



Federal Aviation
Administration

FAA SAFETY MANAGEMENT



GUIDANCE FOR MANAGING AEROSPACE SYSTEM LEVEL SAFETY ISSUES IN HIRMT

**Guidance for Managing Aerospace System Level Safety Issues in HIRMT
AVP-300-16-002**

Purpose

The purpose of this document is to describe the procedures to be used by Federal Aviation Administration (FAA) organizations in processing Aerospace System Level (ASL) safety issues in the Hazard Identification, Risk Management and Tracking (HIRMT) tool. The requirements for Lines of Business (LOBs) and Staff Offices to report ASL safety issues in HIRMT can be found in the current versions of Federal Aviation Administration (FAA) Order 8000.369, *Safety Management System*, and FAA Order 8040.4, *Safety Risk Management Policy*.

Scope

This guidance applies to all FAA organizations processing ASL safety issues in HIRMT.

Approval:



FAA SMS Committee Chair

REVISION HISTORY

Revision Number	Description of Change	Effective Date
0	Original Document (Version 1.0)	August 22, 2016
1	Aligned document to FAA Order 8040.4B (including latest Hazard Identification, Risk Management and Tracking (HIRMT) criteria); updated stakeholder roles and responsibilities; revised to reflect changes in HIRMT processes. Includes review by Aviation Safety Safety Management System (AVSSMS) Coordination Group and FAA Safety Management System (SMS) Committee.	April 30, 2018

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Overview

With the increasing complexity and interconnectivity of the National Airspace System (NAS), the Federal Aviation Administration (FAA) needs a single, integrated tool that provides a consistent and standardized methodology for managing and tracking Aerospace System Level (ASL) safety issues. Hazard Identification, Risk Management and Tracking (HIRMT) is a Web-based software tool for capturing, managing, and reporting ASL safety issues and associated safety management efforts in accordance with the current version of FAA Order 8040.4, *Safety Risk Management Policy*.

The objectives of HIRMT are to:

- Ensure a uniform method for managing ASL safety issues across Lines of Business (LOB)/Staff Offices based on Safety Risk Management (SRM) and Safety Assurance (SA) processes described in the current version of FAA Order 8040.4, *Safety Risk Management Policy*;
- Provide visibility and transparency across LOB/Staff Office areas of responsibility and across disparate complex safety issues;
- Enable coordination of ASL safety issues across the FAA; and
- Enhance FAA decision making, enabling executives and managers to better focus organizational resources on areas of greatest safety risk.

The HIRMT tool enhances job functions by improving interagency communication and awareness of other agency efforts that may impact data analysis and decision making. HIRMT enables FAA organizations to better communicate and collaborate with one another on the safety issues that are most critical to the agency. It is a vehicle to coordinate SRM/SA processes across the agency, improve the agency's ability to identify safety issues most critical to the FAA, and allocate resources toward the areas of greatest risk.

Safety issues that meet ASL safety issue criteria must be documented and reported in HIRMT. The requirements for LOBs and Staff Offices to report ASL safety issues in HIRMT can be found in the current versions of FAA Orders 8000.369, *Safety Management System*, and FAA Order 8040.4, *Safety Risk Management Policy*.

The purpose of this document is to describe the procedures to be used by FAA organizations in processing ASL safety issues in HIRMT. Specifically, this document describes:

- How safety issues are determined to be ASLs and whether they should be entered into HIRMT;
- HIRMT-related roles and responsibilities;
- How HIRMT is used for processing, managing, and overseeing ASL safety issues;
- How HIRMT is monitored and the expectations regarding the reporting of ASL information;
- A mechanism for managing conflicts and for escalating disagreements throughout the process; and
- HIRMT access and Help Desk information.

Organizations may choose to use HIRMT to manage non-ASL safety issues. These are referred to as HIRMT Organization Level safety issues in this document. HIRMT Oversight does not administer HIRMT Organization Level safety issues. HIRMT Organization Level safety issues

are not visible or accessible by anyone outside of the Initiating Organization. As such, this document is focused only on the management and oversight of ASL safety issues within HIRMT. Organizations that decide to use HIRMT to manage Organization Level safety issues are responsible for the development and maintenance of any necessary guidance materials.

Determining Whether Safety Issues Are ASLs

Each LOB/Staff Office must identify the types of safety issues to be entered into HIRMT. However, FAA Order 8040.4 requires that a safety issue meeting one or more of the criteria listed below is considered an ASL safety issue and must be reported in and managed through HIRMT.

