

SMS for Part 121 Notice of Proposed Rulemaking (NPRM)

Safety Attribute Inspection (SAI) Data Collection Tool

8.2.1 Safety Risk Management

Revision#: 0 Revision Date: 7/19/2012

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): The organization will develop processes to understand the critical characteristics of its systems and operational environment and apply this knowledge to identify hazards, analyze and assess risk and design risk controls.

Objective (FAA's oversight responsibility): To determine if the operator's Safety Risk Management:

- Meets all applicable requirements of Title 14 (CFR),
- Describes the critical characteristics of its system,
- Identifies hazards in sufficient detail to analyze them, determine risk and associated risk acceptability,
- Develops necessary risk controls to mitigate unacceptable safety risk.

Specific Instructions:

Questions contained in this element are designed to evaluate the operator's Safety Management System as stated in the Scope of Element section. This assessment includes questions designed to evaluate the inclusion of key elements in a robust internal safety management system. The intent is not that a single "No" answer necessarily equates to an unsafe condition or a regulatory violation. This information gives the PI the ability to perform an accurate bottom-line assessment of the operator's internal safety program, including its inherent ability to identify and control or eliminate hazards, considering size/scope/complexity of the carrier.

SUPPLEMENTAL INFORMATION

Regulatory Requirements*:

5.3, 5.23, 5.51, 5.53, 5.55, 5.73, 5.95 and 5.97

Related CFRs & FAA Policy/Guidance:

Related CFRs:

121.135

FAA Policy/Guidance:

FAA Order 8900.1, Volume 16

AC 120-92 Safety Management Systems for Aviation Service Providers

*Based on: Notice of Proposed Rulemaking (NPRM) [Docket No. FAA-2009-0671; Notice No. 10-15] RIN 2120-AJ86 (NPRM)

SAI SECTION 1 - PROCEDURES ATTRIBUTE**Objective:**

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished. These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety.

14 CFR part 121.135(a)(1)

Tasks

	The inspector shall accomplish the following tasks:
1	Review the information in the Supplemental Information Section of this SAI.
2	Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element.
3	Review the documentation of the processes associated with this element.

Questions

1.1	Does the certificate holder's safety management system have a safety risk management component that is in accordance with 14 CFR, part 5, subpart C, Safety Risk Management? Note: This question is best answered after addressing all other questions within this component.	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.3 (a) (2)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.2	Does the certificate holder's safety management system require that the safety risk management process be used when any of the following conditions occur in the organization's operational processes: <ul style="list-style-type: none"> • Implementation of a new systems; • Revision of existing systems; • Development of operational procedures; and • Identification of hazards or ineffective risk controls identified through the safety assurance processes contained within 14 CFR, part 5, subpart D, Safety Assurance? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.51	
	Kind Of Question: Flag, Supplemental, Domestic	
1.3	Does the certificate holder's safety management system define accountability for developing, implementing and maintaining hazard identification and risk assessment processes for each operational manager in their areas of responsibility? Note: This question/process includes owners of operational processes (Managers, Directors, etc.), at the decisional level across the organization.	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.23(a) (2) (i)	

	Kind Of Question: Flag, Supplemental, Domestic	
1.4	<p>Does the certificate holder's safety management documentation identify the levels of management with the authority to make decisions regarding safety risk acceptance for the company?</p> <p>Note: This question/process includes owners of operational processes (Managers, Directors, etc.), at the decisional level across the organization.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.23 (b)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.5	<p>Does the certificate holder's safety management system ensure that the accountable executive designates sufficient management personnel to facilitate hazard identification and safety risk analysis?</p> <p>Note: This question/process includes safety support personnel such as a Safety Officer, Director of Safety, Safety Department, etc., and associated staff.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.25 (c) (2)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.6	<p>When applying safety risk management, does the certificate holder have a process to describe and analyze the system, for use in identifying hazards, and does the system analysis consider the following information:</p> <ul style="list-style-type: none"> • Function and purpose of the system; • The system's operating environment; • An outline of the system's processes and procedures; • The personnel, equipment, and facilities necessary for operation of the system? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.53 (a) & (b)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.7	<p>Does the certificate holder's safety risk management component of their safety management system ensure that processes to identify hazards within the context of the system analysis are developed and maintained?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.53 (c)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.8	<p>Does the certificate holder's safety risk management component of their safety management system ensure that processes are developed and maintained to analyze safety risk associated with identified hazards?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.55 (a)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.9	<p>Does the certificate holder's safety risk management component of their safety management system define a process for conducting risk assessment that allows for the determination of acceptable safety risk?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	

	SRRs: 5.55 (b)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.10	Does the certificate holder have a process to ensure that risk controls are developed, implemented and maintained that are necessary as a result of their safety risk assessment process? Note: Implementation of controls should include appropriate procedures, instructions and/or methods.	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.55 (c) and 5.53 (a)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.11	Does the certificate holders risk management process have procedures to evaluate whether the risk will be acceptable with the safety risk control applied before the risk control is implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.55 (d)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.12	Does the certificate holder's safety management system have a process to ensure implemented risk controls are evaluated in the safety assurance component to identify ineffective controls?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.73 (a) (3)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.13	Does the certificate holder have a process to develop and maintain their safety management system documentation in a manner that describes their safety risk management processes and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.95 (b)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.14	Does the certificate holder maintain records of their safety risk management outputs for as long as the controls remain relevant to their operation?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.97 (a)	
	Kind Of Question: Flag, Supplemental, Domestic	

SAI SECTION 1 - PROCEDURES ATTRIBUTE

Drop-Down Menu

1.	No policy, procedures, instructions, or information specified.
2.	Procedures or instructions and information do not identify who, what, when, where, how.
3.	Policy, procedures, or instructions and information do not comply with CFR.
4.	Policy, procedures, or instructions and information do not comply with FAA policy and guidance.
5.	Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.).
6.	Policy, procedures, or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).

8.	Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE

Note: A Safety Management System (SMS) is a fully integrated structure and as such has the six system attributes built in to the design of an SMS. Therefore, specific questions referring to the system attributes are not required for Sections 2 through 5 of the data collection tool.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Note: A Safety Management System (SMS) is a fully integrated structure and as such has the six system attributes built in to the design of an SMS. Therefore, specific questions referring to the system attributes are not required for Sections 2 through 5 of the data collection tool.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Note: A Safety Management System (SMS) is a fully integrated structure and as such has the six system attributes built in to the design of an SMS. Therefore, specific questions referring to the system attributes are not required for Sections 2 through 5 of the data collection tool.

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Note: A Safety Management System (SMS) is a fully integrated structure and as such has the six system attributes built in to the design of an SMS. Therefore, specific questions referring to the system attributes are not required for Sections 2 through 5 of the data collection tool.