

Part 135: Safety Management Systems Information Packet



Table of Contents

Introduction and Summary	2
What is a SMS? How is it Different?	3
The 40,000 Foot Perspective	4
Before Going Forward	4
Who Needs a SMS Now?	5
Who Will Need a SMS?	6
SMS Framework	7
SMS Benefits	8
FAQs	9
Misconceptions	11
What Should I Do Now?	12
Providers	13
Conclusion and Acknowledgements	15
Additional Resources	16
SMS Program Manager Contact List	18

Introduction

As a proud member of the aviation community, Old Republic Aerospace created this Safety Management System (SMS) packet as a one-stop resource for Part 135 operators. This guide will provide you with organized, credible, and up-to-date information for your flight department.

The International Civil Aviation Organization (ICAO) recommends operators incorporate SMS into their daily operations. Having a SMS will soon become an FAA requirement for various U.S. aviation operators, and Old Republic Aerospace strongly encourages Part 135 flight departments implement a robust SMS program.

Summary

The singular message reverberated throughout this publication is: **Do not panic**. There is no Federal Aviation Regulation (FAR) currently existing requiring a SMS for any Part 135 operator and the FAA also has no procedures to approve a SMS.¹

But read those words with caution: because the FAA will enforce a regulation in the near future² and although the United States doesn't have an enforceable law in place, several foreign nations already do.

Along the way, it's important you understand a few key points:

- 1) What is a SMS?
- 2) Who will be impacted?
- 3) Why is a SMS important?
- 4) Where you can find credible information to start your own SMS?

¹ NPRM 8900.133 http://fsims.faa.gov/wdocs/notices/n8900_133.htm

² https://www.faa.gov/about/initiatives/sms/explained/regulation_and_sms/ "[The]FAA is engaged in an SMS rulemaking effort."

What is a SMS?

Ultimately, the FAA will be the ruling body establishing terms and rules for U.S. operators, as guided by ICAO.

FAA definition: The formal, top-down business-like approach to managing safety risk. It includes systematic procedures, practices, and policies for the management of safety (includes Safety Resource Management, Safety Policy, Safety Assurance, and Safety Promotion).³

A Different Perspective:

- SMS creates a “safety culture” to permeate an entire organization.⁴
- SMS is a system which quantifies safety by documenting events.⁵
- SMS doesn’t measure safety on a “pass/fail” basis. Instead, it measures how the system made a company safer than it was before.
- SMS was created by aviation professionals for aviation professionals.⁶

What Makes a SMS Different?

The Goal of a SMS is to manage safety-risks as effectively as practical by promoting a **safety culture** throughout all levels of an organization. And it needs the support of all workforce levels—top to bottom—to be effective.⁷

A SMS is **proactive**, rather than reactive to safety hazards.⁸ One of the primary functions of a SMS is to identify hazards and control risks while maintaining assurance that these risk controls are effective.⁹

³ AC 120-90 AFS 900: See pg. 20-25 for a definition list.

[http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/678110f11b8433728625777d0068d732/\\$FILE/ac%20120-92a.pdf](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/678110f11b8433728625777d0068d732/$FILE/ac%20120-92a.pdf)

⁴ ACRP Report 1 (FAA) Safety Management Systems for Airports (Part 139) Volume 1, page 16.

http://onlinepubs.trb.org/onlinepubs/acrp/acrp_rpt_001a.pdf

⁵ ICAO webpage: <http://www2.icao.int/en/home/default.aspx>

⁶ IBAC (International Business Aviation Council) website: <http://www.ibac.org/>

⁷ IBAC “SMS for Business Aviation” http://www.ibac.org/Files/is-bao/sms/bart_safety.pdf

⁸ <http://www.faa.gov/about/initiatives/sms/explained/basis/>

⁹ SASO Outreach Journal “AFS Safety Assurance System: What’s Next in Oversight” (12 pages)
http://www.faa.gov/about/initiatives/saso/library/media/SASO_Briefing_Managers_Toolkit.pdf

The 40,000 Foot Perspective

As an arm of the United Nations, ICAO proposes aviation standards amongst its member nations. And as a member, the United States volunteered to comply with ICAO guidance. However, we're still awaiting the FAA's final regulatory publication outlining what final U.S. SMS compliance will look like.

A Different Perspective:

A complete list of the 42 ICAO member nations is found here:
<http://www.icao.int/MemberStates/Member%20States.English.pdf>

SMS is not a knee-jerk reaction to any aviation accident. While no specific event triggered the shift toward a SMS, accidents such as the 2000 Air France Concorde disaster indicate the value SMS can bring to aviation. For example, proactively conducting a SMS safety assurance audits could have identified the pattern of bursting tires and their hazardous debris that occurred in previous Concorde flights long before 113 fatalities occurred.¹⁰

Before Going Forward

Again, the best advice we offer is: **Don't panic.** As a Part 135 operator, you are not required to have a SMS under USA law. Unless traveling to a country that requires a SMS, you may not need to rush to establish one.

