



## SASO on the Web!

SASO is excited to announce the launch of the “new” public Web site. The site features a SASO program overview, including the SASO Pilot Projects, updates and current news on the program, a SASO questions and answer section, as well as a SASO document library and contact information.

The site also features links to other websites of interest, such as ATOS, FAASTeam, Flight Safety Foundation, etc.

Please visit us for the latest information on SASO at [http://www.faa.gov/safety/programs\\_initiatives/oversight/saso/](http://www.faa.gov/safety/programs_initiatives/oversight/saso/) or you can find us on the Flight Standards Directory at [https://employees.faa.gov/org/linebusiness/avs/offices/afs/divisions/hq\\_region/](https://employees.faa.gov/org/linebusiness/avs/offices/afs/divisions/hq_region/)



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## The SASO Outreach Team: *Shaping the Future of AFS*

Successful adoption and institutionalization of the SASO program depends on total workforce involvement and buy-in. To reach stakeholders, AFS-30, the SASO Program Office, created the SASO Outreach Team, a group of over 30 AFS personnel representing all regions, a multitude of disciplines, and a range of positions and offices.

Since May 2005, Outreach Team members have acted as a two-way communication channel through which AFS employees can offer input and feedback to the program as it develops. In 2007, the team met the SASO communications goals by conducting over 110 office briefings, collecting and sharing feedback from the field, and reaching over 2,600 AFS personnel. “The team’s pledge to volunteer highlights their choice to proactively solve problems, not just treat symptoms, and to participate in the decision making process. They are ideal role models to the over 2,600 people reached in 2007,” said **Estrella Gonzales**, AFS-30 Deputy Program Manager and Change Management Lead.

Recent and current activities supported by Outreach Team members include:

- Participating in the AFS Data Review Board which reviews, evaluates, and makes recommendations for logistical data collected on AFS applications to support business processes;
- Serving on the LogBook Working Group, which is developing new requirements for a national LogBook application;
- Attending and presenting at conferences and symposia; and
- Participating in one-on-one interviews with the SASO project team to discuss and validate findings identified during site visits and gain a better understanding of the environments in Parts 121, 135, and 145 (e.g., communications, organization structure, performance management, culture, training, and business processes).

These are just some of the ways that the SASO Outreach Team serves both the field and the SASO program office. Their value to the SASO program is as enormous as their dedication to this voluntary role, which is performed above and beyond their regular duties. ***Would you like a SASO Outreach Team member to visit your office? Please contact us at [9-AWA-AFS-30-SASO@FAA.gov](mailto:9-AWA-AFS-30-SASO@FAA.gov).***

## Program Office Message

**Dennis Niemeier**  
**SASO Program Manager**

“The International Civil Aviation Organization (ICAO) is revising its standards and recommended practices for the implementation of safety management systems (SMS) for civil aviation authorities in all its member states. In the next four years, AFS is preparing to implement a Safety Assurance System – or SAS – that will constitute one step in our process to meeting ICAO’s SMS mandates.

“The SAS is one of four components of SMS (the other three components are Safety Policy, Safety Risk Management, and Safety Promotion). The SAS and its supporting tools will provide AFS with the processes necessary to provide certification and surveillance of FAR Part 121, 135, and 145 aviation entities in the SMS environment.

“AFS is currently conducting a gap analysis, comparing existing processes with SAS requirements, to determine the changes needed to meet oversight requirements while utilizing existing processes and tools to the greatest extent possible.”

## Q&A with SASO

“Since you asked...”

**Q: What is the incentive for operators to develop an SMS?**

A: Improved safety and long-term cost reductions are the key motivations for implementing an SMS. Additionally, AVS is in the process of developing a rule requiring the implementation of SMS by aviation certificate holders, including air carriers, commuter/on-demand operations, and repair stations.

**Q: How will our jobs change? Will aviation expertise no longer be required for inspectors?**

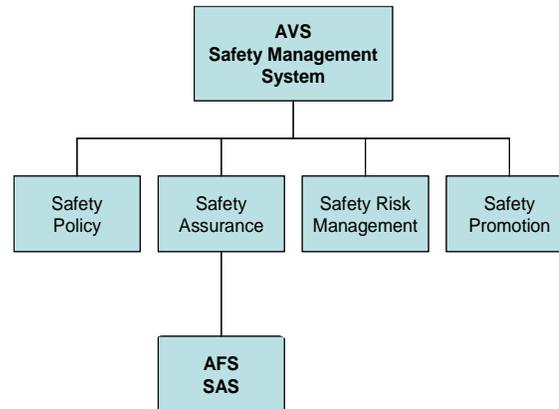
A: Until the future state is defined, we cannot know exactly how jobs will change. Inspectors will always need aviation experience, but will develop competencies in areas such as risk management, evaluation, and workload management, among others. For further information, please see <https://employees.faa.gov/org/linebusiness/avs/offices/afs/planning/human/media/humancapplan.pdf>.

