Federal Aviation Administration

Change Management & Safety Risk Management Teams

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Change Management

- Purpose
  - Ensures desired outcomes without compromising safety
- Benefits
  - Greater understanding of changes across the organization
  - Achieves expected benefits through stakeholder engagement
- Outcomes
  - Minimizes perceived negative impacts and risks
  - Delivers expected benefits ideally within budget and schedule

Change Management: Common Steps

1. Define the Change
2. Identify Key Stakeholders
3. Align Change
4. Assess the Change
5. Develop and Implement an Action Plan
6. Continuous Monitoring
7. Review the Change

ADKAR Model

Awareness: Leading people to see the need for change

Desire: Instilling the desire for change

Knowledge: Providing employees with the information or skills they need to achieve change

Ability: Applying knowledge and skills to bring about change

Reinforcement: Making sure that people continue to use new methods

What is an SMS?

- **Safety Management System (SMS):**
  - The formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls
  - Includes systematic procedures, practices, and policies for the management of safety risk

The Four SMS Components

Safety Policy

Establishes senior management's commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet safety goals
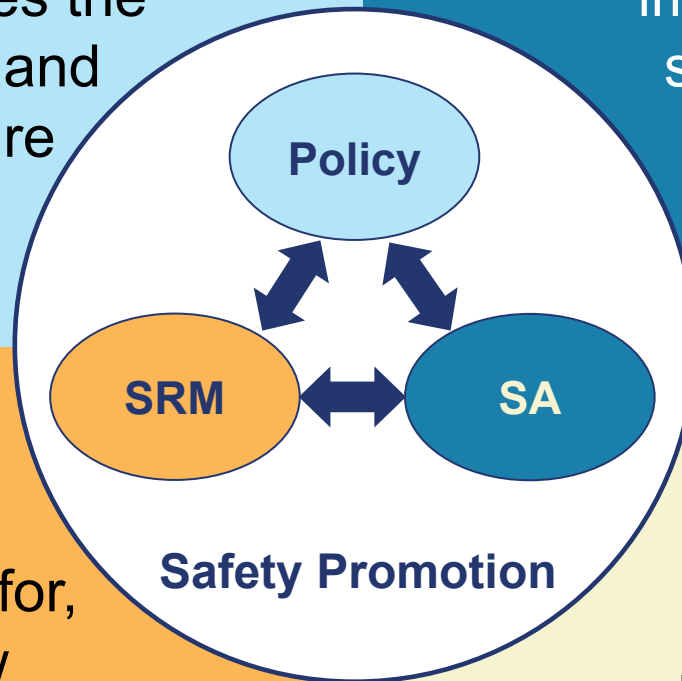
Safety Assurance

Monitors and evaluates the continued effectiveness of implemented risk control strategies; supports the identification of potential hazards or ineffective controls

Safety Risk Management

Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk
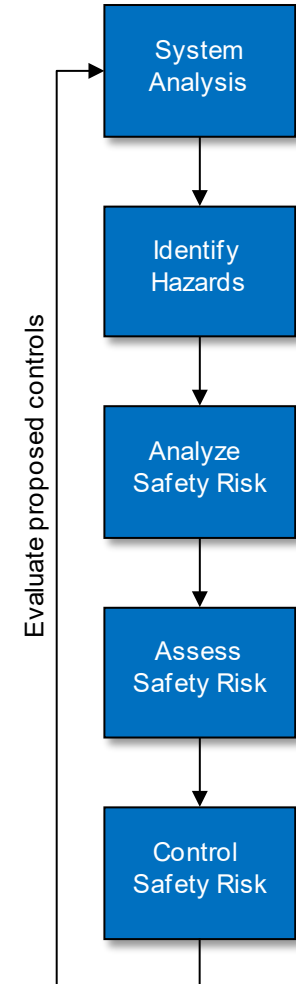
Safety Promotion

Includes training, communication, and other actions to create a positive safety culture within all levels of the workforce

Policy

SRM

SA

Safety Promotion

SRM Overview

- Triggered by planned changes and potential FAA-level safety issues

  - SRM is a form of change management

- Formalized, proactive approach to system safety

- SRM Team convenes to conduct the SRM Process

  - Means to identify, analyze, assess, and control safety risk in the aerospace system

