



U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

Aviation Safety Policy

**ORDER  
VS 8000.370**

Effective Date:  
09/30/2009

**SUBJ:** Aviation Safety (AVS) Safety Policy

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**1. Purpose of This Order.** This order establishes the Safety Policy for the Office of Aviation Safety (AVS).

**2. Audience.** All AVS personnel.

**3. Where Can I Find This Order.** You can find this order on the MyFAA Employee website: [https://employees.faa.gov/tools\\_resources/orders\\_notices/](https://employees.faa.gov/tools_resources/orders_notices/)

**4. Scope.**

**a.** This order fulfills the requirements described in FAA Order VS 8000.367, *Aviation Safety (AVS) Safety Management System Requirements*, Chapter 2, Section 2. Specifically, this document establishes the AVS Safety Policy, which is applicable to all AVS Services and Offices and all AVS employees. AVS Services and Offices are: the Flight Standards Service (AFS), the Aircraft Certification Service (AIR), the Air Traffic Safety Oversight Service (AOV), the Office of Aerospace Medicine (AAM), the Office of Rulemaking (ARM), the Office of Quality, Integration and Executive Services (AQS), and the Office of Accident Investigation and Prevention (AVP).

**b.** The AVS mission is, *"To provide the safest, most efficient aerospace system in the world."* To support its mission, AVS will implement the AVS Safety Management System (AVSSMS) to integrate the management of safety risk into AVS business planning, operational, and decision-making processes to enhance the safety of the flying public and the FAA's worldwide leadership in aviation.

**c.** The AVSSMS consists of four main components: Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. These components are covered in detail in FAA Order VS 8000.367. The components work together to enable AVS to manage the safety risk in the air transportation system. The purpose of establishing the AVSSMS is to improve our oversight and safety performance of the air transportation system.

**d.** The AVSSMS will be an integrated management system that establishes the roles, responsibilities, and relationships between AVS safety management practices and those in the aviation industry. Integrated safety management practices include sharing knowledge and safety information between the AVSSMS and product/service provider safety management systems (SMSs). In addition, AVS is working with international organizations and other Civil Aviation Authorities (CAAs) to adopt common approaches to SMS implementation.

**e.** This document does not define implementation plans or schedules. Compliance with this order will be achieved in accordance with the implementation plans required by FAA Order 8000.369, *FAA Safety Management System Guidance*, and as required by the *FAA Flight Plan*.

**5. Definitions.** Terms used in this document are defined in Appendix A in FAA Order VS 8000.367, *Aviation Safety (AVS) Safety Management System Requirements*.

**6. Commitment to implement and maintain the AVS Safety Management System (AVSSMS).**

**a.** The Associate Administrator for Aviation Safety (AVS-1) is committed to implementing an AVSSMS.

**b.** AVS-1 will hold Service and Office Directors accountable to:

(1) Implement, operate, integrate, and continually improve the AVSSMS, and

(2) Communicate the requirements for the AVSSMS and this Safety Policy to AVS employees and other responsible parties (e.g., designees).

**c.** AVS management is committed to, and will provide resources for, the implementation, operation and continual improvement of the AVSSMS.

**d.** The AVSSMS will be the basis for providing safety assurance of the product/service provider organizations for which AVS has oversight responsibility.

(1) AVS will establish requirements for product/service providers SMSs.

(2) The AVSSMS will allow AVS to use a more systems safety-based approach to oversight in which the primary focus is on processes rather than outputs.

(3) AVS management will allocate resources with priority given to areas of highest safety risk.

**e.** The AVS management Team (AVSMT) will receive regular status reports regarding AVSSMS implementation and operation.

**7. Commitment to continual improvement in the level of safety.**

**a.** AVS will work with the product/service providers it oversees, other Federal Departments and Agencies, and other Civil Aviation Authorities (CAAs) internationally to continually improve the level of safety throughout the air transportation system.

**b.** AVS will use the AVSSMS to continually improve the level of safety throughout the air transportation system.

**8. Commitment to the management of safety risk.**

**a.** AVS safety decisions will be based on formal assessments of safety risk.

**b.** AVS will use a formal, disciplined, and documented decision-making process to address safety risk.

**c.** Information resulting from safety risk analyses will be communicated in an objective and unbiased manner to decision makers.

d. Safety risk controls for the air transportation system, such as policy and regulations, will be developed consistent with AVSSMS Safety Risk Management (SRM) requirements.

e. AVS policy and processes will assure product/service provider conformance with safety risk controls and the adequacy of those controls.

**9. Commitment to meet applicable statutory and regulatory requirements.**

a. The AVSSMS will not replace or change AVS statutory or regulatory responsibilities.

b. AVS is committed to meet all statutory and regulatory requirements.

**10. Commitment to employee reporting of safety issues and concerns.**

a. AVS management understands the importance of communication in the AVSSMS and is committed to the establishment of voluntary employee reporting systems.

b. AVS management requires employees to report safety issues related to their job responsibilities, using established data collection mechanisms.

c. AVS management encourages all employees to report safety concerns through voluntary employee reporting systems or any other means available.

(1) AVS management encourages employees to provide proposals for solutions to safety concerns and make suggestions for safety improvements, whenever possible.