1. The safety issue is tracked and managed by the FAA Safety Management System (SMS) Committee;
2. The safety issue is present in the NAS¹, its safety risk has not been accepted, and it is expected to have high risk (e.g., it is identified as a result of an accident or incident or it is assumed to have high risk but an assessment has not been completed);
3. The safety issue has high risk and has a potentially systemic outcome (e.g., the outcome crosses LOBs or the outcome impacts an industry segment rather than an individual certificate holder); or
4. Any safety issue that an FAA organization's management elects to track in HIRMT.²

LOBs/Staff Offices may use their own tools to collect and maintain information regarding safety issues that are addressed wholly within their organization; however, if the safety issue meets the ASL criteria, the information must be entered into HIRMT. In order for an LOB/Staff Office to receive an exemption from the requirement to use HIRMT, the organization must submit a formal request to the FAA SMS Committee.

HIRMT Oversight is responsible for ensuring that safety issues meeting the ASL criteria are tracked and managed within HIRMT. If HIRMT Oversight is unable to determine whether a safety issue should be considered an ASL safety issue, the Safety Risk Management and Safety Assurance Branch (AVP-310) in the Safety Management and Research Planning Division (AVP-300) within the Office of Accident Investigation and Prevention (AVP) will work with the appropriate organization points of contact and applicable working groups (e.g., SRM Team, Aviation Safety Safety Management System (AVSSMS) Coordination Group) to resolve the issue. See the *Process for Escalation of ASL/HIRMT-Related Issues* section of this document for the process for addressing situations when the issue cannot be resolved at this level.

HIRMT Roles and Responsibilities

The majority of the HIRMT workflow is conducted by the FAA organization that owns the safety issue (the Office of Primary Responsibility, or OPR). AVP-310 performs the HIRMT Oversight role on behalf of the FAA SMS Committee to ensure that the ASL safety issues are progressing

¹ Changes being processed through the NAS Change Proposal (NCP) may be considered to be present in the NAS if they are in the live test and evaluation phase.

² The organization should consider the risk and visibility of a safety issue when determining whether it should be entered into HIRMT.

appropriately through the SRM/SA processes. The OPR is responsible for ensuring the information is entered appropriately and accurately.

Table 1, *Roles and Responsibilities of Key HIRMT Stakeholders Within FAA*, provides an overview of core roles and responsibilities of key FAA stakeholders involved in the management of ASL safety issues using HIRMT; more specific roles and responsibilities are detailed within the document.

Table 1: Roles and Responsibilities of Key HIRMT Stakeholders Within FAA

Stakeholder	HIRMT Roles and Responsibilities
FAA SMS Executive Council	<ul style="list-style-type: none"> Provides executive-level guidance and resolves any issues that the FAA SMS Committee raises, which may include disagreements related to SRM, ASL safety issues, and the use of HIRMT
FAA SMS Committee	<ul style="list-style-type: none"> Reports to the FAA SMS Executive Council Assigns OPRs for assessing and addressing cross-organizational safety issues when necessary Ensures ASL safety issues are reported in HIRMT Approves the closure of ASL safety issues within HIRMT Resolves disagreements between FAA organizations regarding ASL safety issues; escalates unresolved disagreements to the FAA SMS Executive Council
Safety Management and Research Planning Division (AVP-300)	<ul style="list-style-type: none"> Manages the FAA SMS and its supporting policies, processes, and tools in support of the Associate Administrator for Aviation Safety (AVS-1), the FAA SMS Executive Council, and the FAA SMS Committee Chairs the FAA SMS Committee Manages HIRMT as well as supporting policies, processes, and guidance materials Provides consultative services and guidance to assist organizations regarding SRM and the use of HIRMT
Safety Risk Management and Safety Assurance Branch (AVP-310)	<ul style="list-style-type: none"> Performs the HIRMT Oversight function Manages the use of HIRMT for ASL safety issues, which includes monitoring the implementation status of mitigations and producing reports for FAA executive management to facilitate communication and accountability Provides assistance/expertise to FAA organizations regarding SRM
Initiating Organization	<ul style="list-style-type: none"> Serves as the organization that identifies a safety issue and enters it into HIRMT via a Safety Analyst for consideration by their FAA Leadership May or may not be the OPR for the safety risk assessment
Office of Primary Responsibility (OPR)	<ul style="list-style-type: none"> Serves as the organization responsible for managing the issue and the results of SRM in HIRMT, ensuring accuracy of the technical information entered, and providing status updates in HIRMT based on the monitoring plan, through closure of the issue (Note: There is only one OPR assigned to each safety issue.)

