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Description of document: Meeting minutes for the Federal Aviation Administration (FAA) Safety Management Systems (SMS) Committee, 2015-2017

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National Freedom of Information Act Office, AFN-140
Federal Aviation Administration
800 Independence Avenue, SW
Washington, DC 20591
Fax: (202) 267-6514
Online FOIA Request form: [Washington, DC FOIA](#)

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U.S. Department
of Transportation
**Federal Aviation
Administration**

OCT - 3 2017

Re: Freedom of Information Act (FOIA) request 2017-008763

This letter responds to your July 14, 2017, Freedom of Information Act (FOIA) request to the Federal Aviation Administration (FAA) seeking copies of the meeting minutes for the FAA Safety Management Systems (SMS) Committee during calendar years 2015, 2016 and 2017 to date.

An electronic search was performed in the Office of Accident Investigation and Prevention and 54 pages of meeting minutes were located. However, portions have been redacted under FOIA Exemption 5.

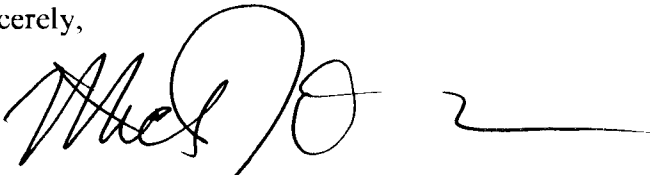
FOIA Exemption 5 allows agencies to withhold recommendation, opinions, and analyses under the deliberative process privilege. In this case, the withheld information contains the opinions and deliberations of the committee members. We have determined that their disclosure would reasonably discourage the open and frank discussions of agency employees that are necessary in order for the FAA to efficiently and effectively set aviation safety policy. Their disclosure would also create confusion in those cases where those opinions and recommendations are not adopted.

The undersigned is responsible for this partial denial. You may request reconsideration of this determination by writing the Assistant Administrator for Finance and Management (AFN-140), Federal Aviation Administration, 800 Independence Avenue, SW, Washington DC, 20591 or through electronic mail at: FOIA-Appeals@faa.gov. Your request for reconsideration must be made in writing within 90 days from the date of this letter and must include all information and arguments relied upon. Your letter must state that it is an appeal from the above-described denial of a request made under the FOIA. The envelope containing the appeal should be marked "FOIA Appeal."

You also have the right to seek dispute resolution services from the FAA FOIA Public Liaison via phone (202-267-7799) or email (7-AWA-ARC-FOIA@faa.gov) noting FOIA Public Liaison in the Subject or the Office of Government Information Services (<https://ogis.archives.gov>) via phone (202-741-5770 / toll-free--1-877-684-6448; fax--202-741-5769); or email (ogis@nara.gov).

There is no cost for processing this request because the time required for us to complete this search was less than 2 hours, and your request is less than 100 pages.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael J. O'Donnell", followed by a long horizontal flourish.

Michael J. O'Donnell, A.A.E.
Executive Director
Office of Accident Investigation and Prevention

Enclosures

FAA SMS Committee Meeting

Tuesday, January 20, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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FAA Executive Council Discussion: Reauthorization Language

Paula Martinez shared that Peggy Gilligan and John Hickey have deliberated the addition of Risk-Based Decision Making (RBDM) language to the FAA code/reauthorization; pros and cons were presented to support the discussion. Such language (e.g., “Safety Management” and “RBDM”) will be proposed at the next FAA SMS Executive Committee Meeting. The committee also raised the following question: How can the FAA ensure RBDM is observed? RBDM is not a stand-alone initiative; it is central to the agency’s actions and goals. However, incorporation of RBDM language would likely require that the FAA show evidence of RBDM, as outside entities such as the Office of Management and Budget may require it. FAA Sub-Initiative 2A, *dealing with plan changes and incorporating safety into decision making*, could help cover the use of RBDM. The committee members agreed that RBDM must be, more than anything else, a cultural change. In short, more policy will not help if we do not first adhere to current policy.

Significant Safety Issue Status

Tamara Nicholson briefed the committee members on the Significant Safety Issue (SSI) status, reporting that the effort is moving forward as planned. SSIs from each Line of Business (LOB) are due by the end of March, and an FAA-level risk list will be compiled by the end of April. The SSI FAA process document offers a template that LOBs may use to complete status lists with input from their respective Subject Matter Experts.

Oversight Model: RBDM Expected End-State and Activity 1c

Greg Kirkland clarified that SMS does not aim to reduce safety inspectors; rather, it aims to target areas of greatest risk using safety data. The burden of data collection and hazard identification will shift upward to allow LOBs access to one another’s safety risk databases. This involves the sharing of resources between LOBs for efficiency. Greg also expressed the need for Memoranda of Understanding between the FAA and industry stakeholders (e.g., Certificate Owners) to encourage sharing of and more access to safety risk-related data. End products will include best practices for LOBs’ consideration and final philosophy for the application of RBDM. The SMS Committee will oversee the RBDM activity, and all sub-activities should report to the SMS Committee.

Status of SMS-Related Activities

SMS for Part 121: This SMS rule was published on January 9, 2015, and becomes effective March 9, 2015. As of the aforementioned effective date, Certificate Holders (Part 121 Operators) will have six months to produce implementation plans and the FAA will have one year to approve those plans for full implementation within three years. The new SMS rule formalizes Safety Risk Management and Safety Assurance and, more notably, defines the “Accountable Safety Executive” responsible and accountable for safety. Part 5 was designed such that other rules (including the new SMS rule) could reference it, as needed, in the future.

FAA SMS Committee Meeting
Tuesday, February 3, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Runway Incursion Mitigation Program Briefing

The program to align Runway Safety Areas with safety standards will near completion by December 31, 2015, with only about 40 airports with outstanding action items. The Office of Airport Safety and Standards (AAS) plans to make the Risk-Based Decision Making (RBDM) Office of Airports (ARP) Runway Incursion Mitigation (RIM) Program the next big effort, with a focus on nonstandard airport geometry. Michael O'Donnell briefed the committee members on the RIM Program, reporting that the effort has already received enthusiastic support from Michael Huerta.

AAS used Runway Incursion (RI) data to identify areas at our nation's airports that have nonstandard geometry and made an inventory of these locations (roughly 6,705 geometry location points) using the airport Geospatial Information System. Some of these points are already identified locally as locations on an aerodrome movement area with a history or potential risk of collision or RI where heightened pilot / vehicle operator attention is necessary, commonly known as Hot Spots. Others were not yet identified in the system as Hot Spots. Though airport geometry is a key cause of RIs at these locations, AAS may discover other causal factors affecting the rate of RIs. AAS will retain evidence of any causal factors they uncover for possible future use.

All members agreed that the RIM Program is related to RBDM and the FAA Significant Safety Issue (SSI) Identification Process. Michael O'Donnell wanted to ensure that the RIM Program was part of the conversation and asked the FAA SMS Committee how the RIM Program should fit in with SSIs and RBDM. Michael explained that the RIM Program is high priority for ARP and would likely be their top SSI.

Office of Aviation Policy and Plans Request: Tower Assessment

[REDACTED] the FAA is assessing low-activity towers to determine the costs/benefits of keeping them open. During sequestration, Congress passed a law preventing the FAA from closing contract towers [REDACTED]

[REDACTED]

The Safety Collaboration Team (SCT) would likely support the safety risk assessment because it recently became the technical arm of the FAA SMS Committee. Paula Martinez requested revision of the SCT charter to better align with the FAA SMS Committee. The Air Traffic Organization (ATO) recommended that the SCT coordinate with Tom Skiles (ATO/AJT-2) and Jonathan Gray (ATO/AJI-15) to evaluate current progress [REDACTED]. [REDACTED] he committee concluded the ATO should lead this effort [REDACTED]. The next step is for the ATO to set up a meeting with the SCT.

Status of SMS-Related Activities

SSI Identification and Funding: Each LOB has multiple cross-organizational issues. If an issue is not included on the SSI list, should it still receive funding? Paula Martinez reminded members that the goal of RBDM is to prioritize resources based on risk. The Committee did not come to a consensus on whether LOBs would undermine the objective of RBDM if they devote resources to issues beyond the SSI list. The FAA SMS Committee asked its role in the SSI process: Should the FAA SMS Committee be the oversight body that halts any projects not included on the SSI list?

FAA SMS Committee Meeting

Tuesday, February 10, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Compliance Philosophy Rollout Plan (Sub-Initiative 3)

A compliance philosophy order owned by various oversight Lines of Business (LOBs), including AVS, ARP, ASH, AST, and AOV, will be signed shortly. Paula noted that when the new order is signed, messaging will be an important component of the rollout effort and each LOB will need a messaging plan. The Office of Communications has volunteered to support compliance philosophy messaging efforts to ensure that each LOB's plan is consistent with the overarching FAA messaging. Messaging for the new compliance philosophy order will be a big topic of discussion for the next FAA SMS Executive Council Meeting.

FAA SMS Executive Council Meeting

The next FAA SMS Executive Council Meeting is scheduled for Friday, March 6, 2015, from 11:00 AM to 12:00 PM. The meeting agenda will include a status update (highlighting challenges and accomplishments) for each of the FAA Administrator's priority initiatives and sub-initiatives and the FAA Significant Safety Issues. Paula noted that sub-initiatives 1A, 1B, and 1C have merged and are now managed as one. During the last meeting, the executives requested that each LOB identify any efforts relating to Risk-Based Decision Making. The council will decide whether to increase the frequency of their meetings from quarterly to bimonthly.

FAA SMS Committee Meeting
Tuesday, February 24, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

FAA Executive Council Meeting Briefing

The next Executive Council Meeting is scheduled for Friday, March 6, 2015, from 11:00 AM to 12:00 PM. Paula presented the draft briefing to the SMS committee members (50 minutes) and requested that they prepare their executives to discuss the content on March 6th.

Paula presented a status update (highlighting challenges and accomplishments) for each of the FAA Administrator's priority initiatives and sub-initiatives and the FAA Significant Safety Issues. Paula noted that sub-initiatives 1A, 1B, and 1C have merged and are now managed as one. During the last meeting, the executives requested that each LOB identify any efforts relating to Risk-Based Decision Making. The feedback from each LOB has been incorporated into the briefing.

The committee members raised concern that slide #8 (on initiative 1d) was very detailed about proposed distribution of O&M costs, when that might vary based on the number of users. Paula proposed adding the Risk-Based Decision Making (RBDM) Office of Airports (ARP) Runway Incursion Mitigation (RIM) Program to the list on slide #18 (on Other FAA SMS Related Topics).

FAA SMS Committee Meeting

Tuesday, March 4, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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AVP Safety performance Management Group

Amer delivered a presentation on the Accident Investigation and Prevention (AVP) Safety Performance Management Group. The AVS Safety Performance Management Group is a new organization within AVS operates under the direction of the AVS Safety Management System Board and the requirements in the FAA Order VS 8000.367A, *Aviation Safety (AVS) Safety Management System Requirements*, support it. The new mission of the organization is to “develop, organize, and operate the FAA and AVS safety management functions so that new hazards and ineffective controls for the most significant system-wide safety issues are identified, analyzed, and mitigated, and safety performance is measured and managed.” Several new positions will need to be created to support the activities of this new organization.

FAA Order 8000.369A Revision Effort

Danko provided a presentation to update the committee members on the effort to revise the FAA Order 8000.369A, *Safety Management System*. The revision effort requires that a cross LOB team of SMEs be established. Danko requested that each LOB identify subject matter experts by the next SMS committee meeting. These SME would provide input to draft order, participate in comment resolution meetings, and coordinate with home organization regarding order revision. Additionally, Danko noted that Safety oversight offices within the FAA will also need to be involved in the 8000.369 revision effort.

Status of SMS-related Activities

FAA Significant Safety Issue (SSI) List – Tamara shared that each LOB has delivered (or will this week) their SSI list. The team is in the process of adjudicating comments received from ATO, AFS, AST, and ARP on the draft FAA SSI Committee Identification Process. Tamara confirmed that the SSI effort is on track.

FAA SMS Committee Meeting
Tuesday, March 17, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

FAA Sub initiative 1d - Hazard Tracking

Lona presented a briefing on the cost and proposed long-term capability of the HIRMT Core System (HCS), an effort that falls under FAA Strategic Initiative 1d. She explained that the HCS is being built in phases, or sprints, so that each piece of the tool can be tested as it is developed. The expectation is that the HCS will integrate with each LOBs processes for hazard tracking, to allow for tracking of and insight into FAA-level hazards and mitigation efforts.

There was robust discussion regarding how HCS would be funded in FY16 and FY17. Paula noted that it is becoming increasingly difficult to secure funding in today's budgetary climate, where resources can be scarce. It was asked why HCS did not proceed through the JRC process, to secure long term funding for the development of the system. It was recalled that in the beginning of the project, various development/funding options were presented and the team was directed that the JRC process was not required and would likely take too long to meet RBDM goals.

The committee members agreed that it is important to clearly identify the capability that each LOB would receive and who will use it. Lona's team has developed the criteria for what items must be entered into the HCS and it is under review by the AVS SMS Coordination Group members. Once complete at the AVS level, it will be sent to the FAA SMS Committee for official review; however, Lona reiterated that the LOB representatives on her team helped develop the criteria and should have shared it with management.

All were in agreement that the policy differences between FAA Order 8040.4 and individual LOB hazard tracking related orders may cause issues down the road. For example, the ATO uses a different methodology to rank risk than the methodology used at the FAA level (e.g., a hazard that the ATO ranks as HIGH in SMTS, may show as MEDIUM in the HTS). ATO was concerned that risk acceptance falls with the LOB and they cannot accept a HIGH risk hazard, even if it happens to fall in the MEDIUM category as per the FAAO 8040.4A matrix. Kevin Andreson noted that this is a policy issue, not a tool issue as the tool can be built to meet whatever policy is agreed upon. Lona noted that the tool can easily capture multiple risk levels and can easily allow the user to denote an LOB risk level versus the FAA risk level, and this information can be reported in whatever manner is desired (LOB only, FAA only, or both). Since these policy differences could ultimately affect the usefulness of the information that comes out of the tool, Paula suggested that the next revision to FAA Order 8040.4 help align those differences.

1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

Chris Glasgow is retiring after a 31 year career in government service (twenty-five years of which was spent working with the FAA). Paula thanked Chris for his service to the FAA and involvement with the FAA SMS Committee over the years. Chris's last day will be March 31st.

[illegible]

SMS Activities – Updates

Risk Based Decision Making (RBDM) Sub initiative 1d (Agency-wide Hazard and Mitigation Tracking) – Paula clarified that the official term for the FAA level hazard tracking tool associated with sub-initiative 1d is the “Hazard Identification, Risk Management and Tracking (HIRMT)”, the term “Hazard Core System (HCS)” will no longer be used.

Messaging for FAA Strategic Initiatives – There will be interactive sessions held for executives starting the week of April (in DC, Atlanta, Fort Worth, and Seattle) to help ensure that FAA strategic initiatives are understood and embraced across the agency. Each session will cover all 4 initiatives. These sessions will provide executives with the opportunity to discuss the FAA Strategic initiatives so that they may understand and verbalize how each initiative affects their employees and functions. This will better enable executives to promote this message within their respective organizations, to help employees understand how what they do supports the FAA Strategic Initiatives. Paula noted that the FAA Strategic Initiatives is essentially safety management from an agency level perspective and RBDM helps enables that.

Safety Collaboration Team (SCT) – The SCT is in the process of being repositioned to support the activities of the FAA SMS Committee with SMEs. The new charter for the SCT is close to final and will be sent to this group for review soon.

FAA SMS Committee Meeting

Tuesday, April 7, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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Operational Research Analyst (ORA) Organizational Structure

Keith Deberry presented a briefing on the Risk Based Decision Making (RBDM) Sub Initiative 1E, *Safety Risk & Data Analysis Competencies*. The goal of SI-1E is to achieve optimal data analysis effectiveness by linking and grouping the right people together, to leverage the expertise and skill levels of the FAA's workforce. The team's Fiscal Year (FY) 2015 deliverable for SI-1E was to review and determine optimal organizational and reporting structure for Operations Research Analyst (ORA). The deliverable was met by the March 30th 2015 milestone. The purpose of Keith briefing the FAA SMS Committee was to provide an overview of SI-1E and obtain approval (or recommendations) so that the team could move forward.

Keith shared that the team was able to determine several assumptions based on a job task analysis that they conducted, one of which being that some functions performed within the FAA require human activity with automation assist. In the SMS operational model that Keith presented, the ORA role begins where the safety assessments occur and data flows into the process. To identify NAS level hazards, it is important to create a data exchange between the analytics and operational workforce using existing Safety Risk Management (SRM) and Safety Assurance (SA) processes. The team found that pairing operational and analytics workforces together helped ensure optimal data analysis effectiveness.

The SMS Committee Members raised the question: Why were ORAs the only job series considered? Keith explained that ORAs were just a starting point because other job series are valuable for safety data analytics functions (e.g. safety engineers, acquisitions SMEs, etc.). Calvin pointed out that safety engineers are valuable often do not want to perform operational research analysis and that operational experts with data analysis skills are rare and expensive. Paula asked that members reach out to Keith directly for individual briefings regarding SI-1E and submit feedback on the approach.

Taxonomy Workshop SME Request

Warren presented a briefing on the Risk Based Decision Making (RBDM) Sub Initiative 1A, *Common Aviation Safety Taxonomy*. The focus of SI-1A was development of a common taxonomy for consistent use across FAA, industry, and internationally. When the team provided a paper outlining their approach to the executive sponsors, they were asked to avoid the "top down" approach by

comparing existing taxonomies and identifying commonalities. The desire from leadership was to have a common taxonomy for use as soon as possible, but Warren acknowledged that taxonomy will continuously evolve.

The role of the FAA SMS Committee with regard to taxonomy would be to approve hazard taxonomy before it is socialized throughout the agency. A community of interest (COI) is in the process of being established to evaluate the level one taxonomy, but a validation workshop will be needed in the future. Paula suggested that the sub-initiative 2A/2B teams should be consulted to start thinking about how the taxonomy may apply to the analyses that they are planning to conduct.

Risk-based Decision Making Activity 2A/2B Recommendations

Scott Van Buren explained that there is a business plan target requiring him to brief the FAA SMS Committee on RBDM SI 2A/2B and that his briefing would satisfy that requirement. Scott presented the teams methodology, recommendations, and proposed actions for implementation. The team compiled a list of short comings and lessons learned from cross organizational SRM pilot projects, conducted a high-level functional analysis, and conducted a high-level gap analysis linked to the short comings identified.

