



U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

**ORDER  
JO 1030.5**

Effective Date:  
6/18/10

**SUBJ:** Technical Operations Safety Management System (SMS) Roles and Responsibilities

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- 1. Purpose of this Order.** This order describes the roles and responsibilities that support the implementation of the SMS requirements within Technical Operations Services.
- 2. Audience.** This order affects all Technical Operations employees.
- 3. Where Can I Find This Order?** You can find this order on the MyFAA Website using URL: [https://employees.faa.gov/tools\\_resources/orders\\_notices/](https://employees.faa.gov/tools_resources/orders_notices/).
- 4. What This Order Cancels.** Technical Operations policy SMS memorandum issued to date and the Air Traffic Organization (ATO) – Technical Operations Safety Guidance for Safety Management System Roles and Responsibilities (ATO-W-SG-09-02), dated September 2009.
- 5. Background.**
  - a.** The FAA, in accordance with its international civil aviation responsibilities, must implement a formal SMS, including Safety Risk Management (SRM) procedures, for evaluating potential safety hazards associated with changes to the National Airspace System (NAS). Technical Operations Services is tasked with the responsibility of establishing an SMS within the service unit that effectively supports core business processes and is in compliance with ATO SMS standards.
  - b.** To ensure that the SMS is established effectively in Technical Operations, roles and responsibilities must be clearly defined. This policy identifies the roles and responsibilities that must be addressed by management and employees for the Technical Operations SMS.
- 6. Criteria.** This safety policy recognizes the standards and requirements for SMS as provided in the following:
  - a.** FAA Order 1100.161, Air Traffic Safety Oversight.
  - b.** FAA Order JO 1000.37, ATO SMS Policy.
  - c.** ATO SMS Manual.
  - d.** Safety Risk Management Guidance for System Acquisitions (SRMGSA).
  - e.** FAA Order JO 1000.38, Technical Operations SMS Internal Safety Assurance Evaluation Program.

f. FAA Order JO 6000.50, Technical Operations National Airspace System Integrated Risk Management.

g. Air Traffic Oversight Service Safety Oversight Circulars.

h. Air Traffic Organization Safety Guidance.

i. Technical Operations Safety Guidance.

## **7. Roles and Responsibilities.**

### **a. Vice President of Technical Operations.**

(1) Ensures Technical Operations SMS Roles and Responsibilities Policy is established and enforced.

(2) Approves updates to the Technical Operations SMS Roles and Responsibilities Policy.

(3) Ensures the SMS is established, implemented, resourced, monitored for compliance, and evaluated for effectiveness.

(4) Ensures that Technical Operations establishes and maintains an SMS Board comprised of a safety representative from each organization.

(5) Ensures that the Technical Operations internal policy requirements, SMS Board-initiated safety guidance, and all other identified ATO safety standards are enforced.

(6) Delegates authority as "Risk Acceptor" for NAS changes initiated and owned by Technical Operations unless, per the SMS Manual, a higher level of risk acceptance is required.

(7) Maintains awareness of the internal Technical Operations SMS by participating in SMS implementation and operations status meetings on a periodic basis.

(8) Ensures that Technical Operations business planning activities address SMS goals and objectives and those resources are available to maintain and support the internal SMS.

(9) Fulfills all SMS responsibilities as detailed in Order JO 1000.37 and the ATO SMS Manual.

### **b. Safety Director.**

(1) Allocates required resources as defined by the Safety Manager to support the SMS.

(2) Maintains awareness for the status of SMS within Technical Operations and can represent high-level issues in operational meetings and decision making.

(3) Fulfills all SMS responsibilities as detailed in Order JO 1000.37 and the ATO SMS Manual.

**c. Safety Manager.**

(1) Develops internal policy and processes, with the support of the SMS Board membership that can be shared across Technical Operations Services.

(2) Promotes continual improvement and standardization to establish the SMS culture.

(3) Ensures that the cultures of each organization are represented in internal policies, processes, and SMS core business practices.

(4) Resolves pertinent SMS issues that impact the service unit as they occur.