"Speed is irrelevant if you're going in the wrong direction."

-Gandhi

If your flight department complies with other safety regulations (OSHA, EPA, etc.), you're likely well on your way to future SMS compliance.¹¹ Operators can find it beneficial to "get ahead of the power curve" regarding a SMS, especially considering it may take up to three years to have a fully functional SMS (per FAA trials).¹²

¹⁰ ACRP Report 1 Volume 1, page 16 http://onlinepubs.trb.org/onlinepubs/acrp/acrp_rpt_001a.pdf

¹¹ <http://www.nbaa.org/admin/sms/AC120-92.pdf>

¹² <http://www.faa.gov/about/initiatives/sms/faq/>

Who Needs a SMS Now?

This is where it gets tricky. As of this publication, you need a SMS if:¹³

- 1) You're a Part 91, 125, 135, or 121 operator and
- 2) Operating turbo-powered aircraft, or aircraft over 12,500 lbs and
- 3) Traveling internationally to **Bermuda**.^{14 15 16}

*Countries which may, or may not be enforcing a SMS compliance include:^{17 18 19}

- 1) **Canada**—requires a SMS for domestic operators.²⁰
- 2) **France**—although France's landing permit asks if operators have a SMS, we're unable to find verification that one is required by N-registered aircraft.²¹
- 3) **Cayman Islands**—require a SMS for domestic operators.^{22 23 24}
- 4) **Europe** and the **UK**—are adopting a SMS compliance soon.^{25 26 27}
- 5) **Australia**—requires a SMS for various domestic operators.^{28 29}
- 6) **New Zealand**—in the rulemaking process for domestic operators.³⁰

How do you show SMS compliance?

- 1) Get an FAA Letter of Acknowledgement (which is not a SMS approval).³¹
- 2) Go through IS-BAO's SMS development and certification.
- 3) Bermuda accepts several methods of compliance, including Wyvern and ACSF registration (see footnotes for more details).^{32 33 34}

**Unfortunately, we're unable to locate a formal ICAO "list" of nations who require N-registered aircraft have a SMS. Contact the reigning regulatory agency for information regarding your trip (see footnotes, esp. #27)*

¹³ <http://www.avbuyer.com/articles/PrintDetail.asp?Id=1829>

¹⁴ Bermuda [http://www.dca.gov.bm/Flight%20Ops%20News/Annex%206%20Pt%202%20compliance%20\(4\).pdf](http://www.dca.gov.bm/Flight%20Ops%20News/Annex%206%20Pt%202%20compliance%20(4).pdf)
¹⁵ www.ainonline.com/aviation-news/ainalerts/2010-11-18/bermuda-first-country-require-sms-aircraft-entry

¹⁶ <http://www.avplantripsupport.com/pilotresources/pilotresources.aspx>

¹⁷ <http://www.icao.int/safety/SafetyManagement/Pages/resources.aspx>

¹⁸ http://d.universalweather.com/pdf/sms/SMS_Buyers_Guide_US.pdf

¹⁹ <http://www.universalweather.com/blog/2012/06/sms-implementation-and-practical-considerations-for-business-aviation-operators/>

²⁰ Canada www.tc.gc.ca/eng/civilaviation/opssvs/managementservices-referencecentre-documents-100-107-004-136.htm

²¹ France <http://www.universalweather.com/blog/2013/05/tips-on-flight-permits-pprs-for-france/>

²² <https://www.aviationmanuals.com/news.aspx>

²³ https://www.aviationmanuals.com/portals/ACGI/news/OTAR_125_FLIGHT_OPERATIONS_APPROVALS_BULLETIN_03-10.pdf

²⁴ Cayman Islands http://www.caacayman.com/portal/page?_pageid=3321,1&_dad=portal&_schema=PORTAL

²⁵ EU and UK <https://www.aviationmanuals.com/news.aspx> (this link references the next two sources below)

²⁶ https://www.aviationmanuals.com/portals/ACGI/news/UK_CAA_Info.pdf

²⁷ https://www.aviationmanuals.com/portals/ACGI/news/State_letter_27--Adoption_of_Amendment_27_to_Annex_6_Part_II.pdf

²⁸ Australia <http://www.casa.gov.au/scripts/nc.dll?WCMS:PWA::pc=PARTS119>

²⁹ http://www.infrastructure.gov.au/aviation/safety/ssp/files/Australias_State_Safety%20Program_2012_FA7.pdf

³⁰ New Zealand http://www.caa.govt.nz/SMS/SMS_Policy.htm

³¹ <http://www.bestinflight.net/DocLibrary/What%20is%20SMS%20121025.pdf>

³² [http://www.dca.gov.bm/Lists/Announcements/Attachments/80/Annex%206%20Pt%202%20compliance%20\(4\).pdf](http://www.dca.gov.bm/Lists/Announcements/Attachments/80/Annex%206%20Pt%202%20compliance%20(4).pdf)

³³ www.ainonline.com/aviation-news/ainalerts/2010-11-18/bermuda-first-country-require-sms-aircraft-entry

³⁴ <http://www.wyvernlttd.com/wyvern-standard-accepted-for-international-sms-compliance/>

Who Will Need a SMS?

