

SAS: Saying It Simply

Basic concepts of the AFS Safety Assurance System

Explaining the AFS Safety Assurance System (SAS) to employees and others can be challenging. It's an evolution of our current oversight systems, and it has many technical elements. This calendar includes simple statements you can use to help employees understand basic concepts related to the AFS SAS.

We should all understand these concepts before we learn more about the AFS SAS, so please share with your staff what you learn in this calendar throughout the year.

By understanding these fundamentals, employees will be able to build their understanding as we build the AFS SAS.



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Introduction

What to highlight when discussing oversight

How to say it simply:

- Today, inspectors use different tools to conduct surveillance and certification of each CFR Part. For example, Part 121 certificate management teams use ATOS, yet other Parts use tools like SEP or NPG
- You'll still perform surveillance and certification in the future, but Parts 121, 135, and 145 – and eventually all other Parts – will use the same system: the AFS SAS, or Safety Assurance System
- The AFS SAS is being designed to keep the best of what works today (for example, Design Assessments and Performance Assessments) and enhance areas that need improvement
- When talking about the AFS SAS, “system” doesn't simply mean “computer system”. A system includes people, processes, and technology
- AVS will implement a common, integrated safety management system – the AVSSMS – to provide a system safety approach to the safety management and safety oversight responsibilities of AVS services and offices; the AFS SAS fulfills the Safety Assurance component of the AVSSMS

AFS SAS

Flight Standards Safety Assurance System



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SASO - System Approach for Safety Oversight (AFS-30)
<http://www.faa.gov/about/initiatives/saso/>

What is system safety?

How to say it simply:

- We have been using system safety principles for a long time – for example, ATOS is built on system safety
- System safety means continuously applying both engineering and management principles to make an organization as safe as possible, within time and cost constraints

Specific to AFS:

- For AFS, the next logical step in the evolution of system safety is moving to risk-based oversight of all CFR Parts
- Based on system safety, the AFS SAS will help you prioritize oversight activities by focusing on areas with the most risk

Explain with this example:

- Our traditional approach looks at the safety of products and process outputs (does a tool have a current calibration sticker?). System safety recognizes the need to evaluate the management elements needed to control risks (is there a process to ensure only calibrated tools are used during maintenance?). This reinforces the balance of evaluating processes and confirming products



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What is SMS?

How to say it simply:

- SMS stands for Safety Management System
- SMS is a set of management decision-making processes to help an organization manage its safety

Any SMS has 4 components:

- **Policy** establishes senior management's commitment to continually improve safety, and defines the methods, processes, and organizational structure needed to meet safety goals
- **Safety Risk Management (SRM)** means identifying hazards, analyzing and assessing their associated risks, and developing and using risk controls
- **Safety Assurance (SA)**, which we'll talk about next month, evaluates the continued effectiveness of implemented risk control strategies, and supports the identification of new hazards
- **Safety Promotion** includes actions to create a positive safety culture within all levels of the workforce, characterized by, for example, communications, training, decision making and information sharing

AFS SAS

Flight Standards Safety Assurance System



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What is safety assurance?

How to say it simply:

- Safety assurance looks at how well an organization manages its safety – now and in the future – and helps continue to find new hazards

Specific to AFS:

- While we already perform safety assurance, the AFS SAS will give us better tools and processes, and a more standard way of doing it
- Right now, Part 121 uses ATOS for safety assurance. In the future, all of AFS will use the SAS (which we expect to begin in 2013 with Parts 121, 135, and 145)

Explain with this example:

- For AFS, safety assurance is performed by ASIs



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AFS SAS

Flight Standards Safety Assurance System

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What is the AFS SAS?