Stakeholder	HIRMT Roles and Responsibilities
	<ul style="list-style-type: none"> Identifies the appropriate management officials and coordinates any necessary approvals and safety risk acceptance decisions; documents the results and decisions into HIRMT on behalf of the risk acceptance or approval authorities Includes two main roles—the OPR Manager and the OPR Point of Contact (POC)
<p>OPR Manager³</p> <p>(In HIRMT, this is referred to as “FAA Leadership”)</p>	<ul style="list-style-type: none"> Accepts/declines role as OPR on behalf of the responsible organization Assigns OPR POC (i.e., HIRMT Safety Analyst) Approves/returns safety issue information throughout the HIRMT workflow Approves assessment scope, the draft system analysis, and safety risk acceptance plan for safety risk assessments, on behalf of the Risk Acceptor organization(s) Accepts the plan to control safety risk on behalf of the Risk Acceptor organization(s) and the Risk Mitigation Implementer organization(s) Signs off on the Safety Risk Assessment Report (via signed memo with Safety Risk Assessment Report attached) indicating that the report was developed properly, hazards were systematically identified, and that safety risk was appropriately assessed Agrees/verifies that the mitigations were implemented Verifies that the controls and/or safety requirements were implemented and are functioning as designed Ensures the methods by which performance data or monitoring results are gathered Compares the monitoring results against the defined safety performance targets and uses the results to determine whether predicted residual risk was met Approves the closure of assigned safety issues
<p>OPR Point of Contact (POC)⁴</p> <p>(In HIRMT, this is referred to as the “Safety Analyst” role)</p>	<ul style="list-style-type: none"> Leads the SRM Team to complete and document the safety risk assessment effort Documents SRM and SA results in HIRMT Identifies the Risk Acceptor and Mitigation owners (with OPR Manager assistance as needed) Documents the scope of the assessment and drafts the system analysis and safety risk acceptance plan Ensures that the Safety Risk Assessment Report is developed properly, hazards are systematically identified, and that safety risk is appropriately assessed Works with the appropriate management official(s) to ensure that valid safety risk mitigations were proposed, which include risk mitigation implementation and monitoring plans

³ The OPR Manager is selected from within the OPR by the appropriate management official. In general, the OPR Manager should be the decision maker within the OPR that has the biggest stake in the safety issue, and he or she would be in the best position to address the safety issue. Existing organizational roles and responsibilities will likely help to determine the appropriate OPR Manager.

⁴ OPR POC as defined in [Guidance for Coordinating Cross-LOB Safety Risk Assessments](#).

Stakeholder	HIRMT Roles and Responsibilities
	<ul style="list-style-type: none"> Acquires signatures for safety risk mitigation approvals and safety risk acceptance, following existing organizational processes for approvals and acceptances, as appropriate Briefs the activities pertaining to their assigned ASL safety issue to management, when requested Documents status of safety risk mitigations in HIRMT Initiates the request to close an ASL safety issue in HIRMT
<p>Various Safety Management Professionals</p> <p>(In HIRMT, this is referred to as the "Project Specialist" role)</p>	<ul style="list-style-type: none"> Typically assigned to support large/complex SRM/SA efforts Monitors SRM efforts for individual ASL safety issues within HIRMT (Note: a single individual may function as both the Project Specialist and Safety Analyst for small/less complex efforts) Monitors their organization's SRM performance within HIRMT Develops/distributes reports using HIRMT, in accordance with their organization's requirements Monitors ASL safety issues in which their organization has a stake (Note: The HIRMT Project Specialist has read-only access to HIRMT.) Reports status of ASL safety issues/mitigations up their management chain
<p>HIRMT Oversight (resides within AVP-310)</p>	<ul style="list-style-type: none"> Reviews ASL safety issue information, approving ASL safety issues for tracking and management in HIRMT on behalf of the FAA SMS Committee Assigns the agreed-upon OPR within HIRMT on behalf of the FAA SMS Committee Monitors the progression of ASL safety issues through the SRM/SA process Provides HIRMT user community support in conducting SRM/SA, as needed Provides ASL safety issue status updates and reports to the FAA SMS Committee and FAA executive management on a quarterly basis and when requested Approves/returns closure of ASL safety issue requests on behalf of the FAA SMS Committee
<p>HIRMT Configuration Manager (resides within AVP-300)</p>	<ul style="list-style-type: none"> Coordinates maintenance and functionality updates of HIRMT Provides functionality support and assistance to the HIRMT user community Collects requirements from users to include in future HIRMT upgrades
<p>Risk Acceptor⁵</p>	<ul style="list-style-type: none"> Provides signature to certify acknowledgment and acceptance of the safety risk associated with the issue that is expected to remain once mitigations are fully implemented

⁵ The person authorized to accept risk on behalf of the organization varies based on the level of risk being accepted. Refer to the *Safety Risk Acceptance Criteria for Issues or Changes That Cross LOBs/Staff Offices* table in the most current version of FAA Order 8040.4, *Safety Risk Management Policy* for more information.

Stakeholder	HIRMT Roles and Responsibilities
	<ul style="list-style-type: none"> • Agrees to follow the monitoring plan to verify the predicted residual safety risk; provides information to the OPR POC for documentation in HIRMT
<p>Risk Mitigation Implementer (In HIRMT, this is referred to as the "Mitigation OPR" role)</p>	<ul style="list-style-type: none"> • Organization that accepts responsibility for implementing and monitoring the mitigation • Provides approval signature representing commitment to implement the safety risk mitigations as documented in the associated Proposed Safety Risk Mitigations Addendum

Process for Using HIRMT to Manage ASL Safety Issues

Figure 1, *Process for Managing ASL Safety Issues in HIRMT*, depicts the process flow for managing ASL safety issues within HIRMT. There are four phases within the HIRMT process: 1) Safety Issue Initiation; 2) Safety Risk Management Processing; 3) Safety Assurance Processing; and 4) Issue Closure. The remainder of this section describes the overall process for managing and overseeing ASL safety issues within HIRMT.

