

## Station #8: EASA / FAA / Other CAA Engagement

Aviation organizations that have implemented an SMS may also have a regulatory requirement for SMS compliance depending on their type of operation and/or the country in which they operate in.

Once compliance has been declared to the regulatory agency, aviation organizations should expect verification through the agency’s defined surveillance process. It is recommended that aviation organizations be proactive with their inspectors and certificate management team to demonstrate proactiveness and transparency.

For US aviation organizations, the [FAA document 8900.1, Volume 17](#) provides guidance to inspectors for planning, observing, and evaluating an operator’s SMS. Aviation organizations should review this document to better understand what is expected and how their inspectors will perform surveillance using the Safety Assurance System (SAS). The job aids typically utilized by inspectors are Data Control Tools (DCTs) that can be found in the FAA’s Dynamic Regulatory System (DRS) under the SAS selection.

To access the full DCTs, go to: [https://drs.faa.gov/browse/SAS\\_AXH\\_DCT/doctypeDetails](https://drs.faa.gov/browse/SAS_AXH_DCT/doctypeDetails)

For US operators required to submit a Declaration of Compliance to the FAA no later than May 28, 2027, there are several requirements that must be included to be considered acceptable under [14 CFR § 5.9\(a\)\(2\)](#):

- The name of the aviation organization and its certificate number (if applicable),
- The physical address of the aviation organization,
- A statement that the aviation organization has developed and implemented an SMS that meets the requirements of 14 CFR part 5, and
- A signature from the accountable executive or another senior member of management.

Types of correspondence with the FAA:

*Table 10: List of Types of Correspondence with the FAA*

Type of Record	File Name	Example
For correspondence sent from the FAA	[YYYYMMDD] [FAA] [Name or Designator] [Brief Description/Subject]	20230326 FAA AEHG GOM Ltr Accept
For correspondence sent to the FAA	[YYYYMMDD] [Name or Designator] [Brief Description/Subject]	20230326 FAA AEHG GOM DCT Response
Manuals	[Designator] [Manual Name or Abbreviation] [Revision Level]	AEHG GMM Manual Rev12
Certificates	[YYYYMMDD] [Designator] [Certificate]	20231206 AEHG Certificate
Operations Specifications (OpSpecs) / Letters of Authorization (LOA)	[YYYYMMDD] [OpSpec / LOA]	AEHG A001
Memorandums	[YYYYMMDD] [Issuing Office] [Receiving Office] [Brief Description/Subject]	20230326 S019 AFS200 Memo Deviation 119 Personnel
Other Media	[YYYYMMDD] [FAA Office] [Designator] [Brief Description/Subject]	20230326 S019 AEHG Low Flying

## Example SMS Declaration of Compliance document for the FAA

### FAA Safety Management System

#### Declaration of Compliance for [Name of Aviation Organization]

[Name of Aviation Organization] has prepared this declaration of compliance document in accordance with 14 CFR §5.9(a)(2) to demonstrate the organizations' compliance with 14 CFR Part 5 Safety Management System (SMS) regulation.

[Name of Aviation Organization] recognizes that SMS is vital to the continued success of the organization. Therefore, the company has developed and implemented a fully functioning SMS that meets the requirements of Part 5.

Signed,

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[Name of Person], Accountable Executive [or another senior member of management]

[Name of Aviation Organization] Certificate Number: \_\_\_\_\_ [if applicable, for Part 135 certificate holders]

[Name of Aviation Organization] Operator Designator Code: \_\_\_\_\_ [if applicable, for Part 91.147 LOA holders]

[Name of Aviation Organization] Physical Address: \_\_\_\_\_

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#### Notes for consideration when drafting the declaration of compliance document:

- *The Certificate Number applies to Part 135 certificate holders.*
- *The Operator Designator Code applies to Part 91.147 LOA holders.*
- *Text in brackets is not to be included in your final version that is submitted – information only.*
- *This template was drafted IAW: AC 120-92D, section 3.2.5.3; FAA Notice 8900.737 (Eff. 5/28/25); guidance from AFS-940, Safety Management Branch.*
- *The Aviation Organization must submit a declaration of compliance to their FAA Flight Standards District Offices (FSDO) or certificate management office (CMO); i.e. principal inspector (PI)/aviation safety inspector (ASI).*
- *This document may be signed by another senior member of management instead of the Accountable Executive, i.e., Part 119.69 personnel*
- *A "Compliance Statement" is different from this declaration document and is necessary only for new Part 135 applicants (i.e., the statement includes the matrix/list of all applicable sections contained in Part 5. See AC 120-92D, Appendix D).*