U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

**ORDER
JO 1000.40**

Effective Date:
March 26, 2009

SUBJ: Air Traffic Organization Terminal Services Safety Management System

1. Purpose of This Order. The Federal Aviation Administration (FAA) assigns the highest priority to safety at all levels in the organization and continually strives to improve safety within the National Airspace System (NAS). One of the fundamental goals of the FAA is eliminating unacceptable risk from the NAS. As changes to the NAS increase in volume and complexity, maintaining the highest level of safety becomes of paramount importance.

The FAA is developing and implementing an integrated Safety Management System (SMS) within the Air Traffic Organization (ATO). The SMS integrates new safety elements into the current ATO safety processes, procedures, policies and programs. This order establishes the requirements, responsibilities and policy for SMS for all ATO Terminal Services employees with the primary goal of eliminating unacceptable risk from the NAS.

2. Audience. This order affects all Terminal Service employees.

3. Where Can I Find This Order? This order is available on the MyFAA employee Web site at https://employees.faa.gov/tools_resources/orders_notices/.

4. Cancellation. This order supersedes FAA Order (FAAO) 7000.7, dated February 28, 2005.

5. Explanation of Policy Changes. This order serves to meet our commitment to the International Civil Aviation Organization (ICAO), Annex 11, to which the United States is signatory, requirement that all member states use SMS.

6. Scope. The NAS is composed of documents, personnel, procedures, systems, facilities and services used to provide air traffic control and navigation services to our customers. This order applies to all components of the NAS owned and or operated by Terminal Services. SMS includes a monitoring function which validates and verifies the effectiveness of safety mitigations. The analysis, treatment, and the monitoring of hazards often require coordination among multiple organizations. SMS orders, guidance materials and implementation plans developed within Terminal Services define the processes and interactions among Service Units, Service Areas, Service Centers, Terminal Facilities and other organizations necessary to meet the requirements of this order. In addition, within the terminal environment there may be occasions where third party involvement in the SMS process will be provided by subject matter experts outside of ATO or the FAA.

The following are out of the scope of this order:

a. Hazards that are not directly related to the NAS.

b. Occupational Safety and Health Administration issues.

c. Information and Physical Security issues.

7.   Goals and Objectives. The goal of SMS is to maintain or increase the level of safety within the NAS by reducing the potential for accidents and only knowingly accepting safety risk into the NAS. The objectives under the four (4) SMS components are for:

a. **Safety Policy**

(1)   Terminal Services management to establish and enforce appropriate safety policy

(2)   Terminal Services employees to understand and apply relevant safety policies.

(3)   Terminal Services management to commit to high standards of safety performance and adherence to established safety policy.

(4)   Terminal Services management to commit to high safety performance and lead by example in the effort to continuously improve safety.

(5)   Terminal Services management to support the measurable and achievable safety objectives established by Terminal Services Vice President.

(6)   All Terminal Services NAS systems to meet established safety performance objectives.

b. **Safety Risk Management (SRM)**

(1)   Terminal Services employees to assess any changes to the NAS (as defined by Chapter 3 of the ATO SMS Manual) including system design, operations, and/or procedures; identify risks to safety; and either eliminate these risks or develop and implement controls that will manage these risks at an acceptable level through out the lifecycle of the change.

(2)   Terminal Services management to formally document acceptance of any safety risks associated with a system or change that cannot be eliminated.

c. **Safety Assurance**

(1)   Terminal Services employees to continually assess and monitor operations and system performance to identify and report hazards and maintain controls that are effective throughout the lifecycle of the change being introduced into the NAS

(2)   Terminal Services management to utilize a tracking and lessons learned database that employees maintain and use to archive actions taken to eliminate or reduce safety risks in the NAS.

d. **Safety Promotion**

(1)   Terminal Services employees to be familiar with this order and the importance of its application by all personnel.

(2)   Terminal Services employees to take required SMS training as directed by the Terminal Vice President

(3)   Terminal Services employees to continuously seek to promote a positive safety culture by fostering new attitudes, processes and policies that seek to improve safety within Terminal Services.