The team recommended that the FAA develop a common, coordinated Safety Risk Management (SRM) capability to address hazards and their associated risk that span the responsibilities of more than one FAA Line of Business (LOB) and/or Staff Office (SO). Scott noted that some of the recommendations were purposefully vague to allow flexibility in how they are implemented. Recommendations impact both FAA level and LOB level SMS policy and guidance (e.g. FAA Order 8000.369, ATO SMS Manual).

SMS Activities – Updates

FAA Executive Council Meetings – The next FAA Executive Council meeting will be held in June.

FAA SMS Committee Meeting

Tuesday, April 14, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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FAA "SMS Manual"

There is a need for FAA-level guidance material for the "how-to" aspects of SMS within the Safety Risk Management and safety assurance components. For Safety Policy and Safety Promotion, the U.S. State Safety Program covers these aspects of the SMS. This document should be at a sufficiently high level so that the supporting FAA LOBs and organizations can develop more detailed, lower-level guidance. The document should describe how to do FAA-level safety management. The focus of the document will be to address cross-LOB safety issues. The goal is not to replace a specific LOBs SRM or safety assurance approach; however, it can be used in cases where none exists. Before the Committee develops an FAA-level SMS how-to guidance, policy on how to address cross-LOB safety issues has to be established and implemented consistently across the different FAA LOBs/organizations.

Addressing/Managing FAA Significant Safety Issues

There was discussion using the safety collaboration team to address SSIs based on "planned changes" to the NAS. These planned changes would be "pre-decisional" and would not replace safety assessments that, for instance, have been done as required by the Acquisition Management System. Alternatively, these planned changes can be assessed by a separate organization within AVP. There are concerns regarding scope and resources. In particular, if resources are limited to those provided by AVP, the safety issues assessed may be only those prioritized by AVS. Other FAA LOBs and organizations will have to determine if they will provide resources to support a standalone group that assesses FAA SSIs.

RBDM 2c Proposed Activities

The Committee was provided a briefing that outlined activities proposed as part of RBDM 2c. They are as follows:

- Examining linkages among current safety activities and programs throughout the FAA, and establishing a cohesive safety program.
- Updating Order 8000.369
- Updating Order 8040.4 and associated "guidance" to include the FAA SMS Manual
- Develop and FAA SMS Committee Charter and an FAA SMS Executive Council Charter
- Operationalize the FAA SSI process
- Determining the end-state for the FAA SMS safety programs

FAA Executive Council Discussion Items

The Committee discussed agenda items for the June 3 FAA SMS Executive Council Meeting, which includes:

- Low-activity towers project
- Expected use and purpose for HIRMT
- Deep dive on RBDM activities

FAA SSI List

The prioritization process will be finalized. The consolidated list was distributed, and the criteria will be applied to the submitted candidates. The prioritized list will be provided to the FAA SMS Committee by May 15.

FAA SMS Committee Meeting

Tuesday, April 28, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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Safety Collaboration Team (SCT) Charter

The draft charter aligns the SCT under the Federal Aviation Administration (FAA) Safety Management System (SMS) Committee. The SCT will perform safety risk analyses for Significant Safety Issues (SSIs) and “pre-decisional” acquisition issues.¹ There will be three chair organizations including Office of NextGen (ANG), Air Traffic Organization (ATO), and Aviation Safety (AVS), with members from Commercial Space Transportation (AST) and Office of Airports (ARP). Supporting groups will be called upon, as needed. The revised draft charter will be shared with the FAA SMS Committee, with comments due by **COB May 15th**. Those comments will be adjudicated, and a revised draft will be sent back to the FAA SMS Committee. The SCT chairs and members will sign the charter when it is final.

SSI List

The SSI identification activity resulted from the Risk-Based Decision Making sub-activity 2b, *develop and implement safety risk enhancements to cross-organizational issues*, in August of 2014. The FAA-level SSI identification process was developed in parallel to the fiscal year 2015 business plan target (for AVS, ATO, ARP, AST, and Security and Hazardous Materials Safety) to develop cross-Line of Business (LOB)–level SSI identification processes and lists, which Tamara confirmed was met by the March 31, 2015 deadline. Tamara provided an overview of the SSI scoring process, results, and criteria definitions, as well as the Top 10 FAA SSIs list, next steps, and recommended schedule.

The SSI list criteria were intended to help the agency prioritize resources available to perform Safety Risk Management (SRM) work needed, not to implement mitigations. The most challenging criteria to determine was “estimated risk exposure” because it involved establishing an estimate of the safety risk level associated with an issue without performing a rigorous analysis. Tamara noted that with regard to “potential systemic outcome” criteria, there was debate as to what a “component” was (e.g., airports, regulations, LOBs). Further, the human factor component is a challenge when determining the “viability of developing and implementing effective controls” criteria because it cannot be assumed that all controls (e.g., regulations, policies) will actually be followed (e.g., Unmanned Aircraft Systems regulations are difficult to enforce).

¹ Acquisition-related safety issues that exist before a National Change Proposal exists

The list started with 14 LOB SSIs, but was reduced to a final list of 10. The final list represents the SSIs of highest concern based on data available, not necessarily of the highest risk, because comprehensive risk assessments have not yet been performed. The *Weather Dissemination SSI* (submitted by ATO and AVS) was merged and treated as a cross-organizational issue. The *Lithium Battery Fire or Ignition during Flight SSI* was scored with passenger and cargo merged, but will be split into two separate SRM panels. Tamara noted that planned changes are relevant to safety but not considered “emergent” issues from an operational perspective, because they do not pose a threat to safety unless they are changed. As a lesson learned for the future, planned changes will be considered for the “pre-decisional” list, not the SSI list. Issues that did not make the final list can still be worked at the organizational level. The SSI identification process allows for “pop-up” issues to be forwarded to the FAA SMS Committee.

The team will brief the Executive Committee on June 3, 2015. Paula recommended that the team be prepared to provide information to the executives regarding what activities are already underway to address each SSI, as well as the maximum number of SSIs that can undergo SRM per year based on resources. Additionally, executives will need to decide what happens after the SSIs have undergone SRM (i.e., after safety risk has been established). They must consider what set of criteria will be used to help the agency prioritize resources available to mitigate the SSIs of highest safety risk.

Safety Management Communications

The FAA has decided to take a corporate approach to agency-wide messaging for SMS communication. The team intends to start acting on this by building relationships with the safety management communications Points of Contact (POCs) within each LOB. Kelly asked the FAA SMS Committee members to provide her with a list of their respective SMS POCs, including POCs for various SMS-related publications (e.g., *Safety Matters*). Kelly also encouraged everyone to explore the recently updated FAA Safety Management intranet website.

FAA SMS Committee Meeting
Tuesday, May 05, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Low-Activity Towers

Scott VanBuren provided a briefing on Low-Activity Towers study. The study assessed the extent of the “Tower Effect” or the safety benefit of air traffic control towers. The focus of this study was to develop a statistical model to quantify the tower effect. The findings based on the statistical model were compared to a previous human factors study, and a study of subject matter experts.

The statistical analysis provided estimates of accident rate reduction based on the presence of an air traffic control tower. [REDACTED] The SME study identified specific situations from actual accidents where the presence of a tower would have mitigated the accident. The human factors study identified the mechanisms whereby controllers intervene to help pilots in trouble. This study was based on job-task analysis.

[REDACTED]

Safety Collaboration Team

During the Committee meeting, it was clarified that the SCT covers “pre-decisional” issues, which are planned activities. With these “pre-decisional” issues, funding may not have been secured, neither has a specific way of addressing them been identified. These issues will be separate from those identified as FAA Significant Safety Issues, which are considered “current” concerns affecting the NAS today. The SCT needs representatives from AST and ARP as members.

UAS

This issue is potentially at topic for SSI and for the SCT. The chosen scope of the UAS issue will determine its priority on the SSI list or whether it is to be addressed by the SCT.

Upcoming Meetings

The subsequent meetings over the next few weeks will be deep dives into Risk-Based Decision-making activities.

FAA SMS Committee Meeting

Tuesday, May 12, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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Risk Based Decision Making Sub-Initiative 1, Activities 1a/b/c, Deep Dive

Vivek Sood provided a briefing on the Risk Based Decision Making (RBDM) Sub-Initiative (SI) 1, “Improve standardization, data access, and modeling integration,” activities:


- 1a** - Establish common data taxonomies to be used consistently across the Federal Aviation Administration (FAA), with industry, and internationally;
- 1b** - Align modeling assumptions in systems that simulate and predict National Airspace System safety risk; and
- 1c** - Obtain greater access to sources of data and improve the ability to share data both internally and external to the FAA.

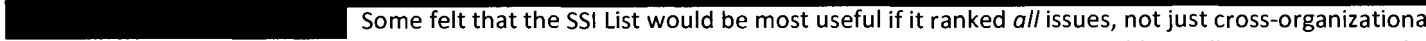
When the FAA launched the RBDM initiative, the relationship between these activities and what success would look like was unclear. It has since been clarified that the administration’s goal is to make more informed decisions using safety risk-related data and that providing the necessary tools and empowering the workforce to do so constitutes success.

The type of data currently collected and the way in which it is organized does not meet the RBDM needs of the FAA. Today, the FAA’s safety data are organized using a variety of taxonomies that are specific to each system, with a wide array of uses and terms. Users seeking data, analytical tools, and methodologies need one centralized location with a common taxonomy. The RBDM SI 1 Team recognized that the consolidation of data processing and the development of a common taxonomy that is feasible to



SSI List – Long Term

For the longer term, the committee members shared their perspectives regarding what the SSI List should be based on. 



Some felt that the SSI List would be most useful if it ranked *all* issues, not just cross-organizational issues, because organizational-level issues could be highest risk without being cross organizational. Additionally, in order to make risk based decisions, the administrator would need a list based on safety risk after full safety analyses had been performed at the organizational level. Most attendees were in agreement that resources available to mitigate SSIs, whether they are cross-organizational or not, would eventually need to be prioritized based on the highest risk.

SMS Activity Updates

Safety Collaboration Team (SCT) Charter – The SCT charter was signed by all three chair organizations including the Office of NextGen, the ATO, and Aviation Safety, with members from Commercial Space Transportation and ARP. Signatures are still needed from the FAA SMS Committee Representatives.

FY 2016 Business Plan Targets – There is a list with proposed owners, but the structure of the RBDM items will differ from that of the previous fiscal year. The committee recommended changing 4.2 to one SSI and 4.3 to one planned change on the first slide of Kellie Weibrecht's presentation.

Hazard Tracking – The comment period ended, a consolidated comments matrix was created, and the revised document was distributed.

FAA Order 8040.4 Update Team – The team updating FAA Order 8040.4, *Safety Risk Management Policy*, needs representatives from each LOB. Each Point of Contact (POC) will be responsible for representing their organization and carrying information back to their leadership. POC name and contact information should be provided to Scott VanBuren by the end of June. Meetings and draft review cycles will begin in July.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, June 16, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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The group mourned the loss of Jay J. Pardee (of AIR-100) who passed away Friday afternoon. Paula introduced Dawn Zimmer as a new and pleasingly vocal representative on the FAA SMS Committee for the Office of Finance and Management (AFN-3).

Brief-out on June 3rd FAA SMS Executive Committee Meeting

The last FAA SMS Executive Committee Meeting was extended by a half hour and went very well. Tamara and Chris did an excellent job answering questions and guiding the discussion. Executives appreciated the definition of Aerospace System Level (ASL) criteria that was added to the briefing and acknowledged that the Significant Safety Issues (SSI) list was just a start. Long term, Executives agreed that the each Line of Business (LOB) should track their high risk hazards and then submit those forth to be added to the FAA SSI list. The long-term goal is to provide a list of the highest risk hazards to the administrator, so that he/she may prioritize resources for the mitigation of hazards in the NAS based on higher risk. Executives agreed upon the top two SSI's that were generated:

- 1) Light Emitting Diodes Lighting of Airfields, Obstacles, and Aircraft.
- 2) Mid Air Collision with Unmanned Aircraft Systems.

Some of the other activities have work that is ongoing and will continue to be tacked at the FAA-level.

Hazard Tracking: Update on ASL Criteria Comments

Executives recognized that some SSI's were more actionable (e.g. more data was available to assess safety risk) than others and requested that a new criteria be added to account for this factor. Executives also requested that the 'political sensitivity' criteria be removed and it has since been removed. Based on the recommendations, AVS is developing a work plan for the FAA SMS Committee that includes policy and guidance updates; updates to charters; and developing an FAA-level SMS "how to" document that pulls everything together. Joseph (ATO) was adamant that the work plan, containing dates and deliverables, as well as the FAA-level "how-to" document be made available as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Paula noted that before “how-to” guidance can be developed (for meeting FAA-level SMS requirements), the overarching FAA SMS policy (e.g. FAA Order 8040.4) must be revised to align how each LOB assesses and accepts safety risk. The 8040.4 revision effort will begin in July 2015. Currently, LOBs can all agree on the five steps of the Safety Risk Management (SRM) process, but insist upon using different risk matrices and accepting risk differently. The FAA SMS Committee recognized that if the 8040.4 revision effort is to be successful and the FAA is to have a consistent methodology for SRM, someone will need to change.

Risk Based Decision Making (RBDM) Sub-Initiative (SI) Activity 1e: Competencies

Keith explained that the RBDM SI 1e team is in the process of analyzing the survey results to generate recommendations and has 33 visionaries lined up for interviews across several LOBs. Some of the survey questions focus on what was needed in the future to improve RBDM. The results of the survey and interviews will feed RBDM SI 2b by helping to articulate any gaps with recommendations for how to fill those gaps. A KSN portal has been set up to house lessons learned, best practices, tools as a central “knowledge-base” for Operations Research Analysts (ORAs). Keith noted that FAA Human Resources (HR) will need to be onboard for success moving forward. The transition plan will be developed with HR, to ensure the hand-off of RBDM SI 1e is seamless. Keith will provide a status update on the transition plan during the next FAA SMS Committee meeting.

Safety Collaboration Team (SCT) Unmanned Aircraft Systems (UAS) Pathfinder Update

The Office of Primary Responsibility (OPR) for the Mid Air Collision with UAS SSI is the Flight Standards Service - Unmanned Aircraft Systems (UAS) Integration Office (AFS-80). Chris Scott and Angel Luna will co-facilitate the UAS SRM panel scheduled for July 7-10th. Last week, a list of recommended SRM panel participants was generated. Chris explained that while Memorandums of Understanding (MOUs) will be used to secure panel members this time, MOUs belabor the SRM work that needs to be done. Therefore, in the future the FAA SMS Committee will be called upon to help round up representatives for SSI SRM panels.

SMS Activity Updates

RBDM SI Activity 2c: Feedback on Plan – The draft work plan for the revision of FAA Order 8040.4A was shared (on 6/4/15) with the FAA SMS Committee to give representatives a better sense of proposed timing. Each LOB must determine who their organization's POC will be on the 8040.4 revision team. Each Point of Contact (POC) will be responsible for representing their organization and carrying information back to their leadership. POC name and contact information should be provided to Scott VanBuren by the end of June.

Hazard Identification, Risk Management and Tracking (HIRMT) Core System (HCS) – At the last FAA Executive Council meeting, Chris briefed plans to incorporate the ASL criteria into FAA Order 8040.4, *Safety Risk Management Policy*, to mandate the “up-leveling” of all ASL safety issues/hazards to be shared FAA-wide using the HIRMT HCS. Calvin noted that the requirement for hazards to be uploaded to the HIRMT HCS would not be retroactive, though the sharing of historic information using the tool is encouraged. The HIRMT HCS allows for the ATO's safety cases to be attached to FAA-level safety cases (e.g. the UAS SSI may have several ATO level safety analyses to support it).



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, September 08, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

ATTENDEES:

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NOTES:

FAA SMS Executive Council Briefing Review

Paula Martinez briefed the Federal Aviation Administration (FAA) Safety Management System (SMS) Committee on the outcome of the last FAA SMS Executive Council (EC) Meeting, which included mostly director-level leadership and their alternates (e.g., Beth Mack for Terry Biggio). Due to executive involvement in the "FAA Safety Day," the next FAA SMS EC Meeting is tentatively scheduled for December 4, 2015. At that time, executives will be asked to present SMS lessons learned and success stories; Aviation Safety will provide a template for lessons learned. Additionally, the EC decided to push the discussion of planned, cross-organizational National Airspace System (NAS) changes until their next meeting. Lesley Walcourt will share documentation regarding planned NAS changes with the FAA SMS Committee and will brief this package during the next meeting.

Focus Area 2: UAS Extended Visual Line of Sight (EVLLOS), Rural

Michael Virga updated the committee on progress for Pathfinder Focus Area (FA) 2. PrecisionHawk, a manufacturer, will survey crops in rural areas using unmanned aircraft flying outside of the pilot's direct vision. The Safety Risk Management (SRM) panel will begin on September 15, 2015.

Michael asked who would be responsible for approving the list of SRM panel members (e.g., the FAA SMS Committee, the EC). Paula noted that this question also came up during the EC Meeting and it was decided that executives need to know who the panel members are, though they may not need to approve them. In the future, Paula asked that a list of panel members be provided to the committee for all cross-Line of Business (LOB) safety issues. The list should include the topic, organization, name, area of expertise, and why each member was invited to be on the panel.

Risk Acceptance and Workgroup Membership Approval

The committee discussed the review and approval process for draft Safety Risk Management Documents (SRMDs) produced by cross-LOB SRM panels. The members agreed that such reports for planned changes should first pass through the Safety Collaboration Team (SCT) to undergo a technical review and then through the FAA SMS Committee to verify completeness and undergo an additional technical review. The FAA SMS Committee would then provide the draft SRMD to the appropriate Office of



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Primary Responsibility (OPR), which would obtain the required signatures and enter the information into the Hazard Identification, Risk Management, and Tracking (HIRMT) System.

The committee also considered who should designate the organization responsible for implementing mitigations in the SRM documentation (i.e., the Hazard Analysis Worksheet). Some held that the OPR should determine who owns the mitigations to preserve the neutrality of the panel and shield the panel from political sway. [REDACTED]

In the Air Traffic Organization (ATO), the SRM panel typically determines both the mitigations and the organization responsible for implementing them. Lona Saccomando noted that HIRMT cannot assign mitigations to the responsible organization; the OPR is responsible for following up with the responsible organization and populating the required data in the HIRMT System. The committee agreed that it was not in the best position to designate who should implement mitigations, because participants may not be familiar enough with the topic to make that determination.