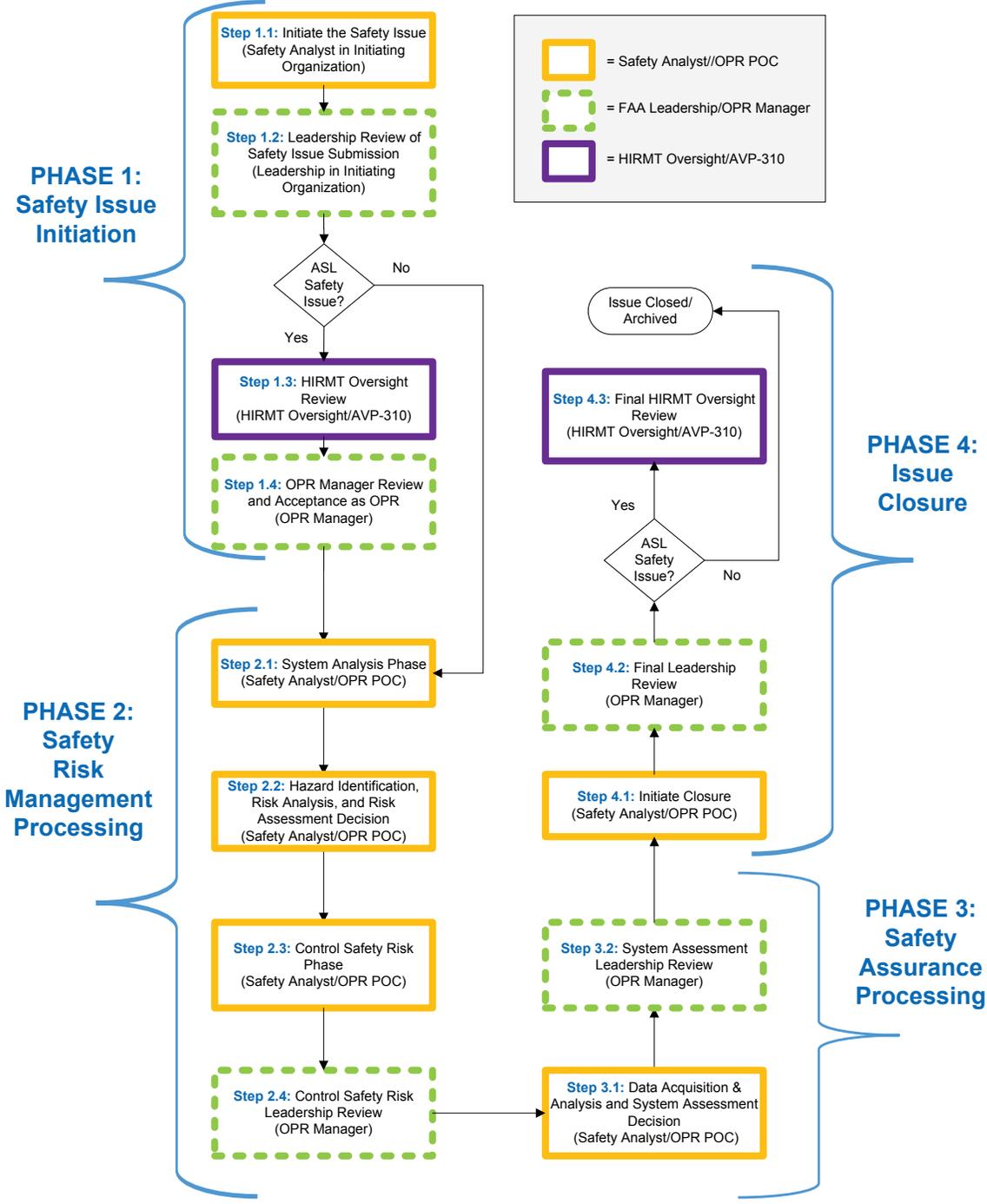


Figure 1: Process for Managing ASL Safety Issues in HIRMT

Phase 1: Safety Issue Initiation

1.1 Initiate the Safety Issue

When an organization identifies a safety issue that should be entered into HIRMT, a Safety Analyst from the Initiating Organization enters the information regarding the safety issue into HIRMT for consideration by the Initiating Organization's Leadership. Safety Analysts are encouraged to search for related issues in the system prior to entering a new safety issue to prevent duplication.