(4)   Terminal Services management to support implementation of SMS in all aspects and the use of a nonpunitive safety reporting system Air Traffic Safety Action Program (ATSAP) that promotes continual safety improvement through timely action.

(5)   Terminal Services management to sponsor, promote and disseminate orders, policies, procedures, processes, training and other activities that will facilitate the growth of a positive safety culture in Terminal Services.

8.   Safety Risk Management. The Terminal Services SMS shall stand as the vanguard for the safe introduction of new technology and equipment into the NAS. SRM is a major component of SMS and as such will serve to ensure that when changes are introduced into the NAS:

   a. Risk is identified, analyzed and assessed.

   b. Unacceptable risk is mitigated to an acceptable level.

   c. Hazards are identified, assessed, knowingly accepted, tracked and monitored.

   d. Risk mitigation strategies are identified, assessed, and implemented.

   e. The performance of the change to the NAS is monitored over the lifecycle of the change.

   f. Risk mitigation strategies are modified based on performance monitoring.

9.   Requirements. The requirements for the SMS are contained in the ATO SMS Manual and the Safety Risk Management Guidance for System Acquisition (SRMGSA).

10.   Responsibilities.

   a. **Terminal Vice President must**:

      (1)   Promote a positive safety culture that comprises new attitudes, processes and structures that collectively work to improve safety for employees, the organization and within its infrastructure.

      (2)   Allocate sufficient resources, funding and personnel to implement and maintain the SMS.

      (3)   Accept hazards assessed with an initial high risk in accordance with the ATO SMS Manual and the SRMGSA.

Note-
Certain risk acceptance functions may be delegated to the Safety Director.

      (4)   Establish SMS training requirements.

      (5)   Encourage employees to report safety concerns.

      (6)   Ensure his/her areas of responsibility meet the SMS requirements in accordance with the ATO SMS Manual and the SRMGSA.

   b. **Terminal Safety Director must**:

      (1)   Support the four (4) elements of the SMS: Safety Policy, SRM, Safety Assurance and Safety Promotion.

      (2)   Monitor and account for the safety performance of the NAS in Terminal Services areas of responsibility.

      (3)   Accept hazards assessed with an initial high risk in accordance with the ATO SMS Manual and the SRMGSA as delegated by the Terminal Vice President.

      (4)   Provide input and advice on safety to Vice President, Terminal Services.

      (5)   Facilitate intra-service unit coordination on safety matters.

      (6)   Encourage employees to report safety concerns.

      (7)   Ensure his/her areas of responsibility meet the SMS requirements in accordance with the ATO SMS Manual and the SRMGSA.

(8)   Provide support for internal audits and reviews conducted by the Terminal Safety and Operations Support Safety Engineer, ATO Safety Services, or Air Traffic Safety Oversight Service (AOV) and for external audits conducted by ICAO.

(9)   Utilize a records retention process to ensure Safety Risk Management Decision Memorandums, Safety Risk Management Documents (SRMD) and other relevant safety documents and updates are catalogued and saved.

(10)   Forward completed SRM documentation (with all necessary supporting safety studies, reports, etc.) to the Terminal Safety and Operations Support Safety Engineer for review and coordination with ATO Safety Services and AOV as defined in the ATO SMS Manual.

(11)   Designate a Terminal Safety Manager.

c. **Terminal Safety Manager must**:

(1)   Develop and monitor the Terminal Services SMS Implementation Plan which in turn supports the four elements of the SMS: Safety Policy, SRM, Safety Assurance and Safety Promotion.

(2)   Conduct Service Unit safety planning and monitoring to ensure Terminal Services SMS Implementation Plan compliance.

(3)   Promote a positive safety culture in Terminal Services that comprises new attitudes, processes and structures that collectively work to improve safety affecting infrastructure, employees and the organization.

(4)   Ensure Terminal Services meets the SMS requirements in accordance with the ATO SMS Manual.

(5)   Provide support and consultation on safety management within the service unit to ensure proper implementation and application of the SMS.

(6)   Accept certain hazards assessed with initial medium or low risks in accordance with the ATO SMS Manual and SRMGSA as delegated by the Safety Director.