Although we don't have a crystal ball, we do anticipate SMS regulations will be published according to the type of operation (Part 91, 125, 135, etc.). If you are an operator of large or turbojet aircraft, you **may** be affected by future US regulation. And remember, if you're traveling internationally, you should be aware of that country's rules (such as Bermuda).³⁵

Regardless of the type or destination of US business operations, the FAA is encouraging all operators to voluntarily develop a SMS. And many companies are getting a jump start.

1) For operators of large and turbojet aircraft with destinations only in the United States:

Businesses operating solely within U.S. borders are in a "wait-and-see" scenario. Until an FAA regulation is created, spending time and money to implement a SMS now may be wasted. We simply don't know if operators who fly strictly domestically are on the FAA's radar concerning a SMS.

2) For operators of large and turbojet aircraft with destinations in foreign countries:

The situation is more urgent and complicated for international travelers. Remember, when flying to foreign countries, their rules govern you (per Part 135.3 and Part 91.703).³⁶

The FAA was assured that ICAO member states, including Transport Canada and the European Aviation Safety Agency (EASA), "do not intend to restrict operations within their airspace due to noncompliance with ICAO SMS requirements."³⁷ But these agreements are not permanent.

After considering the FAA's filed statement of non-compliance or "difference" with ICAO, fellow-member states decide whether to honor a difference of the foreign operator who enters their airspace. The Flight Standards (AFS) SMS Program Office works with foreign agencies to mitigate instances where carriers are denied entry or operation in foreign airspace for various reasons.³⁸

³⁵ http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_safety/info/all_infos/media/2011/InFO11010.pdf

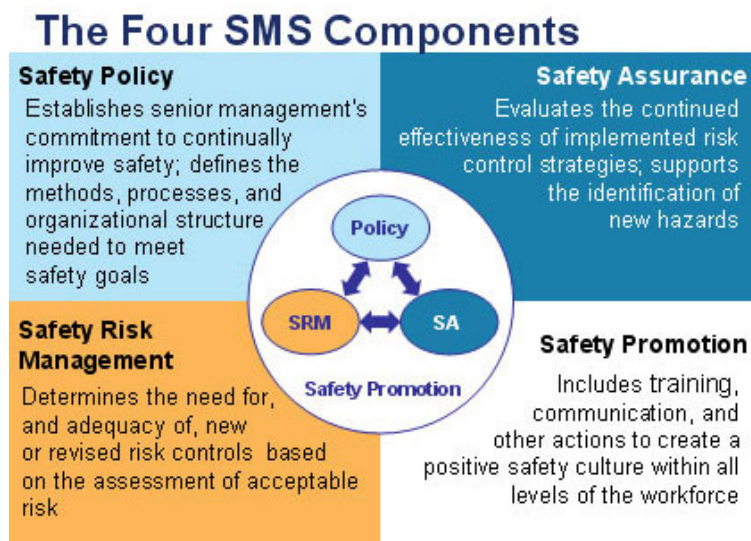
³⁶ FAR 91.703 <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=3efaad1b0a259d4e48f1150a34d1aa77&rgn=div5&view=text&node=14:2.0.1.3.10&idno=14>

³⁷ NPRM 8900.133 http://fsims.faa.gov/wdocs/notices/n8900_133.htm

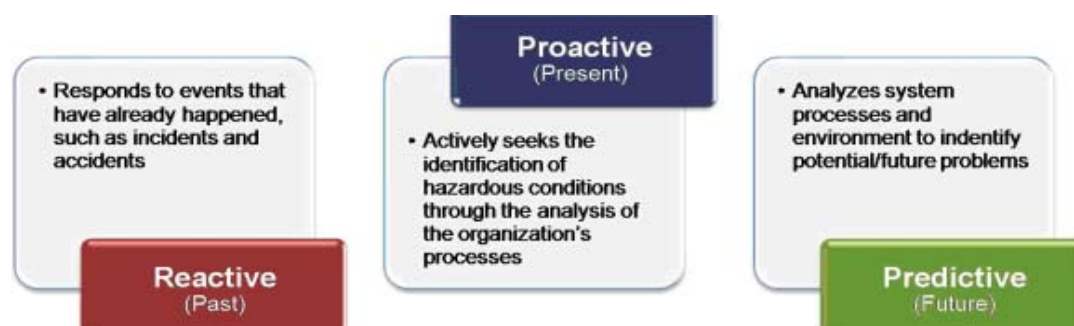
³⁸ <http://www.faa.gov/documentLibrary/media/Notice/N%208900.133.pdf>

SMS Framework

SMS is composed of four components within the framework of a **safety culture**.³⁹ Below is a basic diagram:



Everything is geared around “safety promotion” via a positive **safety culture**. The primary goal of SMS is to move business from a reactive to a predictive safety system—therefore reducing workplace accidents and enhancing company bottom line through reduced accident costs.



