



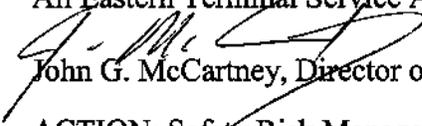
# Federal Aviation Administration

---

## Memorandum

Date: OCT 21 2008

To: All Eastern Terminal Service Area personnel

From:  John G. McCartney, Director of Eastern Terminal Operations

Subject: ACTION: Safety Risk Management Implementation

---

In accordance with FAA Order JO 1000.37, Air Traffic Organization Safety Management System, and the current Air Traffic Organization Safety Management System Implementation Plan, the Air Traffic Organization (ATO) is required to have a Safety Management System (SMS) fully implemented by March 2010. As an essential stakeholder, the Eastern Terminal Service is fully committed to meeting this requirement.

Safety Risk Management (SRM) is a critical component of the SMS and all proposed changes to the NAS require SRM evaluation prior to implementation. FAA Order 1100.161, Air Traffic Safety Oversight, specifically cites the following categories of changes as requiring a safety analysis:

- a. Airspace changes
- b. Changes to air traffic procedures and standards
- c. Changes to airport procedures
- d. Changes to NAS systems and equipment

Each category of change requires an SRM analysis be conducted and a supporting Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memorandum (SRMDM) be forwarded to the Operations Support Group (AJO2-E2) and Safety Assurance Group, ESA (AJO2-E1) for review.

Attached is Revision A to Order JE 7232.14, Safety Risk Management Implementation, which became effective October 17<sup>th</sup>, 2008. The revision provides clarification for routing of SRMDs and SRMDMs and further clarifies District/Facility and Service Center responsibilities for continued SRM compliance in the Eastern Terminal Service Area.

If you have any questions regarding SMS or integration of safety risk management in the Eastern Terminal Operations Service, please contact Charles Blackwell, Eastern Service Center, Safety Assurance Group (AJO2-E1) at (404) 305-7492, or David Blumberg, Eastern Service Center, Safety Assurance Group (AJO2-E1) at (404) 305-7490

Attachment:  
JE 7232.14 (Revision A, dtd Oct 17<sup>th</sup>, 2008)



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

ORDER  
JE 7232.14A

Effective Date:  
10/17/08

**SUBJ: Safety Risk Management Implementation**

---

- 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 Eastern Terminal Service Unit (ETSA).
- 2. Audience.** All Eastern Terminal 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/](https://employees.faa.gov/tools_resources/orders_notices/)
- 4. Cancellation.** Order JE 7232.14, Safety Risk Management Implementation, dated July 15<sup>th</sup>, 2007 is cancelled.
- 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 an 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). SRM 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 revision to Order JE 7232.14 adds Appendix D, *Service Center Roles and Responsibilities in Safety Risk Management*, and Appendices E through J, *Example Signature Pages for SRM Documents associated with Initial High Risk Hazards, Medium and Low Risk Hazards, Requests for Waiver and/or Waiver Renewal, affecting or not affecting separation minima*. The revision provides clarification to Facility, District and Service Center roles, responsibilities, and procedures to ensure continued Safety Risk Management (SRM) within the Eastern Terminal Service Area (ETSA).
- 7. SMS Policy.** FAA Order JO 1000.37, *Air Traffic Organization Safety Management System*, defines the policy, application, and supporting documents of the SMS in the ATO. It identifies the strategic and tactical safety responsibilities of all of the Service Units; discusses the requirements, safety standards, and guidance under which the ATO operates; and establishes the SMS policy that all ATO personnel must follow.

**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 only *knowingly* accepting risk into the NAS. The SMS introduces SRM capabilities needed for a systematic approach to managing the safety risk of ATC and navigation services.

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

**10. Distribution.** This order is distributed to the Director of Eastern Terminal Operations, all District and Facility Offices in the Eastern Terminal Service Area, and the Eastern Service Center Planning and Requirements Group, Operations Support Group, and Safety Assurance 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 ETSA 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 ETSA personnel, including new-hires, complete Course 10603 *Introduction to Safety Management Systems* (see Appendix C for SMS/SRM training currently available).
- (5) Ensure that all Safety Risk Management Documents (SRMDs), Safety Risk Management Decision Memorandums (SRMDMs), and waivers initiated at the Facility/District level are coordinated with appropriate offices based on level(s) of risk identified (see Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Appendix B – Safety Risk Management Document (SRMD) Coordination)
- (6) For SRM activities impacting the Airport Line of Business, request airport SME support through appropriate Airport District Office<sup>1</sup> (ADO).

---

<sup>1</sup> 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.

(7) Ensure electronic 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>.

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

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

**b. Facility/District Safety Risk Management (SRM) Focals 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 subject matter Experts (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 initial high and medium hazards are entered in the ATO Hazard Tracking System (HTS) at: <http://host.ato-p.faa.gov/htstest/login>.

