



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

Air Traffic Organization Policy

**ORDER
JO 1030.4**

Effective Date:
January 6, 2010

SUBJ: Air Traffic Organization (ATO) System Operations Services Safety Management System (SMS) Oversight

1. Purpose of This Order. This order provides the authority, scope, and requirements for conducting safety oversight within System Operations Services. Safety oversight is inclusive of the implementation and operation of SMS and other relevant Federal Aviation Administration documents, orders, and processes which predate the SMS. The System Operations Safety Management (SOSM) directorate is responsible for fulfilling this safety oversight role within System Operations Services, including cross-organizational impacts restricted to the verification of System Operations Services processes and procedures. Following FAA Order JO 1000.37, Air Traffic Organization Safety Management System, chapter 5, paragraph 2i, all cross-organizational impacts will be coordinated with the Office of Safety Services.

2. Audience. This order applies to all System Operations Services directorates, employees, and contractors.

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. Scope. The Vice President (VP), Safety Services is responsible for facilitating implementation of the SMS across the Air Traffic Organization (ATO), advocating a safety culture, conducting strategic planning for the SMS, and managing and updating SMS processes based on experiences and lessons learned. All ATO VPs are responsible for executing SMS guidance and processes within their span of control by requiring that existing policies, directives, and/or guidance within their purview are consistent with the SMS and meet SMS requirements. Implementation of the SMS within System Operations Services must be completed by March 14, 2010. Thereafter, SMS will be managed under an SMS Continuous Improvement Plan defined by SOSM and coordinated with System Operations Services directorates.

The ATO SMS integrates ATO safety-related operational policies, programs, and processes to create an enhanced system for improving safety in a National Airspace System (NAS) environment of expanding capacity and increasing efficiency. As a part of the ATO, System Operations Services is implementing SMS following FAA, ATO, the Office of Air Traffic Safety Oversight (AOV), and International Civil Aviation Organization (ICAO) requirements.

This order defines the authority, requirements, and scope for SMS operation in System Operations Services while requiring each System Operations Services employee and contractor to follow established safety standards, the SMS, and any safety directives issued by the service unit, the Office of Safety Services, and/or AOV. This order also identifies the strategic and tactical safety roles and responsibilities of the SOSM directorate.

This order applies to all organizations within System Operations Services and addresses the roles and responsibilities associated with executing the SMS program. This order provides the SOSM directorate

the authority to manage the overall safety program within System Operations Services, reporting directly to the VP, System Operations Services.

5. Responsibilities. The SMS applies to all ATO employees, managers, and contractors directly or indirectly involved in providing air traffic control (ATC) or navigation services. The SOSM directorate is responsible for ensuring all System Operations Services organizations understand, support, and follow the SMS. The SOSM directorate consists of a safety director and safety managers responsible for coordinating the SMS efforts for System Operations Services. The System Operations Services leadership and managers with the primary responsibility for implementing and supporting the SMS are the VP, System Operations Services; Director, System Operations Safety Management; safety managers, safety engineers, other directors/managers, and program managers. All System Operations Services employees are responsible for implementing and operating the SMS.

6. Goal and Objectives. The goal of the SMS is to provide a systematic approach to managing the safety of the NAS, including the necessary organizational structures, accountabilities, policies, and procedures. This order identifies the organizational components in System Operations Services responsible for ensuring the successful implementation and operation of the SMS. The objectives are summarized in the following sections:

a. Safety Policy. SMS focuses on providing safe NAS ATC and navigation services. The NAS comprises documents, personnel, procedures, and systems used to provide these services. This order applies to all programs; demonstration, test, or prototype activities; or any other efforts on the part of System Operations Services which may impact components of the NAS now or in the future. The SOSM directorate will provide guidance and support to all System Operations Services offices and organizations to ensure they follow SMS safety policies. System Operations Services employees must implement and apply relevant safety policies that commit System Operations Services managers at all levels to continually improve safety in all aspects of providing ATC and navigation services. All System Operations Services employees must support safety objectives that are achievable and required by the ATO SMS Manual.

b. Safety Risk Management (SRM). SRM is a formalized, proactive approach to system safety. SRM is a methodology applied to all NAS changes that ensures all risks are identified and mitigated before the change is made. It provides a framework to ensure that once a change is made, it continues to be monitored throughout its lifecycle.

All proposed System Operations Services changes must be evaluated to determine if those changes impact NAS safety. Safety risk assessments and mitigation strategies must be applied to any proposed changes to the NAS that affect system designs, operations, and procedures unless specifically exempted by an official FAA directive. The outcome of the analysis must be formally documented. This will be documented in either a Safety Risk Management Document (SRMD) or Safety Risk Management Decision Memorandum (SRMDM). When an identified safety risk cannot be eliminated, System Operations Services employees must formally document the analysis, develop and implement controls to reduce the risk to an acceptable level, and document acceptance of those risks in an SRMD. If it is determined there is no safety risk to the NAS, System Operations Services employees must document the analysis information in an SRMDM. All System Operations Services SRMDs/SRMDMs must be coordinated through the SOSM directorate SRM Group.

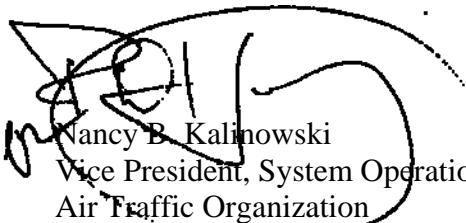
c. Safety Assurance. The SOSM directorate must implement and support a safety assurance function that audits, evaluates, investigates, and tracks System Operations Services implementation and compliance with the SMS and other relevant FAA documents, orders, and processes. Safety assurance

processes verify the effectiveness of controls, ensure that processes achieve their intended objectives throughout the lifecycle of the system or change, and identify changes with the potential to introduce new hazards into the NAS. Safety assurance processes will use safety audits, evaluations, and investigations to verify the status of implementation and the effectiveness of required mitigations within System Operations Services. Audits and evaluations will be used to monitor operations systematically, identify new hazards, verify the effectiveness of risk mitigations and controls, and verify that databases containing hazard tracking archives and lessons learned are implemented and maintained as required.

d. Safety Promotion. System Operations Services management supports awareness and the importance of following this order by all System Operations Services employees. The SOSM directorate will disseminate orders, policies, procedures, and processes and sponsor training that will continuously improve safety. Additionally, the SOSM directorate will promote a positive safety culture through safety symposiums, educational seminars, and other activities shaping new attitudes and processes affecting all System Operations Services employees.

7. Distribution. This order is distributed to the directorate level of System Operations Services.

8. Background. The FAA, following FAA Orders 8000.369, Safety Management System Guidance, 8040.4, Safety Risk Management, JO 1000.37, AOV Order 1100.161, Air Traffic Safety Oversight, and its international civil aviation responsibilities, must implement and operate a formal SMS. Each ATO service unit must establish safety policies and procedures, promote a safety culture, implement SRM procedures, and develop safety assurance processes to ensure program compliance as detailed in the ATO SMS Manual and the SRM Guidance for System Acquisition (SRMGSA). This order supports the related FAA SMS orders, ATO SMS Manual, and the SRMGSA. In addition, several key components of SMS implementation include auditing SRM and assurance processes and outputs; facilitating coordination of SRM, evaluations and investigations, and controls with cross-organizational impacts; monitoring the safety of the NAS through data analysis; and tracking safety-critical issues to conclusion using a hazard tracking system. Key elements of an SMS are also required by ICAO Annex 11, to which the United States is a signatory.



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01-05-2010

Date Signed