The Safety Analyst chooses to classify the safety issue as either an ASL safety issue or an Organizational Level safety issue. To recommend the safety issue as an ASL, the Safety Analyst must enter the ASL Decision Rationale/Justification information to aid the Initiating Organization's Leadership in decision making.

HIRMT automatically sends an email notification to the Initiating Organization's Leadership to alert them that a safety issue has been assigned for their review.

1.2 Leadership Review of Safety Issue Submission

Prior to approving the safety issue submission, the Initiating Organization's Leadership should confirm with the Safety Analyst that the submitted issue is not a duplicate of another issue already in the system.

If no duplication is found, the Initiating Organization's Leadership reviews a safety issue submitted as an ASL safety issue and decides:

- Whether to approve submission of the safety issue as an ASL safety issue (by selecting "Approve" in HIRMT), or
- To manage the safety issue at the Organization Level (by selecting "Return" in HIRMT and instructing the Safety Analyst to correct the submission), or
- The safety issue should not be managed in HIRMT at all (by selecting "Return" in HIRMT and instructing the Safety Analyst to void the safety issue in HIRMT).

The Initiating Organization's Leadership can reach out to their organizational Safety Engineers, Safety Analysts, Safety Specialists, and Safety Practitioners or to HIRMT Oversight for guidance regarding whether a safety issue meets the ASL criteria. Ultimately, if there is a situation in which it is unclear whether a safety issue should or should not be reported in HIRMT, organizations should report the issue in HIRMT.

For those issues submitted at the Organizational Level, Leadership reviews the submission and decides:

- Whether to approve submission of the safety issue as an Organizational Level safety issue (by selecting "Approve" in HIRMT), or
- To manage the safety issue as an ASL (by selecting "Return" in HIRMT and instructing the Safety Analyst to correct the submission), or
- The safety issue should not be managed in HIRMT at all (by selecting "Return" in HIRMT and instructing the Safety Analyst to void the safety issue in HIRMT).

Once Leadership indicates the approval, HIRMT automatically sends an email notification to HIRMT Oversight, the Safety Analyst that submitted the safety issue, and any selected Project Specialists.

Note: Steps 1.3, 1.4, and 4.3 do not apply to safety issues managed within HIRMT's Organization Level capability (i.e., not as an ASL safety issue). At this point, HIRMT Organization Level safety issues will move directly to step 2.1.

1.3 HIRMT Oversight Review

If the safety issue was submitted as an ASL, HIRMT Oversight searches for related issues in the system to confirm that the submitted issue is not a duplicate of another issue already in the system. If duplication is found, HIRMT Oversight will "Return" the issue back to the Initiating Organization's Leadership for clarification. If required, HIRMT Oversight will discuss the safety issue with the FAA SMS Committee to determine a resolution for the issue duplication, in accordance with the *Process for Escalation of ASL/HIRMT-Related Issues* section of this document.

If no duplication was found and HIRMT Oversight agrees the issue is an ASL safety issue, AVP-310 works with the FAA SMS Committee to identify the appropriate OPR.

The FAA SMS Committee Chair, or a designee, informally contacts the appropriate manager within the candidate OPR, provides an overview of the project and OPR roles and responsibilities, and coordinates OPR agreement. If requested, the FAA SMS Committee can provide a formal request memo to OPR management.

Once the appropriate OPR for managing the ASL safety issue is identified and confirmed, the next step is for HIRMT Oversight to indicate the OPR in HIRMT by selecting "Approve" and assigning the safety issue to the applicable OPR within HIRMT. HIRMT automatically sends an email notification to the OPR Manager to request acceptance of the OPR role.

1.4 OPR Manager Review and Acceptance as OPR

In this step, the OPR Manager reviews the safety issue information in HIRMT and accepts the OPR role. Acceptance of the OPR role is done by selecting "Approve" and assigning the ASL safety issue to a Safety Analyst (i.e., the OPR POC). HIRMT automatically sends an email notification of the assignment to the applicable Safety Analyst(s)/OPR POC(s). This email notification indicates that the identified individuals are responsible for ensuring the ASL safety issue is managed in accordance with the current version of FAA Order 8040.4. At this point, the ASL safety issue and its documentation become visible to all HIRMT users.

If the suggested OPR does not accept the role as OPR, the OPR Manager selects "Return" in HIRMT to send the safety issue back to HIRMT Oversight for reassignment. If this occurs, HIRMT Oversight will work with the FAA SMS Committee to determine a resolution and assign the ASL safety issue to the appropriate OPR.

Note: Steps 1.3 and 1.4 are repeated until an OPR is assigned and accepted in HIRMT.

Phase 2: Safety Risk Management Processing

The Safety Analyst/OPR POC performs the activities associated with the SRM process with Project Specialist (SRM Team) support, in accordance with the current version of FAA Order 8040.4. After each activity, the updated information is entered into HIRMT.