(5) Serves as the SMS communication conduit within Technical Operations Services.

(6) Provides oversight of the SMS Internal Safety Assurance Program as delegated by the Vice President and performs safety planning and monitoring.

(7) Acts as the chair of the SMS Board, as defined in the SMS Board Standard Operating Procedures (SOP).

(8) Ensures that the proficiency and resources are available to conduct root cause analysis and reports results to management.

(9) Fulfills all SMS responsibilities as detailed in Order JO 1000.37 and the ATO SMS Manual.

**d. Safety Engineer.**

(1) Supports SRM panel activities for major NAS changes.

(2) Leads the Quality Control Program and provides SRM guidance to safety reviewers.

(3) Identifies improvements for internal and external corporate policies and procedures.

(4) Supports the implementation of corporate safety-related programs.

(5) Develops and implements briefings to increase SMS awareness.

(6) Develops and delivers SMS-related training across Technical Operations as required, to include safety reviewer workshops.

(7) Fulfills all SMS responsibilities as detailed in Order JO 1000.37 and the ATO SMS Manual.

**e. Technical Operations Directors. Each director:**

- (1) Ensures that Technical Operations SMS Roles and Responsibilities Policy is implemented, resourced, monitored for compliance, and evaluated for effectiveness.
- (2) Selects a SMS Board Member to represent the organization on the SMS Board.
- (3) Selects a “safety reviewer(s)” to verify and validate the quality of the SRM process and products.
- (4) Signs as “risk acceptor” as required for Safety Risk Management Documents (SRMDs).
- (5) Ensures that SMS is integrated into core business practices effectively.
- (6) Supports the SMS Internal Safety Assurance Program requirements by identifying annual internal evaluation objectives, conducting annual internal evaluations, reviewing results, and implementing actions that support continual improvement.
- (7) Allocates resources to support SMS activities within the organization.
- (8) Provides for communication mechanisms to ensure that SMS requirements, lessons learned, and safety-related information and guidance are provided to all employees.
- (9) Ensures Technical Operations personnel receive the SMS training appropriate for their functional role.
- (10) Fulfills all SMS responsibilities as detailed in Order JO 1000.37 and the ATO SMS Manual

**f. SMS Board Members. Each member:**

- (1) Represents the organization on the SMS Board as delegated by each of the directors and ensure that the organization is current with the SMS Board’s decisions.
- (2) Develops Technical Operations Services policy, process, and guidance to support standardization that is conducive to the culture of their respective organizations.
- (3) Facilitates the implementation of SMS, which includes policy, safety risk management, promotion, and assurance, across the organization in accordance with the SMS Board Standard Operating Procedures (SOP).
- (4) Are empowered to act on behalf of their organization to resolve and take action necessary to mature SMS.

(5) Acts as the key points of contact within their respective organizations for all matters related to SMS Board activities.

(6) Attends and participates in board meetings, as defined in the SMS Board SOP.

(7) Provides recommendations for the resolution of SMS Board issues.

(8) Communicates Board activities and actions to their respective directors.

(9) Ensures that SMS requirements are effectively integrated into the organization's business processes.

(10) Recommends and provides feedback for improvement regarding Technical Operations SMS policy and guidance.

(11) Identifies SMS issues within their respective organizations to the SMS Board.

(12) Promotes, facilitates, and supports Technical Operations to continuously improve the established SMS core business practices.

(13) Leads, facilitates, and/or supports ad hoc working groups established by the SMS Board when required.

**g. Technical Operations Group Managers or Equivalent.** This also includes Engineering Service Group Managers, Technical Support Operation Group Managers, and District Managers. The Safety Manager fills this role within the Aviation System Standards Organization. Each manager:

(1) Ensures that Technical Operations SMS is implemented, resourced, monitored for continual compliance, and evaluated for effectiveness.

(2) Ensures Technical Operations personnel receive the SMS training appropriate for their functional role.

(3) Signs SRMDs/Safety Risk Management Decision Memorandums (SRMDMs) in accordance with Technical Operations SRM Policy (group manager or equivalent).

