



SAFETY MANAGEMENT SYSTEM (SMS)

“Read-Me-First”

For:

**Safety Management System (SMS) Pilot Project
Participants and Voluntary Implementation of
Organization SMS Programs**

**Federal Aviation Administration
Flight Standards Service - SMS Program Office**

Revision 6

September 29, 2010

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Description of SMS Documents, Guidance and Tools

Revision 6, Sep-29-2010

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To Participate in the SMS Pilot Projects, Contact:

To participate in SMS Pilot Projects, Certificate Management Teams (CMTs) or Certificate Holders should contact the SMS Program Office National Coordinator (Mr. Roger Roberts) and request to be added to the waiting list. This will establish initial communication and coordination. Program documents will then be disseminated electronically or links to public Internet sites and/or Intranet SharePoint sites will be provided (see web resources on pages 3 & 4, below). Roger can be reached via telephone at (703) 661-0565 or through his email of Roger.Roberts@faa.gov.

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Public Law 111.216

House Resolution 5900, was signed into Public Law 111-216, on August 1, 2010.
Section 215 requires that:

A. Federal Aviation Administration shall conduct a rulemaking proceeding to require all part 121 air carriers to implement a safety management system.

B. In conducting the rulemaking, the Administrator shall consider, at a minimum, including each of the following as a part of the safety management system:

- (1) An aviation safety action program.
- (2) A flight operational quality assurance program.
- (3) A line operations safety audit.
- (4) An advanced qualification program.

C. The Administrator shall issue -

- (1) Notice: A Notice of Proposed Rulemaking (NPRM), not later than 90 days after the date of enactment of the Act, and
- (2) Regulation: Not later than 24 months after the date of enactment of the Act, a final rule.

The Rulemaking Committee is drafting SMS rules as 14 CFR Part 5.

Note: As a result of PL 111-216, revisions to FAA Order 1110.152 and Order FS1100.1B are anticipated; however as of September 25, 2010, no revisions have been published.

“Read-Me-First” Document

Purpose:

The “Read-Me-First Document” provides a short description of Safety Management System (SMS) documents as they relate to the world of voluntary SMS implementation.

This “Read-Me-First Document” is not a comprehensive list of all SMS documents. It is a short list of relevant documents that pertain to an Aviation Service Provider (Airline, Air Carrier, Maintenance Repair and Overhaul (MRO) organization, Flight Schools, etc.) or a Federal Aviation Administration (FAA) organization that oversees an Aviation Service Provider, who is contemplating or actively involved in the SMS Pilot Project or voluntary implementation of an SMS.

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Overview:

Safety Management System (*SMS*) *Guidance* is applicable to both certificated and non-certificated air operators and MRO's that desire to develop and implement an SMS. An SMS is not currently required for U.S. certificate holders; however, Public Law 111-216 requires an SMS rule by Aug 1, 2012. Prior to an SMS rule, the FAA views the objectives and expectations in the *SMS Framework (AC 120-92A, Appendix 1) and other Guidance* as beneficial to aviation safety.

The "Read-Me-First Document" is laid out sequentially; beginning with the most frequently used documents. In this manner, it is designed to guide the reader through questions such as, "What do I need to do?", "What should a robust SMS should look like?". It then offers information, such as; "Where did SMS come from?", "What FAA and AVS-Level guidance supports the Agency's pursuit of SMS development (both internally and externally, (for Service Providers)?" , etc.

It is envisioned that when the FAA develops formal rules requiring implementation of SMS by aviation service providers, most of these documents will **not** change significantly, as they will continually be revised to reflect current international and domestic thinking on safety management systems.

Tabled List of Important Documents

ICAO	<ol style="list-style-type: none">1. ICAO Annex 1, 6, 8, 132. ICAO Safety Management Manual (SMM) Doc 9859 AN/474
FAA	<ol style="list-style-type: none">1. FAA Flight Plan 2008 – 20122. FAA Order 8000.369 - SMS Guidance (September 2008)3. FAA Order 8000.368 - AFS Oversight (June 2008)
AVS	<ol style="list-style-type: none">1. AVS Doctrine VS8000.1 – (Superseded by FAA Order 8000.369)2. FAA Order VS8000.367 - AVSSMS Requirements (May 2008)3. FAA Order VS8000.370 - Aviation Safety (AVS) Safety Policy (Sep 09)
AFS	<ol style="list-style-type: none">1. AC 120-92A: SMS for Aviation Service Providers (Aug 2010)2. Voluntary Developmental Guidance (Jun 2010)<ol style="list-style-type: none">a. SMS Assurance Guideb. SMS Implementation Guidec. Gap Analysis Tools (Preliminary and Detailed)d. SMS Guidebook (to be published spring 2011)

