

Air Transportation Oversight System "HowGoesIt"

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SASO Update - part 121 ATOS 1.2 Full Scale Implementation Assessment

The System Approach for Safety Oversight (SASO) Program Office (PO) recently completed the Full Scale Implementation Assessment to gauge the effectiveness of part 121 Certificate Management Teams' (CMTs) transition to ATOS 1.2. The purpose of the assessment was to evaluate the ATOS 1.2 transition process, communication practices, and training effectiveness, and identify lessons learned that could be applied to continual improvement of ATOS 1.2, as well as Safety Assurance System (SAS) development. In addition, the assessment aimed to evaluate the success of ATOS 1.2 as it supports inspectors in providing oversight to their certificate holders. During the assessment, initiated in March 2008 and completed in July 2008, the SASO PO gathered feedback on the transition directly from the AFS workforce through visits to field offices.

The SASO PO developed a comprehensive *Final Report* of the findings and recommendations based on the data collected throughout the assessment process. The report will not only be used to inform 14 CFR part 121 of best practices and lessons learned from the ATOS 1.2 transition, but it will also be used to develop a comprehensive change management plan that outlines the approach to managing change associated with SAS implementation for 14 CFR parts 121, 135, and 145.

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Eleven conclusions are presented in the report. These conclusions include that assessment participants have a partial understanding of system safety theory and principles, as well as the benefits and goals of a risk-based approach. Another conclusion noted that participants do not fully understand the Data Collection Tools (DCT). Additionally, management buy-in, as well as supervisors' structured, visible support of new initiatives, is critical to the acceptance and success of those initiatives. Lastly, ATOS 1.2 training was poorly received, which negatively impacted the participants' acceptance of the tool.

The *Final Report* also included 11 recommendations that outline actions the FAA should take to address the issues and challenges identified as a result of the assessment process. One critical recommendation is that the FAA should enhance AFS workforce knowledge of system safety principles. Another area of opportunity for developing AFS workforce understanding is through offering education on the meaning and intent of the DCTs within ATOS 1.2. A third recommendation calls for the FAA to facilitate increased information sharing across similar CMTs in order to encourage and formalize sharing of best practices and of successful ATOS 1.2 utilization strategies. Related to the need for increased information sharing is the recommendation that the FAA appoint an existing member of each CMT to serve as a resident ATOS 1.2 subject matter expert (SME) to provide support and guidance on ATOS 1.2 and future initiatives.

In mid-September, the SASO PO briefed the director of Flight Standards Service on the report's findings and recommendations. In addition, the SASO PO provided copies of the *Final Report* to FAA Acting Administrator, Robert Sturgell and Associate Administrator for Aviation Safety, Nicholas Sabatini, upon their request.

SASO on the Web

The System Approach for Safety Oversight (SASO) program Web site provides current comprehensive information about the status of the program. The Web site will be updated quarterly and can be accessed at the following link:
http://www.faa.gov/safety/programs_initiatives/oversight/saso/

For a copy of the report, please visit the AFS-900 SharePoint site at:
<https://avssharepoint.faa.gov/afs/900/info/library.aspx>



Data Review on En route DORs

Inconsistent data quality requirements are causing problems in the field with Other (OT) Dynamic Observation Reports (DOR) used to record en route activities. Specifically, flightcrew certificate information entered in the comments section of the en route DOR is required by some principal inspectors and not by others. As a result DORs are sometimes returned to inspectors not affiliated with the CMT because they are unaware of the receiving office's policy.

DORs are reviewed to determine if the data meet the data quality guidelines. The specific requirements for ensuring that the highest quality data are reported to the ATOS database can be found in the Specific Data Requirements Table (table 10-1) at the end of the data reporting section found in Order 8900.1, Flight Standards Information Management System (FSIMS), volume 10, chapter 2, section 6. The standards for data review are located in the Data Dimensions Table (table 10-2) in Order 8900.1, FSIMS, volume 10, chapter 2, section 7, at the end.

While flightcrew certificate information in the comment field might be deemed as no-value-added data, it could also be equally considered to be relevant, timely data.

Data evaluation program managers and data reviewers are asked to consider the differences in individual office policies as much as practical, when reviewing data submitted by an inspector from another CMT, and make allowances whenever possible.

Future automation improvements are being considered for the en route DOR and, when implemented, should help to alleviate issues like those mentioned above. In the meantime, your assistance in explaining these variations to your principal inspectors may help reduce inspector concerns.