FA 3: UAS Beyond Visual Line of Sight (BVLOS), Rural

Michael updated the committee on progress for Pathfinder FA 3. BNSF Railway will explore the challenges of using Unmanned Aircraft Systems (UASs) to inspect their rail infrastructure beyond visual line-of-sight in isolated areas. The SRM panel was held in August 2015. The primary organizations affected are the Aircraft Certification Service, Aviation Flight Standards, and the ATO.

One of the challenges of UAS operations is that they do not meet FAA requirements for "See and Avoid." Currently, the Pathfinder FA 3 SRM panel is divided (i.e., six to eleven members) regarding the application of definitions for *common cause failure* and *single-point failure*. The FAA requires that the UAS remain within the visual line of sight of the operator at all times to ensure the vehicle does not conflict with other aircraft. However, because the pilot of manned aircraft cannot always see and avoid the UAS, six panel members believe that the UAS pilot is a single-point or common cause failure if he or she cannot ensure separation. Maggie Geraghty (AJI-31) advised the panel that the ATO definitions of common cause failure and single-point failure were intended for hardware and software rather than for human factors. Regardless of the intent behind the definitions, the committee insisted that a representative from human factors be consulted to help determine the validity and effectiveness of "see and avoid" applied by a ground operator to airborne aircraft [REDACTED]

The committee also discussed whether the legal department should be involved in cases where risk acceptance by a non-FAA entity is required. The committee agreed it would be difficult to avoid involving legal in some cases but that this question should be answered by upper management.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, June 16, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

ATTENDEES:

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Deberry, Keith	AMA-200	Keith.Deberry@faa.gov	405-954-8700
Demidovich, Nickolas	AST-4	Nickolas.Demidovich@faa.gov	202-267-8437
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Martinez, Paula	AVP-300	Paula.Martinez@faa.gov	202-267-7602
Muka, Kelsey	AJI-31/GGTI	Kelsey.CTR.Muka@faa.gov	571-481-2013
Nicholson, Tamara	AVP-300	Tamara.Nicholson@faa.gov	202-267-8285
Scott, Chris*	ANG-B3	Chris.J.Scott@faa.gov	202-267-2726
Shaw, Brian	AVP-300/QED	Bshaw@qedllc.com	703-525-5333 x 1115
Toth, Carol*	ASH	Ctoth01@verizon.net	N/A
Virga, Michael	AJI-313	Michael.Virga@faa.gov	609-485-8877
Walcourt, Leslie	ANG-B3/CSSI	LWalcourt@cssi.com	202-600-7595
Ward, Beth	AOA/SIG	Beth.Ward@faa.gov	202-267-1035
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Zimmer, Dawn	AFN-3	Dawn.Zimmer@faa.gov	202-267-4029

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NOTES:

The group mourned the loss of Jay J. Pardee (of AIR-100) who passed away Friday afternoon. Paula introduced Dawn Zimmer as a new and pleasingly vocal representative on the FAA SMS Committee for the Office of Finance and Management (AFN-3).

Brief-out on June 3rd FAA SMS Executive Committee Meeting

The last FAA SMS Executive Committee Meeting was extended by a half hour and went very well. Tamara and Chris did an excellent job answering questions and guiding the discussion. Executives appreciated the definition of Aerospace System Level (ASL) criteria that was added to the briefing and acknowledged that the Significant Safety Issues (SSI) list was just a start. Long term, Executives agreed that the each Line of Business (LOB) should track their high risk hazards and then submit those forth to be added to the FAA SSI list. The long-term goal is to provide a list of the highest risk hazards to the administrator, so that he/she may prioritize resources for the mitigation of hazards in the NAS based on higher risk. Executives agreed upon the top two SSI's that were generated:

- 1) Light Emitting Diodes Lighting of Airfields, Obstacles, and Aircraft.
- 2) Mid Air Collision with Unmanned Aircraft Systems.

Some of the other activities have work that is ongoing and will continue to be tacked at the FAA-level.

Hazard Tracking: Update on ASL Criteria Comments

Executives recognized that some SSI's were more actionable (e.g. more data was available to assess safety risk) than others and requested that a new criteria be added to account for this factor. Executives also requested that the 'political sensitivity' criteria be removed and it has since been removed. Based on the recommendations, AVS is developing a work plan for the FAA SMS Committee that includes policy and guidance updates; updates to charters; and developing an FAA-level SMS "how to" document that pulls everything together. Joseph (ATO) was adamant that the work plan, containing dates and deliverables, as well as the FAA-level "how-to" document be made available as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Paula noted that before “how-to” guidance can be developed (for meeting FAA-level SMS requirements), the overarching FAA SMS policy (e.g. FAA Order 8040.4) must be revised to align how each LOB assesses and accepts safety risk. The 8040.4 revision effort will begin in July 2015. Currently, LOBs can all agree on the five steps of the Safety Risk Management (SRM) process, but insist upon using different risk matrices and accepting risk differently. The FAA SMS Committee recognized that if the 8040.4 revision effort is to be successful and the FAA is to have a consistent methodology for SRM, someone will need to change.

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FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, July 07, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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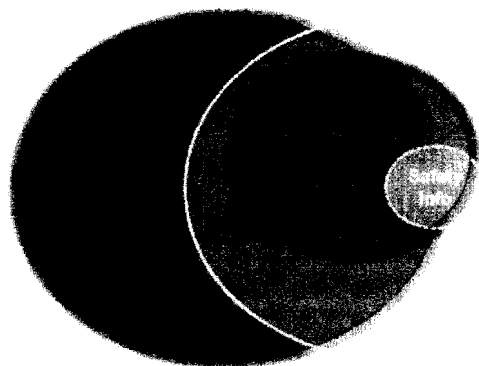
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Ward, Beth	AOA/SIG	Beth.Ward@faa.gov	202-267-1035

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NOTES:

Enterprise Information Management (EIM)

Deb Cowell and members of the EIM team provided an introduction to the EIM Initiative as the FAA's new holistic approach to data management. The FAA plans to address the various data management challenges using EIM to help make better business decisions. One key goal associated with the EIM initiative is shifting the FAA from a "system-centric" culture to a more "information-centric" culture. Presently, the FAA struggles with data management because trusted, quality information is not always available to those that need it (e.g. decision makers, safety practitioners, etc.) which hinders decision making and detracts from overall business value.



The EIM team identified overlap among SMS and EIM deliverables and relationships between SMS and EIM and RBDM and EIM. EIM aims to deliver information to support various business needs and the SMS relies upon trusted safety information to improve RBDM. All three have a need to measure progress based on business value added. Strategic Initiative (SI) 1B is linked to EIM because the completed taxonomies will be managed and maintained by Enterprise Information Management (EIM) through the Safety Community of Interest (COI), or a collaborative group of users that have a shared mission/purpose. Deb emphasized that, both SMS and EIM are *disciplines*; are not what your business is, but rather your way of doing business.

Users need data to be available at a national-level to make decisions, but often data is collected and managed by many individual groups, preventing it from being visible to those that need it. EIM's holistic approach allows for the categorization of data into large information domains, or "buckets", for decision makers in need of high-level information. If there is a *business need*, the data can then be divided further, into sub-domains managed by a COI, to make the data visible and available to others.



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Jim Daum noted that the Level 1 EIM Domains should track to the three IT Domains in the architecture. Additionally, he indicated that there is overlap among the domains at all levels. The committee agreed to continue the conversation regarding EIM and the Safety COI since there is value to be gained and the objectives will support safety management. In particular, RBDM SI 1a/b/c outputs should have a permanent home, which presumably, would be the Safety COI. The Safety COI would maintain and manage those outputs, as well continue the work started in those activities.

Hazard Tracking

Policy Issues Discussion - Lona Saccomando facilitated discussion of the policy issues related to hazard tracking at the FAA level. The prevalent discussion surrounded whether HIRMT should allow for multiple Offices of Primary Responsibility (OPR), versus just one, and what responsibility would be associated with that designation. Lona explained that the OPR, from a HIRMT standpoint, would be responsible for interacting with the tool. Several questions arose:

- Which organization should be the OPR?
- Can/should there be only one OPR?
- For safety analyses that involve several risk acceptors, who would be the OPR (and, again, can there be more than one)?
- Does the OPR dictate which risk matrix shall be used?

Some representatives felt that the organization accepting risk should be the OPR (or OPRs) because they are most affected by the hazard. The committee decided that more discussion is needed and Paula asked that this topic be the focus of the next FAA SMS Committee meeting.

HIRMT Notice – Calvin Ko explained that the Aerospace Level Criteria (ASL) criteria will be introduced using an FAA Notice and will eventually be incorporated into FAA Order 8040.4, *Safety Risk Management Policy*, to mandate the “up-leveling” of all ASL safety issues/hazards for Hazard Identification, Risk Management, and Tracking (to be shared FAA-wide). Calvin will send the draft notice out to committee members for their review and he requested comments be submitted by **COB July 21st**.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, July 21, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Martinez, Paula	AVP-300	Paula.Martinez@faa.gov	202-267-7602
Muka, Kelsey	AJI-31/GGTI	Kelsey.CTR.Muka@faa.gov	571-481-2013
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Scott, Chris	ANG-B3	Chris.J.Scott@faa.gov	202-267-2726
Shaw, Brian	AVP-300/QED	Bshaw@qedllc.com	703-525-5333 x 1115
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Virga, Michael	AJI-313	Michael.Virga@faa.gov	609-485-8877
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Hazard Identification, Risk Management and Tracking (HIRMT) System

Lona provided an overview of HIRMT functionality and roles, then explained how the FAA Order 8040.4, *Safety Risk Management Policy*, requirements were applied. Lona explained that the OPR, from a HIRMT standpoint, would be responsible for interacting with the tool (e.g. like an "office of primary recording"). If it is not apparent who the OPR should be, then the FAA SMS Committee will determine the OPR. There is a field in HIRMT for "stakeholders" that could be used to capture other organizations affected by the safety hazard, not selected as the OPR. The testing phase will conclude by the end of December 2015 and HIRMT will be ready for use in January 2016. Lona requested that representatives provide her with the names of potential users that may be available for testing; a formal request will be sent via email.

HIRMT Application and Policy Discussion

Lona facilitated discussion of the policy issues related to hazard tracking at the FAA level. The document attached to these notes captures the discussion points and decisions that were made. According to FAA Order 8040.4, when conducting safety analyses that cross Lines of Business (LOBs) *"...the analysis will be performed using the severity and likelihood tables of the Line of Business accepting the safety risk. If multiple Lines of Business will accept the safety risk and these Lines of Business cannot agree on which severity and likelihood definitions to use, the definitions documented in Appendix C of..."* FAA Order 8040.4 will be used.

For three upcoming cross LOB safety analyses¹, the affected LOBs have agreed to use the ATO risk matrix. Michael Virga asked if HIRMT will allow for selection of the ATO risk matrix, instead of the 8040.4 risk matrix. Currently, HIRMT does not offer the option to select alternative risk matrices and that functionality can be added a later time, but not before the January 2016 release. Lona suggested that an interim option would be adding an attachment to indicate that the ATO risk matrix was used. The committee was concerned that this could create confusion by decision makers to effectively prioritize mitigations for hazards identified. The

¹ The SRM panels for: Takeoff and Landing Performance Assessment (TALPA) program safety analysis, Pathfinder 3 Supplemental Track Integrity Assessment and Supplemental Track Condition Evaluation for BNSF Railroad, and Pathfinder 2 Extended Visual Line of Sight Flight Environments (VFR Ops Only).



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

committee decided that until the HIRMT system becomes available, the ATO's Safety Management Tracking System (SMTS) would be used for those issues where the ATO risk matrix would be used.

There was discussion regarding what should happen when a new hazard is identified. A new hazard would be something discovered during the safety analysis that was previously unidentified and warrants attention, but is not related to the original safety hazard or NAS change being assessed. Scott Chapman offered that in those cases, the hazard would be identified as "out of scope" and the "risk transfer" mitigation strategy would be applied, resulting in a new safety analysis to assess that new hazard separately. This would result in a separate record in HIRMT, but that new record could be linked to the other for traceability. However, there is the potential for a gap in the hazard tracking process because when a new hazard is identified that is NOT an ASL safety issue, it is not currently mandated to be managed in HIRMT.

The committee questioned when one safety issue has several hazards of different risk ratings, what the overall risk of the safety issue should be. Currently, HIRMT records individual risk level(s) for each hazard, and allows for the assignment of risk acceptability for the aggregate 'package' of hazards/risk for a safety issue. The system is designed such that any single Red Risk will force the user to the Control Safety Risk and through Safety Assurance process. For risk packages that do not have any red risks, the user can choose whether or not the 'package' as an aggregate is acceptable or unacceptable. Currently, the FAA does not have a process or method for determining aggregate risk. The decision point in HIRMT will have to be made based on a judgment call by the SMS Committee based upon the Risk Analysis team's recommendations. Lona noted that FAA Order 8040.4 would need to be revised to include guidance on how to 'aggregate risk' for a safety issue with multiple hazards. HIRMT can later be modified to incorporate that process.

Signature Process for Pathfinder Studies

All agreed that the safety analysis (e.g. SRMD or report) and should be generated independent of the approval process approvals (e.g. risk acceptance and mitigation implementation signatures). Once the FAA SMS Committee receives the safety analysis from the SRM Panel, three options were considered:

- A. The FAA SMS Committee assigns responsibility for accepting risk and mitigation implementation, then sends the safety analysis out for signature.
- B. The OPR assigns responsibility for accepting risk and mitigation implementation, then sends the safety analysis out for signature.
- C. The FAA SMS Committee approves the safety analysis (e.g. reviews to ensure the SRM process was adhered to) and then the OPR gathers risk acceptance and mitigation implementation signatures.

The intent is to create an unbiased environment that is shielded from political pressure and influence.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, August 04, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Risk-Based Decision-making 1E

Chris Dumesnil provided background on RBDM 1E subinitiative for competencies. The sub-initiative focused on the operations research analyst (ORA) position. The group perceived it was a good opportunity to create a job task analysis and a strategic job task analysis for ORAs. There currently is a lack of training regime that provides a specific path or standardized approach to training and developing ORAs. The subinitiative team established a national FAA SharePoint site for all ORAs' development and coordination. It functions as a resource for the various types of training for all ORA based on their individual focus areas. The team gathered information from different organizations and put together a survey, and sent it to 178 ORAs across the FAA. There was a 66% response rate. The survey analysis was used to develop the interviews with the visionaries. Two issues are perceived to have the most significant impacts on the ORA job task: 1) the shift from reactive issue identification to proactive safety management, 2) and unmanned aerial systems. In terms of job duties, risk analysis was highly rated, closely behind was as method and model development. It was determined that the ORAs needed basic technical skills in addition to subject matter expertise in aviation. In the FAA, often the ORA may not have both the technical skills and the field knowledge. It is perceived that having separate individuals that possess either of the characteristics can aid in providing unbiased analyses.

Later in August, there will be discussion with executive visionaries as to the direction for ORAs based on the survey data, and previous discussions.

There is a transition plan in work that will support transitioning this information to FAA human resources.

What is Risk-Based Decision-making?

Paula presented a paper that describes what is meant by risk-based decision-making to the SMS Committee. In light of this information, Committee members should send "success stories" related to RBDM to share with Paula and the SMS Committee. The FAA Administrator is interested in making the entire agency aware of the successes from RBDM.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Significant Safety Issues and OPRs

AVP-300 is responsible for putting together the process steps for managing the significant safety issues. SMS Committee members must still maintain their roles. To support the communication and management of the SSIs, Committee members are expected to be the first communication leverage point for the SSI to the identified OPR if the issue and OPR reside in a Committee member's organization.

Review of FAA-level Safety Analyses

There are notions of having a "technical review board" to review the safety analysis developed for the SSIs and planned NAS changes for the SCT. The Pathfinder program is suggested to be the first test case for the "technical review board." There needs to be a process that can be common for the SCT and for AVP-310, which reviews SSIs. Review activities should somehow be part of the SMS Committee's function.

Senior Level SRM Training

Paula inquired whether it would be beneficial for upper management within the FAA to have senior-level SRM training? The Committee generally agreed that it would. Maggie will send SRM executive course to Paula Martinez.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, August 18, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

Planned NAS Change Candidate List

Scott Van Buren provided a presentation on the process for prioritization of Cross-Organizational System Safety Assessment (COSSA) candidates. He identified the list of projects that have been prioritized using the process.

During the discussion, Paula Martinez indicated that the use of the term COSSA creates an unnecessary distinction when compared to the more commonly used and accepted term, Safety Risk Management (SRM). She advised that the more common term, SRM, should be used during the SMS Executive Council briefing to minimize the potential for confusion and distraction among executives.

The Committee noticed that some items on the list may already be undergoing SRM within the respective OPR. Scott Van Buren argues that items that are on the list that are already undergoing safety analysis should be removed from the list. It was reiterated that the prioritized list is a recommendation presented first to the SMS Committee, and then to the SMS Executive Council. Additionally, it was clarified that COSSA candidates are not necessarily the top risks for the agency. It was expressed that that nuance should be clearly explained to FAA executives.

Following the discussion and debate regarding candidate selection, Paula devised an action that the in-depth list with associated criteria be distributed by Lesley Walcourt to Committee members for further scrutiny. Committee members should review the detailed list, and be prepared to discuss the candidates on August 25. This follow-up meeting will help prepare for the SMS Executive Council Meeting.

Level 1 Taxonomy Strategic Initiative



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Warren Randolph provided a status review of Strategic Initiative sub initiative 1a, which developed level 1 and level 2 taxonomies for the agency to consider and adopt.

As a follow-on task, the technical team has already started putting plans toward developing a hazard taxonomy, though it is an FY16 goal.

In the near term, the goal is to document how the team came up with the taxonomies and present that rationale to the Information and Data Advisory Board (IDAB) within the FAA for acceptance. IDAB codifies the taxonomy in the FAA's enterprise architecture. Before this occurs, the taxonomies need to be validated by the pertinent subject matter experts. Mr. Randolph indicated that the team has leveraged existing taxonomies developed by industry. [REDACTED]

What does the FAA Aviation Safety Taxonomy mean for data capture? A long-term goal, though not necessarily that of the RBDM 1a team, is to map all existing taxonomies to the FAA Aviation Safety Taxonomy. There are different levels of precision that organizations use to map their existing terms and definitions.

There is still work to do with mapping the taxonomies to existing data sources and their data dictionaries.

