

What's Happening With SMS?

Keeping Flight Standards and Industry Informed!

June, 2014 Issue

The Four SMS Components

Safety Policy

Safety Risk Management

Safety Assurance

Safety Promotion

SMS Rule Status

Click the link below for the most current information.



[Report on DOT Significant Rulemakings](#)

SMS Pilot Project Will Transition to SMS Voluntary Program

A number of certificate holders have been voluntarily implementing SMS in coordination with the SMS Program Office (AFS-900) since 2007 as part of the SMS Pilot Project (SMSPP). Most all of the part 121 certificate holders and a number of other FAR parts (135, 145, 141, 142) are in some stage of SMS implementation and development under the SMSPP. The standards for SMS implementation under the SMSPP have been Appendix 1 of AC 120-92A which is the ICAO SMS Framework plus a few additional elements that have been included. Discussion has centered around the transition of the SMSPP to a SMS Voluntary Program (SMSVP) when the part 5 rule is published using part 5 as the standard. [\(cont.\)](#)

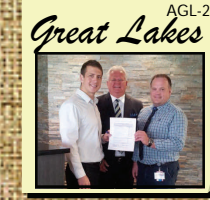
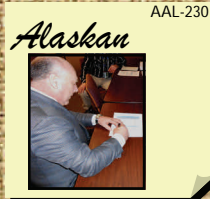
Flight Standards to Begin SAS Deployment

Flight Standards (AFS) will begin deploying its new oversight system, the Safety Assurance System (SAS), in 4 key sights beginning in June, 2014. The key sights include the Delta CMO, San Antonio FSDO, St. Louis FSDO, and Anchorage FSDO. Deployment at the regional offices and headquarters will be between July and September, 2014 and full deployment in the field offices and CMO's will take place between September, 2014 to August, 2015.

SAS is the tool that will be used by Flight Standards to conduct initial certification, routine surveillance, and certificate management for [\(cont.\)](#)

What's Happening in the Regions?

"Click" a sticky note below to get the regional news.



SMS Pilot Project Participants

Pilot Project Participants / Total Certificate Holders

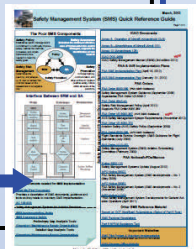
Click links on left side for specific regional information.

	121	135	145	141	142
AAL	5/5	4/280	1/45	0/6	0/0
ACE	5/5	4/145	0/299	0/31	1/28
AEA	11/11	17/333	4/1095	0/102	0/8
AGL	18/18	12/251	3/525	2/64	0/10
ANM	6/7	7/245	0/323	1/87	0/36
ASO	18/18	11/288	4/810	1/100	0/18
ASW	6/6	14/222	4/681	0/84	0/28
AWP	12/12	17/319	2/987	2/119	0/11
All	81/82	86/2083	15/4765	6/593	1/139

SMS Quick Reference Guide

Provides quick and easy access to all of the current SMS Guidance and Tools.

[Click here](#)



Safety Risk Management... what are the 4 triggers?

Certificate holders must apply safety risk management to a system under any of the following conditions:

- Implementation of new systems.
- Revision of existing systems.
- Development of operational procedures.
- Identification of hazards or ineffective risk controls through the safety assurance processes.

NPRM Part 5 (§ 5.51)

Simple SRM



Get More Information at the Following Website!

[AVS Safety Management System](#)

Regulatory Text from [SMS NPRM Part 5](#)

Questions or Comments? [Contact your Regional POC](#)

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Safety Management System (SMS) Quick Reference Guide

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 the safety goals

Safety Assurance

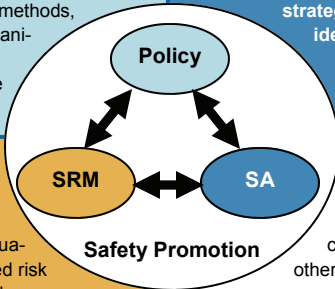
Evaluates the continued effectiveness of implemented risk control strategies, supports the identification of new hazards

Safety Risk Management

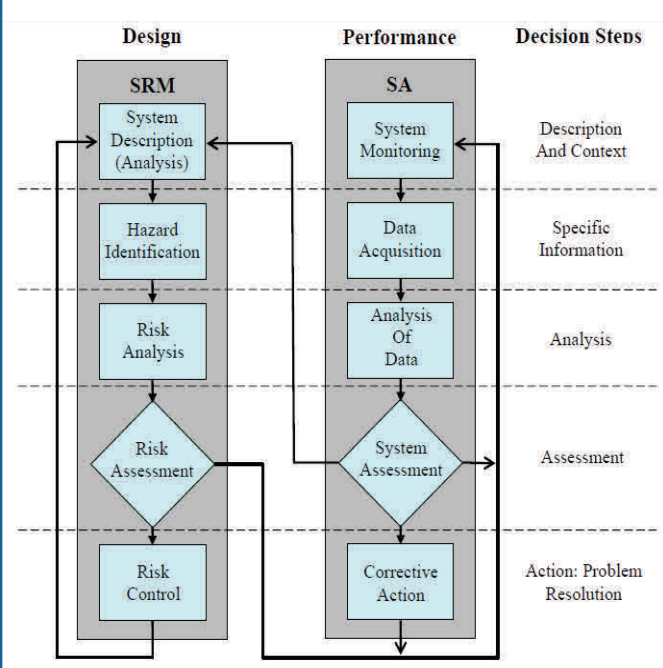
Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk

Safety Promotion

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



Interface Between SRM and SA



Documents needed for SMS Implementation

Read-Me-First Document

Provides a description of SMS documents, guidance and tools as they relate to voluntary SMS implementation.

