

# Safety Management

## United States SSP/SMS

Presented By: FAA Flight Standards  
Service



Federal Aviation  
Administration



# Setting up the foundation

- **Research and Collaborative Development**
  - Research project – survey of practices (2002-2004)
  - Safety Management **Focus Group** – Initial interaction with industry
  - Became SMSFG to support SMS Rule rollout ~ 300 attendees
- **SMS framework developed based on risk management and QMS principles**
- **AC 120-92 issued**



# U.S. State Safety Program (SSP)

- FAA is applying SMS principles internal processes: **Risk Based Decision Making**
- Core of U.S. SSP
- **Systems Approach to Safety Oversight (SASO): System Safety and Risk Management in our oversight system**
- **Safety Assurance System (SAS): Oversight processes (Critical Elements of Oversight 6 and 7**

# SSP: (continued)

- **Compliance Philosophy**: Problem solving rather than enforcement where appropriate (critical element 8)
- Risk Based evaluation process for **regulatory exemption** petitions (Critical Element 2).
- **SRM** will be applied to future **rulemaking**
- Interface with Certificate Holder SMS is a key part of our strategy

# Trial and Experimentation: SMSPP

- **SMS Pilot Project** Initiated in 2006
- Helped to develop **implementation and oversight processes** and practices in a flexible environment
- Many early **industry pioneers** (ex. US Airways, American, Delta) engaged and motivated their codeshare partners to engage SMS.

# Formalizing the Requirements

- **14 CFR Part 5** issued in 2015 for part 121 carriers
- Aligned with the **ICAO SMS Framework**
- Provides **structure and standardization** balanced with **flexibility and scalability**
- Full implementation required **March 9, 2018**
- Processes are functionally described
  - “**What**” not, “**how**”
  - No prescribed organizational structures (SAG, etc.)

# SMSVP: Alternative to regulation

- SMSPP spawned **SMS Voluntary Program (SMSVP)** standard, published June 2016.
- **Same requirements** as part 5 SMS rule
  - Part 135 operators do not have to have an SMS as a condition of certification.
  - Adherence is required for **FAA (“State”) acceptance** of the operator’s SMS per Annex 19.
  - **Third party systems are not recognized** for FAA acceptance.

# SMSVP Participation

- **Participants:**
  - Part 135: 185
  - Part 145: 18
  - Part 141/142: 8
- **Classifications of participation**
  - Applicant: **Commitment letter** from Accountable Exec
  - Active Applicant: **Orientation complete**
  - Active Participant: **Plan Approved**
  - Active Conformance: **Final Implementation/Acceptance**





# Indoctrination of the Workforce

- **FAA Academy** courses developed to support FAA ASIs involved in CH SMS implementation.
- **3 Phase Field Support** Activities conducted by SMSPO to support part 5 milestones

# Continuing Operational Safety

- **SMS integration** into the part 121 Certification Process
  - Certificate Holder applied **Risk Management** in FAA **Design Assessments** (CE-6)
  - Certificate Holder applied **Safety Assurance** in FAA **Performance Assessments** (CE-7)
- On-going **oversight SAS tools** in development.

# International Collaboration

- FAA initiated the **Safety Management International Collaboration Group (SMICG)** with other regulators in 2009.
- **Purpose of the group:**
  - Share **information**, promote **standardization**
  - Develop products supporting **SMS and SSP development** and continuous improvement.
- **SMICG now has 18 participating authorities, including ANAC.**

# Lessons Learned and Challenges

- SMS is **not a traditional safety program**
- SMS must be, “**owned**” by **operational decision makers**, not the safety department
- **SMS Pilot Project** was an asset
- Involvement of **oversight personnel** is key
- **Risk management skills** are essential
- **SRM** is valuable in change management
- **Performance measurement** is next challenge

***“Carelessness and overconfidence are more dangerous than deliberately accepted risk”***  
**Wilbur Wright, 1901**

**Contact:**

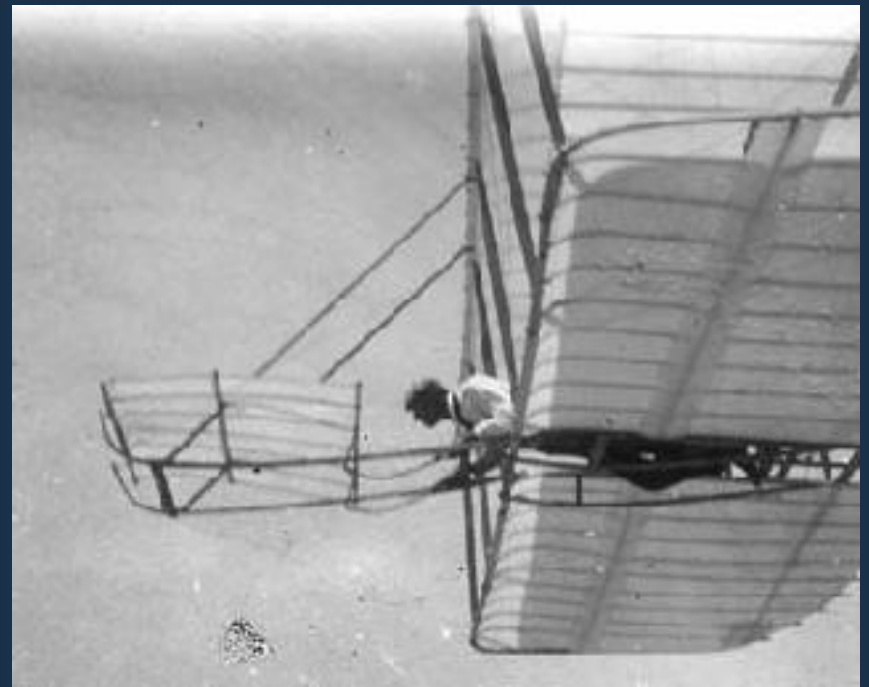
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Wilbur Wright gliding, 1901  
Photographs: Library of Congress



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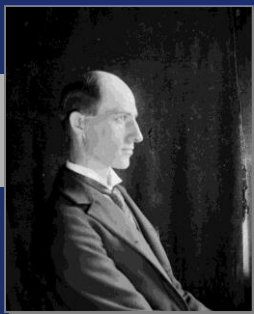
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