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Web Resources

1. FAA Public SMS Website: <http://www.faa.gov/about/initiatives/sms/>.
2. AFS SMS Pilot Project & Voluntary Implementation website:
<https://avssharepoint.faa.gov/afs/900/SMS/pilot/Forms/default.aspx>
3. Safety Management Systems (SMS) for Airports website:
http://www.faa.gov/airports/airport_safety/safety_management_systems/
4. ICAO Publications and Resources website:
<http://www.icao.int/anb/safetymanagement/Documents.html>
5. ICAO SMS Training website:
<http://www.icao.int/anb/safetymanagement/training/training.html>
6. National Air Transport Association (NATA) SMS website:
<http://www.natasafety1st.org/sms.htm>
7. Transport Canada SMS website: <http://www.tc.gc.ca/civilaviation/sms/menu.htm>
8. Transport Canada Process to Assess Industry SMS website:
<http://www.tc.gc.ca/CivilAviation/SMS/Training/Module9/menu.htm>
9. MITRE SMS website:
<http://www.mitreaasd.org/SMS/>
10. National Business Aviation Association SMS website:
<http://web.nbaa.org/admin/sms/>
11. Australian Government Civil Aviation Safety Authority SMS Training website:
http://www.casa.gov.au/scripts/nc.dll?WCMS:STANDARD:1779027664;pc=PC_91435
12. Civil Aviation Authority of New Zealand SMS website:
http://www.caa.govt.nz/SMS/SMS_home.htm
13. IATA Operation Safety Audit (IOSA) website:

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- <http://www.iata.org/ps/certification/iosa/>
14. Civil Aviation Authority of Singapore website:
http://www.caas.gov.sg/caasWeb/export/sites/caas/en/Regulations_And_Guidelines/Guidelines_and_Manuals/AFO/Reference_Materials/
15. ExxonMobil Europe SMS Program website:
http://www.exxonmobileurope.com/Europe-English/community_roadsafety_management.aspx
16. SMS Delta Employee Video: <https://deltaflightsafety.com/sms/fam/launch.html>
17. Medallion Foundation: <http://www.medallionfoundation.org/>
18. IHST (International Helicopter Safety Team), SMS Tool Kit:
http://ihst.rotor.com/Portals/54/2009_SMS_Toolkit_ed2_Final.pdf
19. WBAT (Web-Based Application Tool):
WBAT (maintained by Universal Technical Resource Services, Inc. (UTRS)) is an option for those with an ASAP Program and/or those that are part of the SMS Pilot Projects. WBAT provides aviation service providers with a secure, fully customizable system that promotes safety and accountability across five employee groups. UTRS developed WBAT with funding from the FAA, and will deliver free on-site training and electronic support to Certificate Holders. Ms. Nicky Armour is the UTRS point of contact and can be reached at 937-836-8157 or SNARMOUR@Gmail.com

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Advisory Circular 120-92A

August 12, 2010

(Safety Management Systems for Aviation Service Providers)

Overview:

AC 120-92A is an evolutionary document that was derived from international and domestic activities (ICAO Annex 6, FAA Order VS8000.367) concerning SMS. Appendix 1 is the “*SMS Framework*” and is a “standard” for a robust SMS and for the voluntary implementation of SMS by SMS Pilot Project enrollees. It provides a functional outline consisting of a set of expectations for SMS processes. The FAA views the objectives and expectations in AC 120-92A as beneficial to aviation safety, and therefore supports the entire Advisory Circular as being a minimum level of development for an efficient and functional SMS implemented by an aviation service provider.

AC 120-92A provides a clearer understanding of SMS components, elements and processes that are defined in terms of functional expectations. Functional expectations are further defined in terms of performance objectives and design expectations to better align with current system safety and Air Transportation Oversight System (ATOS) models.

