



Presented to: Design & Manufacturers and FAA - AIR
By: Tom Tiernan FAA AIR-841 Project Management Section
Date: June 25, 2024



**Federal Aviation
Administration**

What are we going to discuss today?

- **FAA Order 8120.24**

“Implementation Plan Approval, Verification, and Evaluation of Safety Management Systems for Design and Production Approval Holders”

- **Implementation Plans**

- **Data Collection Tools (DCT)**

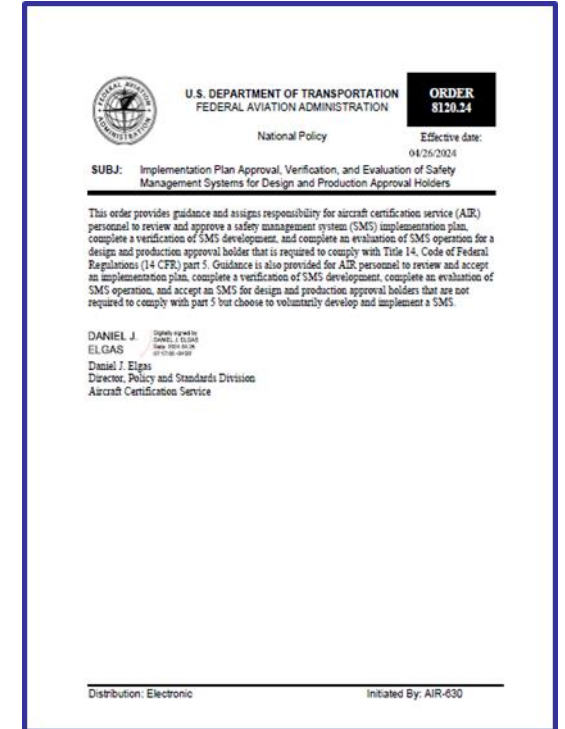
- **Roles and Responsibilities**

Company Name		Responsible Company Official	
		Email Address	Phone
Location	Responsible	Reference ID	Approved/Not Approved
Lat			
Long			
Subject A - General			
21.3.1 Application			
21.3.1.1 Approval of the Application			
21.3.1.1.1	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.1	Not applicable
21.3.1.1.2	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.2	Not applicable
21.3.1.1.3	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.3	Not applicable
21.3.1.1.4	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.4	Not applicable
21.3.1.1.5	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.5	Not applicable
21.3.1.1.6	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.6	Not applicable
21.3.1.1.7	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.7	Not applicable
21.3.1.1.8	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.1.1.8	Not applicable
21.3.2 Production			
21.3.2.1 Approval of the Application			
21.3.2.1.1	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.1	Not applicable
21.3.2.1.2	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.2	Not applicable
21.3.2.1.3	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.3	Not applicable
21.3.2.1.4	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.4	Not applicable
21.3.2.1.5	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.5	Not applicable
21.3.2.1.6	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.6	Not applicable
21.3.2.1.7	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.7	Not applicable
21.3.2.1.8	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.2.1.8	Not applicable
21.3.3 General Requirements			
21.3.3.1	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.1	Not applicable
21.3.3.2	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.2	Not applicable
21.3.3.3	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.3	Not applicable
21.3.3.4	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.4	Not applicable
21.3.3.5	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.5	Not applicable
21.3.3.6	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.6	Not applicable
21.3.3.7	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.7	Not applicable
21.3.3.8	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.8	Not applicable
21.3.3.9	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.9	Not applicable
21.3.3.10	Does the applicant have a valid FAA issued certificate of approval (COA) for the product to be produced?	Not required for part 21.3.3.10	Not applicable



FAA Order 8120.24

- Provides guidance to FAA personnel
- Assigns responsibility
 - Review and Approve Implementation Plans
 - Complete Verification of SMS Development (Verification DCTs)
 - Complete Evaluation of SMS Operation (Evaluation DCTs)



Implementation Plans

- **Combination of a Gap Analysis / Implementation Plan**
- **Created and Submitted by the Certificate Holder**
 - 9-AVS-AIR-SMS@faa.gov
- **The FAA Program Management Sections will forward to applicable Certification Branch (CB) and Certificate Management Section (CMS) Managers**
- **Managers form the SMS Team**
- **The SMS Team reviews and approves the Implementation Plan**



Data Collection Tools

- DCTs are a standardized set of questions
- Used by the SMS Team to determine Compliance
- Record of compliance
- Two different sets
 - First set “Verification” determines Processes and Procedures are documented / in place
 - Second set “Evaluation” determines the P&P are being followed and are working
- SMS Team issues a letter to the certificate holder after each set of DCTs

AVS Quality Management System

Verification Data Collection Tool (DCT) Organizational System Description

Process	Status	Observations/Comments
1. How the organizational system description is developed and updated is documented in the form of a policy or procedure (including the roles and responsibilities of the relevant personnel).	<input type="radio"/> Yes <input type="radio"/> No	
2. The organizational system description is reviewed and updated as needed.	<input type="radio"/> Yes <input type="radio"/> No	
3. The organizational system description is approved by the appropriate authority.	<input type="radio"/> Yes <input type="radio"/> No	
4. The organizational system description is available to all relevant personnel.	<input type="radio"/> Yes <input type="radio"/> No	



Roles and Responsibilities

- **Certificate Holder submits Implementation Plan**
- **FAA SMS Team “Approves” plan**
- **FAA accomplishes Verification DCTs**
 - Issues letter
- **FAA accomplishes Evaluation DCTs**
 - Issues letter
- **FAA moves to performance monitoring of SMS through routine Oversight of Certificate Holder**



Thanks for attending!

- **Questions, Comments or further Clarification?**

9-AVS-AIR-SMS@faa.gov



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