ATOS PRF Dos and Don'ts

In the ever evolving ATOS automation enhancement world, the Problem and Reporting/Feedback (PRF) System may be redesigned. However, nothing that drastic is coming soon. Therefore in our attempt to fulfill your problem reporting needs, AFS-900 presents these easy steps to follow.

As you know, ATOS 1.2 provides a method for users to submit problem reports and suggestions on how to improve ATOS. In fact, a quick navigation link is provided in the bottom menu on the home page and on most other pages as well. Instructions for the use of this navigation link are clearly contained in the Automation User Guide (AUG), pages 1-12 through pages 1-14, section 1.5.1.4.6. Although every attempt is made to quickly and efficiently resolve and act upon these suggestions, some common mistakes have the effect of slowing down the resolution process. Therefore, AFS-900 has come up with a few "Best Practice" suggestions.

1. If experiencing true automation difficulties (glitches with the system) the first step is to contact the **Automation Help Desk** at **405-954-7272**. In fact when you select the "Report a Problem with ATOS Automation" button from the PRF page, you will receive a pop-up screen reminding you of this. The Help Desk is the immediate "go to"

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for automation difficulties. Use the PRF page to report an automation problem with the PRF system, to recommend improvements, or to document automated processes that are not producing desired results. (See also Item #4 below.)

2. Make certain that the problem is, in fact, a discrepancy of ATOS, and not an FSIMS Problem. Issues with the Federal aviation regulations or policy and guidance issues should be referred to the FSIMS Librarian, (unless it's out-of-date on the DCT, then follow #4 below). An FSIMS link is also included in the bottom menu on the home page of ATOS 1.2. After accessing the FSIMS home page, select the "Help & Training" tab, which will take you to a page containing a hyperlink entitled "Email the FSIMS Librarian".

3. When your suggestion contains subject matter regarding a mixture of automation, policy, or DCT issues, these subjects should be separated into those categories, and submitted in separated formats.

4. Use the "Submit an Enhancement Recommendation" action button if you are suggesting an enhancement, as well as problems other than automation, such as updates or revision suggestions to policy, automation and/or DCTs.

5. Some DCT reasons for PRF submission include but are not limited to: 1) outdated, incorrect, and omitted Specific Regulatory Requirements (SRRs), policy and/or guidance, 2) question clarity, and 3) subject-matter confusion.

6. **Little Things Mean A Lot.** Believe it or not, please remember to include the element number and whether or not it affects the Safety Attribute Inspection, Element Performance Inspection, or both, and if it is an operations or airworthiness item, when applicable. If it concerns a Job Task Item, please include the number and the question it appears under. Please include a full description of your concern in your own words.

7. Last but not least, when we contact you for more information, we really do want more information. You can help us improve the system by replying to our email. We appreciate it. Implementing your suggestions helps us continually improve the DCTs, policy, and automation. We welcome your continued support of the PRF system.



Questions From the Field

Q: How do I see all the ATOS 8430-13 reports for the ATOS inspectors in my office at one time?

A: On your ATOS Homepage you would click on the "CMT Reports" link (located in the blue bar towards the bottom of the page). Once on the "CMT Reports" page, you will see a link for FAA Form 8430-13 inspection information - select the link. On the next screen you would select the "Start" and "End" date ranges, leave the "Specific User" and "Entire Roster" fields blank. Finally, you select your office code from the drop-down box and click on "Submit Query" button.

The screenshot shows the ATOS v1.2 homepage. At the top, there is a navigation bar with tabs for Module 1, Module 2, Module 3, Module 4 & 5, Module 6, Module 7 & 8, and RMP. Below this is the title "Air Transportation Oversight System" and a "Select Carrier" dropdown menu set to "19EA".

The main content area features a central diagram of a cycle of modules: System Configuration (Module 1), Planning (Module 2), Resource Management (Module 3), Data Collection (Module 4), Data Reporting (Module 5), Data Review (Module 6), Analysis & Assessment (Module 7), and Action Determination & Implementation (Module 8). Below this cycle is a "Risk Management" section with links for "Hazard List" and "RMP Reports".

On the left side, there are sections for "Notifications", "Reports" (including CMT Roster List, DOR Report, SRR No Report, ACAT-CAP Report, ATOS Roster by Carrier, ATOS Roster by Team Member, EPI Report, and SAI Report), and "Help".

