



# 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

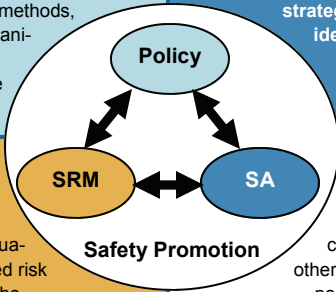
Evaluates the continued effectiveness of implemented risk control strategies, supports the identification of new hazards

### 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



Safety Management System Documents and Guidance

### Design

### Performance

#### Safety Risk Management

System Description (Analysis)

5.53(a) & (b)

Hazard Identification

5.53(c)

Risk Analysis

5.55(a)

Risk Assessment

5.55(b)

Risk Control

5.55(c)

#### Safety Assurance

System Monitoring

5.71(a)(1) & (2)

Data Acquisition

5.71(a)(3-7)

Analysis Of Data

5.71(b)

System Assessment

5.73(a)

Corrective Action

5.75

## SMS Voluntary Program Implementation Guidance

**Note:** Participation in the Flight Standards SMS Voluntary Program (SMSVP) now requires the service provider to conform to the SMSVP Standard. Information on SMS Fundamentals may continue to be obtained from [AC 120-92B](#).

For further information on the SMS Voluntary Program and associated guidance documents, contact the AFS SMS National Coordinator, [9-NATL-SMS-ProgramOffice](#)

[SMS Voluntary Program Gap Analysis Tool \(Air Carrier\)](#)

[SMS Voluntary Program Gap Analysis Tool \(MRO\)](#)

## ICAO Documents

[Annex 19, Safety Management](#) (1st edition November 2013)

[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 Order 8900.1, Volume 17](#)

Safety Management Systems (January, 2015)

## Advisory Circulars

[AC 120-92B](#)

Safety Management Systems for Aviation Service Providers  
January, 2015

## FAA Notices/InFOs/Memos

[Notice N 8900.281](#)

Safety Management Systems—Approval of Part 121 Certificate Holders' SMS Implementation Plans (January 2015)

## Part 5 Rule

[14 CFR part 5 rule](#) January 8, 2015

[14 CFR part 5 correction](#) January 13, 2015

## SMS Newsletter

[AFS SMS Newsletter](#)

## Websites

[AVS Safety Management System Website](#)



# 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 required 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.
- November 14, 2013 ICAO Annex 19 becomes applicable which consolidates existing safety management provisions that were contained in Annex 1 - *Personnel Licensing*, Annex 6 - *Operation of Aircraft*, Annex 8 - *Airworthiness of Aircraft*, Annex 11 - *Air Traffic Services*, Annex 13 - *Aircraft Accident & Incident Investigation* and Annex 14 - *Aerodromes*.
- June 2014 Deployment of Safety Assurance System (SAS) begins. SAS is the new FAA oversight system to be used for oversight of certificate holders under 14 CFR part 121, 135, and 145. SAS deployment in Flight Standards offices including FSDOs, CMOs and IFOs will be complete in September, 2015.
- August 1, 2014 SMS Pilot Project transitions to the SMS Voluntary Program. Service providers implementing SMS will now participate voluntarily under the new SMSVP using the SMSVP standard. Note: part 121 certificate holders will continue to implement SMS voluntarily until the part 5 rule becomes effective.

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