(7)   Approve SRMDs in accordance with the ATO SMS Manual and SRMGSA as delegated by the Safety Director.

(8)   Facilitate service unit coordination on safety related matters.

(9)   Provide input and advice on safety to the Terminal Services Vice President.

(10)   Collect, track and analyze safety data applicable to Terminal Services in accordance with ATO Order JO 1000.37.

(11)   Support Quality Assurance and Evaluation audits.

(12)   Monitor and account for the safety performance of the NAS in Terminal Services.

(13)   Approve SRMDs with initially identified high risks as delegated by the Safety Director.

(14)   Encourage employees to report safety concerns.

(15)   Ensure his/her areas of responsibility meet the SMS requirements in accordance with the ATO SMS Manual.

(16)   Monitor the effectiveness of the SRM Program.

(17)   Coordinate with ATO Safety Services, AOV, ICAO, and the other organizations that may audit implementation and application of SMS within Terminal Services.

d. **Terminal Safety Engineer must**:

(1)   Support the four (4) elements of the SMS: Safety Policy, SRM, Safety Assurance and Safety Promotion.

(2)   Work with Program Managers/Project Leads to define specific projects and to clarify and refine SRM requirements and responsibilities for the processes and program.

(3)   Support, advise, and assist program teams in applying SRM tools and techniques.

(4)   Develop necessary process revisions, guidance materials, directive/handbook updates to apply the SMS within the Terminal Services environment.

(5)   Assist Program Managers/Project Leads in meeting the SMS training requirements.

(6)   Review completed SRM documents (with all necessary supporting safety studies, reports, etc.) and coordinate with ATO Safety Services and AOV, as appropriate.

(7)   Ensure processes and programs meet the high-level safety objectives as detailed in the ATO SMS Manual.

(8)   Consolidate necessary safety change/action reports and coordinate with ATO Safety Services and AOV as detailed in the ATO SMS Manual.

(9)   Promote a positive safety culture within Terminal Services in every facet affecting employees, the organization and infrastructure.

(10)   Manage and track risk mitigation assessment efforts using a database provided by ATO Safety Services in accordance with SMS requirements to verify that safety levels are maintained as required by the ATO SMS Manual.

(11)   Support and assist the Safety Manager and Safety Director in the development and performance of SMS Implementation in Terminal Services.

e. **Terminal Directors of Program Operations/Planning/Mission Support must**:

(1)   Support the four (4) elements of the SMS: Safety Policy, SRM, Safety Assurance and Safety Promotion.

(2)   Ensure Program/Project Managers include SRM requirements within their programs and projects and SMS responsibilities within their processes.

(3)   Ensure program teams have the necessary tools and training to apply SRM tools and techniques.

(4)   Develop necessary process revisions, guidance materials, directive/handbook updates to apply the SMS. This includes:

(a) Research and Development Programs

(b) Facility Collocations, consolidations, and other similar efforts

(c) New Acquisition Programs (including the development of documentation specified under the Acquisition Management System)

(d) Facility Programs

(e) NAS Change Proposals

(f) Second level Engineering Programs/Projects

(5)   Ensure personnel meet the SMS training requirements.

(6)   Approve SRM documents (with all necessary supporting safety studies, reports, etc.) and accept risk when appropriate

(7)   Ensure processes and programs meet the high-level safety objectives as detailed in the ATO SMS Manual.

(8)   Promote a positive safety culture in every facet affecting employees, the organization and infrastructure.

(9)   Manage and track risk mitigation assessment efforts using a database provided by ATO Safety Service in accordance with SMS Requirements to verify that safety levels are maintained as required by the ATO SMS Manual.

(10)   In the development of new requirements, ensure that sufficient resources are available to conduct SRM.

f. **Terminal Service Area Directors must**:

(1)   Establish SMS Program within Service Area in accordance with requirements set forth in this order.

(2)   Promote a positive safety culture that comprises new attitudes, processes and structures that collectively work to improve safety for employees, the organization and within its infrastructure.

(3)   Allocate sufficient resources, funding and personnel to implement and maintain the SMS.

(4)   Establish SMS training requirements.