(2) AVS management will ensure that all safety concerns reported through voluntary employee reporting systems are reviewed and addressed in a timely manner.

d. AVS management will not punish employees for reporting safety concerns or use the information from voluntary employee reporting systems to make personnel decisions.

e. AVS management will not discourage employees from reporting safety issues or concerns using any available data collection mechanism or reporting system.

**11. Commitment to a positive safety culture.**

a. AVS management recognizes the importance of a sound safety culture, including employee knowledge, skills and abilities, and motivation for managing safety.

(1) AVS management will ensure that all staff are provided with adequate and appropriate aviation safety information and training.

(2) AVS management will ensure that sufficient, skilled, and trained resources are available.

b. AVS management will promote the growth of a positive safety culture through:  
making safety decisions knowing the hazards and the risk associated with those decisions,

- (1) Demonstration of its commitment to safety management and SMS,
- (2) Effective communication with employees, and
- (3) The provision of training necessary to effectively implement and maintain the AVSSMS.

## **12. Standards for acceptable behavior.**

**a.** AVS management recognizes the impact of employee behavior on safety and in the implementation and operation of the AVSSMS.

**b.** AVS employees are expected to comply fully with the letter and spirit of the Standards of Conduct contained in:

(1) FAA Order 3750.7, *Ethical Conduct and Financial Disclosure* (Appendices 1-5 and Appendix 6, *Standards of Ethical Conduct*).

(2) The *FAA Human Resources Policy Manual (HRPM)*, including but not limited to:

(a) Observe and abide by all laws, rules, regulations, and other authoritative policies and guidance, written and unwritten.

(b) Immediately report known or suspected violations of law, regulations, or policy through appropriate channels and fully participate in inquiries.

(c) In addition to the responsibilities described above, management officials at all levels, including team leaders, are also responsible for applying the FAA conduct and discipline program to employees under their supervision. Managers must:

1) Provide positive leadership and serve as a role model for their subordinates by demonstrating a commitment and sense of responsibility to their job and loyalty to the organization.

2) Treat their employees with dignity, respect, in a fair and equitable manner.

3) AVS management will not tolerate willful violations of laws, regulations, policies, or the Standards of Conduct in the *FAA HRPM* and FAA Order 3750.7. These issues are not protected under any voluntary employee reporting program.

4) AVS employees are expected to meet the responsibilities described in their position descriptions.

## **13. Setting safety objectives.**

**a.** AVS Services and Offices will set annual safety objectives through the FAA Flight Planning and Business Planning process.

**b.** AVS Services and Offices will establish measurable safety performance targets, which should be quantitative when possible.

c. Safety objectives and performance targets will be documented in the *FAA Flight Plan*, *AVS Business Plan*, and the individual Service or Office Business Plans.

#### **14. Reviewing safety objectives.**

a. At a minimum, the AVSMT will review its safety objectives and performance targets on a quarterly basis.

b. At a minimum, individual Service and Office Directors will review their Service or Office safety objectives each month.

#### **15. Responsibilities and accountabilities with respect to AVSSMS and safety oversight.**

a. AVS-1 has the ultimate responsibility and is accountable for the safety oversight of the air transportation system.

b. AVS Service and Office Directors are responsible for the safety oversight of the component of the air transportation system for which they have authority.

c. The AVSMT will designate a management official who:

(1) Will ensure that processes, procedures, and tools necessary for the AVSSMS are established, implemented, and maintained, and

(2) Will provide regular status reports to the AVSMT regarding AVSSMS implementation and maintenance.

d. All AVS employees have a role in the AVSSMS and, as such are responsible for the safety of the component of the air transportation system with which they interact.

e. AVS management will foster an integrated, professional decision-making environment in which:

(1) Management seeks out and respects employees' professional opinions,

(2) Management consults, when needed, with regional, directorate, and headquarters employees within applicable AVS Services and Offices,

(3) Management explains and documents decisions according to agency processes, and

(4) Management and all staff consistently apply regulations, policies, and processes used to verify compliance.

#### **16. Relationship between SMS and the AVS Quality Management System (QMS).**

a. QMS processes will be used to assure that AVSSMS processes are properly documented.

b. QMS processes will be used to assure that AVSSMS processes are properly performed.

**17. Background.** Specifically, this document establishes Safety Policy of the Office of Aviation Safety. The AVSSMS consists of four main components: Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. These components are covered in detail in FAA Order VS 8000.367. The components work together to enable AVS to manage the safety risk in the air transportation system. The AVS Safety Policy provides the foundation for and commitment to implement and operate an SMS in AVS.

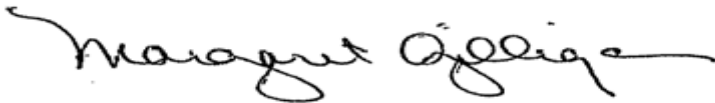
**18. Related Publications.** This Order has been developed to be consistent with the following documents:

a. FAA Order 8000.369, *Safety Management System Guidance*, September 30, 2009

b. FAA Order VS 8000.367, *Aviation Safety (AVS) Safety Management System Requirements*, May 14, 2008

**19. Authority to Change This Order.** The Associate Administrator for Aviation Safety (AVS-1) has authority to issue changes and revisions to this order.

**20. Distribution.** This order is distributed to all AVS Services and Offices.

A handwritten signature in black ink, appearing to read "Margaret Gilligan". The signature is written in a cursive, flowing style with a long horizontal stroke at the end.

Margaret Gilligan  
Associate Administrator for Aviation Safety