(4) Ensures copies of all final (signed) SRMDs and SRMDMs are maintained.

(5) Ensures that hazard risk mitigation monitoring is performed for the lifecycle of the change per Technical Operations safety guidance.

(6) Identifies SMS issues that could potentially impact a Technical Operations SMS core business practice to the organization's SMS Board Member for resolution.

**h. Safety Reviewer.**

(1) Verifies the integrity of the SRM documentation in accordance with Technical Operations SRM policy and signs both SRMDs and SRMDMs as Technical Operations Safety Reviewer prior to management concurrence and/or approval.

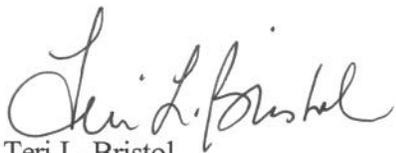
(2) Completes required SMS/SRM practitioner training, conducted by ATO Safety Office, in addition to Technical Operations' Safety Reviewer Workshop.

**i. Technical Operations Employees.** All employees must comply with ATO SMS policy and all other subordinate service unit policies, procedures, and guidance within their areas of responsibility.

**8. Distribution.** This order is distributed to group level in Technical Operations Services and to all Technical Operations field offices with a standard distribution.

**9. Related Publications.**

- a. FAA Order 1100.161, Air Traffic Safety Oversight.
- b. FAA Order JO 1000.37, ATO SMS Policy.
- c. ATO SMS Manual.
- d. Technical Operations Safety Risk Management Policy
- e. Vice President, Technical Operations Services – SMS Compliance Memorandum, March 29, 2006
- f. Director, Safety and Operations Support Office, Technical Operations – Safety and Operations Support Safety SRM Process Memorandum, March 31, 2009
- g. ATO Technical Operations Services SMS Board Operating Procedures, July 31, 2009 (Rev. 1)



Teri L. Bristol  
Vice President, Technical Operations Services

## Appendix A. Definitions

**Change to the NAS:** Any modification to the NAS, per FAA Order 1000.37, Air Traffic Organization Safety Management System.

**Hazard:** Any real or potential condition that can cause injury, illness, or death to people; damage to or loss of a system, equipment, or property; or damage to the environment. A hazard is a condition that is a prerequisite to an accident or incident.

**National Airspace System (NAS):** The collection of documents, personnel, procedures, systems, and services that the ATO uses to provide air traffic control (ATC) and navigation services.

**Organization:** An entity, program, or team responsible for performing a function.

**Requirement:** An essential attribute or characteristic of a system. It is a condition or capability that must be met or passed by a system to satisfy a contract, standard, specification, or other formally imposed document or need.

**Risk Acceptance:** Certification by the appropriate management official that he/she understands the safety risk associated with the change and he/she accepts that safety risk into the NAS.

**Safety Assurance:** The processes used to elevate and ensure safety of the NAS, including evaluations, audits, investigations, and inspections, as well as data tracking and analysis.

**Safety Management System (SMS):** An integrated collection of processes, procedures, policies, and programs that are used to assess, define, and manage the safety risk in providing ATC and navigation services.

**Safety Management System (SMS) Board:** The Vice President of Technical Operations Services (AJW) established the SMS Board in March 2006 to support SMS implementation within AJW. The primary responsibility of the SMS Board is to develop internal policy and processes to support standardization of SMS and promote communication and collaboration in order to establish SMS as a Technical Operations Services core business practice.

**Safety Risk Management (SRM):** A formalized, proactive approach to system safety. SRM is a methodology applied to all NAS changes that ensures that hazards are identified and unacceptable risk is mitigated before a change is made. It provides a framework to ensure that once a change is made, it continues to be tracked throughout its lifecycle.

**SRM Documentation Approval:** Certification that the documentation was developed properly, hazards were systematically identified, risk was appropriately assigned, suitable mitigations were proposed, and a sound implementation and monitoring plan was prepared. SRM documentation approval does not constitute acceptance of the risk associated with the change or approval to implement the change.