AC 120-92A contains the significant details of an SMS. This is the first of three documents that will be used daily during implementation of the SMS. The remaining two are the SMS Implementation Guide and the SMS Assurance Guide.

Specifics:

AVS and AFS have conducted and continue to conduct, extensive dialogue with our domestic industry constituents as well as with foreign authorities and businesses that have FAA-issued certificates and other authorizations. The structure of AC 120-92A reflects four key functions:

1. To provide aviation service providers with a standardized set of concepts, documents, and tools for voluntary development and implementation of a Safety Management System;
2. To bring SMS standards for implementation of Safety Management Systems into conformance with AVS policy in FAA Order VS 8000.367, appendix B;
3. To align the structure and format of Flight Standards documents and tools with the International Civil Aviation Organization (ICAO) SMS Frameworks, and;
4. To produce a set of documentation and tools that are internally mapped in a manner that is easier to use than the first generation of tools.

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Note: AC 120-92A is applicable to both certificated and non-certificated air operators that desire to develop and implement an SMS. The AC is not mandatory and does not constitute a regulation. Development and implementation of an SMS is voluntary. While the FAA encourages each aviation service provider to develop and implement an SMS, **these systems in no way substitute for regulatory compliance or other certificate requirements.**

SMS Framework

The *SMS Framework* was an interim document developed by the AFS SMS Program Office to temporarily replace AC 120-92, Appendix 1, until such time as AC 120-92A was published. Having satisfied its design, the SMS Framework, as a stand alone document, is retired. The current SMS Framework is contained in Appendix 1, of AC 120-92A.

SMS Implementation Guide

Overview:

The *SMS Implementation Guide* provides a detailed process for implementation of SMS functional expectations described in AC 120-92A, Appendix 1, by aviation service providers. Additionally, it provides a three-level recognition system to attest to aviation service provider's participation in the SMS Pilot Project.

Specifics:

The overall objective of the *SMS Implementation Guide* is to assist aviation service providers develop and implement integrated, comprehensive SMSs for their entire organization. Specifically, it will help ensure that an organization's SMS will be capable of:

- a. Receiving safety input from internal and external sources and integrating that information into their operational processes;
- b. Establishing and improving the organizational safety policy;
- c. Identifying, analyzing, assessing, controlling and mitigating safety hazards;
- d. Measuring, assuring and improving safety management at the highest level;
- e. Promoting an improved safety culture throughout their entire organization; and
- f. Realizing a return on SMS investment through improved efficiency and reduced operational risk.

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The *SMS Implementation Guide* will also assist FAA Certificate Management Teams (CMTs), CHDO's and FSDO's in evaluating aviation service providers' SMS programs and participating in further development of implementation and oversight strategies.

The phases of implementation will be arranged into four levels, to assist the aviation service provider in developing and implementing an integrated, comprehensive SMS for its entire organization.

The *SMS Implementation Guide's* first 4 Appendices detail the objectives, inputs, procedures and outputs for Levels 1 through 4 of phased SMS implementation.

Appendices 5 & 6 are the Preliminary Gap Analysis Tools and the Detailed Gap Analysis Tools, respectively (each is explained in their respective summary, below).

Appendix 7 and beyond are reference documents to further assist in SMS implementation. The *SMS Implementation Guide* is the second of three documents that will be used daily during implementation of the SMS (the other two being AC 120-92A and the *SMS Assurance Guide*).

SMS Assurance Guide

Overview:

The *SMS Assurance Guide* has been developed by the AFS SMS Program Office for assessment of the design and performance of aviation service providers' SMS programs. The guide simply expresses the objectives and expectations of the *SMS Framework* in the form of a question and is intended to be used whether the assessments are being conducted by the aviation service providers themselves, in internal audits and evaluations or by third parties.

The guide is organized in accordance with the AC 120-92A, Appendix 1., which shares structure and organization with ICAO. AC 120-92A embodies the requirements expressed in FAA Order VS 8000.367, *Safety Management System Requirements*, with focus on Chapter 5 and Appendix B.

The *SMS Assurance Guide* is a tool to assist aviation service providers in the application of the *SMS Framework* contained in AC 120-92A, Appendix 1.

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Specifics:

The *SMS Assurance Guide* describes the objectives and expectations for an aviation service provider's SMS in a work process flow. Inputs from a previous process are followed by the process owner designation, procedures to be followed, outputs to the next process, controls to ensure desired output and finally performance measures to ensure consistent results.