Since this publication is not intended as an exhaustive description of a SMS, we've provided links to more detailed information in the “Providers” and “Resources” sections.

³⁹ FAA: SMS Components Key Points: the Four SMS Functional Components:
<http://www.faa.gov/about/initiatives/sms/explained/components/>

SMS Benefits

The FAA describes benefits for SMS adopters in Advisory Circular: AC No: 120-92.⁴⁰

In the spirit of brevity, the information in the below section is an edited excerpt from The American Society of Safety Engineers (ASSE) featured publication from AJ Bayuk. We found this to be a good corollary to the significantly longer AC 120-92.⁴¹

Benefits include:

- **Reducing accident costs** – Fines, repair costs, incident investigation costs, operational disruption, and increased insurance premiums are a few potential consequences of an aviation mishap.
- **Gaining a marketable safety record** – A record of consistent safe operations can attract new business.
- **Prioritizing needs** – SMS emphasizes risk mitigation actions that impact safety and the bottom line.
- **Using resources efficiently** – Example: SMS hazard reporting creates more proactive maintenance scheduling thereby increasing efficiency of people and assets.
- **Continuous operational improvement** – SMS helps you strategize safer flight operations by learning from past problem areas identified in the SMS hazard-recognition process.

A Different Perspective:

- Will your flight department experience a preventable fatality?
- Will you be caught off-guard and slapped with expensive FAA fines for lack of SMS compliance when a regulation is enforced?
- Will you fly to an international destination only to find out you're not compliant with their SMS laws?⁴²

⁴⁰ AC 120-92 AFS-800 (page 2)

[http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/\\$FILE/AC%20120-92.pdf](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/$FILE/AC%20120-92.pdf)

⁴¹ Visit www.asse.org Search "SMS", select: "Aviation SMSs as a Template for Aligning Safety with Business Strategy" pg. 3 <http://www.asse.org/education/businessofsafety/docs/AJBayukPaper.pdf>

⁴² Advisory Circular (40 pages) Introduces the concept of SMS and implementation guidance.

AC 120-92 AFS-800 (page 2)
[http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/\\$FILE/AC%20120-92.pdf](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/$FILE/AC%20120-92.pdf)

FAQs

The FAQ content contains an annotated list of questions and responses directly answered by the FAA. Remember, they are the final authority to SMS rulemaking. If you have more questions, you can contact the appropriate SMS Program Manager via page 18 of the Resources section of this packet.

The links referenced in the below section can be found at:

<http://www.faa.gov/about/initiatives/sms/faq/>

What is a SMS?

SMS is the formal, top-down business-like approach to managing safety risk, which includes a systemic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures (Order VS 8000.367).

“SMS” sounds like other hyped concepts that come and go. How is a SMS different?

If SMS concepts are embraced by operators, it has a chance of achieving its objectives. *If the motivation is there on the part of managers, management systems will produce.* It's our intent to produce a robust program with effective tools, training, and outreach.

Where can I get the newest SMS information?

Please visit the [Reference](#) section for historical and recent information about a SMS. Rulemaking process information can be found in the [SMS Explained: Regulation and SMS](#).

Aren't we already doing a SMS through prior efforts?

SMS is part of aviation safety evolution. It's the next phase of improving safety by providing a safety culture across business functions and integrating reporting practices.

How will a SMS be assessed?

Although not required, the FAA published guidance documents. Please visit the [Reference Library](#).

Why is the FAA implementing a SMS?

The FAA is pursuing SMS compliance because it's the right thing to do. We need to incorporate a new standardized safety strategy in aviation.⁴³

Why now?

The FAA's mission is to provide the safest, most efficient aerospace system in the world. Having a SMS is becoming a standard throughout the aviation industry worldwide. It is recognized by the JPDO, ICAO, and CAA as the next step in aviation safety evolution.

SMS concepts have generated wide-spread support in the community as an effective approach that can deliver benefits which materialize as companies move from reactive to predictive entities.

What countries established a SMS precedent?

SMS resources from other countries include: Australia, New Zealand, and Canada.

How long will it take to start a SMS?

Implementation of a SMS takes about three years.

What's the difference between a SMS and QMS?