(5) Monitor effectiveness of hazard mitigation strategies

(6) Ensure SRM documents (SRMDs/SRMDMs) are correctly formatted based on level(s) of identified risk and provide correct signature levels (see Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Appendix B – Safety Risk Management Document (SRMD) Coordination).

(7) Ensure that electronic copies of final (signed) SRMDs/SRMDMs are uploaded and maintained on the ATO-T Knowledge Sharing Network (KSN) at: <https://ksn.faa.gov/km/teams/atotsms>

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

(1) Serve 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 SRM documents (SRMDs) and decision memos (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 the Safety Assurance Group (SAG) for review in accordance with Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Appendix B – Safety Risk Management Document (SRMD) Coordination.

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

(5) Maintain overall responsibility for processing airspace and procedures change proposals to the NAS and provide the Director for Terminal Operations only those proposals concurred with by both the OSG and SAG.

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

(7) Ensure SRM documents (SRMDs/SRMDMs) are correctly formatted based on level(s) of identified risk, display correct signature levels, and are coordinated/routed through appropriate offices (see Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Appendix B – Safety Risk Management Document (SRMD) Coordination).

**d. Eastern Service Center, Safety Assurance Group (SAG) must:**

(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, SRMDMs) from a process perspective to ensure adherence with ATO SMS Manual, ATO SMS Implementation Plan, ATO JO 1000.37, FAA JO 1100.161 and this Order. Following review, return comments to OSG for consolidated response to originating Facility/District Office.

(5) Assist in hazard identification by conducting safety data “mining” and safety data analysis of Pilot Deviations (PD), Operational Errors, (OE), Operational Deviations (OD), accident/incident reports, etc.

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

(7) Ensure SRM documents (SRMDs/SRMDMs) are correctly formatted based on level(s) of identified risk, display correct signature levels, and are coordinated/routed through appropriate offices (see Appendix A – Safety Risk Management Decision Memoranda (SRMDM) Coordination and Appendix B – Safety Risk Management Document (SRMD) Coordination).

(8) Conduct recurrent ETSA telephone conferences (telcons) with Facility/District SRM Focals and actively participate in National telcons with the ATO Terminal Safety and Operations Support Office, Senior Safety Engineer Group (AJT-28). ETSA telcons will address topics regarding

SMS and SRM implementation within the Service Area at the facility/district level, while 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), request airport SME support through Regional Airports Division Manager<sup>2</sup>.

(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



**John G McCartney**  
**Director, Eastern Terminal Operations**  
**AJT-E**

---

<sup>2</sup> 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 for requesting ARP SMEs.

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

1. 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, should be presented in a *Safety Risk Management Decision Memorandum* (SRMDM).

a. SRMDMs are required to have a minimum of two signatures – one from the Facility or District Manager<sup>3</sup> responsible for the change and one from a management official *preferably* from outside the facility. If the change proponent is a Facility Manager, then the District Manager may provide the second signature. If the District Manager is the change proponent then a Support Manager, SRM Focal, or a manager from the ESC Operations Support Group or Safety Assurance Group, may provide the second signature. By signing the SRMDM, the Facility/District Manager 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 finalized SRMDMs along with source material must be forwarded to the Facility's/District's respective Support Specialist in the Operations Support Group (AJO2-E2). 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>.

---

<sup>3</sup> ATO 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 B – Safety Risk Management Document (SRMD) Coordination**

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<sup>4</sup> with level of risk determined as **High, Medium, or Low**.

1. **Initial High Risks**<sup>5</sup> – 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 District Office. If the District Office is the initiator, then the District Office will coordinate with and route SRMDs to the Operations Support Group (OSG). As soon as practicable, the Facility/District Manager should notify the Safety Assurance Group (AJO2-E1) of the proposed change and the associated initial high risk hazard (HRH).

b. **Operations Support Group (AJO2-E2).** 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 OSG. The SAG will coordinate through Terminal Airspace and Procedures Group (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 Eastern Terminal Operations.

c. **Director, Eastern Terminal Operations (AJT-E).** Reviews SRM document, indicating concurrence by signing and attaching 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 E).

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.

---

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

<sup>5</sup> 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 (AJO2-E1). 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.

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 Approval and Risk Acceptance remains at the Facility/District Manager level however, the SRMD must be forwarded to the Eastern Service Center for review prior to implementation of the proposed change. The Eastern Service Center, Safety Assurance Group is required to 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 Facility will coordinate/route through the District Office. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG), AJO2-E2.

b. Operations Support Group (AJO2-E2). The OSG will review SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG), AJO2-E1. 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.

c. Terminal 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 Initiating Facility will coordinate/route through the District Office. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJO2-E2). The OSG will review SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG) who will review the documents from a Safety Risk Management process perspective. If necessary, the SAG will provide comments and/or recommendations to OSG. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Eastern Terminal Operations.

c. Director, Eastern Terminal Operations (AJT-E). Reviews Waiver Request along with SRM document, and indicates concurrence by signing and attaching 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) 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 Terminal 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, Eastern Terminal Operations (AJT-E)

e. Terminal Facility/District Manager. Terminal 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 that affect separation minima.** New waivers that affect separation minima require ATO-S as well as AOV approval. SRMDs associated with requests for waivers that affect separation minima must be coordinated with the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJO2-E2). 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 OSG. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Eastern Terminal Operations.

c. Director, Eastern Terminal Operations (AJT-E). Reviews SRM document and indicates concurrence by signing and attaching 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) for signature.