Updates

Sue King put together a newsletter for RBDM. A piece of it will be used to highlight successes in RBDM. Committee members should think about success stories in general in terms of safety management to be included in the newsletter. Also provide any lessons learned and best practices that may have arisen.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, August 18, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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implement are essential. As such, the team created a list of common data elements from FAA safety-related databases identified by the RBDM Data Access Team (1c) and developed a draft Level 2 FAA Taxonomy. A prioritized resource plan is due by September 30, 2015, and it will be used to help ensure the common taxonomy is actually *implemented*.



RBDM SI 1, Activity 1d Status Update

Lona Saccomando provided a brief overview of deliverables and milestones for RBDM SI 1, activity 1d, agency-wide hazard tracking tool. The Aerospace System Level (ASL) criteria are in “draft” and being reviewed by FAA SMS Committee representatives with comments due by **COB May 15**. These criteria will be introduced using an FAA Notice and will eventually be incorporated into FAA Order 8040.4, *Safety Risk Management Policy*, to mandate the “up-leveling” of all ASL safety issues/hazards for Hazard Identification, Risk Management, and Tracking (to be shared FAA-wide).

RBDM SI 1, Activity 1e Status Update

Chris Dumesnil provided a brief status update for RBDM SI 1, activity 1e, functional requirements and competencies for safety data and risk analytics workforce and identification of current personnel with relevant skills. The team met with Sunny Lee-Fanning last week and the decision was made to suspend implementation of the Operational Research Analyst (ORA) Organizational and Reporting Structure at this point.

FAA SMS Committee Meeting
Tuesday, May 19, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

Risk Based Decision Making Sub-Initiative 2, Activity 2a, Deep Dive

Scott VanBuren provided a brief status update on the Risk Based Decision Making (RBDM) Sub-Initiative (SI) 2a:

- Develop and implement processes to identify safety hazards of planned changes in the aerospace system (e.g., acquisitions, procedural changes, new regulations);

Major milestones for the SI 2a activity are complete and Paula has notified the Executive Sponsors that the activity is nearing its conclusion. Beth recommended that the team spend a few minutes explaining what the Safety Collaboration team's (SCT) role and function is at the next Executive Council (EC) meeting on June 3. The draft charter aligns the SCT under the Federal Aviation Administration (FAA) Safety Management System (SMS) Committee. The SCT will perform safety risk analyses for Significant Safety Issues (SSIs) and "pre-decisional" acquisition issues.¹ There will be three chair organizations including Office of NextGen (ANG), Air Traffic Organization (ATO), and Aviation Safety (AVS), with members from Commercial Space Transportation (AST) and Office of Airports (ARP). Supporting groups will be called upon, as needed.

Jim commented that though many of the RBDM activity deliverables are satisfied there is still a lot of work that needs to be done moving forward with RBDM. Paula emphasized that RBDM is not something new or temporary, but rather RBDM is an enabler to safety management as part of the FAA Safety Management System (SMS).

RBDM SI 2, Activity 2b, Deep Dive

Scott VanBuren also provided a brief status update on the Risk Based Decision Making (RBDM) Sub-Initiative (SI) 2b:

- **2b** - Develop and implement processes to identify and mitigate the safety risk of cross-organizational issues that are found to exist as a result of incidents in the system;

Major milestones for SI 2b activity are complete and the SSI process is being institutionalized. When the Magnetic Variation (MagVar) safety analysis was conducted, the team realized the importance of protecting the SRM panel from management influence. This, and additional lessons learned through the application of SRM to MagVar will be incorporated into FAA Orders 8000.369 and 8040.4 during the next revision cycles.

The committee members agreed that it is each organization's responsibility to identify the appropriate individual to represent their organization during SRM assessments performed on SSIs and pre-decisional issues. By providing that representative, organizations

¹ Acquisition-related safety issues that exist before a National Change Proposal exists

commit resources and support for the SRM panel's final assessment. [REDACTED]

[REDACTED] Paula recommended that issues be resolved at the lowest level possible, unless the panel member list could not be agreed upon; only then might it be sent to the EC for approval.

The committee recommended that the requirement to elevate the SSI panel member list should be incorporated into FAA SMS policy (e.g. FAA Order 8000.369 and/or 8040.4). Until this requirement can be added, the committee agreed that an interim solution would be the signing of a Memorandum of Understanding (MOU) among the participants on SSI panels, to solidify membership and support for the final assessment from each organization.

RBDM SI 2, Activity 2c, Deep Dive

Paula Martinez provided a briefing on activity:

- **2c** - Design and implement changes to FAA SMS decision-making and governance structure including potential changes to the FAA SMS Executive Council roles and responsibilities;

Paula noted that the deliverables from RBDM SIs 2a and 2b roll into SI 2c. While the FAA SMS Committee must update the charter (containing the EC's role), the EC does not have action assigned to them under SI 2c. Paula recommended that standard language for teams be used in team charters, so the RBDM SI team charters remain aligned. Paula noted that, as the FAA SMS Committee oversees the integration of RBDM practices to enable the FAA SMS, member organizations will need to be mindful of the resources that will be required to support expanded activity.

FAA SMS Committee Meeting

Tuesday, May 26, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

UAS Pathfinder Program Briefing

Bill Syptak provided a briefing on the Pathfinder sUAS program, which has three focus areas: visual line of sight, beyond visual line of sight, and extended visual line of sight. The first focus area targets urban environments and activities like news gathering. The second focus area targets rural environments and activities including agriculture and infrastructure inspection. The last focus area targets rural areas as well, but concentrates on activities that in which the UAS may not actually be physically seen by the operator. These activities may include long-range infrastructure inspection for pipelines and railroads. The three focus areas for the Pathfinder program have industry partners who have identified a need to use UASs in the manners undergoing review. The purpose of the program is to gain operational approval for limited UAS operations for those partners. Pathfinder may open the door to further safety analysis into other potential uses for UASs. The goal of the briefing was to solicit assistance from the SMS Committee and its representatives in facilitating/supporting the required safety analyses for the three focus areas. The SMS Committee voted to hand the program to the Safety Collaboration Team to identify a suitable approach to performing the necessary safety analyses.

Issues and Considerations:

- Pathfinder was not intended for NAS-wide implementation; however, the SRM panels will examine the feasibility.
- There are concerns about flying sUAS over “uninvolved” people (i.e., general public not associated with the operation) that need to be discussed during the SRM panels.
- Aspects of the proposed sUAS operation that should be examined include airspace, aircraft, and the operator.
- The organization(s) responsible for accepting the safety risk is unclear, as well as the sponsor for the proposal(s).
- Make-up of the three SRM panels was a concern, as well as the level of expertise expected of participants.

- There was discussion about legal boundaries and operational limitations, and how those criteria might be conveyed as an output of the FAA SRM process.

There will be three panels, one for each focus area. Focus areas 1 and 2 will be scheduled for October and November. Focus area 3 will be scheduled for July.

FAA SMS Executive Council Risk-Based Decision-making Activity 2 Status

Chris Scott provided a dry-run overview of the briefing to the SMS Executive Council on Pre-Decisional, planned changes. The SMS Committee provide edits to incorporate. Primarily, the briefing will be revised to refer to "Cross-organizational System Safety Assessment" instead of "Integrated System Safety Assessment." The SMS executive council meeting is scheduled for June 3.

FAA SMS Committee Meeting

Tuesday, June 2, 2015

1:00 PM–2:00 PM, FOB 10A Room 840

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FAA SMS Executive Council Meeting

At the next FAA Executive Council Meeting, to be held on Wednesday, June 3, executives will receive a status update for Risk-Based Decision Making (RBDM), Activity 2. During the last FAA SMS Committee Meeting, Paula Martinez asked that each representative pre-brief their executives regarding the Prioritized FAA Significant Safety Issue (SSI) List and asked that they share feedback.

- The Office of Security & Hazardous Materials Safety was satisfied that the “Lithium Battery Fire or Ignition during Flight” safety issue ranked fifth on the SSI List.
- The Office of Airports (ARP) was satisfied that the “Runway Incursion Mitigation” safety issue ranked third; however, ARP may still advocate moving the issue higher on the list.
- [REDACTED]

Tamara Nicholson noted that one of the reasons that the “Lithium Battery Fire or Ignition during Flight” safety issue did not fall higher on the list was because there are some existing controls that exist in the industry. Additionally, the most challenging criteria to determine was “estimated risk exposure,” because it involved establishing an estimate of the safety risk level associated with an issue without performing a rigorous analysis.

SSI List – Short Term

[REDACTED] The list generated by the RBDM Sub-Initiative (SI) 2 Team was based on a set of criteria intended to help the agency prioritize resources available to perform necessary Safety Risk Management work. All issues that scored a two or higher on the first SSI criterion, Potential Systemic Outcome, were considered cross-organizational. Some Lines of Business (LOBs) expected the list to contain issues already being addressed at the organizational level in addition to cross-organizational issues. For example, the Air Traffic Organization (ATO) was expecting a SSI List based on safety risk rather than a list that places more importance on the cross-organizational factor. Regardless, the approach was briefed by the RBDM SI 2 Team and acknowledged by executives periodically as the RBDM SI 2 progressed.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, September 01, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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FAA SMS Executive Council Briefing Review

Paula Martinez presented briefing slides for the next Executive Council (EC) Meeting. At that meeting, executives will also receive a deliverables packet. Peggy Gilligan (AVS) expects the executives to discuss the topics covered in the briefing.

Hazard Identification, Risk Management, and Tracking (HIRMT) – Two million dollars in funding has been received for HIRMT and will be divided among three groups: the Air Traffic Organization (ATO), Aviation Safety (AVS), and the Office of Information and Technology. HRMIT user testing will begin on September 9; both the primary and secondary users should be present for the kick-off meeting.

Common Taxonomy – Paula provided an overview of accomplishments to date and a plan for where the effort will go in the future. Taxonomy Levels 1, 2, and 3 were depicted in the EC briefing. Levels 1 and 2 have been developed and Level 3 will be determined during fiscal year (FY) 2016. HRMIT is mapped to this taxonomy.

Unmanned Aircraft Systems (UAS) – Comments on the Hazard Analysis Worksheet (for UAS Focus Area 3, *UAS Beyond Visual Line of Sight (BVLOS), Rural*) were due August 31. The team is working to adjudicate those comments this week. It is possible that more Safety Risk Management work will be required for each UAS focus area. The candidate list for Significant Safety Issues (SSIs) will be released in December 2015. However, when the ATO submitted its SSIs, the FY16 Top 5 items were not included because they were not yet available.

Each Line of Business will be asked to share Risk-Based Decision Making (RBDM) Lessons Learned. Paula mentioned that AVS anticipates generating a newsletter to share RBDM success stories and articles illustrating use of the Safety Management System by industry partners (e.g., commercial airlines). In light of Joseph Teixeira's recent retirement, Beth Mack (ATO) will attend the next EC Meeting.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, September 08, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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FAA SMS Executive Council Briefing Review

Paula Martinez briefed the Federal Aviation Administration (FAA) Safety Management System (SMS) Committee on the outcome of the last FAA SMS Executive Council (EC) Meeting, which included mostly director-level leadership and their alternates (e.g., Beth Mack for Terry Biggio). Due to executive involvement in the "FAA Safety Day," the next FAA SMS EC Meeting is tentatively scheduled for December 4, 2015. At that time, executives will be asked to present SMS lessons learned and success stories; Aviation Safety will provide a template for lessons learned. Additionally, the EC decided to push the discussion of planned, cross-organizational National Airspace System (NAS) changes until their next meeting. Lesley Walcourt will share documentation regarding planned NAS changes with the FAA SMS Committee and will brief this package during the next meeting.

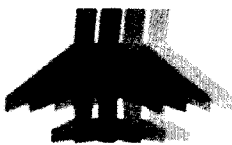
Focus Area 2: UAS Extended Visual Line of Sight (EVL0S), Rural

Michael Virga updated the committee on progress for Pathfinder Focus Area (FA) 2. PrecisionHawk, a manufacturer, will survey crops in rural areas using unmanned aircraft flying outside of the pilot's direct vision. The Safety Risk Management (SRM) panel will begin on September 15, 2015.

Michael asked who would be responsible for approving the list of SRM panel members (e.g., the FAA SMS Committee, the EC). Paula noted that this question also came up during the EC Meeting and it was decided that executives need to know who the panel members are, though they may not need to approve them. In the future, Paula asked that a list of panel members be provided to the committee for all cross-Line of Business (LOB) safety issues. The list should include the topic, organization, name, area of expertise, and why each member was invited to be on the panel.

Risk Acceptance and Workgroup Membership Approval

The committee discussed the review and approval process for draft Safety Risk Management Documents (SRMDs) produced by cross-LOB SRM panels. The members agreed that such reports for planned changes should first pass through the Safety Collaboration Team (SCT) to undergo a technical review and then through the FAA SMS Committee to verify completeness and undergo an additional technical review. The FAA SMS Committee would then provide the draft SRMD to the appropriate Office of



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Primary Responsibility (OPR), which would obtain the required signatures and enter the information into the Hazard Identification, Risk Management, and Tracking (HIRMT) System.

The committee also considered who should designate the organization responsible for implementing mitigations in the SRM documentation (i.e., the Hazard Analysis Worksheet). Some held that the OPR should determine who owns the mitigations to preserve the neutrality of the panel and shield the panel from political sway. [REDACTED]

In the Air Traffic Organization (ATO), the SRM panel typically determines both the mitigations and the organization responsible for implementing them. Lona Saccomando noted that HIRMT cannot assign mitigations to the responsible organization; the OPR is responsible for following up with the responsible organization and populating the required data in the HIRMT System. The committee agreed that it was not in the best position to designate who should implement mitigations, because participants may not be familiar enough with the topic to make that determination.

FA 3: UAS Beyond Visual Line of Sight (BVLOS), Rural

Michael updated the committee on progress for Pathfinder FA 3. BNSF Railway will explore the challenges of using Unmanned Aircraft Systems (UASs) to inspect their rail infrastructure beyond visual line-of-sight in isolated areas. The SRM panel was held in August 2015. The primary organizations affected are the Aircraft Certification Service, Aviation Flight Standards, and the ATO.

One of the challenges of UAS operations is that they do not meet FAA requirements for "See and Avoid." Currently, the Pathfinder FA 3 SRM panel is divided (i.e., six to eleven members) regarding the application of definitions for *common cause failure* and *single-point failure*. The FAA requires that the UAS remain within the visual line of sight of the operator at all times to ensure the vehicle does not conflict with other aircraft. However, because the pilot of manned aircraft cannot always see and avoid the UAS, six panel members believe that the UAS pilot is a single-point or common cause failure if he or she cannot ensure separation. Maggie Geraghty (AJI-31) advised the panel that the ATO definitions of common cause failure and single-point failure were intended for hardware and software rather than for human factors. Regardless of the intent behind the definitions, the committee insisted that a representative from human factors be consulted to help determine the validity and effectiveness of "see and avoid" applied by a ground operator to airborne aircraft [REDACTED]

The committee also discussed whether the legal department should be involved in cases where risk acceptance by a non-FAA entity is required. The committee agreed it would be difficult to avoid involving legal in some cases but that this question should be answered by upper management.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, September 15, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Risk-Based Decision Making Activity 3a: Current Safety Oversight Policies, Processes, and Tools Final Report

Pete Devaris outlined the approach and status of the Risk-Based Decision making (RBDM) Sub-Initiative (SI) 3a, *Redefining the Safety Oversight Model for Industry*. Under this sub-initiative, the Federal Aviation Administration (FAA) plans to support the Safety Management System (SMS) rollout, including the development of new surveillance models to oversee industry and conduct outreach with industry to share safety management lessons learned and best practices.

Peter explained that his team examined definitions of the term “safety oversight” and found that each FAA Line of Business (LOB) has different views regarding what falls within the scope of regulatory purview for safety oversight. For example, oversight in the Office of Commercial Space Transportation focuses on ensuring compliance with the regulations to protect the people on the ground because the organization accepts that commercial space operations involve inherently higher risk. On the other hand, the Air Traffic Safety Oversight Service not only verifies that the Air Traffic Organization (ATO) is compliant with its own safety regulations but also aggressively targets areas of safety risk that are identified using safety assurance processes.

The team examined how each LOB plans their oversight activities. Do they take a proactive approach to safety risks that are uncovered? Are they prioritizing resources to address the areas of highest risk first? The criteria by which each LOB prioritizes resources to mitigate safety risk were decidedly variable (each LOB prioritizes differently given that LOB’s unique needs and functions). However, the team found that most of the discrepancies in how they conduct oversight activities were justified; each LOB applies different risk mitigation strategies given the nature of the operations they oversee. Further, a lot of safety data is being collected without being used for safety oversight purposes. The transferring of safety data between LOBs for the purposes of assessments, trending, and RBDM, etc., is currently limited. If sharing of safety data and information between LOBs is improved, it



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could alleviate repetitive visits to sites where the risk levels remain consistently low. The systems for transferring or sharing safety risk between LOBs are not robust. Scott Van Buren posed the following question to the committee: Does the FAA need SMS on the industry side to feed into FAA oversight? The committee agreed that regardless of whether there is a requirement for industry to have an SMS, the FAA still seeks the same information from the industry to ensure safety when the agency conducts safety oversight (i.e., the industry needs to employ basic SMS principles to be able to answer questions asked by the agency).

The team composed a list of recommendations, one of which included the development of an FAA-level safety oversight order that incorporates the FAA Administrator's compliance philosophy, RBDM, and the elements of Safety Risk Management. The order will establish high-level requirements to bound the scope of what needs safety oversight and to help standardize safety oversight terms used in the FAA. Scott suggested that Peter's team coordinate with the FAA Order 8040.4 Revision Team because they seem to have common objectives. The FAA Administrator wants the agency to apply the same safety oversight standards internally (within the FAA itself) as it does externally (to industry). Greg Kirkland and Chris Spangenberg will discuss the scope of the new safety oversight order in more detail during a future FAA SMS Committee meeting. The same people who were working on RBDM SI-3a will work on the new safety oversight order (i.e., this will be a new group, but it will consist of the same individuals).

Planned National Airspace System Changes Update

The Planned National Airspace System (NAS) Changes package will be ready for the next FAA SMS Committee Meeting on October 6. Lesley Walcourt explained that the team developing this package is working very closely with the Significant Safety Issues (SSIs) Team and has drawn lessons learned from that effort by using the SSI package as their template. The purpose of sharing these materials in advance of the next FAA SMS Executive Council (EC) Meeting is for representatives to pre-brief executives on planned NAS changes. This prepares executives to engage in robust discussion about the issues (rather than how the list was developed). Lesley and Brian Shaw noted that the SSI discussion at the EC level was very productive because executives were well prepared.