  - Five step process provides supporting information for decision-makers

System Analysis

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Identify Hazards

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Analyze Safety Risk

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Assess Safety Risk

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Control Safety Risk
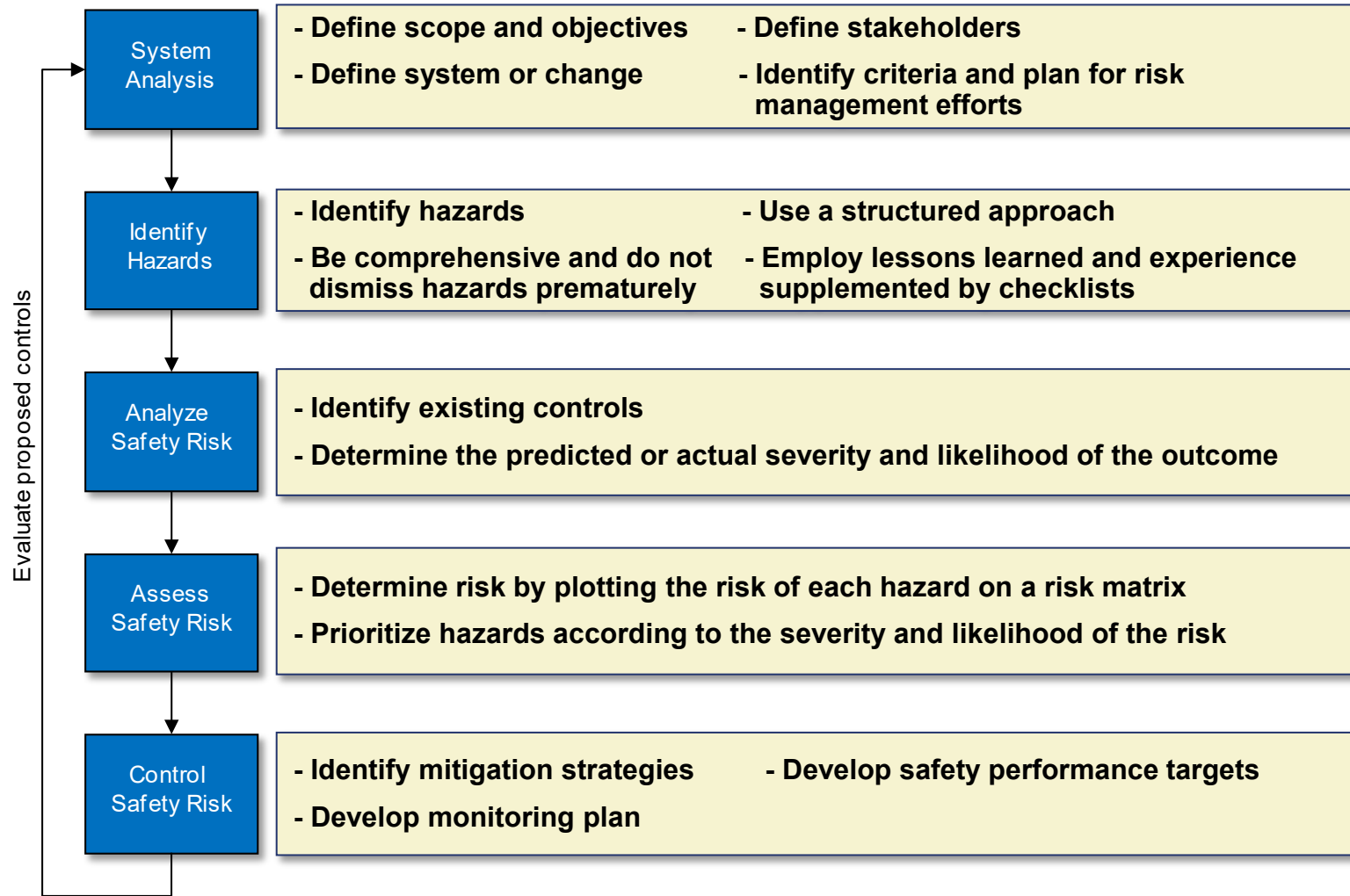
Evaluate proposed controls

SRM Teams

- Includes representatives from various organizations affected by the safety issue
  - Internal stakeholders across FAA
  - External stakeholders

- Comprises the following:
  - SRM Team Members
    - Conducts SRM on the safety issue
    - Objectively examines and assesses potential safety risk of the safety issue or change and associated hazard(s)
  - Observers
    - Seeks to gain additional knowledge on the safety issue
    - Attends meetings but does not participate in SRM Team discussions or decisions unless called upon

SRM Process

System Analysis
- **Define scope and objectives**
- **Define system or change**
- **Define stakeholders**
- **Identify criteria and plan for risk management efforts**

Identify Hazards
- **Identify hazards**
- **Be comprehensive and do not dismiss hazards prematurely**
- **Use a structured approach**
- **Employ lessons learned and experience supplemented by checklists**

Analyze Safety Risk
- **Identify existing controls**
- **Determine the predicted or actual severity and likelihood of the outcome**

Assess Safety Risk
- **Determine risk by plotting the risk of each hazard on a risk matrix**
- **Prioritize hazards according to the severity and likelihood of the risk**

Control Safety Risk
- **Identify mitigation strategies**
- **Develop monitoring plan**
- **Develop safety performance targets**

Evaluate proposed controls

Coordinating Safety Risk Assessments Across FAA

Part of Process	Major Activities
Identifying Safety Issue	• FAA organization conducts Preliminary Safety Risk Assessment and enters information into Hazard Identification Risk Management and Tracking System • Elevate to FAA SMS Committee for decision to assemble a cross FAA SRM Team
Planning SRM	• Conduct initial planning • Establish scope and draft system analysis • Determine and secure SRM Team • Develop and communicate schedule
Conducting SRM	• Hold SRM Team kick-off meeting • SRM Team conduct SRM process • Use appropriate SRM tools in process • Escalate any issues
Documenting and Obtaining Approvals	• Draft/review/finalize Safety Risk Assessment Report • Obtain approval of safety mitigations • Gain safety risk acceptance as needed • Develop Safety Risk Assessment Report Addendum • Create monitoring plan
Monitoring	• Oversee implementation of requirements/mitigations • Monitor safety performance targets • Provide close out summary/briefings to FAA SMS Committee

Integrating SMS & Change Management

- Shared goal of enhancing safety and performance within an organization

- Links between SMS and change management:
    1. Systematic Approach
    2. Stakeholder Engagement
    3. Continuous Improvement
    4. Risk Assessment
    5. Training and Communication

- By integrating change management principles within SMS, organizations can better navigate transitions while maintaining a strong safety culture

Q&A