2.1 System Analysis Phase

The Safety Analyst/OPR POC leads the SRM Team in defining and documenting the scope of the safety risk assessment and obtains the OPR Manager's approval before moving to the next step in HIRMT. After receiving the OPR Manager's approval, the Safety Analyst/OPR POC selects "Initiate SRM Process" on the ASL Safety Issue summary page within HIRMT and completes the required fields using analysis information from the SRM Team. The Analyst can also attach supporting data analyses and documentation.

After completing the required fields, the Safety Analyst selects "Next" and assigns a due date for the next step of the SRM process.

2.2 Hazard Identification, Risk Analysis, and Risk Assessment Decision

The Safety Analyst/OPR POC leads the SRM Team in conducting the hazard identification and risk analysis efforts and documenting them within HIRMT. This is where the team documents which entities are affected by the risk(s) of a hazard and, therefore, which FAA organizations would be Risk Accepters. The OPR POC also documents risk assessment findings per the current version of FAA Order 8040.4 within HIRMT.

The Safety Analyst/OPR POC will select either "Acceptable" or "Unacceptable" on the Safety Risk Acceptability Decision page of HIRMT based on the safety risk acceptance plan. This decision should be made at the aggregate level. For example, the cumulative risk of the collection of identified hazards is unacceptable; the risk assessment has a level of uncertainty that results in an estimate of risk as unacceptable; the risk assessment is based on numerous assumptions, etc. The risk assessment is reviewed by the OPR Manager.

If necessary to aid in coordination, the OPR POC develops and circulates a formal Risk Assessment Approval memo for signature by the appropriate management official(s) (see [Guidance for Coordinating Cross-LOB Safety Risk Assessments](#) for more information and documentation templates). By signing the memo, the applicable management official(s) certifies acknowledgment of and approval of the safety risk analysis and assessment results. The signed memo should be attached to the HIRMT record prior to submission for approval.

Documentation of the safety risk assessment determination is required. However, if no hazards were identified, then there is no requirement to document any risk analysis effort in HIRMT. At this point, the Safety Analyst will submit the issue for closure in HIRMT and OPR Manager approval in HIRMT. This will route the ASL safety issue to the Completed phase of the SRM/SA workflow (step 4.1 in this document).

2.3 Control Safety Risk Phase

The Safety Analyst/OPR POC leads the SRM Team in identifying risk mitigations to be implemented, developing a plan to control safety risk, and documenting the results in HIRMT. The team also identifies Mitigation OPR(s), or Risk Mitigation Implementer(s), as part of this effort. The Mitigation OPR/Risk Mitigation Implementer is the organization that accepts

responsibility for implementing and monitoring a particular mitigation. The Safety Analyst/OPR POC then submits the Safety Risk Control Plan to the OPR Manager for review. HIRMT automatically sends an email notification to the OPR Manager to request approval of the Control Safety Risk results.

If necessary to aid in coordination, the Safety Analyst/OPR POC develops and circulates a formal Risk Acceptance/Risk Mitigation memo for signature by the appropriate management official(s) (see [Guidance for Coordinating Cross-LOB Safety Risk Assessments](#) for more information and documentation templates). By signing the memo, management within the Risk Acceptor and Risk Mitigation Implementer organization(s) certifies acceptance of the Safety Risk Control Plan, indicating commitment to implement the safety risk mitigations/controls. The signed memo should be attached to the HIRMT record prior to submission for approval.

2.4 Control Safety Risk Leadership Review

The OPR Manager reviews the Safety Risk Control Plan information and documents acceptance of the Plan on behalf of the Risk Acceptors and Risk Mitigation Implementers by selecting “Approve” in HIRMT. Once the OPR Manager indicates approval, HIRMT automatically sends an email notification to the Mitigation OPR. The Mitigation OPR then assigns a Safety Analyst/OPR POC to track the mitigation and enter a completion date once the mitigation is implemented.

If, after review, the OPR Manager finds that the submission requires additional data/documentation before approval, the OPR Manager will select “Return” in HIRMT to send the record back to the Safety Analyst. This action repeats until approval is obtained from the OPR Manager.

Phase 3: Safety Assurance Processing

3.1 Data Acquisition & Analysis and System Assessment Decision

As controls are implemented (external to HIRMT), the Safety Analyst/OPR POC works with the Mitigation OPRs/Risk Mitigation Implementers to collect data as defined in the monitoring plan. These measurements are compared to the performance targets identified in the monitoring plan to determine if the system is operating as expected.

The Safety Analyst/OPR POC should attach any supporting documentation related to monitoring the safety issue (e.g., Data Acquisition and Analysis results). As monitoring status updates are collected, they are uploaded into HIRMT.

Once the System Assessment processes are complete (mitigations implemented and monitoring plan accomplished), the Safety Analyst/OPR POC selects one of the following:

- “Conformance” if all the safety performance targets were met;
- “Non-Conformance” if safety performance targets were not met and/or if a mitigation was not implemented properly (therefore, corrective action is required); or
- “ID New Hazard/Ineffective Control” if either a possible new hazard or ineffective control was identified.