How to say it simply:

- The AFS SAS will help us oversee – that is, perform certification and surveillance of – applicants and certificate holders in the future
- The AFS SAS is the combination of people, processes, and technology that will make up the way AFS performs safety assurance
- The AFS SAS will provide a more consistent and effective way to make sure that risk controls are working
- The AFS SAS fulfills the Safety Assurance component of the AVSSMS
- Your AFS colleagues have been very involved with shaping how the SAS will work
- The FAA will still ensure certificate holders comply with regulations

Explain with this example:

- Many of the functions you perform today in certification and surveillance will continue in the AFS SAS

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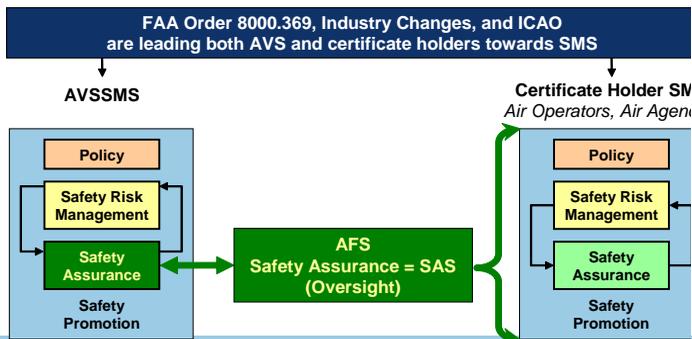


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How does SMS connect to the SAS?

How to say it simply:

- AVS will have its own SMS that will focus on the safety of the National Airspace System (also known as an "internal" SMS)
- Certificate holders may also have an SMS that will focus on their safety (frequently called an "external" SMS)
- The AFS SAS will be our oversight system for Part 121, 135, and 145 certificate holders, and eventually all other Parts



AFS SAS
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How will the AFS SAS scale oversight?

How to say it simply:

- The AFS SAS will accommodate and manage the differences in Parts, and the differences even within Parts
- The AFS SAS will appropriately scale oversight, understanding that one size will not fit all
- The SAS will allow AFS to target resources to the areas with the most risk

Explain with this example:

- The AFS SAS will adapt for the oversight of all types of certificate holders – from a small operator with one aircraft to an air carrier with a large fleet

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How will the AFS SAS affect the workforce?

How to say it simply:

- Inspectors will continue to conduct certification and surveillance activities to assure certificate holders comply with regulations and manage risk effectively
- The AFS SAS offers the ability to share data, collaborate, and integrate voluntary programs, such as internal evaluation and aviation safety action programs

Specific to the AFS SAS:

- The AFS SAS will equip you with tools to assess the health of certificate holders' systems and assure they effectively control and manage risk
- The AFS SAS is being designed to reduce the number of IT data systems we have to enter data into, and retrieve data from
- Unlike some new systems, you will get training before the AFS SAS is implemented

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How can I help my staff as a manager?

- Be prepared for uncertainty on these concepts and encourage employees to ask questions
- If you aren't sure how to address a question, refer staff to the Questions & Answers page of the SASO Web site or contact the SASO PO for help <http://www.faa.gov/about/initiatives/saso/qa/>
- Use the talking points in this calendar often to reinforce basic concepts; update staff on progress designing the AFS SAS
- Be consistent in your words and actions and your staff will follow your example
- Take the time to walk around your office. When you do you become more approachable, you get information first hand, and it helps you see how change is really affecting your employees
- Ask your staff how we can do things better and what information they need – it's a lot easier to get employee support if they have the opportunity to participate in the discussion
- Encourage your staff to visit SASO's Web site and subscribe to the SASO newsletter <http://www.faa.gov/about/initiatives/saso/news/>

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Where can I get more information?

- **FAA Order 8000.369, Safety Management System Guidance**
<http://www.faa.gov/documentLibrary/media/Order/8000.369.pdf>
- **SASO Web site**
<http://www.faa.gov/about/initiatives/saso/>
- **Contact the SASO Program Office**
9-AWA-AFS-30-SASO@FAA.gov



What is SASO?

- AFS established the System Approach for Safety Oversight (SASO) Program Office (AFS-30) to develop and implement a comprehensive system safety approach to the oversight of all aviation entities
- SASO is currently working to develop the AFS SAS using:
 - *Business Process Re-engineering* to re-design current oversight processes and fill the gaps in these processes with system safety principles
 - *Systems Alignment* to ensure that tools and technology are designed in support of these oversight processes
 - *Enterprise Architecture* to integrate the tools and processes into the Aviation Safety (AVS)-wide enterprise management
 - *Change Management* to ensure that business process changes are facilitated by the transfer of knowledge, skills, tools, processes, systems, and methods for all stakeholders involved in the changes