The objective of a SMS is safety, while the objective of QMS is customer satisfaction. SMS goes beyond QMS by focusing on the safety, human and organizational aspects of an operation.⁴⁴

⁴³ http://www.faa.gov/about/initiatives/sms/explained/regulation_and_sms/

⁴⁴ Distinguishing between QMS and SMS http://www.faa.gov/about/initiatives/saso/library/media/SASO_Briefing_Managers_Toolkit.pdf

SMS Misconceptions

SMS will NOT require a separate safety department.

While larger organizations may have a specialist safety department, this is not a SMS necessity. The resources you allocate to a SMS should be appropriate to the size and complexity of your company.⁴⁵ SMS is a set of management practices applicable to all employees rather than a requirement for an additional organizational "layer".⁴⁶

ICAO's Annex 6 Part II did NOT require Part 135 operators to have a SMS by 2010.

ICAO sets the general SMS standards, but it's up to each country to determine their intent to enforce or ignore ICAO provisions.

Although the FAA intends to issue a regulation, an official compliance date hasn't been set yet. However, other countries aren't obligated to follow FAA precedent.⁴⁷ You'll notice each highlighted country on page 5 is in a different stage of SMS promulgation. Therefore, an SMS may already be required to legally operate in some countries (such as: Bermuda). Unfortunately, the burden rests on operators to determine when and where a SMS is needed.

Operators are NOT exempt from SMS requirements in other countries, regardless of FAA actions.

FAR Part 91.703 states that operators shall "comply with the applicable regulations of the foreign country in which the aircraft is operated."^{48 49} FAR Part 91.703 is relevant to 135 operators (as referenced in Part 135.3).⁵⁰

For example: Although the FAA doesn't require all business aircraft have a 406 Mhz ELT, operators must still carry a 406 Mhz ELT when operating in countries that adhere to the ICAO standard requiring such.⁵¹

⁴⁵ FAA pilot project General information: http://www.faa.gov/about/initiatives/sms/pilot_projects/

⁴⁶ FAA: SMS Misconceptions <http://www.faa.gov/about/initiatives/sms/explained/misconceptions/>
⁴⁷ <http://www.nbaa.org/member/admin/sms/faq/icao.php?CFID=5825606&CFTOKEN=80997374>

⁴⁸ <http://www.nbaa.org/member/news/insider/2010/0310/ask-osg.php?CFID=5838683&CFTOKEN=69273287>

⁴⁹ FAA: [http://www.ecfr.gov/cgi-bin/text-](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=3efaad1b0a259d4e48f1150a34d1aa77&rgn=div5&view=text&node=14:2.0.1.3.10&idno=14)

[idx?c=ecfr&sid=3efaad1b0a259d4e48f1150a34d1aa77&rgn=div5&view=text&node=14:2.0.1.3.10&idno=14](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=3efaad1b0a259d4e48f1150a34d1aa77&rgn=div5&view=text&node=14:2.0.1.3.10&idno=14)

⁵⁰ [http://www.ecfr.gov/cgi-](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=59ab7bdec0b506ab76cff6df4aadd4dc&r=PART&n=14y3.0.1.1.11#14:3.0.1.1.11.1.3.3)

[bin/retrieveECFR?gp=&SID=59ab7bdec0b506ab76cff6df4aadd4dc&r=PART&n=14y3.0.1.1.11#14:3.0.1.1.11.1.3.3](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=59ab7bdec0b506ab76cff6df4aadd4dc&r=PART&n=14y3.0.1.1.11#14:3.0.1.1.11.1.3.3)

⁵¹ <http://www.nbaa.org/member/admin/sms/faq/icao.php?CFID=5825606&CFTOKEN=80997374>

What Should I Do Now?

Step One:

Continue your steady course of research via this packet.

Before lunging forward to buy a SMS program marketed as a “pre-packaged quick fix”, remember, SMS is not intended to be another “safety procedures” binder you forget on a shelf. It’s about promoting an active safety culture—which entails a lot more than storing an extra binder.

Our “Resources” section includes helpful articles geared towards increasing your SMS education and making you aware of your options.

“It is possible to fly without motors, but not without knowledge and skill.”

-Wilber Wright

Step Two:

You took an interest, now take an initiative.