On the right side, there are sections for "Administrative Functions" (User, CMT and Fleet Information, Broadcast Messages) and "Quick Links" (Create Element-Based DOR, Create Other DOR).

At the bottom of the page, there is a blue navigation bar with several links. The link "CMT Reports" is circled in red. Other links include "SPAS", "FSIMS", "News and Documentation", "Problem Reporting and Feedback", and "Contacts".

After selecting CMT Reports the following screen appears:

The screenshot shows the "ATOS Certificate Management Team Reports" page. It has a title bar "ATOS Certificate Management Team Reports" and a section "Certificate Management Reports".

Under "Certificate Management Reports", there are several links with descriptions:

- [PI Response to Request](#): Search for the results of inspections by elements or groups of elements.
- [Reporting Inspector Action Taken](#): Search for inspector action taken comments.
- [CSP Completion Status](#): Search for CSP completion with the status of SAI's or EPI's.
- [Inspector Assignments](#): Search for current inspector assignments.
- [8430-13 Inspection Information](#): Search for reporting of 8430-13 use.

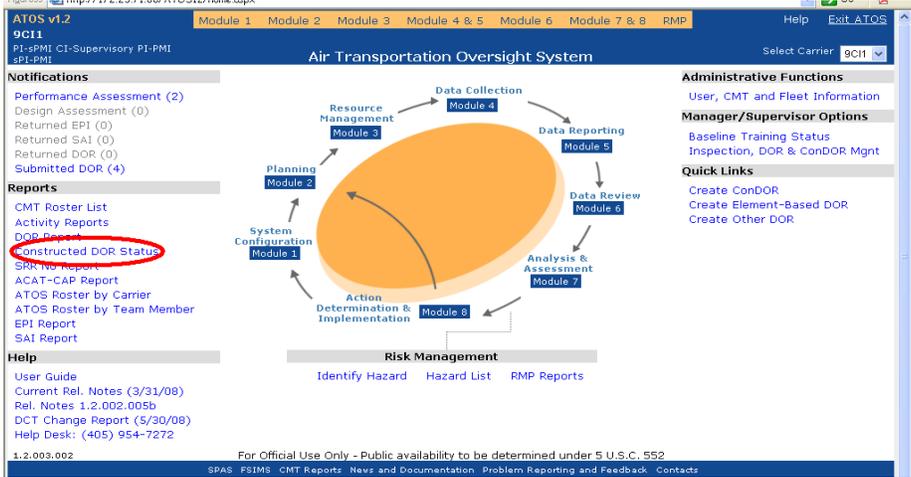
A red box on the right side of the page contains the text "Select to open 8430-13 report screen". A red arrow points from this box to the "8430-13 Inspection Information" link.

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It is important to remember, on the "CMT Reports" page, leave the "Specific User" and "Entire Roster" fields empty and enter your office code and dates to see all the 8430-13s for the inspectors in your office only.

Q: How do I delete a ConDOR already started?

A: If the ConDOR has been saved to either "Draft" or "Final" by the assigned inspector, the ConDOR cannot be deleted. If the assigned inspector has **not** started any work, the principal inspector who created the ConDOR can go to the "Constructed DOR Status" report page (link provided under "Reports" on the PI's homepage, left column, middle of page) and delete the applicable ConDOR.



After the PI selects the "Constructed DOR Status" report link on the homepage above, a screen like the following will open from which the PI can delete a ConDOR not yet saved.

Constructed DOR Status Report			
Requested Completion Date 09/04/2008			
DOR ID:	Instructions:	Assigned To:	Status:
D 2027113	LAS	Edwin Aviles	Delete
Requested Completion Date 09/04/2008			
DOR ID:	Instructions:	Assigned To:	Status:
D 2027118	Add Instruction	Edwin Aviles	Delete

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Q: How do I see comments I had entered in previous Air Carrier Oversight Profiles (ACOPs), Air Carrier Assessment Tools (ACATs), and Comprehensive Assessment Plans (CAPs)?

A: In any of the ACOP, ACAT, and CAP screens there is a link on the upper right side of the page named "History" and to its right is a drop-down box. By selecting the drop-down arrow, you will see a display of previous dates from which to choose. The history block will show the last ten ACATs saved as final. Select the desired date to view your past comments.