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

f. 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.

g. Terminal 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 that do not affect Separation Minima.**

Existing waivers are those waivers in effect prior to March 14<sup>th</sup>, 2005 and accepted by AOV as being part of the NAS baseline. SRMDs associated with requests for waiver renewals that do not affect separation minima must be coordinated with the following offices:

a. Terminal Facility/District Manager. The Initiating Facility will coordinate/route through the District Office. If the District Office is the initiator, then the District Office will coordinate/route through the Operations Support Group (OSG).

b. Operations Support Group (AJO2-E2). 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 OSG. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded, along with the request for waiver renewal, to the Director, Eastern Terminal Operations (AJT-E).

c. Director, Eastern Terminal Operations (AJT-E). Reviews the SRM documentation and indicates concurrence by preparing 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 that do not affect 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, Eastern Terminal Operations (AJT-E).

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

b. Operations Support Group (AJO2-E2). The OSG will review waiver 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 OSG. SRMDs which meet requirements established in the ATO SMS Manual will be forwarded for approval to the Director, Eastern Terminal Operations.

c. Director, Eastern Terminal Operations (AJT-E). Reviews waiver SRM document and indicates concurrence by preparing 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 approval and signature.

e. Safety Management System/Safety Risk Management Office. The Manager, Safety Risk Management Group (AJS-22) reviews the waiver SRM document and indicates 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 AOV for acceptance.

f. Air Traffic Safety Oversight Office. The Air Traffic Safety Oversight Office (AOV) accepts renewals to existing separation minima waivers<sup>6</sup>, 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.

g. Terminal 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 Facility will coordinate routing through the District Office. District Offices will coordinate routing with the Operations Support Group (OSG).

b. Operations Support Group (AJO2-E2). The OSG will review SRM documents from a technical perspective and forward to the Safety Assurance Group (SAG) for comment. The SAG will review the documents from a Safety Risk Management process perspective and provide comments and/or recommendations to OSG. SRMDs meeting requirements established in the ATO SMS Manual will be forwarded for review/approval to the Director, Eastern Terminal Operations.

c. Director, Eastern Terminal Operations (AJT-E). Reviews SRM documents and indicates concurrence via memorandum addressed to the Director, Terminal Safety and Operations Support Office (AJT-2).

---

<sup>6</sup> See AOV/ATO-S Memorandum of Agreement dtd Jun 8<sup>th</sup>, 2005

**d. Terminal Safety and Operations Support Office.** The Terminal Airspace and Procedures Group (AJT-22) will review the SRMD and upon concurrence, forward to the Director, Terminal Safety and Operations Support Office (AJT-2).

**e. Safety Management System/Safety Risk Management Office.** The Manager, Safety Risk Management Group (AJS-22) reviews the SRM document and upon concurrence, forwards to the Director, ATO SMS/SRM Office (AJS-2).

**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.

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 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. 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 B-1 for a flowchart depicting required signature levels for High Initial Risk.

(1) Reviewed by:

Eastern Service Center Operations Support Group (AJO2-E2)

Eastern Service Center Safety Assurance Group (AJO2-E1)

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) Mitigation Plan Approved by:

Director, Air Traffic Safety Oversight (AOV-1)

(4) Risk Accepted by:

Vice President, Terminal Services (AJT-0)

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

(1) Reviewed by:

Eastern Service Center Operations Support Group (AJO2-E2)

Eastern Service Center Safety Assurance Group (AJO2-E1)

(2) Approved by:  
Terminal Facility Manager/SRM Focal

(3) Risk Accepted by:  
Terminal Facility/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.

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

(1) Reviewed by:  
Eastern Service Center Operations Support Group (AJO2-E2)  
Eastern Service Center Safety Assurance Group (AJO2-E1)  
Terminal Airspace & Procedures Group (AJT-22)

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

(3) Risk Accepted by:  
Terminal Facility/District Manager

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

(1) Reviewed by:  
Eastern Service Center Operations Support Group (AJO2-E2)  
Eastern Service Center Safety Assurance Group (AJO2-E1)  
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:  
Terminal Facility/District Manager

**e. Medium / Low Risk (IG, NTSB, AOV inquiry or High Visibility items).** See Figure B-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:  
Eastern Service Center Operations Support Group (AJO2-E2)

Eastern Service Center Safety Assurance Group (AJO2-E1)  
Terminal Airspace & Procedures Group (AJT-22)

(2) Approved by:

