

## Key SMS Milestones

### 2009 - 2010

- ◆ Determine the base and main processes needed for an SMS environment
- ◆ Create all necessary AVSSMS policy and guidance
- ◆ Create AVSSMS Safety Risk Management and Safety Assurance processes
- ◆ Develop and launch SMS training and communication
- ◆ Take steps to make a single SMS rule within Title 14 CFR

### 2011 – 2017

- ◆ Complete development of AFS Safety Assurance System (SAS) and implement in AFS
- ◆ Complete SMS guidance and publish all policy for certificate holders
- ◆ Complete and begin practicing the new SMS oversight processes

### 2018 and Beyond

- ◆ Continue improvement efforts to support SMS

## Are you safety centered? How do you know?

Is management accountable? (Policy)

Do you proactively control risk? (Safety Risk Management)

Do you make sure your controls are working? (Safety Assurance)

Do you focus on safety in all you do? (Safety Promotion)

## Want More Information?

### Contact:

#### SASO - System Approach for Safety Oversight (AFS-30):

[www.faa.gov/safety/programs\\_initiatives/oversight/saso](http://www.faa.gov/safety/programs_initiatives/oversight/saso)

#### Safety Management System Program Office (SMS PO):

[Don.Arendt@faa.gov](mailto:Don.Arendt@faa.gov), AFS-900

#### FAA Safety Team (FAASafetyTeam):

[www.faasafety.gov](http://www.faasafety.gov)



### This brochure was brought to you by the SASO Program Office:

- ◆ Dennis Niemeier (Program Manager)
- ◆ Richard J. Abbott (Business Process Reengineering Lead)
- ◆ Estrella Gonzales (Change Management Implementation Lead)
- ◆ Donna Hughes (AFS National Business and IT Lead)
- ◆ Regina Covington (Budget and Management Analyst)



## Safety Management System (SMS) The Future of AFS Oversight

### SASO

*System Approach for Safety Oversight  
AFS-30*

## Adopting SMS will move AFS from a reactive safety approach to a proactive culture of prevention

**System Safety** is the concept of using technical and management skills to reduce risk by finding and addressing potential hazards. Many industries design processes and equipment using System Safety practices to proactively address potential problems.

A **Safety Management System (SMS)** is the formal process of using System Safety practices in an organization's everyday activities to control risk. SMS is an approach used throughout the aviation industry to meet System Safety standards set by the International Civil Aviation Organization (ICAO).

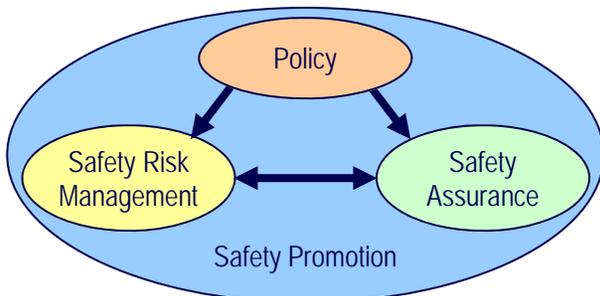
### An SMS has four components:

**Policy** establishes senior management's commitment to continually improve safety, and defines the methods and processes, and organizational structure, needed to meet safety goals

**Safety Risk Management** includes the definition of the system of interest, identification of hazards and the analysis and assessment of associated risk, as well as the development and implementation of appropriate risk control strategies

**Safety Assurance** evaluates the continued effectiveness of implemented risk control strategies and supports the identification of new hazards throughout the system life cycle

**Safety Promotion** includes actions to create a positive safety culture within all levels of the workforce, characterized by an adequate knowledge base, competency, tools, communications, training, decision making and information sharing



## What is Being Done?

A Safety Management System can be within a regulating body like FAA (internal SMS) or a certificate holder (external SMS).

AVS and AFS are working on both.

### What is AVS doing?

AVS formed an Executive Board to:

- ◆ Create an SMS within AVS – the “AVSSMS”
- ◆ Establish AVS responsibilities for the four SMS components:
  - Policy
  - Safety Risk Management
  - Safety Assurance
  - Safety Promotion
- ◆ Help each AVS service/office develop their own SMS tools and processes

### What is AFS doing?

The **SMS Program Office (PO)** works with **certificate holders** (and their certificate management teams) participating in the Voluntary Implementation Pilot Projects. SMS PO also helps develop the rules, regulations, and guidance to help air carriers implement SMS.

The **FAASTeam (AFS-8)** also helps **certificate holders** (and their certificate management teams) with SMS. They also work with SMS PO to support voluntary SMS Implementation Program participants.

The **SASO PO (AFS-30)** works with **AFS employees** to update them on safety and SMS, and is developing the AFS Safety Assurance System (SAS).

### What is SASO?

System Approach for Safety Oversight (SASO) was established by AFS to improve the organization, processes, and tools used to ensure certificate holder safety. This set of safety oversight functions is referred to as the Safety Assurance System, or SAS. **The SAS is based on the Safety Assurance component of SMS.**

The SASO Program Office, managed by AFS-30, coordinates SAS development and implementation activities within AFS.

### How will SMS affect the workforce?

- ◆ Inspectors will always need aviation expertise, and will still need to be out in the field
- ◆ All AFS employees will gain new skills to work with new tools and processes
- ◆ All AFS employees will be valuable contributors as we move toward NextGen

### How will SMS affect AFS?

- ◆ AFS will be able to more effectively:
  - Target potential safety hazards
  - Find and fix gaps in operations
  - Conduct oversight
  - Establish regulations to reduce risk