



Hot Topics!

AVS AFS Managers Conference:

SASO received the 3rd place award for booth exhibit! Items distributed at the booth exhibit can be found on the SASO website: www.faa.gov/safety/programs_initiatives/oversight/saso/

Acronym Quick Reference

AFS
Flight Standards Service

AVS
Aviation Safety Service

AVSSMS
Aviation Safety Service
Safety Management
System

ICAO
International Civil Aviation
Organization

SAS
Safety Assurance System

SMS
Safety Management
System



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Safety Management Systems by the SMS Program Office

The International Civil Aviation Organization (ICAO) defines Safety Management Systems (SMS) as: "a systemic approach to managing safety, including the necessary organizational structures, accountabilities, policies, and procedures (ICAO doc. 9859, Safety Management Manual)." An SMS is not a "canned" set of requirements but rather a set of decision making processes and procedures that aviation service providers use to plan, organize, direct, and control their businesses in a way that enhances safety. Another way of stating this would be that an SMS is a management system for integrating safety activities into the normal way of doing business.

SMS is not intended to "take the service provider's word for it," to "make them do our job," or to "sell the farm." Oversight processes such as surveillance, investigation, and certificate management must and will still take place. However, these

activities will not be used to perform primary quality control for service providers but rather to validate that they are carrying out their safety management responsibilities. SMS gives both the FAA and the service provider a structured new tool to evaluate how well these responsibilities can be met, ahead of system failures. The current FAA rulemaking initiative is focused on providing product and service providers with a standardized set of specifications for safety management systems. For additional information, please see AC 120-92 by visiting the link below. <http://www.airweb.faa.gov/RegulatoryandGuidanceLibrary/rqAdvisoryCircular.nsf> (SMS Standard: AC 120-92 Appendix 1)

Please contact Don Arendt of the SMS Program Office at Don.Arendt@faa.gov for further information.

Program Office Message

Estrella Gonzales
Change Management Lead

The SASO Program Office (PO) is developing and implementing the AFS Safety Assurance System (SAS), one of the four components of the AVS Safety Management System (AVSSMS). The AVSSMS will provide AVS an organized approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures. The SAS development will change or

create new regulations, guidance, business and performance management processes, automation, skills, and training requirements. Based on this large-scale, organizational transformation to the AFS SAS, and to reinforce AFS' commitment to enhancing the system safety culture within the organization, SASO communications and outreach efforts will shift focus from SASO PO-specific messaging to more SAS/SMS-specific communications. These communications will provide updates on the development and implementation of the safety requirements for the AFS SAS and inform the AFS workforce on SMS concepts.

What SMS is and what SMS is *NOT* by Mike Halloran, FAAST Team

Acronym Quick Reference

ICAO

International Civil
Aviation Organiza-
tion

NextGen

Next Generation
Air Transportation
System

SMS

Safety
Management
System

Safety Management System (SMS) IS...

ICAO defines SMS as “a systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies, and procedures.” SMS involves the inter-relationship of four primary components:

- Safety Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

SMS is NOT a way of outsourcing work or reducing the status of inspectors

The FAA will always need inspectors. Inspectors will need more knowledge and skill in safety analysis, system evaluation, and risk assessment.

SMS is NOT a new buzzword to replace “System Safety”

SMS applies system safety concepts and adds formal management concepts. It is the next logical step in system safety progress.

SMS will NOT require a separate “Safety Department”

An SMS is a set of management practices, not a requirement for an additional organizational layer or “stovepipe.”

SMS does NOT change FAA’s responsibility as a regulator

The FAA will still perform traditional safety oversight. SMS will provide requirements for the industry’s safety management capability. Meeting technical standards and established policies will always be necessary and important.

SASO/ SMS Myths by the SASO Program Office

The SASO exhibit at last month’s AFS Managers’ Conference featured a video about the most common myths and rumors about SASO and SMS. Following is an excerpt from the video. To see the complete video, please visit the SASO website at http://www.faa.gov/safety/programs_initiatives/oversight/saso/.

Myth: Inspectors are worried about being turned into auditors, or that SMS and SASO won’t allow them to use their aviation expertise.

Truth: Inspectors’ experience has always been valuable and always will be. SMS will not replace the inspector. Also, as we move toward NextGen, the FAA will still need inspectors with aviation expertise, and inspectors will be called on to expand their knowledge to keep pace with changing operations, technology, and maintenance practices.

Myth: Aren’t SASO and SMS they the same?