Director, Terminal Safety and Operations Support Office (AJT-2)

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

(3) Risk Accepted by:

Terminal Facility/District Manager

Figure B-1

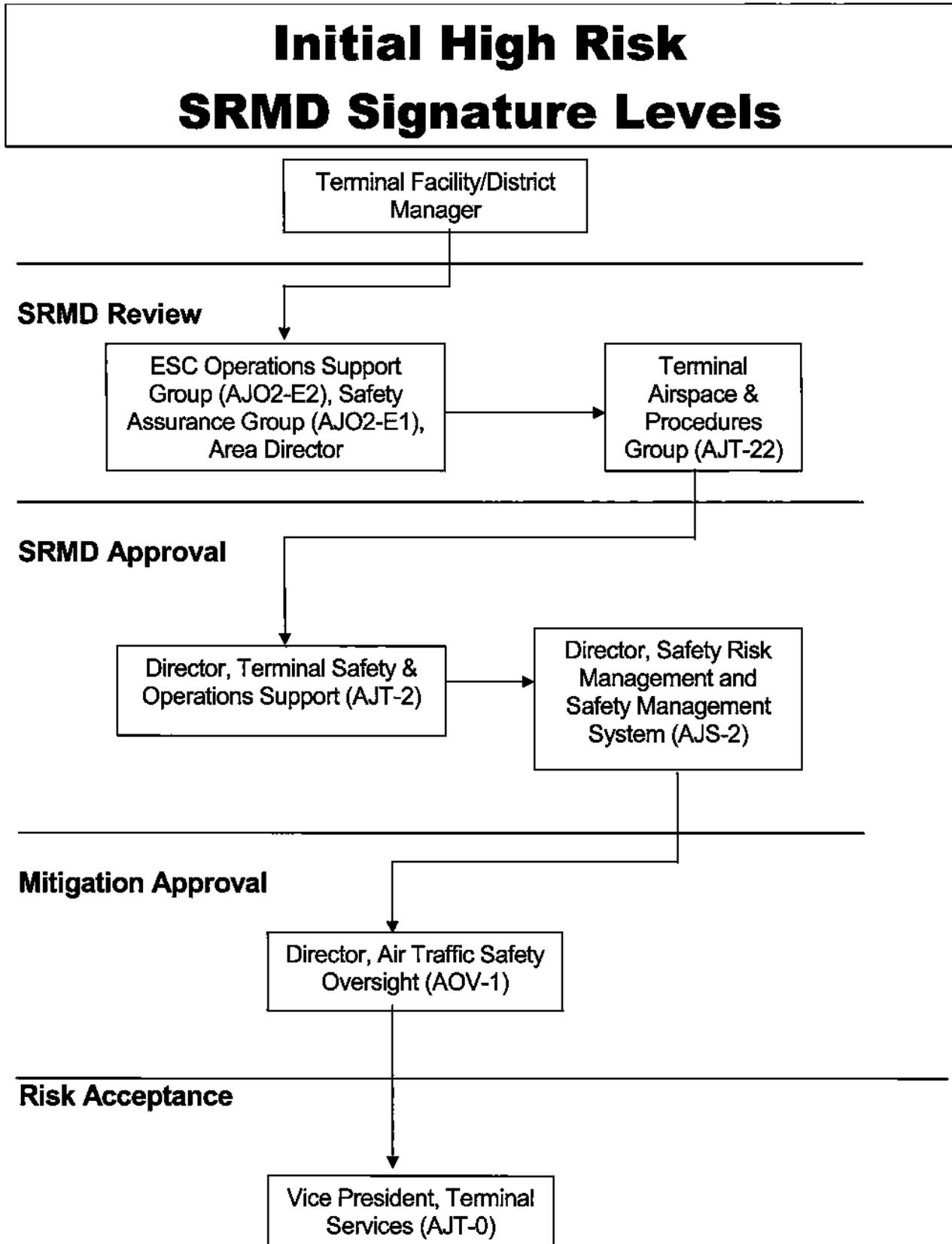


Figure B-2