**Q: How do we learn about SASO accomplishments or get more information?**

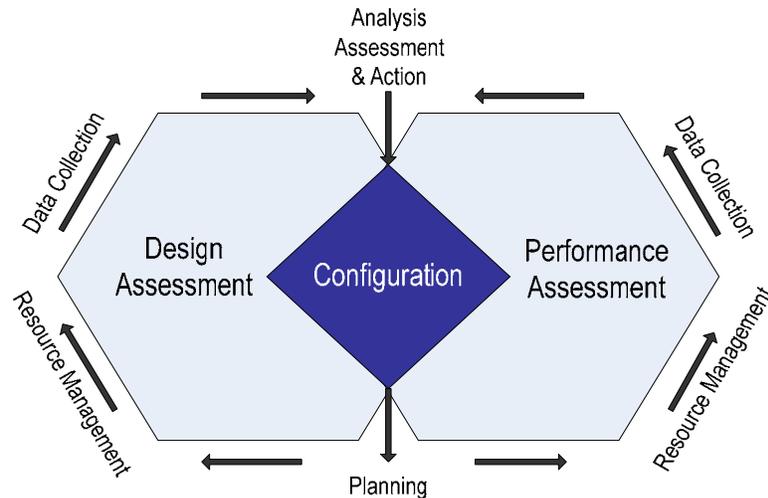
A: SASO accomplishments are communicated through a variety of vehicles including Outreach presentations, this quarterly newsletter, AFS leadership, and the SASO Web site. For more specific information, contact the AFS-30 Program Office by sending an email to [9-AWA-AFS-30-SASO@faa.gov](mailto:9-AWA-AFS-30-SASO@faa.gov).

## What is the AFS Safety Assurance System (SAS)?

The AFS Safety Assurance System (SAS) is an integration and enhancement of several existing AFS systems that together will constitute the AFS safety assurance component of the AVS Safety Management System (SMS).



AFS SAS will provide two primary capabilities: design assessment and performance assessment. Both design assessment and performance assessment perform the same set of functions, but apply them toward different yet complementary goals. The functions are: configuration; planning; resource management; data collection; and analysis, assessment, and action. The relationship between design assessment and performance assessment is illustrated below.



### STATUS of SAS

The AFS SAS Requirements Document has been prepared and is under management review. The SASO Program Office is analyzing the gap between the AFS SAS requirements and existing AFS business processes and applications. Key activities include comparing functional requirements to the current environment in CFR Parts 121, 135, and 145; gathering data through interviews and observation; identifying gaps on specific organizational dimensions (processes, people, technology, regulations/guidance, and performance management); and prioritizing potential opportunities. In September 2008, once the analysis is complete, design of the AFS SAS business processes and applications will begin.

## What's happening throughout SASO?

### CFR Part 121 Update

#### ATOS 1.2 Full Scale Implementation Assessment

The SASO team has successfully completed three of the planned four field visits for the ATOS 1.2 Full Scale Implementation Assessment. The purpose of the assessment is to evaluate the ATOS 1.2 transition process, communication practices, and training effectiveness, and identify lessons learned that may be applied to 135 and 145 Pilot Projects. The sites visited include the Southwest Region/Dallas service area, Great Lakes Region/Indianapolis service area, Central Region/Memphis service area, and the Eastern Region/Garden City, New York, service area. The team will conclude its data gathering activities with the final field visit scheduled for the week of June 2<sup>nd</sup> 2008 to the Eastern Region/Garden City, New York, service area. The SASO team will develop a comprehensive summary report of the findings and recommendations based on the data collected throughout the assessment process. The report will not only be used to inform CFR Part 121 of best practices and lessons learned from the ATOS 1.2 transition, but the findings and recommendations will also be used to develop a comprehensive change management plan that outlines the approach to managing change associated with the Safety Assurance System (SAS) implementation for CFR Parts 121, 135, and 145.

#### Data Evaluation Program Manager (DEPM) Conference

Two members of the AFS-30/SASO team attended the annual DEPM Conference held in Hollywood, Florida, from May 12-15, 2008. Topics discussed throughout the week included the evolution of ATOS 1.2, consistency with the ATOS business process, as well as data quality guidelines and data dimensions. The AFS-30 team members presented an overview of SASO to the audience, and included information about the ATOS 1.2 Full Scale Implementation Assessment. The team shared some of the preliminary assessment findings with the audience and also distributed a questionnaire to gain additional insight into the DEPM/data reviewers' thoughts on the ATOS 1.2 transition experience. Some of the key discussions at the conference centered on the development of a tailored training course for DEPMs and data reviewers, the scalability of ATOS 1.2 for smaller CMTs, and the need for buy-in from both management and non-management employees in each CMT. The DEPM /Data Review Conference was sponsored by AFS-900 and hosted by the South Florida CMO-29, with conference coordination provided by Laurey Trailer, a DEPM and SASO Outreach Team Member.

