

COMPATIBILITY OF SMS PROCESSES: CROSS REFERENCE	
AC 120-92A, Appendix 1 (SMSPP)	Title 14 CFR, part 5 (NPRM)
Component 1.0 Safety Policy and Objectives	§ 5.3 (a) (1), Subpart B – General Requirements
Element 1.1 Safety Policy	§ 5.21 Safety Policy
Element 1.2 Management Commitment and Safety Accountabilities	§ 5.23 Safety accountability and authority, § 119.65 Requirements, § 121.135 Manual Contents, and § 121.369 Manual Requirements
Element 1.3 Key Safety Personnel	§ 5.25 Designation and responsibilities of required safety management personnel, § 119.65 Requirements
Element 1.4 Emergency Preparedness and Response	§ 5.27 Coordination of emergency response planning
Element 1.5 SMS Documentation and Records	Subpart F - SMS Documentation and Recordkeeping, § 5.95, § 5.97 and § 121.135
Component 2.0 Safety Risk Management	Subpart C—Safety Risk Management, § 5.51 Applicability
Element 2.1 System Analysis & Hazard Identification	§ 5.53 System analysis and hazard identification
Process 2.1.1 System Description and Task Analysis	§ 5.53 (a) & (b)
Process 2.1.2 Identify Hazards	§ 5.53 (c)
Element 2.2 Risk Assessment and Control	§ 5.55 (a) Safety risk assessment and control
Process 2.2.1 Analyze Safety Risk	§ 5.55 (a)
Process 2.2.2 Assess Safety Risk	§ 5.55 (b)
Process 2.2.3 Control/Mitigate Safety Risk	§ 5.55 (c)
Component 3.0 Safety Assurance	Subpart D - Safety Assurance
Element 3.1 Safety Performance Monitoring and Measurement	§ 5.71 Safety performance monitoring and measurement
Process 3.1.1 Continuous Monitoring	§ 5.71 (a) (1) & (2)
Process 3.1.2 Internal Audits by Operational Departments	§ 5.71 (a) (3)
Process 3.1.3 Internal Evaluation	§ 5.71 (a) (4)
Process 3.1.4 External Auditing of the SMS	§ 5.71 (a) (3)
Process 3.1.5 Investigation	§ 5.71 (a) (5) & (6)
Process 3.1.6 Employee Reporting and Feedback System	§ 5.71 (a) (7)
Process 3.1.7 Analysis of Data	§ 5.71 (b)
Process 3.1.8 System Assessment	§ 5.73 (a) Safety performance assessment
Element 3.2 Management of Change	§ 5.73 (b) & (a) (2) - (5)
Element 3.3 Continuous Improvement	§ 5.75 Continuous improvement
Process 3.3.1 Preventive/Corrective Action	§ 5.75
Process 3.3.2 Management Review	§ 5.73 (a)
Component 4.0 Safety Promotion	Subpart E—Safety Promotion
Element 4.1 Competencies and Training	§ 5.91 Competencies and training
Process 4.1.1 Personnel Requirements (Competence)	§ 5.91
Process 4.1.2 Training	§ 5.91
Element 4.2 Communication and Awareness	§ 5.93 Safety Communication

Sources: AC 120-92A Appendix 1 (SMSPP); Notice of Proposed Rulemaking [Docket No. FAA–2009–0671; Notice No. 10–15] RIN 2120-AJ86 (NPRM)