Safety Management Newsletter and RBDM Success Story Template

This year, a monthly Safety Management newsletter will provide the status of RBDM activities and success stories. A template was previously sent to each LOB to submit these RBDM success stories. At the FAA SMS EC meeting, Beth Mack assured the attendees that the ATO would present lessons learned at the next FAA SMS EC Meeting. Maggie Geraghty expressed concern that the Safety Collaboration Team process needs to be more defined.



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FAA SMS Committee Meeting
Tuesday, September 29, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Closeout Risk-Based Decision Making (RBDM) Activity 1b

Warren and Mindy provided a brief status of RBDM Activity 1b, “align modeling assumptions in systems that simulate and predict NAS safety risks”. The team identified 800 models and databases that are used by the FAA to conduct risk analysis. They were able to whittle this list down to only techniques, methods, tools, and models (i.e. excluding forms, instructions, and databases), which they made searchable in a database located in an excel file. Mindy noted that the difference between the types was often what the creator decided to call it. The other 630 were mainly checklists and forms that help users contribute to a database or instructions for completing the risk analysis process.

Warren explained that the team plans to make their database available to others to use as reference; as this is the most tangible benefit of activity 1b. This is the only searchable database that has been base lined using information from models used to conduct risk analysis across the agency. Mindy and Warren noted that for Planned Changes, modeling is instrumental because it allows for the re-use of data instead of needing to generate the same or similar data over again. The committee agreed that modeling offers the ability to standardize the acceptance of risk (e.g. future traffic modeling). The final deliverable for activity 1b is a final report containing 25 models. The committee recommended that the searchable database and the final report be made available on the FAA SMS SharePoint website. Additionally, an article in the ATO publication *Safety Matters* or *FAA Focus* would raise awareness of the availability of this new resource.

The committee briefly discussed that as RBDM activities are closed out, the efforts must be carried forward. The committee agreed that there needs to be “off-ramps” for RBDM activities to carry forward even after they are closed. The Community of Interest (COI) would be a good body to move the RBDM effort forward, since it supports the Safety Collaboration Team (SCT) with FAA-level risk



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analysis. Additionally, Paula noted that the Safety Colloquium needs to be revisited as a forum for sharing risk analysis models, tools, and best practices.

Closeout RBDM Activity 1d

Lona provided a brief status of RBDM Activity 1d, *"establish an agency-wide tool to track hazards and mitigation outcomes"*. The Hazard Identification, Risk Management & Tracking System (HIRMT) will be deployed on January 14th of 2016, to bypass the holiday season leave. The long term expectation is that HIRMT will integrate with each LOBs processes for hazard tracking, to allow for FAA level hazard tracking.

HIRMT was built in phases, or three week sprints, so that each piece of the tool could be tested as it was developed. User Acceptance Testing (UAT) was conducted 9/9-9/18 in the training room located in the basement of FAA building 10B. Script-based testing was used to validate functionality and obtain initial feedback from the end user community (i.e. each user was given steps to complete for executing a task using HIRMT and asked for feedback). This method of testing was very successful, but the team identified several lessons learned. Lona noted that problems were primarily with the orchestration of the scripts (i.e. list of steps for users to complete using HIRMT during testing). The team found that some users experienced difficulty executing the scripts/steps and that more time could have been spent practicing the scripts to alleviate this challenge. Over 72 test scripts with over 1,240 steps were executed.

The business plan item for this activity was to complete UAT by September 30th and generate a user test report. A user test report was generated, which the team is currently reviewing, therefore this activity is closed. FAA Order 8000.369B is targeted for October 30, 2015 completion and identifies HIRMT as official FAA tool & requires its use for Aerospace System Level (ASL) safety issues. Additionally, revisions to FAA Order 8040.4 are targeted for June 20, 2016 completion, to require the use of HIRMT. Lona has accepted a new position and will be handing the activity off to Calvin Ko who will lead HIRMT through implementation and phase two requirements development. The committee expressed concern moving into phase two without first validating the use of HIRMT as beneficial.

Moving forward, each LOB will need to:

- Identify & send the list of individuals that will be the initial users by Oct 2, 2015.
- Ensure identified users sign up for at least one training session, according to their HIRMT role(s).
- Establish their own internal business process, policy, and procedure on how they will meet the requirements of the HIRMT Notice.

Calvin explained that 10-15 users are needed for phase two and requested POCs from each LOB.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, October 6, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Planned NAS Change Package

Lesley provided each representative with a binder for Planned NAS Changes. Each LOB should brief their executives in advance of the next Executive Council (EC) meeting on December 2nd. The binder has 10 different tabs that explain the Planned NAS Change candidate identification process (e.g. scoring, ranking, criteria, candidate descriptions, work plan, etc.). Paula noted that the SSI discussion at the EC level was very productive because executives were well prepared. Any questions/concerns should be shared in advance so the team can address them proactively.

This new process and list of Planned NAS Changes completes Risk Based Decision Making (RBDM) sub activity 2A: *Develop and implement processes to identify safety hazards of planned changes in the aerospace system (e.g., acquisitions, procedural changes, new regulations*. The Safety Collaboration Team (SCT) and representatives from each LOB made the selections.

Lesley clarified that the remote staffed tower candidate was not the same as the Leesburg remote tower safety analysis being conducted by the ATO (i.e. the Leesburg remote tower safety analysis is more detailed than the conceptual remote staffed tower candidate). The SCT manages the safety analyses for all Planned NAS Changes and has already started the safety analyses for Pathfinder Focus Areas (FA) 1, 2, and 3.

Safety Colloquium Discussion

Greg Won (formerly with the AJI, now with AOV) was the lead organizer for the AJI Safety Analysis Colloquium. The purpose of the Colloquium is to give people an opportunity to hear about other analytical research and safety management activities within and outside ATO, to avoid duplication of efforts, and to create synergies. As the name suggests, the Colloquium is intended to be an opportunity for open, casual discussion. Scott Van Buren noted the SCT had a legacy mission, to share SMS-related information. However, the SCT has since been overcome with work supporting the Planned NAS Changes.

The Committee emphasized the benefit of such sharing and discussion. It is unclear whether Greg still leads this effort and Paula took the action to contact Greg to see if the Safety Colloquium is still active. The Committee does not wish to assume Greg's duties if he is no longer the lead. If possible, Paula recommended that Greg continue to lead the safety colloquium and keep the FAA SMS



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committee informed. Or, if Greg is no longer able to lead the effort, then Paula encouraged LOBs to contribute resources to continue the effort.

On the topic of sharing, Paula reminded the committee that each LOB is expected to share SMS lesson's learned and best practices. Additionally, success stories are still needed for the monthly Safety Management newsletter. A template was previously sent to each LOB to submit these RBDM success stories. Paula noted that the information shared via this newsletter does not need to be RBDM-specific, but can also include lesson's learned, best practices, or research.

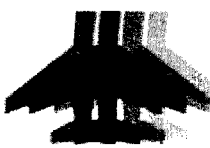
Risk Acceptance and Mitigation Signatures

There was discussion regarding who should decide who the risk acceptor and the organizations responsible for cross-LOB safety analyses are. It was recommended at a previous meeting that the decision not rest with the Safety Risk Management (SRM) panel. The intent of separating this responsibility from the SRM panel is to protect the safety analysis from political influence for high profile cases. The argument was made that **at the FAA-level**, the risk acceptor and the organization responsible for implementing the mitigations (i.e. mitigation owner) are often the same. **Within the ATO**, there is a *subtlety* between the two because the end-user (i.e. risk acceptor) is not always the same organization responsible for implementing mitigations. Maggie noted that for ATO SRM panels, the change proponent (i.e. OPR, signing off on the safety documentation) is not usually involved in the safety analysis work, but they may send a representative to be on the panel. The ATO is unique because it provides air traffic service and regulates itself, while other LOBs provide just regulatory oversight.

The FAA SMS committee agreed that:

- There cannot be two Offices of Primary Responsibility (OPRs).
- The OPR is responsible for leading the safety analysis effort and interacting with HIRMT.
- The rest of the roles and responsibilities associated with the term "OPR" need to be more clearly defined. Note that this is one of the goals of the FAA Order 8040.4 revision team.
- At the FAA-level, the OPR may be in the best position to determine the risk acceptor and the mitigation owners because they were involved in the safety analysis and have the necessary background information.
- The FAA SMS Committee is not in the best position to determine the risk acceptor and the mitigation owners because it was not involved in the safety analysis.

Maggie took the action to share the ATO SRM panel roles with the Committee.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, October 20, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

Attendees:

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Progress on Risk-Based Decision Making Activity 1e

Sunny Lee-Fanning briefed the group on the progress of Risk-Based Decision Making (RBDM) Activity 1e, develop functional requirements and competencies for safety data and risk analytics workforce and identify current personnel with relevant skills. The overarching goal of this activity is to identify and appoint highly qualified individuals to perform safety risk analyses for the FAA. The main deliverable is a Job Task Analysis (JTA), which will feed human resource functions for Operations Research Analysts (ORAs) moving forward. The JTA will be available online via the Job Analysis Information Database and the FAA Cloud during the summer of 2016.

The team charged with the implementation of RBDM Activity 1e included members from all Lines of Business (LOBs). They surveyed 176 ORAs and found that activities for each varied considerably. A set of foundational competencies was developed based on the areas of expertise requested by the ORAs. The activity team met with representatives of American



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Airlines, Inc., The Boeing Company, and Delta Air Lines, Inc. and found that ORAs throughout the National Airspace System generally perform the same activities as FAA ORAs. Universally, duties assigned to ORAs depend on organizational needs and available resources. All ORAs perform risk analysis, but safety ORAs put a greater emphasis on this function.

The team performed a gap analysis by comparing the frequency and importance of activities performed by ORAs today with those that may be needed in the next five to seven years. ORA approaches to data may change as the FAA shifts toward more proactive methods of Safety Risk Management (SRM). Overall, the team determined that work activities like risk analysis, collaboration, communications, data management, research planning, and solution development will become increasingly important for ORAs. Correspondingly, future ORAs will need to be persistent in nature and have skills in office automation, deductive reasoning, inductive reasoning, data analysis, and interpersonal relations.

[REDACTED]

Pathfinder Focus Area 3: Unmanned Aircraft System Beyond Visual Line of Sight Rural Safety Assessment

Cliff Sweatte and Chris Scott communicated updated information on the progress of Pathfinder Focus Area (FA) 3. BNSF Railway will explore the challenges of using Unmanned Aircraft Systems (UASs) to inspect their rail infrastructure beyond the visual line of sight in isolated areas (e.g., Class G airspace in Arizona). The primary organizations affected are the Aircraft Certification Service, Flight Standards Service, and the Air Traffic Organization (ATO).

The SRM panel was held in August 2015 with 21 members and 16 observers (including the National Transportation Safety Board and the Federal Railway Administration). The panel met for three days during the first week of August and reconvened on August 20 after receiving feedback regarding the definitions of common cause failure and single point of failure. Cliff noted that during the safety analysis, there were issues regarding the identification of governing documents and which risk matrices should be used (e.g., SMS Manual Version 4.0 or FAA Order 8040.4).

The comment and adjudication process has concluded and the Safety Risk Management Document (SRMD) is complete. The National Air Traffic Controllers Association (NATCA) submitted a 131-page list of pilot reports of UAS sightings along with a dissenting opinion regarding the validity of Notices to Airmen as an existing control for risk mitigation. An agreement was reached with NATCA, and all documentation of UAS sightings was included in the SRMD to address their concerns.

Following the signature of the SRMD, a Certificate of Authorization will be issued that allows BNSF to use four UASs to inspect 135 miles of its railway line. Operations are planned to begin on Sunday, October 25. The five hazards that were identified in the SRMD will be entered into the Hazard Identification Risk Management and Tracking (HIRMT) System. Because HIRMT will not be available until January 2016, the committee requested that the SRMD be entered into the ATO's Safety Management Tracking System (SMTS). Scott VanBuren emphasized that once the SRMD is signed and entered into SMTS/HIRMT, monitoring and tracking is required to confirm that mitigations were implemented and that they are mitigating the safety risk to an acceptable level. Paula Martinez expressed interest in capturing lessons learned to improve the SRM process for issues that cross LOBs and asked that Cliff be involved in this effort.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, December 1, 2015
1:00 PM–2:00 PM, FOB 10A Room 840

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Risk-Based Decision Making Activity 1a: Taxonomy Delivery for Review

During the last year, the RBDM Activity 1a team has been working to *establish common data taxonomies to be used consistently across the FAA, with industry, and internationally*. The team has developed 2 levels of the common taxonomy in an effort to allow different lines of business (LOBs) to relate their safety data consistently. In developing the 2 levels of common taxonomy, the team used a rule of mutual exclusivity (i.e. one data point could only fall into one category, or "bucket", instead of several). The RBDM 1a team will continue into calendar year 2016 to identify factors down to the next level, representatives were asked to share input regarding who from each LOB should be involved.

Level 1 consists of 5 categories; events, outcomes, phase, object, and factors. These 5 categories were adapted from those generated by the Civil Aviation Organization Common Taxonomy Team's (CICTT), though not all categories from CICTT were accepted. The RBDM 1a team is currently in the validation phase through level 2 of the common taxonomy. Some committee members were concerned that the CICTT term "hazard" had been replaced with the term "factor". The team needs feedback from users to determine whether levels 1 and 2 are acceptable (i.e. useful and descriptive enough). Packets containing the definitions and 2 levels will be provided to committee representatives next week for review and approval.

The objective of the RBDM 1a effort was not to recreate LOB taxonomies, but rather to create a common taxonomy that all LOBs could map to. Each LOB would then map their terms based on a shared set of clear definitions for common terminology used throughout the agency. In other words, current database owners would need to map their current data to the common taxonomy, but this would occur behind the scenes. New databases would be expected to map to the common taxonomy. Implementation would likely occur first through the use of the Hazard Identification, Risk Management and Tracking (HIRMT) system. HIRMT uses the common taxonomy already to "tag" data; this functionality will be available for the January release of HIRMT. However, committee members agreed that the mandatory use of the common taxonomy would need to be reinforced by adding the requirement within FAA SMS policy.

Discussion: Feedback on FAA SMS Committee and FAA SMS Executive Council Charters

The committee received very little feedback on the FAA SMS Executive Council charters when they were sent out for review. The committee will adjudicate the comments that were received and share the adjudications back with the committee. With the approach of several high profile safety issues, Paula mentioned that the list of invitees for FAA SMS Committee Meetings will be refined; LOBs should confirm one primary and one back up.



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Discussion: HIRMT Demos for LOB/Staff Office Executives

HIRMT is on track for January release. HIRMT will not be demonstrated at the FAA SMS Executive Council level. However, Calvin mentioned that his team would be willing to offer a high-level demo for executives upon request; those interested should contact him.

Discussion: POCs for Safety Assurance

Kristen provided a brief overview of the effort to continuously improve FAA Safety Assurance (SA) that she is leading. This effort will complete the requirement in the continuous improvement plan for performing a self-assessment and the end deliverable will be a set of SA-centric recommendations for improvement. Kristen asked each LOB to identify POCs that are knowledgeable on SA for her to interview.

General

Committee members are expected to brief their executives and Safety Collaboration Team (SCT) representatives on the list of planned NAS changes. Paula reminded committee members to reach out for help if they require assistance with briefing their executives.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, January 5, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Federal Aviation Administration (FAA) Safety Management System (SMS) Executive Briefing Items

The next FAA SMS Executive Council (EC) Meeting will be held on Friday, January 29, 9:00 AM – 10:30 AM. Executives should arrive ready to discuss a variety of topics. The FAA SMS Committee and the FAA SMS EC charters should be provided to executives in advance so they can be ready to sign them at the meeting. SMS Committee representatives are expected to brief their executives on the list of planned National Airspace System (NAS) changes. For planned NAS changes, the selection criteria will not be up for debate, but executives will be expected to provide feedback regarding whether they agree with the order of the prioritized list. Paula Martinez reminded SMS Committee members to reach out if they require assistance with briefing their executives and to confirm attendance.

Safety Collaboration Team Briefing

The Safety Collaboration Team (SCT) agreed to remove *Operations in Low Visibility* from the list of planned NAS changes





FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

The SCT will postpone its assessment of the highest-ranked change (i.e., *Remotely Staffed Tower Services*) because the Air Traffic Organization (ATO) is currently facilitating Safety Risk Management (SRM) activities for the implementation of a remotely staffed tower at Leesburg Executive Airport (JYO). However, the SCT will simultaneously collect data from the Leesburg SRM effort and leverage it when a cross-organizational SRM panel is convened to assess the planned change. Scott Van Buren explained that the assessment for *Remotely Staffed Tower Services* will be bound to a specific technology, while the assessment for *Low Activity Tower Service Alternatives* could include multiple technologies.

Business Plan Targets and Interim Milestones

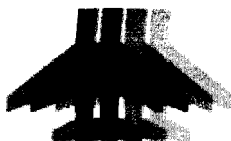
All Risk-Based Decision Making (RBDM) Business Plan targets are on track. RBDM Sub-initiatives 1a, *Establish common data taxonomies to be used consistently across the FAA, with industry, and internationally*, and 1c, *Obtain greater access to sources of data and improve the ability to share data both internally and external to the FAA*, are merging to align work and conserve resources. An interim Safety Community of Interest (COI) will be formed to discuss data issues. Executives will be asked if they support the Safety COI paper sent to them on November 5.

General Discussion

The committee discussed potential FAA SMS Committee goals and improvements for Fiscal Year 2016:

- Develop a work plan outlining FAA SMS Committee activity and goals over a three-year period.
- Clearly define how we know FAA safety management is effective (i.e., organizational-level safety management metrics).
- Illustrate how the FAA SMS Committee is helping the agency better manage safety.
- Highlight safety efforts that have been simplified or consolidated (i.e., those that are being done smarter).
- Improve communication for issues that cross Lines of Business (LOBs) (i.e., recognize organizational safety risk associated with reduced gaps in communication).

Paula asked each LOB to email additional goals or to share them at the next meeting.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, January 19, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Cross-Organizational SRM Guidance Document

As a result of recommendations generated from the Risk-Based Decision Making (RBDM) Sub-Initiative (SI) 2a/2b and Safety Collaboration Team (SCT), guidance was developed for Safety Risk Management (SRM) conducted for cross-organizational issues. The draft guidance will be provided to the FAA SMS Committee for review, with comments due by February 2nd.

The new guidance is more detailed than FAA Order 8040.4, which is in the process of being revised. Once FAA Order 8040.4 is signed, the guidance will be updated as needed to ensure alignment between the two documents. Brian noted that the new guidance generally covers pre and post SRM activity, while FAA Order 8040.4 governs the conduct of SRM itself. For example, templates were included to ensure consistency in the submission of Significant Safety Issues (SSIs) and Planned NAS Changes. The current hazard escalation process will go away, because those concepts are captured in the new guidance.