Note: The *SMS Assurance Guide*, like AC 120-92A, is not mandatory and does not constitute a regulation. Development and implementation of an SMS is voluntary. Meeting the performance objectives and design expectations of the SMS Assurance Guide will satisfy the Performance Objectives and Design Expectations of the AC. Operators may however, establish additional or more stringent requirements

While the FAA encourages each aviation service provider to develop and implement an SMS, **these systems in no way substitute for regulatory compliance of other certificate requirements.**

FAA AFS SMS Guidebook

Overview:

The *SMS Guidebook* is a future state document and will be the repository for expanded guidance, detailed instructions and best practices for use in the implementation of an SMS for an aviation service provider (air carrier, maintenance repair organization, etc.). The target completion is Spring 2011.

Specifics:

The purpose of the *SMS Guidebook* will be to provide organized and developmental guidance to aid service provider organizations in defining their organization's SMS.

The *SMS Guidebook* will provide a roadmap for developing and implementing a SMS. It will contain a logical, structured, methodical, and auditable process that provides measures to enable an organization to value and use safety standards in much the same manner that the organization values and uses financial reports.

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Preliminary SMS Gap Analysis Tool

(Appendix 5 – SMS Implementation Guide)

Overview:

The *Preliminary Gap Analysis Tool* is a simple spreadsheet that is designed to assist aviation service providers in conducting their initial high level assessment on its existing organizational programs, systems, and activities with respect to the components, elements and processes found in AC 120-92A, Appendix 1, functional expectations.

This is the first of a set of tools designed to assist the aviation service provider, and the FAA organization responsible for oversight, in evaluating the differences (“gaps”) between where the aviation service provider’s processes are now and where they need to be under a robust SMS. This is a “first look” tool.

Specifics:

This is a high level assessment of the four Components, twelve Element and seventeen Process “Performance Objectives” as found in AC 120-92A, Appendix 1, by SMSPP Participants. Specifically, the aviation service provider’s top management will provide their “best guess” assessment of where they stand in relation to each Component, Element and Process in the Preliminary Gap Analysis tool. This serves as a starting place for the organization to do a high-level evaluation of the gaps between what their operational departments already have in place, compared to what the SMS Framework requires. The in-depth evaluation will be done at a later time when they conduct their *Detailed Gap Analysis*, as described below.

The *Preliminary Gap Analysis Tool* may also be used as an SMS executive tracking tool, if it is continuously updated with the results from the *Detailed Gap Analysis Tool*. There are two electronic *Preliminary Gap Analysis Tools*; one for Air Operators, and one for MRO’s.

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Detailed SMS Gap Analysis tool
(Appendix 6 – SMS Implementation Guide)

Overview:

The Detailed Gap Analysis tool is designed to assist the aviation service provider, and their oversight FAA organization, in evaluating the differences (“gaps”) between where the service provider’s processes are now and where they need to be under a robust SMS. This is a very detailed evaluation and addresses all four Components, twelve Elements and seventeen Processes of AC 120-92A, Appendix 1.

Specifics:

This is a tool that was initially developed from the Data Collection Tools (DCTs) concept utilized by ATOS/Surveillance and Evaluation Program (SEP) tools.

As alignment with the ICAO SMS Standard evolved, the *Detailed SMS Gap Analysis Tool* evolved and will assist with a detailed analysis of the operator’s objectives and expectations of the Components, Elements and Processes found in AC 120-92A, Appendix 1, functional expectations. The *Detailed Gap Analysis* expectations and questions are based on the detailed requirements (at the Element and Process levels) of AC 120-92A, Appendix 1, and are aligned with the *SMS Assurance Guide*.

All aviation service providers should use both the Preliminary and the Detailed Gap Analysis tools, with the preliminary tool serving as an SMS executive tracking tool (if it is continuously updated with the results from the detailed gap analysis).

There are two electronic *Detailed Gap Analysis Tools*; one for Air Operators, and one for MRO’s.

FAA Flight Plan 2008-2012
(Charting the Path for the Next Generation)

Overview:

The FAA Flight Plan details the FAA’s direction for the future. It outlines the FAA’s plan to redesign America’s aviation system and the steps that must be taken to do so successfully. Efforts are already underway in the areas of technology and procedures, specifically introducing the Next Generation of Air Transportation System (“Next Gen”).