If you decide to participate in a SMS, the next step is to determine whether you want to create your own, or pay a fee for third-party assistance (see the “SMS Providers” section).⁵² Regardless of your decision, see how you can be part of the FAA’s SMS pilot program (see footnotes).^{53 54}

Step Three:

Once you have a SMS underway, *contact an auditor to monitor your progress.* Auditors can be found through many companies including:

- Old Republic Aerospace: <http://www.OldRepublicAerospace.com/>
- Cause Safety: <http://www.causesafetyllc.com>
- IS-BAO: <http://www.isbaoaudits.com/>
- ACSF: <http://acsf.aero/sms/>

⁵² <http://www.universalweather.com/aviation-sms/>

⁵³ General information on how your company can become involved as an FAA pilot project: http://www.faa.gov/about/initiatives/sms/pilot_projects/

⁵⁴ SMS project Guidance by the type of operation (Airport/ air operator/ Manufacturer/ etc.) This is a basic chart: http://www.faa.gov/about/initiatives/sms/pilot_projects/guidance/

SMS Providers

Remember, there is currently no FAA procedure to approve a SMS. So be cautious of providers offering “guaranteed” SMS compliance. You should also consider what *level* of compliance is acceptable to the country where you’ll fly. ⁵⁵ FAA InFo 11010 also contains SMS start-up recommendations. ⁵⁶

For the DIYers who want to design a SMS, start here:

- Feeling overwhelmed? Check out the NBAA SMS workshop:
<http://www.nbaa.org/admin/sms/education/>
- Follow the ICAO SMS Manual (ICAO doc. 9859)
<http://www.icao.int/safety/SafetyManagement/Documents/Doc.9859.3rd%20Edition.alltext.en.pdf>
- FAA Advisory Circular (AC) 120-92
http://www.faa.gov/regulations_policies/advisory_circulars/index.cfm/go/document.information/documentID/319228
- ICAO SMS Toolkit: <http://www.nbaa.org/admin/sms/tool-kit/>
- FAA Implementation: “Read-Me-First-Doc” (15 pages)
http://www.atcvantage.com/docs/FAA_Read-Me-First_Document_rev08-05-09.pdf
- IHST “Developing a SMS” video (30 minutes) for fixed and rotor wing.
<http://ihst.org/Default.aspx?tabid=2781&language=en-US>
- Overview and SMS Update: *FAA Notice N8900.133, 2010* (3 pages)
http://fsims.faa.gov/wdocs/notices/n8900_133.htm
- FAA SMS Research Library
http://www.faa.gov/about/initiatives/sms/reference_library/
- Pages 1-20 explain SMS in-depth. Pages 20-40 are examples of SMS documentation. *IHST SMS Toolkit Edition 1* (40 pages)
http://www.ihst.org/portals/54/SMS_1st_edition.pdf
- *An updated, but longer version of the 1st edition above. (108 pages)
http://ihst.rotor.com/Portals/54/2009_SMS_Toolkit_ed2_Final.pdf
- NBAA offers more resources at: www.nbaa.org/admin/sms/
- “Where to get started” by Universal Weather
<http://www.universalweather.com/blog/2013/11/aviation-sms-manuals-what-should-be-included-part-2-beginning-the-process/>
- Updated blog dedicated to SMS by Universal Weather
<http://www.universalweather.com/blog/tag/aviation-safety-management-system-sms/>

⁵⁵ FAA InFo 11010 April 11, 2011

<http://www.ihst.org/LinkClick.aspx?fileticket=H%2FiGrJeZcKA%3D&tabid=1507&language=en-US>

⁵⁶ FAA InFo 11010 additional info: <http://www.faa.gov/about/initiatives/sms> and http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_safety/info/all_infos/media/2011/InFO11010.pdf

- SMS booklet (New Zealand)
file:///C:/Users/lrusnok/Downloads/sms_booklet_1.pdf
 and <http://www.caa.govt.nz/SMS/index.htm>

For operators who will approach a third party organization to integrate and validate SMS standards into their operations: ¹

- 1) Visit the International Business Aviation Council (IBAC) and International Standard for Business Aviation Operations (IS-BAO) websites. Remember, IS-BAO is more than a SMS; it is a voluntary, industry code of best practices. ^{57 58}
- 2) Air Charter Safety Foundation (ACSF) ⁵⁹
- 3) The International Helicopter Safety Team (IHST) offers a “SMS Toolkit” tailored to rotorcraft operations, but does not offer system validation service. ⁶⁰
- 4) Universal Weather offers this SMS buyers guide:
http://d.universalweather.com/pdf/sms/SMS_Buyers_Guide_US.pdf

“Quality is never an accident. It represents the wise choice of many alternatives.”

-Willa Foster

Simply put, until the FAA produces a regulation requiring operators to implement a SMS, there is no guarantee that any “pre-packaged” SMS program in current existence will comply with future FAA regulations.

¹ This list is not exhaustive. The FAA does not regulate third party provider services. Operators must ensure that their SMS meets all ICAO requirements. Source: FAA InFo 11010 April 11, 2011s

⁵⁷ IS-BAO website: http://www.ibac.org/is_bao

⁵⁸ “SMS for Corporate Aviation (An Evolutionary Approach to Integration of Quality and Safety)”
<http://www.ibac.org/Files/is-bao/JournalArticles/CAAS%202004%20Ray%20Rohr.pdf>

⁵⁹ <http://acsf.aero/sms/>

⁶⁰ <http://ihst.org/Default.aspx?tabid=1507&language=en-US>

Conclusion

Now that you are more familiar with SMS and the FAA's involvement, you can make a more educated decision to determine if implementing a SMS at this time is right for your flight department. Although no FAA regulation exists now, there are international destinations that do require an active SMS.