The screenshot shows the ATOS v1.2 software interface. The top navigation bar includes "Module 1" through "Module 8" and "RMP". The main content area is divided into several sections: "Systems" (All Systems), "Risk Indicator for 1.3.7", "Operational Stability", "Performance History", and "Word Pictures for...". The "History" dropdown menu is open, showing a list of dates and times. The "History" link and the dropdown menu are highlighted with a red box. The "Word Pictures for..." section contains a list of items and a table of dates and times.

Label	Element	Criticality	Risk Score	ADI
1.2.1	Airworthiness Release / Logbook Entry	M	68	
1.2.2	Major Repairs and Alterations Records	M	56	
1.2.3	Maintenance Log / Recording Requirements	M	56	
1.2.4	MIS Reports	L	35	
1.2.5	Service Difficulty Reports (SDR)	L	28	
1.2.6	Aircraft Listing	L	28	
1.3.1	Maintenance Program	M	56	
1.3.2	Inspection Program	M	56	
1.3.3	Maintenance Facility / Main Maintenance Base	M	56	
1.3.4	Required Inspection Items (RII)	H	84	

Word Pictures for...	Select ACAT
SPAS Key Management	08/13/08 13:31
Assessment Inspection	07/28/08 08:07
	07/28/08 07:59
	07/25/08 12:25
	07/25/08 12:25
	07/11/08 15:43
	07/11/08 15:41
	07/10/08 16:21

Q: What happens when I start the next assessment, Performance Assessment (PA) or Design Assessment (DA), before I have completed the Action Determination and Implementation (ADI) for the last assessment on that same element? For example, I have finished data collection on a PA for element 1.3.11, but have not yet done the ADI. We are now into the next quarter and I need to do another PA on this element this quarter and want to start it immediately.

A: It is very important that you complete the ADI on an element before beginning another assessment of the **same type (DA or PA)** on that element. This is because after you complete the ADI on the first assessment, the automation will move the next assessment out to the next baseline interval, which would not be the next quarter where you want it. It would be at least six months after the first. If you have started the next performance assessment, and then complete **the previous PA ADI**, the automation will move the next assessment six months, one year, or three years into the future (based on criticality) and you will be unable to move that next PA back into the current quarter where you want it. **Complete the ADI first.**

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Q: My computer screen does not seem to contain all the information it should on each ATOS page and the alignment is off.

A: If the text size and/or resolution are not correctly set on your computer screen, the ATOS screens will not properly display.

For example: The next screen has the proper text size and resolution. The CAP page appears as it should and the element 1.2.3 label and element name appear in correct alignment with the associated PAs and DAs.

The screenshot shows the ATOS v1.2 interface with the 'CAP Planning Calendar View' selected. The table below represents the data shown in the interface:

Label	Element	Risk		Priority	FY08				FY09				FY10					
		Crit	Score		q4	q1	q2	q3	q4	q1	q2	q3	q4	q1	q2	q3	q4	q1
1.2.2	Major Repairs and Alterat...	M	56	13					P1	(D)		P0					P0	
1.2.3	Maintenance Log / Recordi...	M	56	14					P1	(D)		P0					P0	

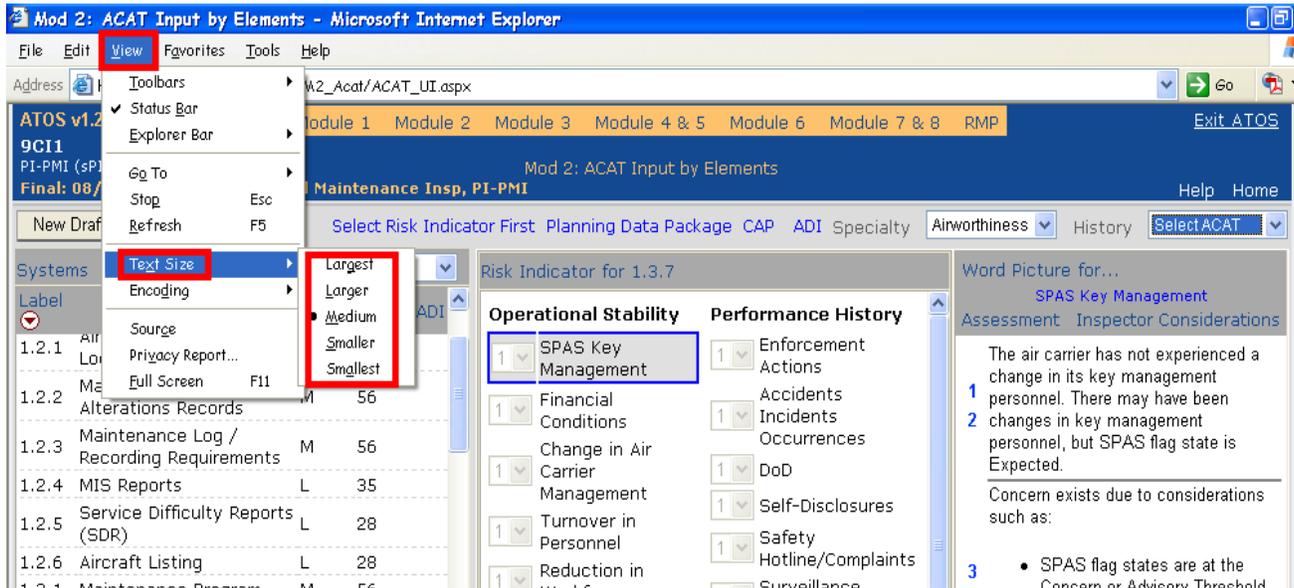
However, with different settings, the same page appears like it does below. The screen is rearranged and the 1.2.3 element name line does not match up with the PAs and DAs immediately to the right. The blue bar shows you the associated assessments which appear two lines above where they should.