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With NextGen there is a plan to increase safety and capacity while decreasing our impact on the environment.

The Flight Plan also details the adoption of a Safety Management System (SMS) that “relies on developing standardized language, processes, and tools used to manage safety risk.” It outlines the four components (also referred to as “pillars”) used in an SMS to manage risk. These include Safety Policy, Safety Risk Management, Safety Assurance and Safety Promotion.

FAA Order VS 8000.1 (Cancelled April – 2009)

(AVS Safety Management System Doctrine (AVSSMS))

This Order has been superseded by Order 8000.369, and was cancelled, in mid-April, 2009. Order VS 8000.1 provided early doctrine for implementing SMS within the FAA. It followed the ICAO documents and spawned the FAA guidance material. It was the highest FAA document concerning SMS, and **is included here because it is still reference by several other FAA Orders**, thus is important to know the genesis and current status.

FAA Order VS 8000.367

(Aviation Safety (AVS) Safety Management System Requirements)

Overview:

This FAA Order provides the internal (to the FAA) SMS details and refers users to Appendix B, which guides aviation service providers toward SMS Requirements. **This is the first FAA-Level document that provided detailed guidance for voluntary implementation of SMS.** Chapter 5 of this document addresses oversight, thus Chapter 5 and Appendix B are of most interest to service providers and their FAA oversight management offices (FSDO, CMT, CMO, etc).

Specifics:

This Order describes the functional requirements for the AVS SMS (originally established in *FAA Order VS 8000.1, Safety Management System (SMS) Doctrine, Section 1-1.c. (2)*). Each AVS FAA office with oversight responsibilities for aviation service provider organizations must publish SMS requirements specific to those organizations, which it oversees, e.g., Flight Standards Service (AFS) must develop and publish requirements for SMSs in air operator and MRO organizations, (i.e., originally

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delineated in *AC 120-92*). These requirements were consistent with the requirements described in Appendix B, referenced below.

Appendix B: Product/Service Provider SMS Requirements. This Appendix establishes the minimum set of requirements that must be developed for constituent aviation service provider organizations for which AVS services have oversight responsibility. This is sometimes called the “External SMS”.

FAA Order 8000.368

(Safety Management System Guidance for Flight Standards)

Overview:

This Order provides guidance for AFS staff and offices in meeting the requirements originally specified in FAA Order VS 8000.1, Safety Management System Doctrine, then later in FAA Order 8000.369.

Specifics:

This Order describes AFS statutory responsibilities with respect to aviation safety oversight and evolving system safety and SMS based initiatives. These initiatives contribute to enhanced methodologies for managing risk and improving safety in aviation. Additionally, this order discusses the incorporation of these system safety and SMS concepts into the future AFS oversight approach.

FAA Order 8000.369

(Safety Management System Guidance)

Overview:

This Order provides guidance for implementation of a common Safety Management System (SMS) within the FAA.

The majority of the content originally existed in VS 8000.1 (AVS SMS Doctrine), which was then used to elevate the philosophy up one level to make it an overall FAA doctrine in this document.

Specifics:

This Order furthers the practice of managing safety by moving to a more process-oriented system safety approach with an emphasis on managing systems to ensure risk

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management and safety assurance. It sets forth basic management principles to guide the FAA in safety management and safety oversight activities. It requires adopting a common approach to implementing an integrated SMS, including safety culture and other attributes as applicable.

Additionally, this order required the development and implementation of a plan for functions under the SMS, including the structure of safety oversight relationships with the segment of industry for which it holds oversight responsibility.

FAA Order VS 8000.370

(AVS Safety Policy)

Overview:

This order establishes the Safety Policy for the Office of Aviation Safety (AVS).

Specifics:

This Order establishes the safety policy for all AVS employees, services, and offices.

The new order speaks to the FAA's commitment to:

- Implement and maintain the SMS
- Create a positive safety culture
- Ensure continual improvement in safety levels
- Manage safety risk
- Promote employee reporting of safety issues and concerns
- Meet applicable statutory and regulatory requirements

FAA Notice 8900.133

Safety Management Systems Update, dated 8-30-2010

Overview:

This notice provides guidance for Federal Aviation Administration (FAA) Flight Standards Service (AFS) personnel on Safety Management System (SMS) issues.