To reiterate, getting a head-start on future requirements can pay off in large dividends if done correctly by an educated management. It's up to you to educate yourself more thoroughly and determine what's appropriate for you.

Remember: the business of aviation was not built on idleness and apathy.

"Nobody can risk the future by clinging blindly to the present."

- John Rosanvallon, Dassault Falcon CEO

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Disclaimer:

The information provided herein is true and correct to the best of our knowledge as of April 2014. Please remember that the state of an eventual SMS requirement is in constant flux. Due to the evolving nature of SMS, we recommend contacting the FAA headquarters in Washington DC for updates (see page 18).⁶¹

⁶¹http://www.faa.gov/about/office_org/headquarters_offices/avs/offices/afs/afs900/sms/media/newsletter/sms_qr_guide.pdf

Additional Resources

How to use this section:

After you explore the footnotes more thoroughly, you may wish to dissect additional resources. The next page provides additional publications to help you:

- Learn about SMS,
- Identify the basic framework for what a SMS should look like,
- And explain how to implement a SMS.

Due to the changing nature of a SMS, we recommend you stick to the FAA for the best, most reliable SMS information since they will be the final SMS authority. You can follow the FAA's SMS rulemaking progress and activities at:

<https://www.faa.gov/about/initiatives/sms/rulemaking/>

FAA SMS Program Managers headquartered in Washington D.C are featured on the last page of this document. Their updated contact information can be found online at:

<https://www.faa.gov/about/initiatives/sms/contacts/>

"Don't confuse getting paid to fly with being a professional... Professionalism means doing the right thing, even when no one is watching."

- Mark Rosenker, Chairman of the NTSB

As a continually evolving document, updates are always welcome. If you have other resources, or would like your recommendations to be considered as an addition to this information packet, please contact:

Laura Rusnok at Old Republic Aerospace: lrusnok@ORaero.com or 972-991-7223.

Additional Resources

Air Charter Safety Foundation SMS Resources: <http://acsf.aero/sms/>

FAA postpones 91 & 135 SMS NPRM; focus on 121 <http://www.nbaa.org/admin/sms/20110321-faa-withdraws-sms-anprm.php>

Purdue university: SMS: Management's Role at Part 135 Carriers <http://docs.lib.purdue.edu/cgi/viewcontent.cgi?article=1026&context=atgrads>

Quick Reference Guide:

http://www.faa.gov/about/office_org/headquarters_offices/avs/offices/afs/afs900/sms/media/newsletter/sms_qr_guide.pdf

FAA: SMS Explained: <http://www.faa.gov/about/initiatives/sms/explained/>

FAA SMS Framework PDF for SMS

[http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/678110f11b8433728625777d0068d732/\\$FILE/ac%20120-92a.pdf](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/678110f11b8433728625777d0068d732/$FILE/ac%20120-92a.pdf)

FAA Revision to SMS Framework http://atcvantage.com/docs/FAA_SMS_Framework_Rev3.pdf

Safety Management International Collaboration Group (SM ICG) shares SMS framework info.

[http://www.easa.eu.int/sms/docs/Safety%20Management%20International%20Collaboration%20Group%20\(SM%20ICG\)%20Description%201%20v2.pdf](http://www.easa.eu.int/sms/docs/Safety%20Management%20International%20Collaboration%20Group%20(SM%20ICG)%20Description%201%20v2.pdf)

10 Things You Should Know about SMS (published by SM ICG) (1-2 pages):

[http://www.easa.eu.int/sms/docs/Safety%20Management%20International%20Collaboration%20Group%20\(SM%20ICG\)%20phamphlet%20A4%20-v4.pdf](http://www.easa.eu.int/sms/docs/Safety%20Management%20International%20Collaboration%20Group%20(SM%20ICG)%20phamphlet%20A4%20-v4.pdf)

EASA: Promoting a Safety Culture. <http://www.easa.europa.eu/essi/ecast/main-page-2/sms/>

Safety Culture Framework from the European Strategic Safety Initiative (ESSI) (14 pages)

<http://easa.europa.eu/essi/ecast/wp-content/uploads/2011/08/WP1-ECASTSMSWG-SafetyCultureframework1.pdf>

AOPA Flying Magazine Nov. 2011 "Managing Safety" by Jay Hopkins (3 pages)

<http://www.flyingmag.com/technique/accidents/managing-aviation-safety>

NBAA offers a free Flight Risk Assessment Tool (FRAT) <http://www.aircraftmerchants.com/FRAT/>