### CFR Part 135 and 145 Update

#### "As-Is" Validation Workshop

A two-day workshop was held on April 9-10 in Dulles, Virginia, to validate data gathered during field visits, stakeholder interviews and document reviews on the current – or "As-Is" – state for both Part 135 and Part 145. There were a total of 21 participants representing 13 FSDOs/IFOs across all eight regions, two regional offices, and three headquarters divisions. Sessions during the workshop focused on:

- Validating process maps for the surveillance and certification processes for Part 135 and Part 145, as well as IFO-specific processes for Part 145 and certificate management processes for Part 135;
- Validating change management findings that addressed topics such as SASO awareness, training, communication, and scalability; and
- Discussing system safety and the oversight process, including examples of how FSDOs and certificate holders are already applying some system safety concepts.

Participants were active and engaged, and the workshop provided an open forum for discussion.

## Recent Activities & Upcoming Events

#### April 9-10, 2008

CFR Part 135 and Part 145 "As-Is" Findings Validation Workshop

#### May 5-7, 2008

CFR Part 121 Central Region Field Visit ATOS 1.2 Full Scale Implementation Assessment

#### May 12-15, 2008

SASO Presentation at Data Evaluation Program Manager (DEPM) Conference in Hollywood, FL

#### May 27-29, 2008

Attendance at the *Shared Vision of Aviation Safety* conference

#### June 2-4, 2008

CFR Part 121 Eastern Region Field Visit ATOS 1.2 Full Scale Implementation Assessment

#### June 17-18, 2008

Attendance at the *CFR Part 121 Air Carrier Summit* sponsored by South Florida FAA Certificate Management office (CMO-29)

#### August 26-29, 2008

AVS/AFS Managers' Conference

#### August 31, 2008

Submission of Consolidated Gap Analysis Report (CFR Parts 121, 135, 145)

## Key Acronyms in this issue

**ARC** - Aviation Rulemaking Committee

**DEPM** - Data Evaluation Program Managers

**FAASTeam** - FAA Safety Team

**ICAO** - International Civil Aviation Organization

**ISO** - International Organization for Standards

**SAS** - Safety Assurance System

**SMS** - Safety Management System

## SMS Rulemaking

The AVS Office of Rulemaking (ARM) is finalizing its plan to develop a single rule within Title 14 of the Code of Federal Regulations (14 CFR) to establish requirements for U.S. aviation certificate holders to implement Safety Management Systems (SMS). Affected certificate holders will include aircraft designers and manufacturers, air carriers and commuter/on-demand operations, repair stations, and some training organizations. This regulation will not address SMS implementation by airport operators; the FAA Office of Airports will be responsible for that rulemaking process.

The AVS SMS rulemaking schedule is under review, but currently calls for the establishment of an Aviation Rulemaking Committee (ARC) by the end of this fiscal year, at which time an Advance Notice of Proposed Rulemaking (ANPRM) will be published. The ARC, a joint FAA/industry team, will review public comments from the ANPRM and provide recommendation to the FAA for the development of the final rule, which will initially be published in draft form in a Notice of Proposed Rulemaking (NPRM) in early 2011. This will lead to a final SMS rule in early 2012.

## SMS and the FAASTeam

In 2007, Flight Standard's Aviation Safety Program was "Sunsetted" and in its place, the FAA Safety Team (FAASTeam), AFS-8, was established. The FAASTeam mission is to improve the nation's aviation safety record by conveying safety principles and practices through training, outreach, and education. FAASTeam Managers and Program Managers establish meaningful aviation industry alliances and encourage continual growth of a positive safety culture within the aviation community. Led by national FAASTeam manager Kevin Clover, the FAASTeam has recently become affiliated with the SMS Program Office, which is managed by Don Arendt of AFS-900. The SMS PO is tasked with developing the policy and guidance on SMS. The FAASTeam assists the SMS PO by teaching, mentoring, and educating industry on SMS. Additionally, the FAASTeam works with SMS Pilot Project participants, helping validate the development of their SMS and facilitating its implementation.

## ATOS 1.2 Enhancements

An ATOS automation maintenance release (version 1.2.003.002) is planned for July 1, 2008. This maintenance release incorporates changes designed to improve functionality in the following areas: additional PRF system drop-downs; fewer options in the user role list; display of risk and priority scores in the CAP Data Collection screen; region-specific access for the mock site; display of inspector assigned in the CAP Data Collection screen; additional CMT roster reports; user name stamps in the header area; and time-out warnings.

For more SASO information please contact:

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