SSI Process and LOB Processes

Lona clarified SSIs were designated based on the Fiscal Year (FY) they were added to the SSI list, not necessarily the year that they were addressed (i.e. SSIs added to the list during FY15, but not addressed until FY16, were designated as a FY15 SSIs). Moving forward, they are changing this, so they will gather the FY17 SSIs in FY16 and address them in FY17. All SSIs submitted to the SCT for consideration must be entered into HIRMT and cannot be removed from the system. In the Acquisition Management System (AMS), when a program becomes an acquisition it is tracked by ANG in HIRMT. However, Planned NAS changes are not required to be entered into HIRMT.

Committee members cautioned that the FAA must be very careful about identifying safety issues and then removing, deprioritizing, or ignoring them. Justification as to why an issue was removed, deprioritized, or ignored should be well-documented. It is possible for an LOB to submit a safety issue for consideration that they are not the OPR for, but that LOB does not have the authority to force the OPR to address it. However, if the FAA identifies a safety issue and then does nothing to mitigate it, the agency is accepting the safety issue by default. Committee members agreed that if an LOB finds that a previous year's SSI submission continues to be a safety issue, they should be permitted to resubmit the issue to the SCT for consideration on future lists. Maggie mentioned that the ATO is exploring the idea of a "rolling Top 5" (i.e. issues are worked to completion before new safety issues are added, instead of generating a new list every year).



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

General Discussion

The next FAA SMS Executive Council (EC) Meeting will be held on Friday, January 29, 9:00 AM – 10:30 AM.

Actions:	For:	By:
Provide draft guidance for cross-LOB SRM to the FAA SMS Committee.	Lona Saccomando	Complete
Review draft guidance for cross-LOB SRM and provide feedback to Lona Saccomando.	Committee Members	02/02/16
Provide updated materials for the next Executive Council (EC) meeting to FAA SMS Committee.	Paula Martinez	Complete
Brief executives on the list of planned NAS changes and reach out if assistance is needed.	Committee Members	01/29/16
Provide executives with FAA SMS Committee charter, FAA SMS EC charter, and Safety Community of Interest (COI) paper.	Committee Members	01/29/16
Confirm executive attendance for next EC meeting.	Committee Members	ASAP
Email Paula with potential FAA SMS Committee goals and improvements for Fiscal Year 2016.	Committee Members	ASAP
Collect data the ATO facilitated SRM activities for the implementation of a remotely staffed tower at Leesburg Executive Airport (JYO) and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower Planned NAS Change.	SCT Members	Ongoing
Identify individuals to participate on the team that applies the SSI process and develops the FY17 SSI List.	Committee Members	ASAP



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, February 2nd, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Brief-out: FAA SMS Executive Council Meeting

Executives were well prepared for discussion during the last Executive Council (EC) meeting. Executives reached consensus on the Planned NAS Change list and decided that the Safety Collaboration Team (SCT) will move forward with *Dependent Parallel Operations for Runways Greater than 4,300 Feet*.

The other Planned NAS Changes have activities already underway; therefore, safety analyses will begin when those changes have matured. For example, the ATO is facilitating Safety Risk Management (SRM) activity for the use of a remotely staffed air traffic control tower at Leesburg Executive Airport (JYO). The SCT will leverage data from that effort when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower Planned NAS Change. Executives agreed to take ownership of the Safety Community of Interest (COI) as executive sponsors. One small change will be made to the FAA SMS Executive Council Charter and then it will be ready for signature.

SSI Process: Lessons Learned and FY17 Schedule

Chris Pokorski provided an overview of the lessons learned from the first round of Significant Safety Issues (SSI). One key lesson learned from previous SSI activity is to ensure that potential candidates have full management support prior to submission to the SCT. Paula recommended that committee members share SSI process challenges at the committee meetings so that LOBs can help each other improve. Lona clarified SSIs were designated based on the Fiscal Year (FY) they were added to the SSI list, not necessarily the year that they were addressed (i.e. SSIs added to the list during FY15, but not addressed until FY16, were designated as a FY15



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SSIs). Moving forward, they are changing this by gathering the FY17 SSIs in FY16 and addressing them in FY17. The FAA SSI Identification Process has been revised and will be shared for comment.

Chris clarified that there is no limit to the number of potential SSIs that each LOB may submit. Last year, the team received 10 candidates and two were selected for assessment. Maggie mentioned that the ATO is exploring the idea of a "rolling Top 5" (i.e. issues are worked to completion before new safety issues are added, instead of generating a new list every year). Committee members agreed that if an LOB finds that a previous year's SSI submission continues to be a safety issue, they will be permitted to resubmit the issue to the SSI Team for consideration on future lists.

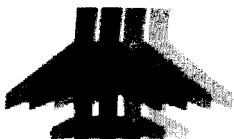
Committee members agreed that finishing the safety assessment is only the beginning and that the agency must diligently monitor and track hazards to see if they are actually being addressed. More robust business processes are needed for what happens after the safety assessments are completed. The Hazard Identification Risk Management and Tracking (HIRMT) system can be used to track hazards, but management action is needed for Planned NAS Changes and mitigations to move forward to implementation (i.e. activities to be added to business plans). The near term goal is to improve cross-organizational communication and increase overall promotional efforts (i.e. highlighting of successes).

Updates: FAA Order 8000.369, FAA Order 8040.4, and OPRs for Planned NAS Changes

The FAA Order 8000.369 Team met this week to address comments received; a revised draft will be shared for comment by COB Friday. Revisions to FAA Order 8040.4 are progressing and the team has been working through sub-team issues to come to consensus. Representatives on the FAA Order 8040.4 revision team are committed to the concepts that have been presented, but it has been a challenge to get agreement on the details (e.g. likelihood table ranges). However, the team is on schedule to meet its target of delivering a revised draft to the FAA SMS Committee by the end of June.

For the planned NAS change, *Dependent Parallel Operations for Runways Greater than 4,300 Feet*, the ATO was identified as the OPR. However, because the ATO's operation is not ready to move the concept forward, AVP-300 deferred OPR responsibilities to the SCT. The group agreed that ideally individual LOBs would be identified to fill the OPR role, instead of the SCT. This was also a topic of discussion at the February 4th SCT meeting.

Actions:	For:	By:
Review draft guidance for cross-LOB SRM and provide feedback to Lona Saccomando. Deadline extended.	Committee Members	02/05/16
Provide committee members with a revised draft of FAA Order 8000.369.	Paula Martinez	2/5/16
Share issues encountered at the LOB level during the SSI process and lessons learned at the committee meetings.	Committee Members	ASAP
Email Paula with potential FAA SMS Committee goals and improvements for Fiscal Year 2016.	Committee Members	ASAP
Identify individuals to participate on the team that applies the SSI process and develops the FY17 SSI List.	Committee Members	ASAP
Review the draft FAA SSI Identification Process and provide feedback to Chris Pokorski.	Committee Members	03/04/16
Collect data from the ATO facilitated SRM activities for the implementation of a remotely staffed tower at Leesburg Executive Airport (JYO) and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower Planned NAS Change.	SCT Members	Ongoing



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FAA SMS Committee Meeting
Tuesday, February 16, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

Identifying and Prioritizing Planned Changes

The Safety Collaboration Team (SCT) met last week and discussed the selection criteria for planned National Airspace System (NAS) changes. The SCT was in agreement that planned changes need to be identified and prioritized at least annually. Lesley Walcourt and Chris Scott are leading the development of a strategy for the planned change titled *Dependent Parallel Operations for Runways Greater than 4,300 Feet*. Though the SCT is managing Significant Safety Issue (SSI) / planned change activity, the Federal Aviation Administration (FAA) Safety Management System (SMS) Committee needs to ensure that all Lines of Business (LOBs) remain engaged in the process.

Paula Martinez raised concerns with the term “pre-planned change,” because it implies that no funding has been committed to a particular change and the agency has not yet decided to move forward with the activity. The original intent was for the agency to identify safety issues associated with planned changes before they became SSIs. However, the team acknowledged that currently planned changes are being presented as “pre-decisional” when, in reality, the agency has already decided to move forward with them (which may not be consistent with Risk-Based Decision Making methodology). Safety work should be a factor in the decision making process for planned changes; this is the missing piece.

Jim Daum emphasized that safety decisions should be supported with safety information for both SSI and planned change activity (i.e., identified issues and rationales should be well documented). With system acquisitions, the predicted residual risk is usually accepted because the safety analysis includes safety requirements to lower this risk to an acceptable level. During the system safety reviews, safety requirements are validated and verified to mitigate the hazard with the assumption that they will be implemented.

Systems are typically implemented in phases and sometimes safety requirements are modified. In those cases, rationales must be documented and the agency must ensure that the predicted residual risk is still acceptable. The committee emphasized the importance of monitoring to see whether safety requirements are implemented and whether they control safety risk to an acceptable level. Brian Shaw noted that the Hazard Identification, Risk Management and Tracking (HIRMT) system was designed to track safety hazards/issues that are already in the NAS, not hazards associated with planned changes. Since the team needs a clear



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understanding of monitoring for safety requirements and the FAA SMS Committee's role in the planned change process, these will be topics of discussion during the next FAA SMS Committee Meeting.

SSI Status

Takeoff and Landing Performance Assessment (TALPA) – [REDACTED]

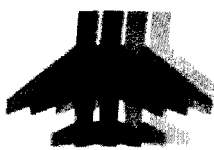
Lithium Batteries – The Flight Standards Service issued Safety Information for Operators and is developing a surveillance plan to assess the extent to which operators have completed safety analyses.

[REDACTED]

Light-Emitting Diode Lighting in Aircraft Operations – Hazard identification is complete. Executives have asked the team to plot the risk level on the SMS risk matrix and perform further assessment on the hazards that are categorized as red or yellow.

Paula asked that representatives bring their SSI updates to the FAA SMS Committee before raising them in the Executive Council Meeting. Individuals were identified to participate on the team that applies the SSI process and develops the Fiscal Year (FY) 2017 SSI List. Paula is developing a method for tracking SSIs to inform executives.

Actions	Assignee	Due Date
Share issues encountered at the LOB level during the SSI process and lessons learned at the FAA SMS Committee Meetings.	FAA SMS Committee Members	ASAP
Email Paula with potential FAA SMS Committee goals and improvements for FY16.	FAA SMS Committee Members	ASAP
Review the draft FAA SSI Identification Process and provide feedback to Chris Pokorski.	FAA SMS Committee Members	03/04/16
Collect data from the ATO-facilitated Safety Risk Management (SRM) activities for the implementation of a remotely staffed tower at Leesburg Executive Airport and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower Planned NAS Change.	SCT Members	Ongoing



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, March 1, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

March FAA SMS Executive Council Meeting

The Federal Aviation Administration (FAA) Safety Management System (SMS) Committee agreed with Paula Martinez's recommendation that the next FAA SMS Executive Council Meeting should be canceled. Instead, the Safety Management and Research Planning Division, AVP-300, will prepare material for FAA SMS Committee representatives to brief their executives individually. Representatives were asked to follow-up with their executives regarding the Committee and FAA SMS EC charters that were distributed for signature.

Cross-Line of Business Safety Risk Management Guidance

The Safety Performance Management Branch, AVP-310, has adjudicated 147 comments that were received for the draft Cross-Line of Business (LOB) Safety Risk Management (SRM) Guidance document. Lona Saccomando provided a brief overview of the major comments and their respective adjudications. None of the comments were "show-stoppers."

Lona clarified that LOBs are not required to bring every cross-LOB safety issue to the FAA SMS Committee. Only those cross-LOB safety issues that are Aerospace System Level (ASL) safety issues, Significant Safety Issues (SSIs), or those cannot be settled at the LOB level must be presented to the FAA SMS Committee. When a safety issue meets one or more of the ASL criteria, it must also be reported in and managed through the Hazard Identification, Risk Management and Tracking system.

Unmanned Aircraft Systems SSI Team Membership

The Unmanned Aircraft Systems Integration Team, AFS-80, and AVP-310 are putting together a plan and identifying members for the Unmanned Aircraft Systems (UAS) SSI Team. The FAA SMS Committee members should provide Points of Contact (POCs) from their



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

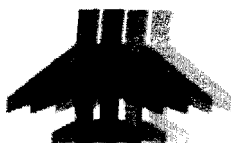
organizations; AVP-310 will send out a formal memo once these POCs have been identified. Chris Pokorski (AVP-310) is leading the effort.

FAA SSI Identification Process

The draft FAA SSI Identification Process was distributed and comments are due by Close of Business March 5. The deadline for LOB SSI candidate submission is July 25 each year. Since the Top 5 list is typically not finalized until September 1, it will be difficult for the Air Traffic Organization to meet this deadline.

The Administrator would like to highlight the agency's Risk-Based Decision Making (RBDM) successes. Paula asked that committee members share how business practices have been improved to support RBDM. Sue King will send out the Activities Related to Risk-Based Decision Making document that the group contributed to last year and representatives should provide updates to Paula and Sue.

Actions	Assignee	Due Date
Review Activities Related to Risk-Based Decision Making document and provide updates to Paula Martinez and Sue King	All	ASAP
Notify Terry Biggio of the SSI timeline (specifically, the July 25 SSI candidate submission deadline).	ATO	ASAP
Review the draft FAA SSI Identification Process and provide feedback to Chris Pokorski.	FAA SMS Committee Members	03/05/16
Share issues encountered at the LOB level during the SSI process and lessons learned at the FAA SMS Committee Meetings.	FAA SMS Committee Members	Ongoing
Collect data from the ATO-facilitated SRM activities for the implementation of a remotely staffed tower at Leesburg Executive Airport and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower Planned National Airspace System Change.	Safety Collaboration Team Members	Ongoing



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FAA SMS Committee Meeting
Tuesday, March 15, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Reminders

Paula Martinez reminded the group that the next Federal Aviation Administration (FAA) Safety Management System (SMS) Executive Council (EC) Meeting is canceled. Instead, the Safety Management and Research Planning Division, AVP-300, has provided material for FAA SMS Committee representatives to brief their executives individually.

The Unmanned Aircraft Systems Integration Team, AFS-80, is working with Safety Performance Management, AVP-310, to create a plan and identify members for the Unmanned Aircraft Systems Significant Safety Issue (SSI) Team. Chris Pokorski is leading the effort. FAA SMS Committee members should provide Points of Contact (POCs) from their organizations; AVP-310 will distribute a formal memorandum once these POCs have been identified.

Lona Saccomando noted that lessons learned from planned National Airspace System (NAS) changes and SSIs will continue to be shared through the FAA SMS Committee.

The Air Traffic Organization's (ATO's) qualitative table should only be used for issues/changes with NAS-wide impact; questions regarding its use should be directed to the Safety Management Group, AJI-31.

Planned NAS Changes

Paula explained that the original intent was to address significant cross-organizational planned changes prior to any decisions regarding funding or implementation (i.e., to address these items in a pre-decisional matter). Paula noted, however, that current planned changes are not pre-decisional; the agency has already decided to move forward with them.

In July 2015, the Safety Collaboration Team (SCT) generated a list of planned changes using various sources, including the NAS Segment Implementation Plan and NextGen Advisory Committee priorities. The SCT prioritized this list using specific criteria and presented it to the EC in January 2016. Executives approved the list and asked that the SCT start work for the planned change identified as Dependent Parallel Operations for Runways Greater than 4,300 Feet. The SCT found that safety risk assessments are planned or ongoing for almost all of the items on the planned change list. Decision makers do not need input from the SCT because, by the time they receive this feedback, decisions have already been made. For this reason, including the SCT or the FAA SMS Committee in existing safety risk assessments does not seem to add value or fill a gap.



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SCT leadership is divided about whether to keep a planned change list or not. The group discussed if there is not a planned change list if the SCT would act as a standing body or an ad hoc body. The Office of NextGen wants to be as proactive as possible with safety issues. The ATO already involves all of the necessary stakeholders for cross-organizational issues/changes. All attendees agreed that the SCT played an important role in the safety analysis performed for Pathfinder and that the effort was a success. Paula will bring the Sub-Initiative 2 Executive Sponsors together to discuss this issue and see if they agree to not have a planned change list, but to use the SCT for when issues are brought to them. After that, we will need to meet with the FAA SMS EC to talk about our change in direction.

Actions	Assignee	Due Date
Provide organization point of contact for Midair with UAS SSI team to Chris Pokorski.	All	3/15/16
Use materials provided by AVP-300 to brief executives individually, in place of the next FAA SMS EC meeting.	All	4/15/16
Review activities related to the Risk-Based Decision Making document and provide updates to Paula Martinez and Sue King.	All	3/29/16
Brief Sub-Initiative 2 Executive Sponsors on proposed path forward on planned changes; brief FAA SMS EC on new direction if agreed to by Executive Sponsors.	Paula Martinez	ASAP
Share issues encountered at the Line of Business level during the SSI process and lessons learned at the FAA SMS Committee Meetings.	FAA SMS Committee Members	Ongoing
Collect data from the ATO-facilitated Safety Risk Management (SRM) activities for the implementation of a remotely staffed tower at Leesburg Executive Airport and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower planned change.	SCT Members	Ongoing



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, April 5, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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*Phone

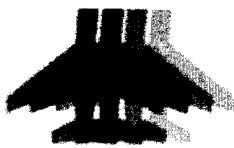
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SSI Process Discussion

Chris Pokorski provided a briefing regarding updates to the Federal Aviation Administration (FAA) Significant Safety Issue (SSI) identification process. During this presentation, the FAA Safety Management System (SMS) Committee considered how an issue added to the SSI list may be removed if resources are not allocated to address it. Theoretically, if a topic added to the SSI list is not planned for the current year, is that topic automatically added to the next year's list? There is currently no policy or guidance that explicitly addresses this concern. All SSI candidates, regardless of whether or not resources have been assigned, are automatically added into the Hazard Identification, Risk Management, and Tracking (HIRMT) system. A solution is to propose to the SMS Committee that the SSI be closed in the HIRMT system with an accompanying rationale. Additionally, Lines of Business (LOBs) and Staff Offices (SOs) should self-impose their own timelines to address an SSI issue that is unaddressed at the committee level.