Truth: No they are not. A Safety Management System, or SMS, is a risk-based approach to managing an organization’s safety. SASO is a program office established to design, develop, and implement AFS’s improved safety oversight of FAA’s air carriers and certificate holders. So, an SMS is how an air carrier manages its safety, and SASO is the program office that is managing the development of new AFS over-

Inspectors Applying System Safety Principles Today

By Nick Bahr

Acronym Quick Reference

EIRs

Enforcement
Investigation Re-
ports

FSDO

Flight Standards
District Office

GOM

General Opera-
tions Manual

MMEL

Master Minimum
Equipment List

SPAS

Safety
Performance
Analysis System

With so much discussion of the SASO program and the future state, it's easy to forget that FSDO inspectors are already applying many system safety concepts in their current jobs. The purpose of the SASO program is to implement SMS principles into the safety oversight process and develop the future SMS framework by improving current safety oversight programs. SMS uses system safety as a precise way to ensure that service providers control safety hazards and that these controls are effective for the service provider's entire system life cycle. The figure and table below illustrate some of the most common system safety principles inspectors currently perform as part of the certificate management program.



Examples of FSDO System Safety Activities

1. **Hazard Identification, Assessment, Resolution**—inspector observations; regular discussions with service provider; regular and periodic review of the General Operations Manual (GOM), General Maintenance Manual, other documentation, field problem reports, and service provider problem reporting data.
2. **Risk Prioritization**—annual planning process gives opportunity to identify highest risk issues to be inspected (SPAS, EIRs)
3. **Problem Reporting**—self reporting of problems to the FSDO (non-punitive)
4. **Closed-Loop Tracking (hazard and corrective action tracking)**—SPAS, other FSDO-specific issues tracking logs
5. **Configuration Management**—Master Minimum Equipment List (MMEL) to help service providers maintain a tailored MEL
6. **Surveillance and Inspections**—regular inspections to verify safety controls are in place and that the service provider is adhering to these controls
7. **Safety Trending**—annual review of SPAS data, regular FSDO internal meetings reviewing service provider data
8. **Risk Management Program**—certification process looks at all the major activities (e.g., maintenance, operations) and documents (e.g. GOM) that impact safety

Acronym Quick Reference

AEG

Aircraft Evaluation Group

AFS

Flight Standard Service

AFS-260

Air Transportation Program Management Branch

AQS-250

Quality, Integration, and Executive Services Branch

CHDO

Certificate Holding District Office

CMO

Certificate Management Office

FSDO

Flight Standards District Office

FSIMS

Flight Standards Information Management System

MEL

Minimum Equipment List

MMEL

Master Minimum Equipment List

OPSS

Operations Specification Subsystem

WebOPSS

Web-based version of Operations Safety System/ Operations Specification Subsystem

What's happening throughout SASO?

System Alignment (SA) Update

Logbook

The purpose of Logbook is to provide tools to AFS office managers (CMOs/FSDOs) that will make their jobs more efficient for data analysis, office tracking and suspense files. Currently Logbook only uses data that is stored on local office servers and in order to be deployed at the national level, Logbook must be designed to interface with national databases. The National Logbook workgroup met in Washington DC in early August to review requirements and two proposals for final IT solutions. The meeting outcomes included an interim solution for a national Logbook release in the fall of 2008 with a final solution expected to be released in mid-2009. Utilizing these transition phases it is expected that Logbook will be able to meet and exceed the current support for AFS office managers in their daily work functions.

MMELs

The Master Minimum Equipment List (MMEL) is a list of all equipment on an aircraft type; it details which equipment is allowed to be inoperative without grounding the aircraft. Aircraft must have an MMEL on board and the FAA must approve the MMEL prior to certification. MMELs are critical and required for to the operation of an aircraft. The FAA is in the process of reengineering the MMEL/MEL mainframe system into a Web based application.

Planning, design, and development are underway for this multi-faceted project. The Aircraft Evaluation Groups (AEGs) are working with the Quality, Integration, and Executive Services branch (AQS-250) and personnel responsible for the conversion of the MMEL mainframe subsystem. The identification of the MMEL subsystem software business rules has been completed and work is ongoing with the AEG offices to establish requirements for the new AEG workspace and other FAA workspaces including AFS-260 policy letters and MEL reporting.

The Flight Standards Information Management System (FSIMS) will be the library for the MMEL documents. The archived MMEL documents previously contained on the mainframe have been converted to the inactive FSIMS library as PDF files. The active MMEL documents currently located on www.OPSS.com are being migrated to the active FSIMS library. The document migration schedule will be announced within the next few weeks.