The Safety Analyst/OPR POC then submits the Data Acquisition & Analysis and System Assessment Decision to the OPR Manager for review. HIRMT automatically sends an email notification to the OPR Manager to request approval of the Data Acquisition & Analysis and

System Assessment Decision. If “Conformance” is selected, the issue is sent to HIRMT Oversight for final review. If “Non-Conformance” is selected, the issue enters the Corrective Action phase. If “ID New Hazard/Ineffective Control” is selected, then a new SRM workflow is created to identify and address the new hazard. This new SRM workflow will be associated with the original safety issue that was initiated in Phase 1.

If necessary to aid in coordination, the Safety Analyst/OPR POC develops and circulates a formal System Assessment Decision memo for signature by the appropriate management official(s) (see [Guidance for Coordinating Cross-LOB Safety Risk Assessments](#) for more information and documentation templates). By signing the memo, management within the Risk Acceptor and Risk Mitigation Implementer organization(s) certifies acceptance of the System Assessment Decision. The signed memo should be attached to the HIRMT record prior to submission for approval.

3.2 System Assessment Leadership Review

The OPR Manager reviews the System Assessment results and documents acceptance of the results on behalf of the Risk Acceptor(s) and Risk Mitigation Implementer(s) by selecting “Approve” in HIRMT. Once the OPR Manager indicates the approval, HIRMT automatically sends an email notification to the Safety Analyst/OPR POC.

At this point, the SRM/SA documentation phases of the ASL safety issue will be locked from further editing and indicate “SRM Complete.”

If, after review, the OPR Manager finds that the submission requires additional data/documentation before approval, the OPR Manager will select “Return” in HIRMT to send the record back to the Safety Analyst. This action repeats until approval is obtained from the OPR Manager.

Phase 4: Issue Closure

After verification that the safety objectives were met or hazards were mitigated to the Leadership’s predetermined acceptable risk level(s), the safety issue moves into the Issue Closure phase of the process. Note: Some hazards or issues may arise that may not be mitigated or resolved completely; it is up to the Risk Acceptors to determine the acceptability of remaining risk.

4.1 Initiate Closure

The Safety Analyst/OPR POC requests approval to submit the ASL safety issue package – including any associated SRM effort(s) – for closure within HIRMT by selecting “Submit.” HIRMT automatically sends an email notification to the OPR Manager to request a final review of the ASL safety issue for closure.

4.2 Final Leadership Review

The OPR Manager documents the agreement that the safety issue is ready for closure on behalf of the Risk Acceptor organizations identified in step 2.3 above by selecting “Approve” in HIRMT. Once the OPR Manager indicates the approval, HIRMT automatically sends an email notification to HIRMT Oversight. If the OPR Manager does not approve the ASL safety issue package, it is returned to the Safety Analyst/OPR POC, and step 4.1 is repeated until approval is obtained.

4.3 Final HIRMT Oversight Review

HIRMT Oversight reviews the entire package for completeness and process compliance, not for technical accuracy. AVP-310 informs the FAA SMS Committee that the safety issue has reached HIRMT Closure status. Upon FAA SMS Committee agreement, HIRMT Oversight selects "Approve" in HIRMT with a comment indicating FAA SMS Committee agreement that the safety issue may be closed and archived in HIRMT.

If the FAA SMS Committee does not agree that the ASL safety issue has reached HIRMT Closure status, the issue is returned to the OPR Manager, and step 4.2 is repeated until approval is obtained.

When the safety issue is closed and archived in HIRMT, it will still be visible for historical and analytical purposes.

HIRMT Monitoring and Reporting

In their role as HIRMT Oversight, AVP-310 uses HIRMT to track and close ASL safety issues; monitor schedules/deadlines, progress, and the implementation status of mitigations; and produce reports for FAA management to facilitate communication and accountability.

AVP-310 produces reports weekly, monthly, quarterly, and as needed to provide AVP Leadership with the status on ASL safety issues and HIRMT usage activity. Summary reports are provided to the FAA SMS Committee and the FAA SMS Executive Council at least quarterly.

Process for Escalation of ASL/HIRMT-Related Issues

The process shown in Figure 2 is used to escalate an issue related to managing ASL safety issues in HIRMT to the appropriate levels of FAA management. Note that all attempts should be made to resolve disagreements at the lowest level possible.