The screenshot shows the ATOS v1.2 interface with the 'CAP Planning Calendar View' selected. The table below represents the data shown in the interface:

Label	Element	Risk		Priority	FYC				FYC				FY1					
		Crit	Score		q4	q1	q2	q3	q4	q1	q2	q3	q4	q1	q2	q3	q4	q1
1.1.3	Special Flight Permits	M	56	12					P1	(D)		P0					P0	
1.2.2	Major Repairs and Alterat...	M	56	13					P1	(D)		P0					P0	
1.2.3	Maintenance Log / Recordi...	M	56	14					P2	(D)		P0					P0	
									P1	(D)		P0					P0	

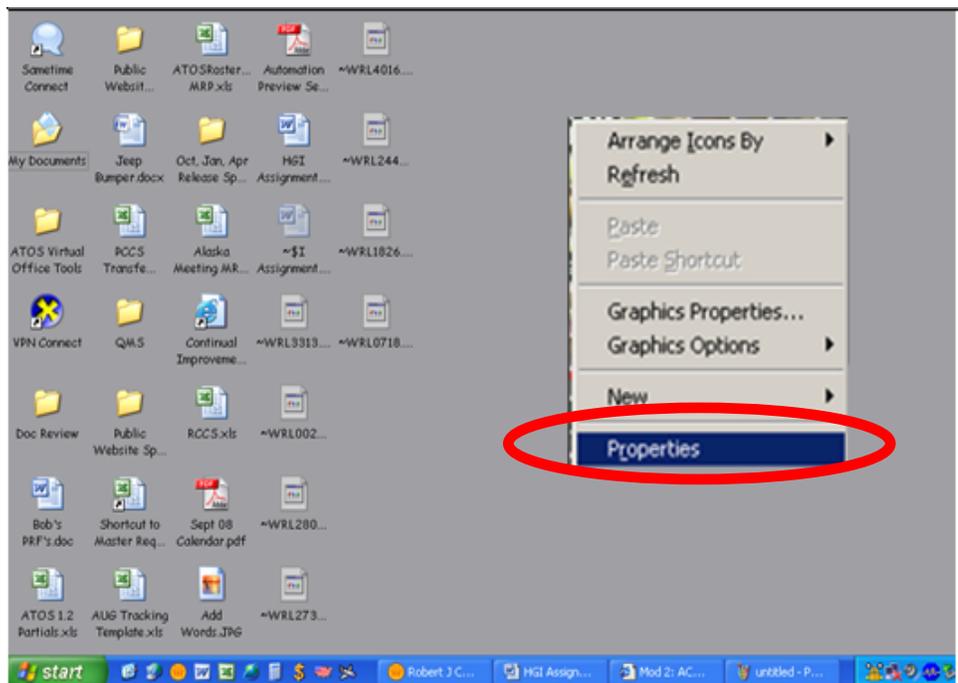
Text Size: To adjust your text size, your browser must be opened. You would then go to the title bar at the top of the screen and select "View". A drop-down box will appear and you then scroll down to "Text Size". Once that is selected another box will appear to the right and this is where you will adjust the text size. The normal setting is "Medium" but you may have to test more than one setting so it is satisfactory to you.