HIRMT Rollout

HIRMT rolled out on March 25. SMS Committee members have access to the tool, which is optimized to work with Internet Explorer. Issues that have been open since the deployment of HIRMT (March 25) must be entered into HIRMT by May 29. The SMS Committee encourages the entry of existing issues into the tool as well. Calvin Ko is providing live training, but an electronic Learning Management System course is being developed. Paula Martinez is curious about how the HIRMT tool is being communicated within LOBs and SOs. Other communication and outreach tools within the Office of Aviation Safety will soon become available to other SOs and LOBs.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Risk-Based Decision Making

The SMS Committee will provide updates to the document on activities related to Risk-Based Decision Making mid-year and at the end of the fiscal year.

FAA Order 8000.369B, Safety Management System

The order was signed on March 18 by the FAA Administrator. The SMS Committee discussed conducting peer-reviewed organizational self-assessments with a defined template and criteria and is seeking feedback on ways to measure compliance with FAA Order 8000.369. The three-fold purpose of the self-assessment is to: provide tangible evidence for compliance with internal SMS orders, identify gaps in implementation that will inform FAA leadership, and aid in preparation for future SMS audits by independent oversight organizations (e.g., the Department of Transportation Inspector General, the Government Accountability Office).

Safety Collaboration Team and Planned Changes List

The SMS Committee determined that a list for planned changes is unnecessary. The Safety Collaboration Team (SCT) will remain an on-demand team should safety issues arise. The executive sponsors are on board.

FAA SSI Status Updates

LED Lighting: The team has gone through the first set of Safety Risk Management (SRM). There should be a deeper dive on the risks that have fallen into the medium level according the FAA Order 8040.4, *Safety Risk Management Policy*, levels. Those items will be documented into HIRMT. The full SRM report will be completed in Fiscal Year 2016.

Unmanned Aircraft Systems: This was put on hold, and a team is standing by to reconvene.

Actions	Assignee	Due Date
Share issues encountered at the LOB level during the SSI process and lessons learned at the FAA SMS Committee Meetings.	FAA SMS Committee Members	Ongoing
Collect data from the Air Traffic Organization-facilitated SRM activities for the implementation of a remotely staffed tower at Leesburg Executive Airport, and leverage it when a cross-organizational SRM panel is convened to assess the Remotely Staffed Tower planned change.	SCT Members	Ongoing
Identify FAA SSI Team participants and notify Chris Pokorski.	All	April 19



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, May 3, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Current Safety Issue: Air Carrier Use of Non-certificated Runways in the NAS

There is an ongoing safety issue in which Title 14 of the Code of Federal Regulations (14 CFR) part 121 aircraft could potentially use runway facilities throughout the NAS that are not certificated under 14 CFR part 139. Use of these non-certificated facilities could result in catastrophic aircraft damage and/or fatal injuries. There are recommendations associated with this issue meant to address the risks. The Air Traffic Organization Runway Safety Office is seeking assistance from the Safety Collaboration Team to perform the Safety Risk Management work.

AIR Briefing: HIRMT Request for Exemption

A briefing file was provided prior to the SMS Committee meeting regarding a request to approve an exemption from the Aircraft Certification Service (AIR) to use the HIRMT. The SMS Committee should determine whether the existing process and tool that AIR uses can substitute for following Order 8040.4 and using HIRMT. Specifically, AIR is seeking an exemption for entry of Airworthiness Directives into HIRMT. AIR uses Monitor Safety Analyze Data (MSAD) as a process and tool for in-service/aircraft fleet operational safety issues that may require an airworthiness directive. The tool and process are used to mitigate safety risk that may affect the fleet. The methodology comprises a 15-step process where the issue is initially identified and risk is assessed qualitatively, then quantitatively by engineers. A group called the Corrective Action Review Board assesses the analyses performed to determine what to do about the safety issue. The quantitative risk assessment supports the development of a corrective action timeline.



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When considering whether the exemption request should be granted, SMS Committee members should keep the following in mind: The purpose of HIRMT is an agency tool to track hazards. How does the executive council look at safety issues across the agency if some LOBs and staff offices do not input data into the tool?

In general organizations requesting exemptions should brief the FAA SMS Committee.

Next year, there will be more discussions regarding integrating/linking HIRMT with existing databases.

8040.4B Update and Process Review

The Order 8040.4 re-write team is finished with its deliberations on the first draft. Its purpose was to ensure consistency with existing FAA policies. Scott Van Buren provided a briefing to the Committee. During the meeting there was brief discussion and concern about the application of the two risk matrices. SMS Committee members will receive the 8040.4 for review and comment on May 3.

Hazard Taxonomy Document

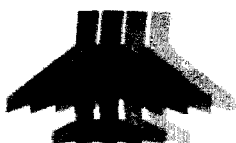
Britt McNeil provided a briefing on hazard taxonomy. The taxonomy has been sent out for comments. Currently, the taxonomy group is not in a position to mandate the data structure for organizations currently collecting/characterizing data. However, it is requested that LOBs and staff offices be able to map to the taxonomy. There is a plan to design and build a process to evolve the taxonomy. The end-state should provide a policy document that forces everyone to move toward the new hazard taxonomy.

SSI Update

Lithium Batteries—Internal SRM project for the issue has begun. They are currently in phases 1 and 2 to determine the initial issues.

LEDs—The safety risk assessment was completed. It was reviewed by the responsible executives "primary stakeholder organizations" The SSI has been placed into HIRMT as well as all 11 hazards and their initial risk levels.

Actions	Assignee	Due Date
AIR will submit a memo re: the HIRMT Exemption to the SMS Committee for review	AIR	5/6/2016
Consider the AIR HIRMT exemption request, be prepared to vote on the request at the next SMS Committee meeting	FAA SMS Committee Members	5/17/2016
Sign SMS Committee Charter	FAA SMS Committee Members	Ongoing until completion



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, June 21, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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Safety Management System Self-Assessment

AVP provided a briefing on performing SMS self-assessments based on the requirements in Order 8000.369B, *Safety Management System*. An assessment tool was developed to support an assessment approach similar to the Civil Air Navigation Services Organization Model. AVP believes that performing self-assessments would help prepare FAA for any follow-up SMS audits from the Government Accountability Office (GAO). Additionally, there is an outstanding agreement from the last GAO SMS audit to develop a method to assess SMS implementation. AVP offers to send the tool out to SMS Committee members for feedback to determine whether there is a desire to participate in a self-assessment, or FAA peer review of Line of Business and Staff Office SMS implementation. Danko Kramar and Brian Shaw are the points of contact for the effort.

Safety Performance Management Framework

FAA has an obligation as part of ICAO Annex 19 to determine if its safety management activities are actually improving the overall safety of the NAS. FAA developed an initial schematic with other ICAO members. In assessing the relationship between safety outcomes and safety processes, the goal of the effort is to determine what the Acceptable level of Safety Performance is, and how to determine whether it has been reached. An initial reaction from some SMS Committee members was that the schematic is complex. It was countered that the schematic would consider FAA's existing approaches and processes to managing safety, and determine whether they are appropriate and/or effective. SMS Committee members should review the schematic and provide input on its suitability. AVP-310 will further develop the schematic to provide more specific details on FAA processes. Refer to the briefing submitted with the June 21 SMS Committee meeting invitation.

Status Updates

AVP-300 is working on a Safety Management Evolution Plan to replace the FAA SMS Implementation Plan. The 2-3-year plan connects all the FAA safety initiatives, and how they fit within an FAA safety management framework. It will soon be forwarded to SMS Committee members for review and feedback.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, July 19, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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8000.369B Assessment

Review the 8000.369 assessment tool. Let AVP-300 know if there is benefit to performing a self-assessment. If so, SMS Committee member organizations are encouraged to do so. Brian Shaw will send out the self-assessment tool to SMS Committee participants once again.

AVS-1 Meeting with Administrator (July 29)

Peggy Gilligan will be meeting with the FAA Administrator to discuss Risk-Based Decision-Making (RBDM) achievements and opportunities. It is expected that the FAA Administrator will prioritize any initiatives that are industry facing and deal with compliance.

To help Peggy Gilligan prepare for the meeting, FAA SMS Committee participants are asked to consider any efficiencies gained from RBDM or safety management in general. In particular, consider how any compliance related activities pertinent to safety management have led to achievement of efficiencies. Provide input to Sue King and Andrea Giordani.

FY17 Business Plan Items

Business planning for fiscal year 2017 has begun; language is being prepared. The business plan items will be sent out to FAA SMS Committee members.

Sharing of SMS Documentation

Air Traffic Organization recently updated, and published its Safety Management System Manual. As other internal policies SMS are developed for the future, SMS Committee members are encouraged to share their planned SMS policy changes with the group for input.

Safety Management Evolution Plan

Comments are due on July 28. The plan is scheduled for completion at the end of the current fiscal year.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, September 06, 2016
1:00 PM–2:00 PM, FOB 10A Room 840

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FAA Significant Safety Issue (SSI) Candidate List

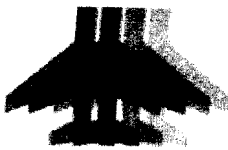
Chris Pokorski led the discussion about the FAA SSI candidates for fiscal year 2017. The team discussed all the candidates and scored them. Runway incursions had the highest score of the five SSI candidates reviewed. Converging Runway Operations was submitted by AOV; however, it is recommended to be removed from the SSI list after discussions with ATO and AOV. Opposite Direction Operations (ODO) will be the proposed replacement candidate. This issue has not yet been scored, however. With the Unmanned Aerial Systems (UAS) issue, there are concerns about whether the near-mid-air collision (NMAC) data have been validated. ATO maintains that only the NMACs that Flight Standards Service confirms have been considered (as opposed to pilot reported NMACs). In general, there is agreement that there is an issue, but its criticality is uncertain. Thus far, the recommendation is to identify UAS as an issue and to continue to collect and monitor relevant data. ATO voiced the concern about resource availability due to being listed as OPR on 4 of the 5 proposed SSIs. There was discussion about other FAA organizations that could be considered potential OPRs for the identified concerns. In particular, the question is whether Airports has any role with ODO, and whether they could take it on as the OPR. There was concern as to whether ATO should be the OPR for UAS because this issue is particularly a broad FAA-level issue as opposed to something that can be addressed only by the ATO and its management processes.

LED Lighting FY15 SSI Debrief

The team developed a Safety Risk Assessment Report using the policy in Order 8040.4A. There were four hazards identified.

Safety Collaboration Team Charter

The charter was recently updated to reflect the on-demand nature of the team. It is ready for team review. The charter is planned to be finalized and signed by the end of September 2016.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Executive Council Meeting Status and Highlights

- The meeting will be held on September 7; Peggy Gilligan will not attend.
- There will be discussion about candidates for the fiscal year 2017 SSIs.
- All the goals for the fiscal year 2016 Risk-Based Decision-Making milestones have been met.
- There will be a high-level discussion of the FAA safety oversight order. That order affects ARP, AVS, AST, and ASH.

Actions

SMS Committee Chairperson: Communicate with Airports regarding whether the Opposite Direction Operations issue is within their purview and whether Airports would take on that Significant Safety Issue as the OPR.

SMS Committee Members: Review and provide feedback on the Order 8000.369 self-assessment tool. Provide feedback to Danko Kramar. The goal is to have feedback from Committee members in the October/November 2016 timeframe.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, January 24, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Federal Aviation Administration Order 8000.369B, Safety Management System, Self-Assessment

The high-level goal of the Federal Aviation Administration (FAA) Safety Management System (SMS) Self-Assessment is to provide a snapshot of FAA SMS maturity in the interest of identifying actions that will evolve safety management across the agency. SMS Committee members were asked to complete a self-assessment on how their Line of Business (LOB) / staff office meets the 52 requirements contained in FAA Order 8000.369B. The Office of Airports Safety and Standards, AAS-001, took a conservative and honest approach in completing the assessment and expressed concern with how the results of the assessment are presented. The assessment was not intended to be a method for comparison among LOBs, but a tool to help LOBs identify focus areas of improvement and next steps for further SMS maturation. The SMS Committee agreed that the end-point (i.e., what constitutes a “top 4” rating) needs to be better defined with objective criteria for determining when the next level of maturity is reached. Because each LOB plays a unique role (e.g., regulatory oversight versus service provider), the end-point and criteria may need to vary for each LOB respectively to be of value. While the Air Traffic Organization (ATO) owns the operation of air traffic itself (e.g., employs controllers, owns Air Traffic Control (ATC) equipment, authors ATC procedures), other LOBs possess a limited, secondary ability to control ATO operations (e.g., through writing safety requirements for service providers). The SMS Committee supported the idea of a recurring self-assessment to demonstrate and map SMS improvement each year. If an outside entity (e.g., the Office of the Inspector General) were to audit SMS maturity, the results of the SMS Self-Assessment would be available for review.

Future Significant Safety Issue Discussion

The discussion from the last SMS Committee Meeting regarding Lessons Learned was continued. The FAA Significant Safety Issue (SSI) selection process is straight forward and robust but is inherently dependent on internal LOB processes



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for determining candidate issues (which are submitted annually). The process is used to determine how resources should be allocated (i.e., which safety issues should receive focus) for Safety Risk Management work (not for mitigation). At the time when candidate issues are submitted, only a Preliminary Hazard Analysis can be provided; the agency should explore ways of making the SSI selection process more data-driven (e.g., using information derived from safety assurance processes).

The group identified the following intentions:

- Address issues from a safety risk perspective; support the targeting of resources to mitigate issues with the highest safety risk.
- Limit duplication of efforts; unify resources where there is overlap.
- Collectively assess whether additional actions can be taken for issues that cross LOBs.

“Pop-up” issues have been filtered through the Safety Collaboration Team (SCT) for safety analysis as they arise; however, the biggest challenge for the SCT is gathering stakeholder resources quickly enough to conduct SRM and/or conduct more than one safety analysis simultaneously. The SMS Committee agreed that the SSI selection process needs to provide flexibility to assess issues in real time instead of on a calendar-based schedule.

Actions

All: Share Lessons Learned and feedback on the SSI selection process with Chris Pokorski by 2/24/17.

All: Review the SMS Self-Assessment findings and identify steps to advance SMS maturity to the next level by 2/24/17.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Federal Aviation Administration Safety Management System Committee Meeting
Tuesday, February 21, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Federal Aviation Administration Safety Management System Executive Council Briefing Review

The Federal Aviation Administration (FAA) Safety Management System Executive Council (EC) Meeting was held on Wednesday, March 1, 2017. The Office of Primary Responsibility for each Significant Safety Issue (SSI) briefed executives.

Fiscal Year 2017 FAA SSI Status Update – Current efforts are being reviewed to identify areas of overlap when addressing safety issues and to provide resources and attention to those not being addressed. The Office of Accident Investigation and Prevention will assist in entering information pertaining to the Pilot Reports SSI into the Hazard Identification, Risk Management, and Tracking (HIRMT) tool.

Risk-Based Decision Making FY17 Business Plan – SI-1: The Safety Data Analysis Team (SDAT) charter is being revised and solidified. HIRMT has been updated and the next step is to ensure it is aligned with the current version of FAA Order 8040.4, *Safety Risk Management Policy*.

Actions



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

The final version of the EC briefing was distributed on February 24, 2017.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, March 7, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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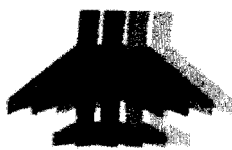
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NOTES:

Safety Performance Management Framework and Risk Picture

Mark Liptak of the Accident Investigation and Prevention (AVP) Safety Performance Management Branch, AVP-310, revisited the issue of the Safety Performance Management Framework and Risk Picture, which was presented by Amer Younossi the year prior. Several documents (e.g., the US State Safety Program document) necessitate monitoring and measuring the US aviation system's safety performance.

Building upon outputs from the Safety Management International Collaboration Group, AVP-310 is leading an effort to improve the FAA's capability for safety assurance work at the system-level. The output will help decision-makers establish and monitor clear safety objectives for the U.S. in both the oversight and Air Navigation Services Provider functions.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

[REDACTED] AVP-310 will closely examine the results from the FAA-wide FAA Order 8000.369, *Safety Management System* self-assessment to determine process-entry points that require improvement.

AVP-310 plans to issue a periodic report upon having material of reportable value that is sufficiently populated with data. The current task is to establish the Risk Picture by quantifying safety performance and improving awareness of leading indicators. Additional work must address other framework components, safety objectives, analyses, and acceptability criteria. To discuss funding at this time, however, is premature.

Safety Assessment Request for Safety Collaboration Team

At the end of March, the Safety Collaboration Team (SCT) will provide Subject Matter Expertise (SME) and Safety Risk Management (SRM) support for the panel assessing risk associated with Class B Airspace Excursions. As a follow-on to that effort, the Office of Next Generation Air Transportation System (ANG) Safety Management Branch, ANG-B32, recommended that the SCT provide SMEs to support the Integrated System Safety Assessment (ISSA) of the NextGen On-Demand NAS Information Portfolio Operational Improvement (OI) 101103 to provide interactive flight planning from anywhere.

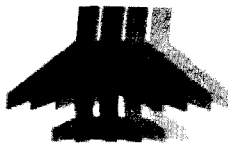
Young Lee, Manager of the Enterprise Safety Branch, ANG-B32, explained that while conducting an ISSA is similar to applying SRM, the main difference is that the scope of an ISSA spans multiple systems (i.e., rather than SRM, which focuses on just one individual system). ANG-B32 applied a refined version of the FAA Significant Safety Issue (SSI) Identification Process and selected OI 101103 from the planned NAS changes for ISSA. ANG-B32 will serve as the Office of Primary Responsibility and will facilitate the conduct of an ISSA for OI 101103. The overall output of this effort will be an ISSA Report, a living document containing:

- Hazard information for stakeholders such as Fault Tree Analyses and event sequence diagrams (i.e., more detail than the traditional Hazard Analysis Worksheet).
- Potential safety risks and how they may impact fatal accident rates.
- Feedback to update NAS Enterprise Architecture artifacts (e.g., Requirements Documentation, etc.).
- Knowledge for decision makers regarding safety risks/benefits associated with a portfolio to help focus resources.

ANG-B32 is currently developing a skeleton model of the OI 101103 environment and will hold a group session at the end of April to validate the information. SME support from the SCT will be needed during the summer of 2017 through the end of the year. The ISSA report for the OI 101103 will be completed in August 2017. Paula Martinez requested that hazard information from the ISSA report be entered into the Hazard Identification Risk Management and Tracking (HIRMT) tool.

