# Consolidated SMS Documentation and Recordkeeping Examples

Part 5-aligned for operations under 14 CFR Parts 133, 137, and 135

Editable reference tool - January 20, 2026

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Concise examples of documentation and records that support the four pillars of a Safety Management System (SMS). Written for operators conducting rotorcraft external-load (Part 133), agricultural aircraft (Part 137), and commuter/on-demand (Part 135) operations. Tailor to your OpSpecs/LOAs, aircraft types, and operational control model.

**Key recordkeeping anchors (selected):**

- 14 CFR 5.95: Maintain SMS documentation (safety policy; SMS processes/procedures).
- 14 CFR 5.97: Retain SRM outputs while controls remain relevant; retain SA outputs 5 years; retain SMS training records while employed; retain SMS communications 24 months.
- 14 CFR 5.9: Part 5 SMS applicability and compliance timelines for Part 135 certificate holders.
- Operational records to integrate into document/records control: Part 135.63 (pilot records, load manifests), Part 137.71 (job/dispensing records), Part 133 (certificate availability and Rotorcraft-Load Combination Flight Manual control).

*Compliance note: Coordinate formats and retention with your FAA POI/PAI and company policy (including PRD requirements).*

## 1. Safety Policy

Documents leadership commitment, defines accountability, and establishes controlled processes for how safety work is done and documented.

| Example record / artifact | Definition | 133 / 137 / 135 linkage | Why it matters (Part 5) |
|---|---|---|---|
| **Controlled SMS Manual / Safety Policy Statement (revision log)** | Controlled doc describing SMS scope, policy, objectives, roles, and interfaces. | Cross-references OpSpecs/LOAs, Part 133 RLCFM, Part 137 procedures, and Part 135 GOM/ops control. | Meets Part 5.95 expectations and prevents outdated procedures from driving high-risk ops. |
| **Accountability and Authority Records (AE acceptance, committee charter)** | Evidence of who is accountable, who can accept risk, and how decisions escalate. | Clarifies approvals for high-risk external loads, chemical/material changes, and Part 135 operational control decisions. | Supports consistent risk acceptance and defendable decisions during FAA oversight and internal reviews. |
| **Document and Records Control Procedure + Master Index** | How docs/records are created, approved, | Integrates required records (135.63, 137.71) and controls Part 133 | Reliable records are SMS evidence. Good control supports Part 5.97 |

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|---|---|---|---|
| | distributed, revised, archived, and protected. | certificate/RLCFM availability. | retention and organizational learning. |

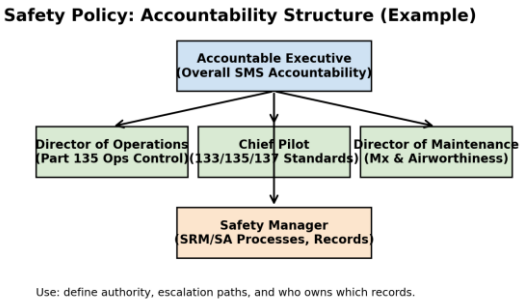


*Illustration: accountability structure (example).*

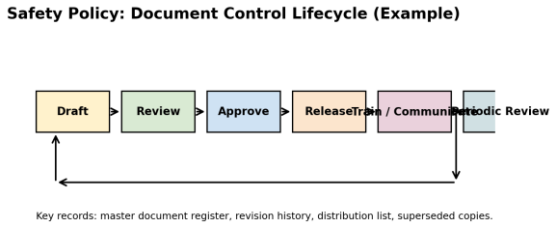


*Illustration: document control lifecycle (example).*

## 2. Safety Risk Management (SRM)

Documented process to identify hazards, assess risk, define controls, and formally accept residual risk for specific operations and changes.