WebOPSS

The FAA Operations Safety System (OPSS) is an automated system of standardized templates used to capture mission critical configuration data on aviation certificate holders. The Operations Specification is the legal contract between the FAA and the aviation certificate holder defining the kind of operations conducted by the certificate holder, including equipment, main base of operations, outsource maintenance and training facilities, etc. OPSS is recognized as the central repository for Letters of Authorizations issued to air carriers and air operators. WebOPSS will combine OPSS and Industry OPSS (IOPSS) into one web-based system with expanded functionality. The design and development of WebOPSS began in August 2007 and is expected to begin deployment into the AFS field office environment in February, 2009.

As part of the initial implementation schedule AFS and AQS personnel have been trained to recreate the unique HQ master paragraph templates and it is expected that the development of the 940 Master Templates will be completed and validated in October 2008. Beta test site offices are being set up to work on WebOPSS test plans for the Certificate Holding District Offices (CHDO) and key site testing will be completed in several additional offices to validate training and software capabilities.

Training for WebOPSS will take two approaches: (1) on-line training for previous OPSS users transitioning to WebOPSS and (2) training for new users. Multiple key-site AFS CMOs and/or FSDOs will receive the new WebOPSS software to test and evaluate in the November 2008 timeframe with full deployment beginning in February, 2009.

What's happening throughout SASO?

Change Management & Implementation (CMI)

14 CFR Part 121 ATOS 1.2 Full Scale Implementation Assessment Update

As part of the 14 CFR Part 121 ATOS 1.2 Full Scale Implementation Assessment (Assessment), an integrated team composed of representatives from SASO (AFS-30), Certification and Surveillance Division (AFS-900), Training Division (AFS-500), regional offices, the Professional Aviation Safety Specialists (PASS), and the SASO Outreach Team conducted site visits in four regions to collect information from the AFS workforce regarding their perceptions of the transition to ATOS 1.2. Following the visits' completion, AFS-30 developed a comprehensive Final Report of data analysis findings, conclusions and recommendations based on the data collected throughout the Assessment process. AFS-30 developed 11 conclusions regarding the successful adoption of ATOS 1.2, as well as future initiatives which aim to move the FAA toward a positive safety culture. In order to successfully mitigate the potential risks associated with these challenges, 11 recommendations were developed and explained in the *Final Report*. These recommendations, which aim to detect and minimize weaknesses, as well as protect and build on existing best practices, are designed to improve the workforce's ability to successfully execute ATOS 1.2 as designed, and enable the successful implementation of the Safety Assurance System (SAS) in the future. In mid-September, the SASO PO (AFS-30) briefed the Director of Flight Standards Service on the report's findings and recommendations. In addition, copies of the *Final Report* were requested by and delivered to AVS-1 and AVS-2, as well as to the FAA Acting Administrator, Mr. Robert Sturgell.

Flight Standards Leadership Conference

The 2008 Flight Standards (AFS) Leadership conference was held on August 28th and 29th at the Renaissance Hotel, Washington DC, following the two-day 2008 Aviation Safety Leadership & Public Service Conference. Nearly 500 AFS managers and supervisors attended the event. The 2008 conference theme was "Pursuing Everyday Excellence" and sessions focused on the impact that day-to-day actions and decisions of individual managers can have on the organization, as well as accountability at all levels for following policy, managing performance, and achieving compliance.

One of the highlights of the conference was an exhibit hall with 19 exhibits hosted by AFS Divisions, Regions, and Program Offices. The exhibits featured information on key AFS programs and initiatives and allowed participants to gather and share information and best practices. Congratulations are due to all the exhibitors for their creative and professional displays but particularly to the exhibit hall winners. Conference attendees voted for the "Best Booth" and winners included the following:

- 3rd Place** – System Approach for Safety Oversight (SASO) hosted by AFS-30
- 2nd Place** – Unmanned Aircraft hosted by AFS-400
- 1st Place** – Flight Standards Training hosted by AFS-500

Feedback from conference participants indicates the event was a success and a valuable learning experience for all. Jim Ballough has requested that all managers who attended report out to their organizations within the next month on key points and critical messages from the conference sessions so expect to hear more details in the coming weeks.

For more SASO information please contact:

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Visit us on the Web at: http://www.faa.gov/safety/programs_initiatives/oversight/saso/

Upcoming Events

Sept 26th

Final Joint Resources Council (JRC) briefing for SASO Phase II Alpha

Oct 20-23

Bombardier Safety Stand-down in Kansas City, Kansas

November 7

Aviation Rulemaking Committee to issue Advanced Notice of Proposed Rulemaking related to SMS

Nov 17-21

Operations Research Analyst Conference in Dallas, Texas

AVSSMS Work Group

Second and fourth Thursday of every month

Acronym Quick Reference

ATOS

Air Transportation Oversight System

PASS

Professional Aviation Safety Specialists

SAS

Safety Assurance System