Actions (All)

1. **All:** Share the "Developing the Safety Performance Management (SPM) Risk Picture for FAA" briefing within your organization; direct any questions to Mark Liptak before the next meeting.
2. **All:** Share Lessons Learned and challenges regarding Safety Management System implementation at the next meeting.
3. **All:** Regarding Executive Council meetings, Lines of Business must provide slide changes and notify AVP of who will brief material to executives, well in advance.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, March 21, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Safety Data and Analysis Team

Outputs from the 2014 Federal Aviation Administration (FAA) Strategic Initiative (SI) activities have enabled the establishment of a cross-organizational team of safety analyst stakeholders known as the Safety Data and Analysis Team (SDAT). Due to both technical and cultural challenges, the FAA currently has a stove-piped approach to data analysis. SDAT aims to improve data standardization, access, and integration across Lines of Business (LOBs) to enable more data-informed and risk-based decision making. SDAT will provide research to facilitate restructuring of the way the FAA currently collects, organizes, shares, and uses data to understand safety risk. Tactical teams will be available to support organizations performing safety risk management and safety assurance functions.

The SDAT concept has been approved by the FAA Safety Management System (SMS) Executive Council and SI-1 executive sponsors. A copy of the charter was provided to the FAA SMS Committee members to review and brief to their executives. The charter will require a signature from both the FAA SMS Committee and FAA SMS Executive Council members in each LOB. The charter identifies resources and a signature indicates commitment to provide them. Peggy Gilligan, Associate Administrator for Aviation Safety, has been involved in the development of the SDAT charter and the goal is to have it signed before she retires on Friday, March 31, 2017.

FAA Order 8000.369, Safety Management System, Self-Assessment

The discussion regarding the FAA Order 8000.369 self-assessment continued from the last FAA SMS Committee meeting. The FAA SMS Executive Council was briefed on the general results of the self-assessment (i.e., not LOB-specific) and focus areas for improvement, which included mostly safety assurance functions. The committee acknowledged that LOBs will need to work together to make improvements in the focus areas; possible challenges discussed included:

- A lack of consistency regarding the way safety data are used throughout the agency,
- Each LOB has its own methods for performing safety assurance functions,
- The acceptable level of safety performance varies across LOBs,
- Safety data does not integrate well across LOBs, and
- There is a common hazard tracking system (however, the extent to which it is being used is unknown).

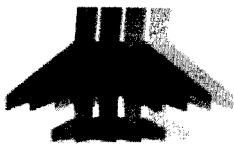


FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Mark Liptak of the Accident Investigation and Prevention (AVP) Safety Performance Management Branch, AVP-310, is leading an effort to improve the FAA's capability for safety assurance work at the system-level. The output will help decision makers establish and monitor clear safety objectives for the US in both the oversight and Air Navigation Services Provider functions, which is expected to help improve focus areas. Additionally, SDAT will help fill safety assurance gaps by improving the validity and consistency of data used to measure safety performance.

Actions (All)

1. Review the draft SDAT charter dated March 10, 2017; brief executives on content and provide approval signatures to Paula Martinez as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, April 4, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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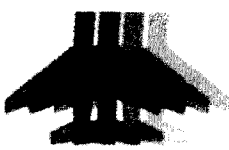
NOTES:

ALR Evaluation Team Update

The anticipated increase in commercial space launch operations (including flybacks to land and barges) has created unique challenges for both the Air Traffic Organization (ATO) and the Office of Commercial Space Transportation (AST) with regard to their different methods for risk tolerance and determining the likelihood of catastrophic events.¹ Because the ATO risk tolerance level is lower than that of AST, a larger Aircraft Hazard Area (AHA) is required during launches, resulting in an unacceptable impact to efficiency. This is a complicated issue, as the size and location of the AHA is currently based on an analysis of where the spacecraft is at any given moment and where the debris are expected to fall if the spacecraft were to explode (i.e., on the ground and/or through the air). Both organizations have been working together to understand and devise means to mitigate the risk to a level that allows both to operate safely in the National Airspace System.

As a means to bridge the gap between standards, the ATO proposed the Acceptable Level of Risk (ALR) concept for commercial space launch operations. The ALR concept allows for an increased risk tolerance (i.e., smaller AHA) for commercial space launches, until mitigations can be implemented to reduce the risk. The Federal Aviation Administration (FAA) Safety Management System (SMS) Executive Council approved application of the ALR concept for commercial space launch operations for a period of six months. An ALR evaluation team (under the Safety Data and Analysis Team [SDAT]) was established to evaluate the ALR approach and develop a long-term solution for commercial space launch integration. The ALR evaluation team has been exploring mitigations such as limiting the angle or speeds at

¹ The maximum acceptable likelihood of AST is "less than 1 occurrence of debris hitting an aircraft requiring hospitalization per 1,000,000 (E-6) individual operations." On the other hand, the ATO recently validated its maximum acceptable likelihood of "less than 1 fatal accident per 1,000,000,000 (E-9) individual operations" using 30 years of data.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

which aircraft traverse the AHA. Findings and recommendations will be documented in a report and briefed to the FAA SMS Executive Council in June.

Class B Excursions Safety Risk Management Panel Update

The ATO and the Air Traffic Safety Oversight Service approached the Safety Collaboration Team (SCT) to perform a safety analysis regarding the recent surge in detected Class B excursion events (e.g., transport-category aircraft operating within Class B airspace unintentionally exiting and re-entering Class B airspace during their climb or descent). Data and other reports have shown that a loss of separation typically does not exist since another aircraft is rarely nearby. A safety risk management panel convened on March 29–31 and identified two hazards for which data to establish likelihood were lacking. Additional data (i.e., event data correlated with Air Traffic Safety Action Program reports) are being collected and the panel will reconvene to assess likelihood before the end of June.

Agency-Level Identification of Significant Safety Issues

[REDACTED]

The FAA SMS Committee decided to direct the Class B Excursion issue to the SCT rather than amend the FY17 SSI List that had already been approved by the executives. Currently, two methods are used to address Agency-level safety issues:

1. **On Demand:** Risk analyses are conducted on an as-needed basis through the SCT and are not subject to the annual SSI timeframe. The SCT is able to perform an on-demand risk assessment fairly quickly, which allows the agency flexibility in reacting to emerging safety issues in real-time.
2. **Analysis of Data:** Risk analyses are conducted through the SSI process and are subject to the annual SSI timeframe. By looking at the system, safety issues are identified and submitted annually as SSI candidates, enabling the agency to prioritize risk assessment and mitigation efforts based on workload. However, the timeline can limit flexibility to respond to issues that require immediate attention. A centralized entity responsible for monitoring Agency-level data for safety issues would strengthen this method.

Chris Scott assured the committee that the Next Generation Air Transportation System plans to submit safety issues to be addressed by the SCT, with at least one per year. The ATO Top 5 Program has implemented a continuous, “rolling” approach to hazard identification and mitigation (similar to the National Transportation Safety Board Most Wanted List) and favors the “On-Demand” option. The committee reached consensus that both methods are needed but agreed that an evolution of the ATO Continuous Top 5 Program for the Agency-level safety issues would be valuable.

Actions (All)

1. Review the draft SDAT Charter dated March 10, 2017; brief executives on content and provide approval signatures to Paula Martinez as soon as possible.
2. Share Agency-level safety issues with the committee, even those for which a given member’s organization is not the Primary Office of Responsibility.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, May 2, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Significant Safety Issue and Safety Data and Analysis Team Charter Update

“Safety Issue (SI)” has replaced the term “Significant Safety Issue.” SIs will be presented quarterly at the Safety Management System (SMS) Executive Council meetings; the next meeting is scheduled for Wednesday, June 7. The Office of Primary Responsibility for each SI will be expected to brief their respective SI. The committee agreed that collaborative effort to identify, assess, and mitigate safety risks that cross Lines of Business (LOBs) (e.g., Unmanned Aircraft Systems) is needed.

The Fiscal Year (FY) 2017 Runway Incursion (RI) SI panel has been scheduled for Tuesday, May 23, through Thursday, May 25 in Alexandria, Virginia. Approximately 15–20 panel members representing organizations both internal and external to the Federal Aviation Administration (FAA) are expected to attend, and RI data through 2016 has been gathered. The Air Traffic Organization (ATO) will solicit the assistance of the FAA SMS Committee if stakeholder organizations fail to provide representatives for the panel. The FY17 In-flight Pilot Report Collection and Dissemination SI and the RI SI briefings are being reviewed by Safety and Technical Training senior management and will be ready prior to the deadline of Wednesday, May 10.

At the next SMS Committee meeting, Lona Saccomando with the Accident Investigation and Prevention (AVP) Safety Performance Management Branch, AVP-310, will deliver a briefing regarding a proposed prototype for next year in how we identify safety issues at the FAA level.

Signatures for the SDAT charter have been received from the majority of LOBs.

Acceptable Level of Risk Evaluation Team Update

The Acceptable Level of Risk (ALR) Evaluation Team (established under SDAT) has developed a draft report on their findings and recommendations related to reviewing the ALR concept. They used the ATO Safety Risk Management (SRM) document pertaining to the Commercial Space effort (with flybacks to land and barge) as an input. [REDACTED]



Proposed FY18 Business Plan Targets

Actions (All)

1. Review the proposed FY18 BP targets and submit feedback to Paula Martinez as soon as possible.
2. Verify attendance for the next SMS Executive Council meeting on Wednesday, June 7, and submit to Paula Martinez as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, May 30, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Federal Aviation Administration Order 8040.4 and Cross-Line of Business Safety Risk Management Guidance

Accident Investigation and Prevention (AVP) Strategic Management and Planning, AVP-300, is updating the Federal Aviation Administration (FAA) *Guidance for Coordinating Cross-LOB Safety Risk Assessments* document to align with the latest version of FAA Order 8040.4, *Safety Risk Management Policy* (issued on May 2, 2017). They will also update the other SRM guidance documents on the Intranet site. Based on what comes out of the Acceptable Level of Risk (ALR) Evaluation Team, 8040 and/or the guidance may need to be updated.

FAA Safety Management System Executive Council Meeting

The FAA Safety Management System (SMS) Executive Council meeting is scheduled for Wednesday, June 7, 2017. The Office of Primary Responsibility (OPR) for each of the three Fiscal Year (FY) 2017 FAA Safety Issues (SIs) will present an update. Prior to the SMS Executive Council meeting, each LOB is expected to pre-brief their executives. Scott Van Buren, AVP-300, is available this week to assist with pre-brief executives regarding the ALR topic.

ALR Discussion

During commercial space launches, nearby commercial service airports are forced to shut down to protect the Aircraft Hazard Area (AHA) (e.g., launches out of Cape Canaveral, Florida can temporarily close four of the nearby commercial service airports). Commercial Service Providers (i.e., air carriers) are a primary user of the National Airspace System (NAS).

The SDAT-ALR Tactical Team's focus was on safety impact only. Initial planning has begun for Safety Risk Management (SRM) panel, and the standard that will be used during the assessment remains undecided (i.e., ALR or that of the Air Traffic Organization [ATO]).



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

The ALR Tactical Team evaluated the ALR approach and determined a list of recommendations. [REDACTED]

[REDACTED]

FY17 SI Discussion

The Runway Incursion (RI) SI SRM panel convened last week (May 23–25, 2017) and follow-on work includes an evaluation of Categories A, B, and C RIs to determine contributing factors involving controllers, pilots, and vehicles/pedestrians. The analysis included all towered airports in the NAS, some of which are non-Part 139 airports. Proposed safety requirements are expected to produce a safety benefit, but the FAA has a limited ability to levy requirements upon non-Part 139 airports. One possible resource to help implement mitigations is the General Aviation Joint Steering Committee (GAJSC), a public-private partnership working to improve general aviation safety. The SRM document is still being drafted. The HAWs are out for review, but no comments have been received.

Efforts to address the known deficiency throughout the NAS regarding the solicitation and dissemination of Inflight Pilot Reports (PIREPs) are continuing and dynamic. The National Transportation Safety Board (NTSB) Special Investigation Report (SIR) adopted March 29, 2017, contains thirteen FAA recommended actions, six of which are already underway. If the FAA chooses to implement the remaining seven recommendations, the NTSB SIR will help identify resources. An SRM assessment will only be conducted as necessary, given that an assessment was already conducted through the ATO Top 5 Program. The safety analysis will be entered into the Hazard Identification and Risk Management Tracking Tool.

The Potential of Carry-on/Checked Consumer Electronics to Cause Fire/Heat/Smoke Incident SI SRM document is currently out for OPR acceptance and peer-review signature.

Class B Airspace Excursion Issue

The Safety Collaboration Team conducted a safety risk assessment of the hazards associated with Class B airspace excursions throughout the NAS. There was a lack of sufficient data to determine the likelihood of the hazard's effects.

[REDACTED] AVP-310 is briefing the JIMDAT to get their support in determining the likelihood.

Actions (All)

1. Submit any changes to the FAA SMS Executive Council briefing to Sue King as soon as possible.
2. Review the proposed FY18 Business Plan targets and submit feedback to Paula Martinez as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, June 20, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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Safety Issue Identification Process Discussion

A team led by the Office of Accident Investigation and Prevention (AVP) is developing a new safety issue identification process for cross-Line of Business (LOB) issues that are not already being addressed via other means. This on-demand process is under development. [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

The team will conduct a “table-top” exercise to test the validity and feasibility of the new process by the end of August 2017. The results of this exercise will be presented to the FAA SMS Committee by the end of September 2017. The ability to analyze safety data and identify issues at the FAA level is paramount to the success of the new process; the use of the Hazard Identification, Risk Management, and Tracking (HIRMT) tool is being considered to support this function.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

Out-Brief of the FAA SMS Executive Council Meeting

Discussion during the FAA SMS Executive Council meeting held on Wednesday, June 7, 2017, primarily focused on the application of the Acceptable Level of Risk (ALR) concept. It was the report out for phase 1 of the project—interaction of commercial space flyback operations with air traffic. Phase 2 is interaction of all commercial space operations with air traffic and phase 3 is all situations involving two or more LOBs with different standards for acceptable risk.

[REDACTED] The ALR Tactical Team meets every Thursday and plans to explore the possibility of categorizing missions generically [REDACTED] to evaluate the application of ALR. [REDACTED]

The FAA SMS Executive Council also discussed the use of separate hazard tracking tools at both the Agency and LOB levels; they concluded that further discussion regarding the insufficient use of HIRMT at the LOB level is required.

NextGen Safety Day

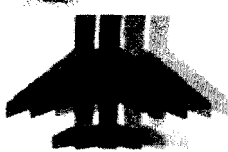
The second annual NextGen Safety Day will be held at the end of September (tentatively September 20) in Washington, DC. The target audience is safety practitioners; FAA SMS Committee members are encouraged to attend.

Safety Management–Related Changes

Lona Saccomando will replace Scott Van Buren as one of the tri-chairs leading the Safety Collaboration Team. Amer Younossi is leaving AVP-300 after nearly 10 years of safety management work to become the Deputy of the Aircraft Certification Service – International Division, AIR-400.

Actions (All)

1. Review the proposed Fiscal Year 2018 Business Plan targets and submit feedback to Paula Martinez as soon as possible.



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

FAA SMS Committee Meeting
Tuesday, July 18, 2017
1:00 PM–2:00 PM, FOB 10A Room 840

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NOTES:

Wrong Surface Landing Safety Issue

Last week's event at San Francisco International Airport, involving ACA759 nearly landing on an occupied taxiway, demonstrates the pervasiveness of the wrong surface landing safety issue. Prior to this event, there have been several other occurrences: From Fiscal Year (FY) 2012 through FY14, there have been 152 events involving an attempted and/or completed wrong surface landing. The definition of a wrong surface landing excludes situations in which the pilot has declared an emergency.

During October and November of 2016, the Air Traffic Organization (ATO) convened a cross-organizational group to assess the safety risk associated with wrong surface landings [REDACTED]

[REDACTED] The Federal Aviation Administration (FAA) Safety Management System (SMS) Committee has since received a request to assemble a cross-LOB safety team to perform an assessment of what has become a high-profile safety issue. [REDACTED]

[REDACTED] The ATO agreed to share any relevant information in support of the SCT's assessment.

The next steps are for the SCT to recommend an Office of Primary Responsibility (OPR), identify Safety Risk Management (SRM) facilitators, and assemble the assessment team. [REDACTED]



FEDERAL AVIATION ADMINISTRATION SAFETY MANAGEMENT

[REDACTED]. The SCT will brief its recommendation for the OPR at the August 1, 2017, meeting.

Class B Airspace Excursions Safety Assessment Team Status

[REDACTED] In light of the potential availability of additional data and information from the Commercial Aviation Safety Team, the SCT has requested that the SRM Team pause its safety assessment at severity classifications. All pertinent data collected thus far will be provided to the Issue Analysis Team (IAT) for consideration. If the IAT elects to share their data (including Flight Operational Quality Assurance data), the SCT will reconvene the Class B Excursions SRM Team to analyze the additional dataset and make likelihood determinations. If additional data are not available/shareable, the SRM Team will use previously obtained data or subject matter expertise to finalize the risk assessment.

In the past, there have been situations in which LOBs have refused to sign final risk assessments because they disagree with the safety requirements. [REDACTED]

[REDACTED] The FAA SMS Committee unanimously agreed that there is a need to preserve the integrity of the safety assessment portion of the analysis and that mitigations must be developed at some point; however, there was debate regarding the most effective way to achieve this. [REDACTED]

- [REDACTED]
- [REDACTED]
- [REDACTED]

Paula Martinez advised that more discussion is needed to make a determination. In the meantime, the SRM Team should proceed with their assessment of the issue.

Hazard Identification, Risk Management, and Tracking Executive Council Briefing

A request was made for a presentation to the Executive Council (EC) and Business Council (BC) on the use of Hazard Identification, Risk Management, and Tracking (HIRMT) system (e.g., the intended use of HIRMT, how HIRMT is being used today, and to what extent executives can use HIRMT). HIRMT continues to be the Agency-wide tool for hazard identification, risk management, and tracking. Cross-LOB safety issues should be logged as soon as they are identified, as HIRMT was designed to support the real-time entry of safety analyses as opposed to post-analysis entry. The EC/BC briefing has not been scheduled yet, but will most likely take place in September. The next FAA SMS Executive Council Meeting is scheduled for Wednesday, September 6, 2017, at 10AM, with prep on August 28.

Safety Management News/Issues

The Acceptable Level of Risk (ALR) Tactical Team has begun Phase 2—the use of ALR for the interaction of all commercial space operations with air traffic. Phase 2 is more complex than Phase 1 and the September 2017 deadline may need to be pushed out. In regards to the Office of Hazardous Materials significant safety issue, they are waiting for the Transportation Security Administration to decide whether it will ban laptops aboard aircraft before moving forward with finalizing their assessment.

Actions

Michael Virga (ATO) – Provide a status update for wrong surface landing corrective activities and any pertinent information gathered or developed thus far.