AIN December 2011 (Safety culture and accident statistics in business aviation)

http://www.ainonline.com/sites/ainonline.com/files/pdf/ain_2011_bombardiersafetystanddown.pdf

MSI offers audits and seminars: <http://www.msisafety.org/>

Argus SMS Audit Results March 2012: <http://markets.pe.com/pe/news/read?GUID=20887994>

For a copy of the report, enter your information at this link and the report will appear:

http://www.argus.aero/FreeData/PRISM_SMS_Audit_Results_2011.aspx

NPRM Part 5 go to page 39 http://atcvantage.com/docs/FAA_NPRM_Part121_packet.pdf

SMS Components: <http://www.faa.gov/about/initiatives/sms/explained/components/>

AC 120-92 introduces SMS guidance:

[http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/\\$FILE/AC%20120-92.pdf](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/0/6485143d5ec81aae8625719b0055c9e5/$FILE/AC%20120-92.pdf)

IBAC article: http://www.ibac.org/Files/is-bao/sms/bart_safety.pdf

ICAO Annex 19 (update to Annex 6) <http://www.icao.int/safety/SafetyManagement/Documents/Executive%20summary%20presentation.pdf>

SMS Program Managers

Aviation Safety SMS Program Manager:

Paula Martinez,
Manager, Safety Management and Research Planning Division, AVP-300
(202) 267-7602
paula.martinez@faa.gov

Aircraft Certification Service Manufacturers SMS Program Manager:

Aircraft Certification Service SMS Program Manager
Linda Navarro,
Acting Manager, Safety Management Design and Analysis Branch AIR-150
(425) 917-6503
linda.navarro@faa.gov

Flight Standards SMS Program Manager:

Roger Roberts,
Coordinator AFS SMS Program Office
(703) 661-0565
roger.roberts@faa.gov

Airports SMS Program Manager:

Keri Lyn Spencer,
ARP SMS Program Manager, AAS-300
(202) 267-8972
keri.spencer@faa.gov

Air Traffic Organization SMS Program Manager:

Huan Nguyen,
Director, ATO Office of Safety, SMS Directorate
(202) 385-4861
huan.nguyen@faa.gov

Designated Federal Official for Office of Aviation Safety SMS Aviation Rulemaking Committee:

Scott VanBuren,
Chief Systems Engineer for Aviation Safety
(202) 494-8417
scott.vanburen@faa.gov

SMS International Collaboration and Industry Outreach:

Amer M. Younossi
Senior System Engineer
(202) 267-5164
amer.m.younossi@faa.gov

The above information is available at: <https://www.faa.gov/about/initiatives/sms/contacts/>

Old Republic Aerospace Office Locations

Underwriting Office Locations



(Home Office)

Southeast Region

1990 Vaughn Road
Suite 350
Kennesaw, GA 30144
Tel: 770.590.4950
Fax: 770.590.0599

Southwest Region

15660 North Dallas Pkwy
Suite 400
Dallas, TX 75248
Tel: 972.991.7223
Fax: 972.720.1117

Midwest Region

2300 Cabot Drive
Suite 150
Lisle, IL 60532
Tel: 630.369.1076
Fax: 630.369.1221

West Region

555 S. Renton Village Pl
Suite 550
Renton, WA 98057
Tel: 425.277.7407
Fax: 425.277.0112

Northeast Region

199 Water Street
30th Floor
New York, NY 10038
Tel: 212.607.2624
Fax: 212.607.2614

Claim Office Locations



California

2800 Camino Dos Rios
Suite 101C
Thousand Oaks, CA 91320
Tel: 805.496.7181
Fax: 877.223.3830

Colorado

11178 Huron Street
Suite 203
Northglenn, CO 80234
Tel: 303.989.7902
Fax: 720.247.4884

Florida

20 South Main Street
Suite 230
Winter Garden, FL 34787
Tel: 352.227.1012
Fax: 877.223.3830

Georgia

1990 Vaughn Road
Suite 350
Kennesaw, GA 30144
Tel: 770.590.4950
Fax: 770.919.8646

Idaho

412 South King Ave
Suite 105A
Middleton, ID 83644
Tel: 208.350.6477
Fax: 208.350.6470

Illinois

2300 Cabot Drive
Suite 150
Lisle, IL 60532
Tel: 630.369.1076
Fax: 630.369.1221

Louisiana

400 Poydras Street
Suite 1940
New Orleans, LA 70130
Tel: 504.527.6160
Fax: 504.527.6391

Maryland

7801 York Road
Suite 327
Baltimore, MD 21204
Tel: 410.321.0314
Fax: 877.223.3830

Missouri

16020 Swingley Ridge Rd
Suite 235
Chesterfield, MO 63017
Tel: 636.536.0832
Fax: 877.223.3830

Texas

15660 North Dallas Pkwy
Suite 400
Dallas, TX 75248
Tel: 972.991.7223
Fax: 972.490.7069

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