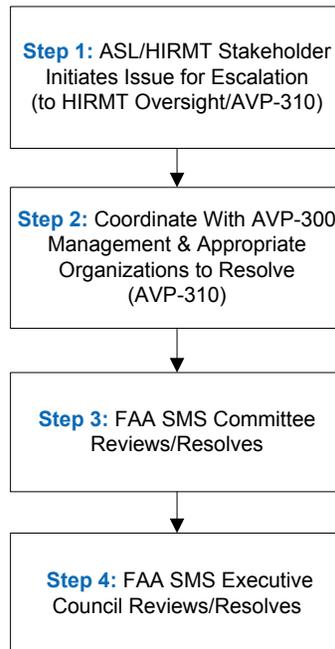


Figure 2: Process for Escalation of ASL/HIRMT-Related Issues

Step 1: ASL/HIRMT Stakeholder Initiates Issue for Escalation

If an ASL/HIRMT stakeholder encounters an issue or any disagreements among organizations related to managing ASL safety issues within HIRMT, the stakeholder raises the issue to AVP-310. AVP-310 works with the stakeholder(s) to resolve the issue.

Some examples of issues that may need to be escalated are:

- Disagreement regarding the appropriate OPR,
- Disagreement as to whether to apply resources,
- Disagreement regarding the scope of the assessment,
- Disagreement over risk acceptance and/or safety risk control responsibility,
- Disagreement regarding the safety risk assessment findings,
- Disagreement regarding proposed mitigations,
- Failure to implement mitigations as agreed, and
- Disagreement on the process or methodology used to conduct the safety risk assessment.

Step 2: Coordinate With AVP-300 Management and Appropriate Organizations

AVP-310 will work with AVP-300 management and the appropriate organization points of contact or working groups (e.g., SRM Team, AVSSMS Coordination Group) to resolve the

issue. All attempts should be made to resolve the issue at this level; however, there may be instances that warrant escalation.

Step 3: FAA SMS Committee Reviews/Resolves

If the issue cannot be resolved at the lower level, the AVP-310 Branch Manager will present the issue to the FAA SMS Committee for consideration. Depending on the urgency, the issue may be presented at a regularly scheduled FAA SMS Committee meeting or at a special meeting called to discuss the issue.

AVP-310 and the OPR Manager ensure that the LOBs/Staff Offices involved provide the appropriate subject matter experts needed for discussions at the FAA SMS Committee meeting. If an issue remains unresolved after reasonable attempts at resolution have been made, the FAA SMS Committee may decide that the issue needs to be escalated to the FAA SMS Executive Council.

Step 4: FAA SMS Executive Council Reviews/Resolves

If the FAA SMS Committee finds that a resolution on the issue cannot be reached, the FAA SMS Committee Chair raises the unresolved issues to the FAA SMS Executive Council for resolution. Depending on the urgency, the issue may be presented at a regularly scheduled FAA SMS Executive Council meeting or at a special meeting called to discuss the issue.

The FAA SMS Committee members ensure that the involved LOBs/Staff Offices provide the appropriate subject matter experts needed for discussions at the FAA SMS Executive Council meeting. The FAA SMS Committee Chair communicates the results of the FAA SMS Executive Council meeting with the FAA SMS Committee members and OPR, who in turn share the information with their organizations.

HIRMT Access and Help Desk

Access to HIRMT must be granted to FAA employees or supporting contractors who are expected to perform any of the following HIRMT roles on behalf of their organization:⁶

- Safety Analysts (OPR POCs) – Users in this role are the primary users; they initiate safety issues, document the results of SRM/SA conducted on the safety issue, and submit requests for closure within HIRMT.
- FAA Leadership (OPR Managers) – Users in this role are limited to reviewing and approving data entered by the Safety Analysts; they are not able to enter information or make edits to safety issues in HIRMT.
- Project Specialists (Various Safety Management Professionals) – Users in this role are limited to viewing safety issue information in HIRMT; they are not able to enter information or make edits to safety issues; this role is intended for monitoring the progress of safety issues entered in HIRMT and developing reports as required by an organization's management.

Each LOB/Staff Office has an assigned HIRMT POC. The current list of HIRMT POCs is available on the FAA Safety Management Intranet site.

HIRMT Training is required prior to gaining access to HIRMT and is available through the electronic Learning Management System (eLMS).

To gain access to HIRMT, employees/contractors requesting access must first obtain approval from their Leadership and the HIRMT POC. Once approval is obtained, the employee/contractor must send an email request to 9-natl-hirmt-helpdesk@faa.gov with the following information:

- Name
- Email Address
- FAA Organization (contractors enter the FAA organization they support)
- My Access User Name
- HIRMT Role (Safety Analyst, Leadership, or Project Specialist) Requested
- HIRMT User Training Completion Date

Additional information regarding HIRMT is available on the FAA Safety Management Intranet site.

If users encounter technical issues, or if questions arise when working within HIRMT, they should contact the HIRMT Help Desk at 9-natl-hirmt-helpdesk@faa.gov.

Users are encouraged to provide feedback and requests for system upgrades or modifications to the HIRMT Configuration Manager. The user can provide feedback by sending an email to 9-natl-hirmt-helpdesk@faa.gov or clicking the Feedback Form button within the HIRMT tool.

⁶ HIRMT can only be accessed by FAA employees and supporting contractors that have access to the FAA network.