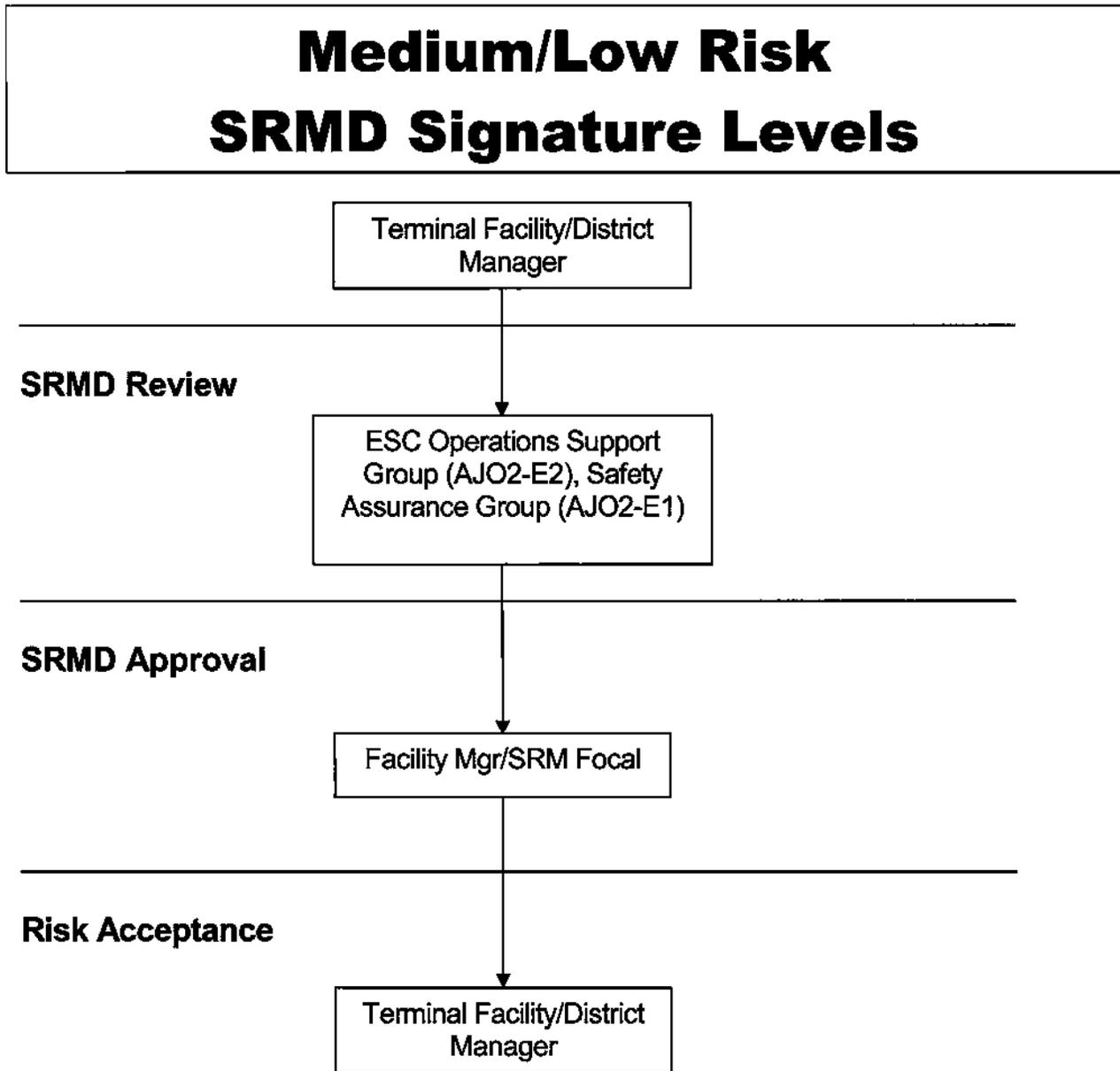


Figure B-3

**Medium/Low Risk  
SRMD Signature Levels (waiver  
affecting separation minima)**

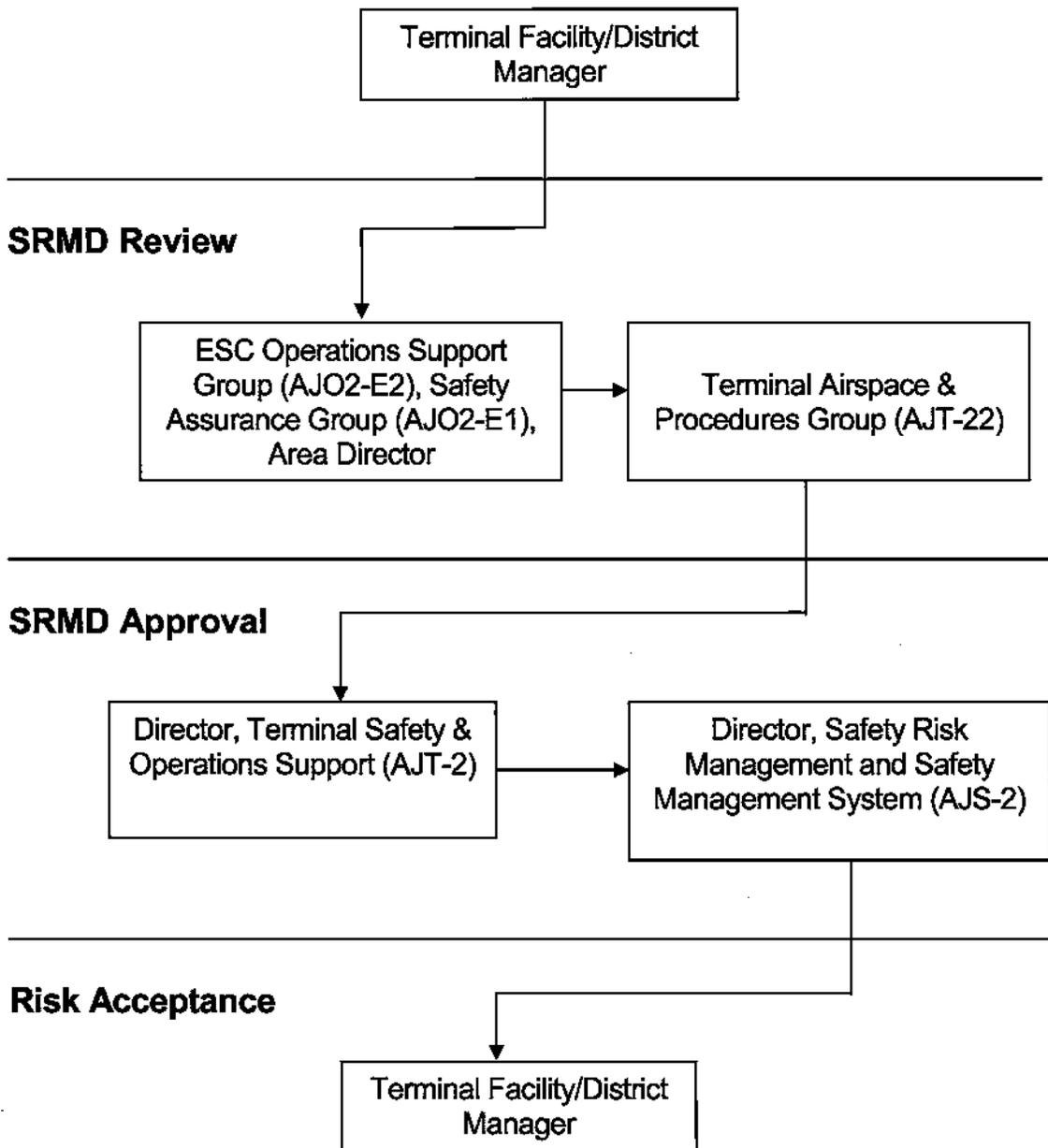


Figure B-4

**Medium/Low Risk  
SRMD Signature Levels (associated  
