

SMS for Part 121 Notice of Proposed Rulemaking (NPRM)

Safety Attribute Inspection (SAI) Data Collection Tool

8.3.1 Safety Assurance

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

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To develop processes to monitor, measure, and evaluate the safety performance of the organization and the effectiveness of risk controls.

Objective (FAA's oversight responsibility): To determine if the operator's Safety Assurance component:

- Meets all applicable requirements of Title 14 (CFR),
- Monitors, measures, and evaluates the safety performance of the organization,
- Monitors, measures, and evaluates the effectiveness of risk controls.

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, 5.25, 5.71, 5.73, 5.75, 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

SAI SECTION 1 - PROCEDURES ATTRIBUTE

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

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 assurance component that is in accordance with 14 CFR, part 5, subpart D, Safety Assurance? 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) (3)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.2	Does the certificate holder's safety management system develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization to include: <ul style="list-style-type: none"> • Continuous monitoring of operational processes, • Periodic monitoring of the operational environment to detect changes? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (a) (1) and (2)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.3	Does the certificate holder's safety management system develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization to include auditing operational processes and systems?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (a) (3):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.4	Does the certificate holders safety management system develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization to include evaluations of the following: <ul style="list-style-type: none"> • The SMS, • Operational process and systems? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (a) (4):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.5	<p>Does the certificate holder's safety management system develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization to include investigating the following:</p> <ul style="list-style-type: none"> • Incidents and accidents, • Reports regarding potential non-compliance with regulatory standards or other safety risk controls established by the certificate holder through the SRM process? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (a) (5) and (6):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.6	<p>Does the certificate holder's safety management system develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization to include a confidential employee reporting system in which employees can report hazards, issues, concerns, occurrences, incidents, as well as propose solutions and safety improvements?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (a) (7):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.7	<p>Has the certificate holder developed, and maintained procedures to analyze data acquired from their safety assurance monitoring and measurement processes (questions 1.2, 1.3, 1.4, 1.5 and 1.6 above) and other relevant data from their operations, products and services?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.71 (b):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.8	<p>Does the certificate holder have documented processes to assess its safety performance against its safety objectives including reviews by the accountable executive to:</p> <ul style="list-style-type: none"> • Ensure compliance with the safety risk controls established by the certificate holder; • Evaluate the performance of the safety management system; • Evaluate the effectiveness of the safety risk controls established under SRM and identify any ineffective controls; • Identify changes in the operational environment that may introduce new hazards, • Identify new hazards? 	<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) & 5.25(b) (5)	
	Kind Of Question: Flag, Supplemental, Domestic	

1.9	Do the certificate holder's safety management processes ensure that the accountable executive designates sufficient management personnel who, on behalf of the accountable executive, monitor the effectiveness of their safety risk controls? Note: This question/process includes safety support personnel such as a Safety Officer, Director of Safety, Safety Department, etc., and associated staff.	<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) (3):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.10	Does the certificate holder's safety management system define accountability for assuring the effectiveness of safety risk controls for all managers 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) (ii):	
	Kind Of Question: Flag, Supplemental, Domestic	
1.11	Does the certificate holder have procedures to ensure they address in their safety risk management process any ineffective controls or new hazards identified during safety performance assessments (conducted as part of their safety assurance process)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.73 (b)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.12	Has the certificate holder established and implemented processes to correct safety performance deficiencies identified during their safety performance assessments (conducted as part of their safety assurance process)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.75 & 5.25(b) (5)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.13	Has the certificate holder established and implemented processes to ensure the accountable executive directs actions necessary to address substandard safety performance?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.75 & 5.25(b) (5)	
	Kind Of Question: Flag, Supplemental, Domestic	
1.14	Does the certificate holder have a process to develop and maintain SMS documentation that describes the certificate holder's safety assurance 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	
1.15	Does the certificate holder have a process to maintain records of outputs of their	<input type="checkbox"/> Yes

	safety assurance processes for a minimum of 5 years?	<input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
	Updated: Rev # X on XX/XX/XXXX	
	SRRs: 5.97(b) and 5.3 (b):	
	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.

NPRM