Specifics:

The primary audience for this notice is FAA AFS personnel in the divisions and branches at headquarters, and personnel in the regions. This notice affects offices that have direct

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responsibilities for developing policies and practices related to the oversight of the aviation industry.

The Notice provides 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.

InFO Notice 08022

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

Overview:

The purpose of this Notice was to make known to certificate holders such as air carriers, 14 Code of Federal Regulations (CFR), part 142 training centers, and 14 CFR part 145 repair stations of the coming implementation of SMS worldwide, and to recommend reference materials they could use to prepare for their own implementation.

Specifics:

The aviation world – operators and regulators alike – is moving toward SMS as a means to manage safety in operations and to guide regulatory oversight. The ICAO has endorsed SMS by entering pertinent requirements in Annex 6, Operation of Aircraft, and in Annex 8, Maintenance of Aircraft. ICAO SMS requirements for aircraft and maintenance operations stipulate that nations should put SMS programs into effect beginning January 1, 2009. ICAO recognizes that a shift to SMS practice worldwide will not be instantaneous; thus ICAO recommends “phased implementation” of SMS programs by certificate holders and regulators.

This InFO Notice introduced the two current (at the time –May, 2008 – since updated by the *SMS Framework* and supporting Voluntary Guidance) official publications for use by a certificate holder in developing an SMS that is appropriately scaled to the scope of its unique operations: AC 120-92A and the ICAO Document 9859, Safety Management Manual (SMM).

InFO Notice 08053

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

Overview:

This Notice alerted Flight Standards employees that at present, there are no authorized provisions for FAA approval or acceptance of SMS programs.

The purpose of this Notice was to provide current information on SMS implementation with respect to the January 1, 2009 compliance date. Formal FAA guidance material is

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still under development. There is now a formal recognition mechanism for those Voluntary Pilot Project Participants, as they achieve each of the phased implementation levels. Details can be found in the *SMS Implementation Guide*.

Specifics:

This Notice was published in November, 2008, as Flight Standards observed confusion experienced by both Flight Standards Certificate Holding District Offices (CHDOs), as well as Certificate Holders and Operators that were unclear if they were required to submit an SMS Program to their respective FAA Oversight Office. Similarly, the FAA oversight offices were unclear whether to accept, or approve SMS Programs, or conversely to decline acceptance or approval if any mention of an SMS was referenced or included in Certificate Holder manuals.

ICAO Doc 9859

(The ICAO Safety Management Manual (SMM))

Overview:

This manual follows Annex 6, Part 1, described below, and provides more detailed guidance and standardization for ICAO Member States when implementing SMS, either internally (within an oversight organization, i.e. the FAA) or externally (within a Service Provider, i.e. an air carrier or MRO). The SMM is an excellent resource and has generic developmental guidance information that should be considered.

Specifics:

This Manual is intended to provide ICAO Member States with guidance to develop the regulatory framework and the supporting guidance material for the implementation of SMS by Service Providers (Air Carriers). It also provides guidance for the development of a *State Safety Program (SSP)*, in accordance with *International Standards and Recommended Practices (SARPs)* contained in Annex 6 – Operation of aircraft.

[ICAO Doc 9859](#) (SMM) can be downloaded directly from the ICAO site:

<http://www.icao.int/anb/safetymanagement/Documents.html>

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FAA Order FS1100.1B, Chapter 12, Para. 4

(Flight Standards Service Organizational Handbook)
(Please see “Note” under Public Law 111-216, on page 2)

Overview:

This Order describes Flight Standards’ Organizations and their responsibilities. Chapter 12, Paragraph 4 codifies the Flight Standards SMS Program Office (PO) and its duties responsibilities.

Specifics:

The AFS SMS PO provides policy and guidance on AFS internal and external SMS requirements and interfaces. The SMS PO provides support to the AFS Director in execution of the AFS SMS doctrine.

The SMS PO provides direct support, oversight and evaluation of collaborative testing projects (voluntary SMS implementation pilot projects) – numbering 70 active participants, across 14CFR Parts 121, 135 and 145, as of November, 2009.