with waiver not affecting separation  
minima)**

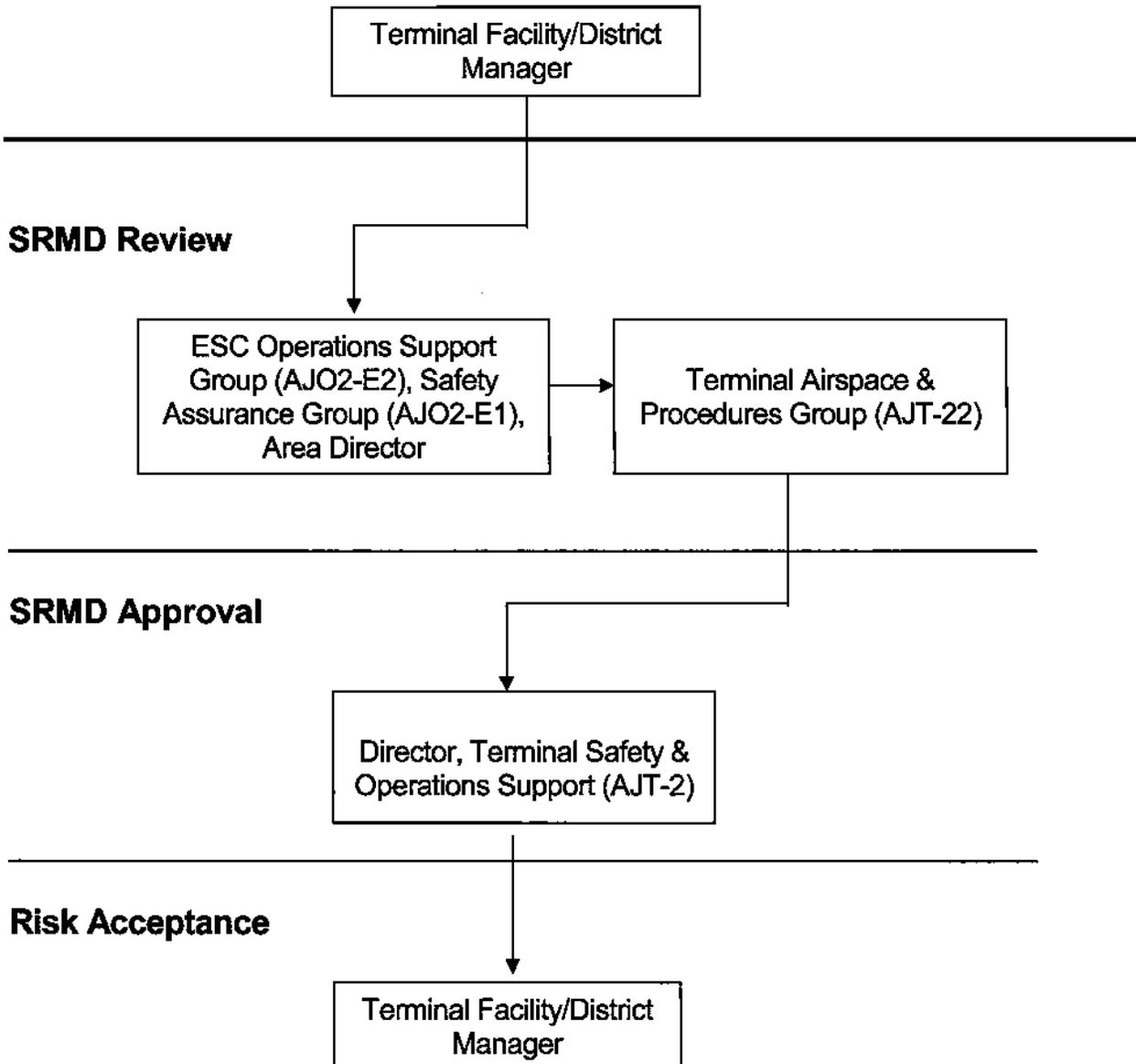
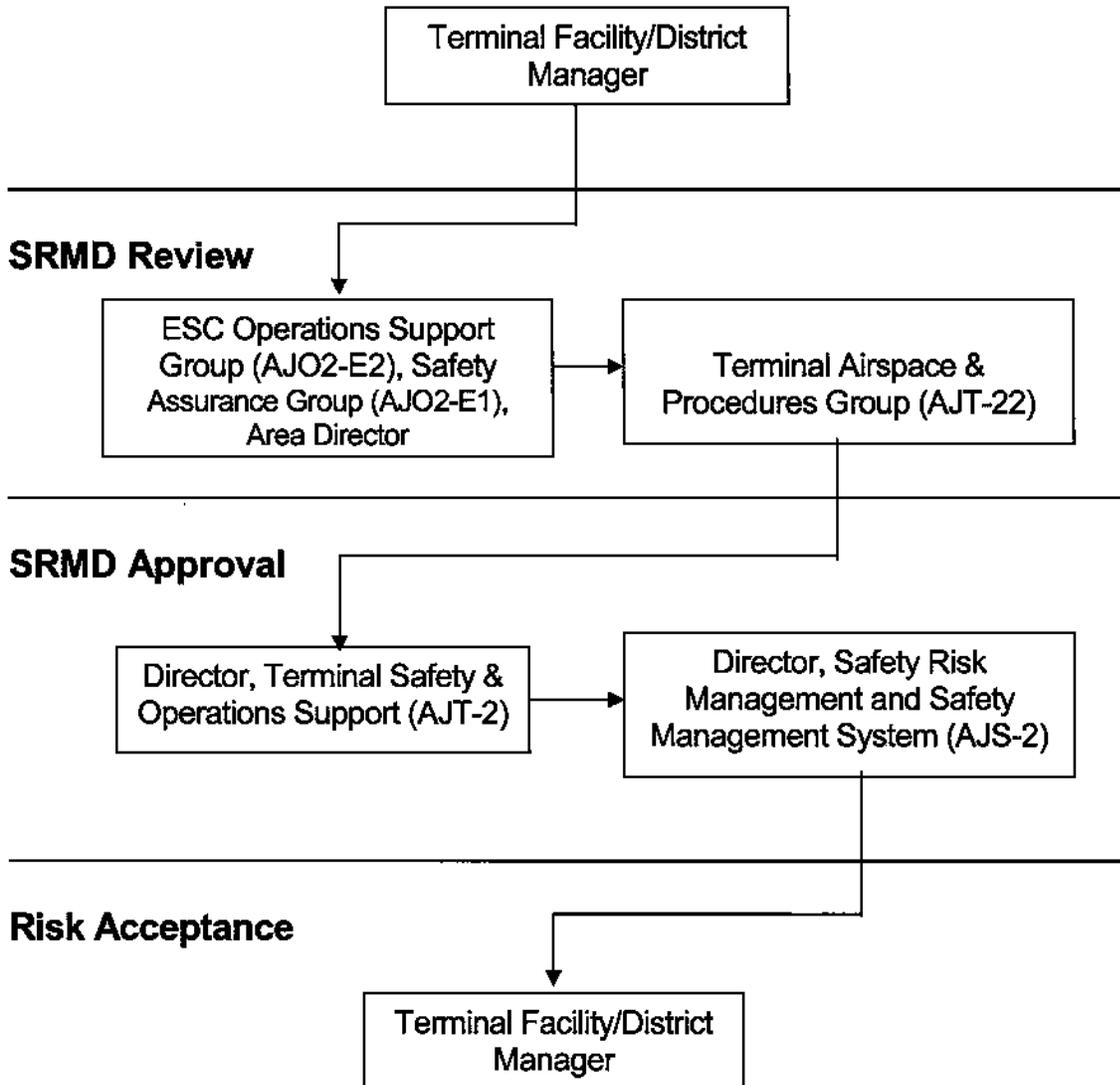


Figure B-5

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



**Appendix C – Safety Management System Training**

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

**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 Facility/District SRM Focals and highly desirable training 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.dot.gov/learner/login.jsp>.