AC 120-92A

Safety Management Systems for Aviation Providers

SMS Implementation Guide

SMS Assurance Guide

Preliminary Gap Analysis Tools

(Operator) (Maintenance Repair Organization)

Detailed Gap Analysis Tools

(Operator) (Maintenance Repair Organization)

NPRM Part 5 Gap Analysis Tool

(Air Carrier) (Maintenance)

ICAO Documents

[Annex 6, Operation of Aircraft \(Amendment 33-B\)](#)

[Annex 8—Airworthiness of Aircraft \(Amdt 101\)](#)

[Annex 13 \(Amendment 12B\)](#)

[ICAO DOC 9859](#)

ICAO Safety Management Manual (SMM) (3rd edition 2012)

FAA & AVS Implementation Plans

[FAA SMS Implementation Plan](#) (April 16, 2012)

[AVS SMS Implementation Plan](#) (February 21, 2013)

FAA Orders

[FAA Order 8000.369A](#) (FAA SMS Guidance)

Safety Management System Guidance (May 2013)

Supersedes FAA Order VS 8000.1

[FAA Order 8040.4A](#)

Safety Risk Management Policy (April 2012)

Supports FAA Order 8000.369A

[FAA Order VS 8000.367A](#) (AVS SMS Guidance)

AVS Safety Management System Requirements (November 2012)

[FAA Order VS 8000.370A](#)

Aviation Safety (AVS) Safety Policy (April, 2013)

[FAA Order 8000.368A](#) (AFS SMS Guidance)

Flight Standards Service Oversight (SMS Guidance for Flight Standards) (December 2012)

[FAA Order 1110.152](#)

Safety Management System (SMS) Aviation Rulemaking Committee (February 2009)

FAA Notices/InFOs/Memos

[Notice 8900.133](#)

Safety Management Systems Update (August 2010)

[InFO Notice 08022](#)

FAA Safety Management System (SMS developments – No. 1 (May 2008)

[InFO Notice 08053](#)

FAA Safety Management System (SMS developments – No. 2 (November 2008)

[InFO Notice 11010](#)

FAA Safety Management System Developments for General Aviation Operators (April 2011)

Other SMS Reference Material

[Report on DOT Significant Rulemakings \(Status of Part 5 Rule\)](#)

[AFS SMS Newsletter](#)

[Part 5 NPRM Regulatory Text](#)

Important Websites

[SMS Pilot Project & Voluntary Implementation](#)

Note: All of the documents listed are found on this website.

[SMS Program Office Website](#)

Safety Management System Documents and Guidance



Safety Management System (SMS) Quick Reference Guide

SMS Milestones

November 23, 2006	ICAO Annex 6, Part 1 - Directed all member states from January 1, 2009 to require that an operator implement a safety management system (SMS). The FAA has filed a “difference” or notification to ICAO member states of the inability to meet the January 1, 2009 deadline as described in Notice 8900.133 . This Notice, now canceled, provided guidance concerning Approving/Accepting Manuals that contain SMS related processes or references and issues concerning denied entry into foreign airspace for U.S. certificated service providers.
July 23, 2009	Advanced Notice of Proposed Rulemaking (ANPRM) was published in the Federal Register to solicit information on potential rulemaking requiring certain certificate holders and product/service providers to develop a Safety Management System (SMS).
July 28, 2010	HR 5900 bill was introduced as the “Airline Safety and Federal Aviation Administration Act of 2010”. This bill would require all part 121 air carriers to implement a SMS.
August 1, 2010	PL 111-216 . (HR 5900 was signed into law) SEC. 215 SAFETY MANAGEMENT SYSTEMS mandated the Administrator of the FAA to conduct a rulemaking proceeding to require all part 121 air carriers to implement a safety management system. A NPRM was required to be issued not later than 90 days after the effective date of this law. A final rule must be issued not later than 24 months after the effective date of this law.
November 5, 2010	Notice of Proposed Rulemaking Safety Management Systems for Part 121 Certificate Holders was published. NOTE: The new proposed 14 CFR Part 5 rule will only require certificate holders operating under part 121 to develop and implement an SMS. Comment period ended February 3, 2011. The FAA will initiate additional rulemaking in the future to consider SMS for other product/service providers.
November 18, 2010	ICAO Annex 6 amendment 33 requires that an operator implement a SMS in accordance with the ICAO SMS Framework contained in Appendix 7. Adds SMS specifics to the January, 2009 requirement in the form of 4 components and 12 elements.
January 31, 2011	NPRM comment period is extended to March 7, 2011.
August 1, 2012	PL 111-216 mandates a final rule be issued requiring part 121 certificate holders to implement a safety management system. This requirement will be met through publication of the new Part 5 rule. The FAA is also considering future rulemaking for part 135 certificate holders and part 145 repair stations.
2013	Implementation of Safety Assurance System (SAS). Currently being developed by the SASO Program Office . The SAS oversight will interface between the Safety Assurance component of the AVS SMS and the certificate holders’ SMS. <i>(See illustration below).</i>

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[Regional Points of Contact \(POC\) list.](#)

