XYZ En Route Facility

Initiator’s Phone Number:

Submission Date:

SRMD Revision Number:

SRMD Revision Date:

SRMD Reviewed by:

Designee, Eastern Service Center Quality Control Group (AJV-E1)	Date
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Designee, Eastern Service Center Operations Support Specialist (AJV-E2)	Date
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Designee, En Route Airspace and Procedures Group (AJE-38)	Date
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SRMD Approval Signature(s):

Director, En Route Safety and Operations Support Office (AJE-3)	Date
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Director, ATO Safety Operational Services Office (AJS-5)	Date
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Risk Acceptance Signature:

Vice President, En Route Services (AJE-0)	Date
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⁶ While additional review/approval signatures may be included, this example represents the minimum required signatures for initial high risk hazards