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 also highly desirable training for Operations Managers, Frontline Managers, Support Managers, and Staff Support Specialists.

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

The Operations Support and Safety Assurance Groups Support the Directors of Operation to ensure changes to the NAS comply with the SMS Manual and SRM orders and policies. The Safety Assurance Group (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 Eastern 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 ESC Operations Support Group (OSG). The OSG Team Manager (AJA-E31, AJA-E32, or AJA-E33) 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., JO 7110.65, 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 (AJO2-E1). The Team Manager will assign the SRM document to the appropriate Specialist. SRM documents will be tracked on an Excel worksheet located on the SAG webpage at: <http://servicearea.atofaa.gov/index.cfm?s=E&m=400&sm=440&sbm=444&DC=SRM%20-%20Safety%20Risk%20Management> . Service Center personnel and Eastern Service Area facility/district offices may monitor the status of each SRMD via the SAG webpage, or by contacting the Organization Evaluations Team Manager.
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 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 questions regarding safety risk management or the SMS process contact the Team Manager, Organizational Evaluations Team at (404) 305-7466. For Operations Support assistance, contact the Team Manager at (404) 305-5582 or (404) 305-5605.

**Appendix E**  
**Signature Page for Initial High Risk Hazards (example)<sup>7</sup>**

**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 Revision Number:**  
**SRMD Revision Date:**

**SRMD Reviewed by:**

\_\_\_\_\_  
Designee, Eastern Service Center  
Safety Assurance Group (AJO2-E1) \_\_\_\_\_  
Date

\_\_\_\_\_  
Designee, Eastern Service Center  
Operations Support Specialist (AJO2-E2) \_\_\_\_\_  
Date

\_\_\_\_\_  
Designee, Terminal Airspace and Procedures Group  
(AJT-22) \_\_\_\_\_  
Date

**SRMD Approval Signature(s):**

\_\_\_\_\_  
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

**Mitigation Approval Signature**

\_\_\_\_\_  
Mr. Anthony Ferrante, Director,  
Air Traffic Safety Oversight, AOV-1 \_\_\_\_\_  
Date

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

10/17/08

JE 7232.14A  
Appendix E

**Risk Acceptance Signature:**

---

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

---

Date



10/17/08

JE7232.14A  
Appendix F

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

**Appendix G**

**Signature Page for Medium/Low Risk: New Waiver Requests not affecting separation minima (example)<sup>9</sup>**

**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 Revision Number:**

**SRMD Revision Date:**

**SRMD Reviewed by:**

Designee, Eastern Service Center Safety Assurance Group (AJO2-E1)	Date
--	------

Designee, Eastern Service Center Operations Support Specialist (AJO2-E2)	Date
---	------

Designee, Terminal Airspace and Procedures Group (AJT-22)	Date
--	------

**SRMD Approval Signature(s):**

Mr. Raul Trevino, Director, Terminal Safety and Operations Support Office, AJT-2	Date
--	------

**Risk Acceptance Signature:**

Terminal Facility/District Manager Tower/TRACON	Date
--	------

<sup>9</sup> 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

10/17/08

JE 7232.14A  
Appendix G

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

**Appendix H**

**Signature Page for Medium/Low Risk: New Waiver Requests Affecting Separation Minima (example)<sup>10</sup>**

**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 Revision Number:**

**SRMD Revision Date:**

**SRMD Reviewed by:**

\_\_\_\_\_  
Designee, Eastern Service Center  
Safety Assurance Group (AJO2-E1)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Designee, Eastern Service Center  
Operations Support Specialist (AJO2-E2)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Designee, Terminal Airspace and Procedures Group  
(AJT-22)

\_\_\_\_\_  
Date

**SRMD Approval Signature(s):**

\_\_\_\_\_  
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 Facility/District Manager  
Tower/TRACON (see Note)

\_\_\_\_\_  
Date

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

10/17/08

JE 7232.14A  
Appendix H

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)<sup>11</sup>**

**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:**

Designee, Eastern Service Center Safety Assurance Group (AJO2-E1)	Date
--	------

Designee, Eastern Service Center Operations Support Specialist (AJO2-E2)	Date
---	------

Designee, Terminal Airspace and Procedures Group (AJT-22)	Date
--	------

**SRMD Approval Signature(s):**

Mr. Raul C. Trevino, Director, Terminal Safety and Operations Support Office AJT-2	Date
--	------

**Risk Acceptance Signature:**

Terminal Facility/District Manager Tower/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.

<sup>11</sup> 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



10/17/08

JE 7232.14A  
Appendix J

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