Specific functions and responsibilities include:

- a) Focal point for AFS in future SMS-related rulemaking and policy development efforts.
- b) Oversight and evaluation of SMS collaborative testing projects.
- c) Standardization of concepts, functional requirements and terminology across AFS managed and sponsored SMS programs, initiatives, and contracted activities.
- d) Alignment of internal and external SMS development activities with AVS SMS standards and AVS Management Team and AFS Executive Steering Committee guidance.
- e) Planning and coordination of SMS activities in AVS and AFS Business Plans.
- f) Representation of AFS in AVS SMS Working Group
- g) Ensure integration capability of oversight systems, both within AFS and also between AFS and other AVS lines of Business.
- h) Coordination with the ATOS Continual Improvement Section and Headquarters Policy Divisions on SMS-oversight system relationships.
- i) Development and maintenance of SMS policy and guidance documentation.
- j) Development of AFS SMS training requirements and mentorship of FAA related Academy training.
- k) Development of measures of safety performance and effectiveness for both internal and external customers.
- l) Development and maintenance of SMS data collection and auditing tools
- m) Development and use of standardized outreach, familiarization, and orientation materials for SMS.

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- n) Coordination and management of an AFS SMS Standardization and Assistance Team to assist field organizations and service providers in development and implementation of voluntary and mandatory external SMSs.

FAA Order 1110.152

(Safety Management System (SMS) Aviation Rulemaking Committee)

(Please see “Note” under Public Law 111-216, on page 2)

Overview:

This Order constitutes the charter for the SMS Aviation Rulemaking Committee (ARC) that is designated and established pursuant to the Administrator’s authority under Title 49 of the United States Code, Section 106(p)(5).

Specifics:

FAA Order VS 8000.367 (“AVS SMS Requirements”) is the basis for the ARC’s work on how AVS will address its responsibilities for management and oversight of its regulated aviation service providers.

International Civil Aviation Organization (ICAO) Annex 6

(International Standards and Recommended Practices (SARP)

Annex 6 to the Convention on International Civil Aviation

Part I - International Commercial Air Transport — Aeroplanes)

Overview:

ICAO is the United Nations Organization that issues international standards related to civil aviation. It bases its authority on the Chicago Convention, an international treaty. As administrators of the treaty, ICAO’s standards have the weight of the treaty itself. Member states have agreed to abide by the ICAO Annexes, which deliver the standards as specific to the various components of the air transportation system (e.g. manufacturing, air traffic, airports, operations, licensing, etc.).

Specifics:

Annex 6 brought “official” life to the international aviation arena’s awareness of SMS. International Standards and Recommended Practices (SARP) is the source document that requires member states (The United States is a member state) to:

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Chapter 3.2.1 - States shall establish a safety program in order to achieve an acceptable level of safety in the operation of aircraft.

Chapter 3.2.4 - From 1 January 2009, States shall require, as part of their safety program, that an operator implement a safety management system acceptable to the State of the Operator that, as a minimum:

- a) Identifies safety hazards;
- b) Ensures that remedial action necessary to maintain an acceptable level of safety is implemented;
- c) Provides for continuous monitoring and regular assessment of the safety level achieved; and
- d) Aims to make continuous improvement to the overall level of safety.

Amendment 33 Introduces an SMS Framework (at Appendix 7, see below) which specifies greater detail for the development and maintenance of an SMS.

Read-Me-First Document
Description of SMS Documents, Guidance and Tools
Revision 6, Sep-29-2010

ICAO ANNEX 6, APPENDIX 7, FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS

1. Safety policy and objectives	
1.1	– Management commitment and responsibility
1.2	– Safety accountabilities
1.3	– Appointment of key safety personnel
1.4	– Coordination of emergency response planning
1.5	– SMS documentation
2. Safety risk management	
2.1	– Hazard identification
2.2	– Safety risk assessment and mitigation
3. Safety assurance	
3.1	– Safety performance monitoring and measurement
3.2	– The management of change
3.3	– Continuous improvement of the SMS
4. Safety promotion	
4.1	– Training and education
4.2	– Safety communication

The Appendix 7 of Amendment 33 becomes effective Nov 18, 2010.

Annex 6, refers to the ICAO *Guidance on safety management systems*, which is contained in the *Safety Management Manual (SMM) (Doc 9859)*, referenced above.