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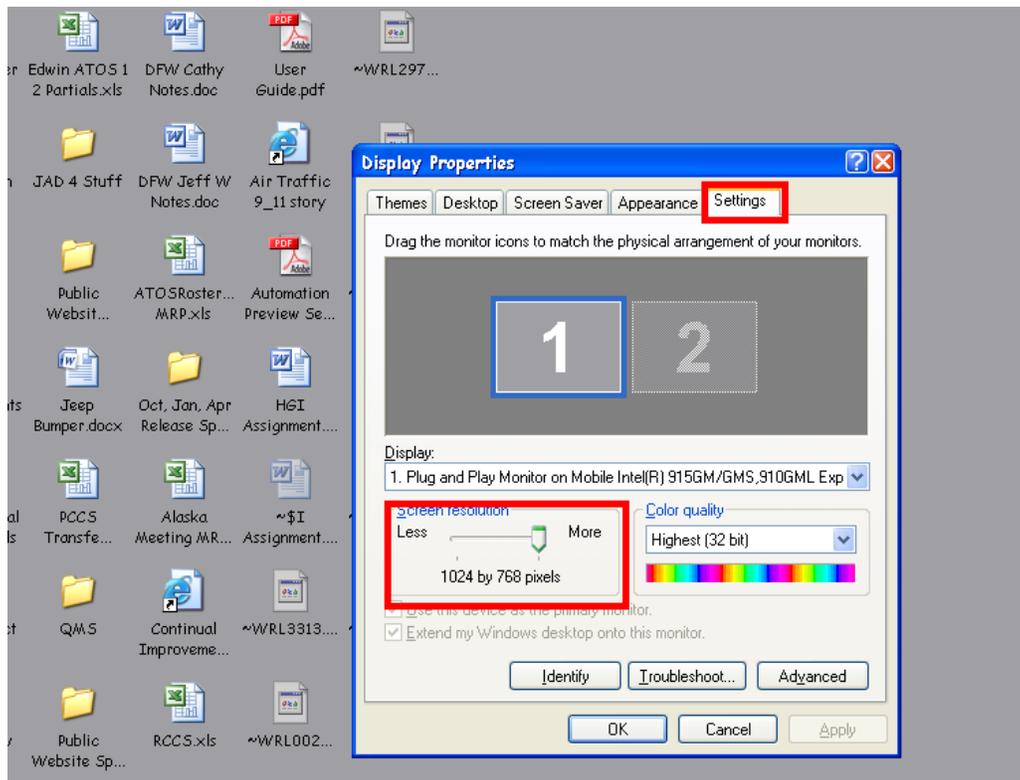
Screen Resolution:

Another possible cause is "Screen Resolution". To change your resolution you need to go to your computer desktop and simply right click your mouse. A dialog box will display, you will then select "Properties".



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When the "Properties" box appears you will select the "Settings" tab. You will then see the "Screen Resolution" adjustment area. On a laptop for example, the best resolution seems to be 1024 by 768 pixels. You may need to test a few different settings to find the correct one for your viewing. And refresh your screen or move to another module to reset.



Travel across International Datelines

On occasion it may be necessary to travel across international datelines in order to accomplish ATOS data collection assignments. In the event you plan to report data collected while on travel, please be aware that if you are in a location where the date is ahead of where your official duty station is located and you are using your government laptop, you will get a message indicating the "start date" and "end date" should be in the past. This is because the clock on the computer maintains the time zone of your official duty station. ATOS policy says to enter data into the ATOS database within three business days of completing an activity, or as soon as possible. Generally this will not be a problem unless a deadline for inputting data has been reached.

So you want an assignment with AFS-900? We want you, too!

How can we make ourselves the most competitive and marketable candidate against other candidates being considered for AFS-900 positions?

The process begins with putting together an appropriate application package. It is vital to address each KSAO (knowledge, skills, abilities, and other characteristics) as clearly as you can, keeping in mind that each KSAO write-up may not exceed one page, including your notes and references.

The responses you write are your opportunity to explain how your experience, education, training, and self-development activities make you a good candidate for the position. The rating and ranking of KSAO's will result in moving candidates to the interview stage, so attention to detail is very important.

There are KSAO guides available in the "KSAO Information" category folder from the link: <https://avssharepoint.faa.gov/afs/900/info/library.aspx>

We hope this information helps make your bidding experience a rewarding one. Good luck. We look forward to working with you.



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Photograph on this page, courtesy of Julie A. Clark, ATOS CMO Certification Section