(5)   Manage and track risk mitigation assessment efforts using a hazard tracking database provided by ATO Safety Services to verify safety levels are maintained as required by the ATO SMS Manual.

g. **Terminal Employees must**:

(1)   Comply with established safety standards, the ATO SMS Manual, and any other safety directives issued by Terminal Services, ATO Safety Services and or AOV within their areas of responsibility.

(2)   Promote a positive safety culture in Terminal Services in their facility, office or organization by reporting safety concerns to their supervisors or managers.

(3)   Fulfill their SMS training requirement.

11. Implementation. Some of the tools, competencies, training requirements, standards and processes necessary to comply with this order (for example, the lessons learned repository) are under development. (Full implementation of the SMS is required by March 14, 2010.) The ATO SMS Implementation Plan (available at http://atoexperience.faa.gov/safety/) describes those implementation activities and tasks required to complete this transition and the timeframes for their completion. Terminal unique implementation activities are described in the FAA Terminal Services SMS Implementation Plan.

During the transition to the SMS, ATO Terminal must adhere to the ATO and Terminal Implementation Plans. The Terminal Safety Manager must report any discrepancies or schedule deviations to ATO Safety Services. Implementation plans must be properly linked to existing planning and tracking mechanisms, as appropriate, to ensure proper alignment and tracking.

These efforts and our commitment to foster a positive safety culture in Terminal Services will ensure successful implementation of SMS in ATO Terminal Services by March 14, 2010.

12. Distribution. The Office of Terminal Services will distribute this order to Washington Headquarters, The William J. Hughes Technical Center, Service Areas, Service Centers, Air Traffic Control Towers and Terminal Facilities.

13. Background. The FAA, in accordance with its international aviation responsibilities, must establish a formal SMS by March 14, 2010. As part of this effort, each ATO Service Unit has been tasked with the responsibility to establish SMS policy, procedures, roles and responsibilities; promote a positive "safety culture;" implement formal SRM procedures for the NAS; and develop a process to ensure program compliance as detailed in Chapter 2 of the ATO SMS Manual.

The ATO SMS Manual defines safety culture as the personal dedication and accountability of individuals engaged in any activity that has a bearing on the safe provision of air traffic services. It is a pervasive type of safety thinking that promotes an inherently questioning attitude, resistance to complacency, a commitment to excellence, and the fostering of both personal accountability and corporate self-regulation in safety matters. Safety culture relates to such intangibles as personal attitudes and style of an organization. It requires that all duties important to safety be carried out correctly, with alertness, due thought and full knowledge, sound judgment, and a proper sense of accountability.

The Terminal Safety and Operations Support Safety Engineering Group and the Terminal Safety and Operations Support Quality Assurance Group, both reporting to the Director, Terminal Safety and Operations Support, are responsible for ensuring that all Terminal Services organizations comply with and fully support the SMS program, in particular the need to implement SMS procedures within the Terminal Service Unit.

14. Governing Documentation.

   a. **FAAO JO 1000.37**, Air Traffic Organization Safety Management System, which codifies the Chief Operating Officer's policy on safety management and provides guidance for SMS requirements and accountability.

   b. **FAAO 1100.161**, Air Traffic Safety Oversight, establishes oversight between ATO and AOV.
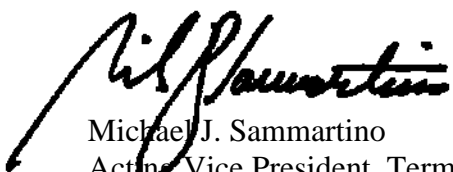
   c. **FAAO JE 7232.14A**, supplements the ATO SMS implementation plan by providing implementation guidance for the Eastern Terminal Service Unit.

   d. **FAAO JC 7232.15**, supplements the ATO SMS implementation guidance for the Central Terminal Service Area.

   e. **FAAO JW 7232.15**, supplements the ATO SMS implementation guidance for the Western Terminal Service Area.

   f. **ATO SMS Manual,** provides guidance for safety management practitioners.

   g. **ATO Safety Risk Management Guidance for System Acquisition** provides safety management guidance for acquisition product team leads.

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Date Signed