FAA AVIATION
SAFETY OUTREACH

# Aviation Organizations Performance of SMS

## FAA Expected Outputs of Safety Assurance (SA) and Safety Risk Management (SRM) Processes

## Process Interfaces

This document provides information about SMS outputs and observables that FAA inspectors may request to review during surveillance. SA and SRM are distinct yet interdependent components of an SMS. SRM results in risk control decisions, while SA evaluates whether those controls are effective over time. Observables from both processes provide aviation organizations with evidence to assess overall system performance.

| | Safety Assurance | Safety Risk Management |
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| **Key Definitions** | • SA Outputs: are related to safety performance assessments<br>• Observables: measurable indicators used to confirm the effectiveness or compliance of a process, control, requirement, or regulation. | • SRM Outputs: the result of and directly related to the acceptance or mitigation(s) of risk(s) in SRM.<br>• Observables: measurable indicators used to confirm the effectiveness or compliance of a process, control, requirement, or regulation. |
| **Outputs Breakdown** | • Records of determination of Safety Performance Assessment – Effective or Ineffective<br>• Records of the effectiveness of safety risk controls<br>• Records of performance of the SMS<br>• Records of review by the Accountable Executive | • Records indicating SRM was conducted<br>• Records of risk level determination (acceptable/unacceptable)<br>• Records of defined safety risk controls and mitigation actions |
| **Supporting Observables** | • Documented, performance dashboards, and reports showing trends against organizational objectives and performance targets.<br>• Evidence of a functioning confidential reporting system.<br>• Analytical reports, trend charts, summaries of safety data, and documented reviews of safety performance by management.<br>• Meeting minutes of safety review boards or management safety meetings, showing discussion of safety objectives, safety issues, and decisions regarding SMS performance.<br>• Audit findings specifically addressing the effectiveness of risk controls, reports on validation of control measures, and documentation of any identified ineffective controls.<br>• Minutes from safety meetings where new hazards or changes are discussed, or entries in a hazard reporting system stemming from ongoing operations. | • Evidence of active hazard reporting by employees, review of past incidents for systemic hazards, records of safety surveys, and documentation of operational changes introducing new hazards.<br>• Documentation detailing how risk likelihood and severity are determined, and how risk levels are calculated using various methods (qualitative, quantitative, or semi-quantitative).<br>• Completed risk assessment forms or database entries for each hazard, showing the assessed risk level (e.g., "High," "Medium," "Low," or numerical scores).<br>• Evidence of actions taken to address risks, such as new procedures, equipment upgrades, training, or revised policies.<br>• Signed risk acceptance forms, meeting minutes on risk acceptance decisions, and identification of the authority for risk acceptance. |

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