| Example record / artifact | Definition | 133 / 137 / 135 linkage | Why it matters (Part 5) |
|---|---|---|---|
| **Hazard Register / Risk Control Register** | Log of hazards, assessed risk, controls, owners, and links to supporting evidence. | Includes Part 133 load/hook hazards, Part 137 drift/chemical hazards, Part 135 weather/IFR/pax hazards. | Part 5.97: retain SRM outputs while controls remain relevant; supports consistent, repeatable SRM. |
| **Mission / Job Safety Analysis (JSA) and Pre-Flight Risk Assessment** | Point-of-work forms capturing hazards, mitigations, and go/no-go decisions. | Tailor to external-load plans, ag mix/load and wind limits, and Part 135 legs (alternates, duty/rest, terrain/night). | Shows controls were applied where risk is highest; enables trending and targeted mitigations. |
| **Management of Change (MOC) Package (screening + SRM + approvals)** | Pre-implementation evaluation for changes (aircraft, routes, bases, equipment, vendors, procedures). | Triggers: new load class/mission type, new chemical/material, new Part 135 schedule/customer profile or dispatch tool. | Preserves rationale for controls and sets up later verification under Safety Assurance. |

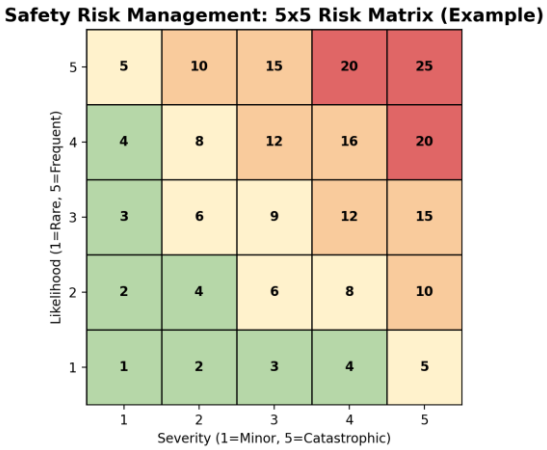


*Illustration: risk matrix (example scoring).*

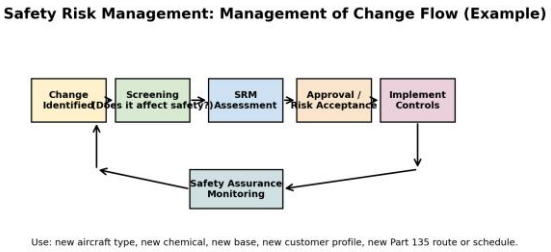


*Illustration: management of change workflow (example).*

## 3. Safety Assurance

Evidence that controls are working, using audits, surveillance, data trending, and corrective actions to maintain and improve performance.

| Example record / artifact | Definition | 133 / 137 / 135 linkage | Why it matters (Part 5) |
|---|---|---|---|
| **Audit / Surveillance Program Records (plan, checklists, findings)** | Internal evaluations verifying compliance and effectiveness (what, who, when, results). | Targeted checks for Part 133 rigging/briefings, Part 137 chemical handling/job logs, Part 135 records integration (pilot/training/load manifest). | Part 5.97: retain SA outputs at least 5 years; audits detect drift before it becomes an accident. |
| **Safety Performance Monitoring (SPM) Logs / Dashboards** | Records of SPIs, trends, analysis, and decisions (rates, exceedances, repeat hazards). | Example metrics: load events per hour, spray deviations per job, unstable approaches per 100 legs, maintenance write-up trends. | Turns records into actionable safety intelligence and demonstrates SMS effectiveness. |
| **Corrective Action Plan (CAP) Tracker + Effectiveness Reviews** | Closed-loop record linking events to root cause, actions, evidence, verification, closure. | CAPs often update procedures, training, and operational control across 133/137/135. | Proves hazards are addressed sustainably, supports inspections, and prevents recurrence. |

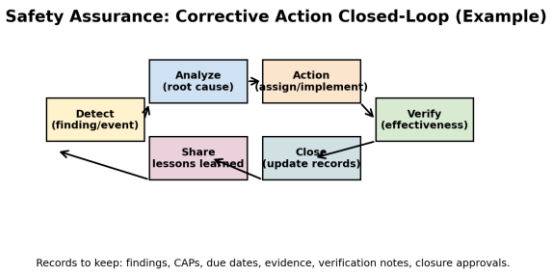


*Illustration: corrective action closed-loop (example).*

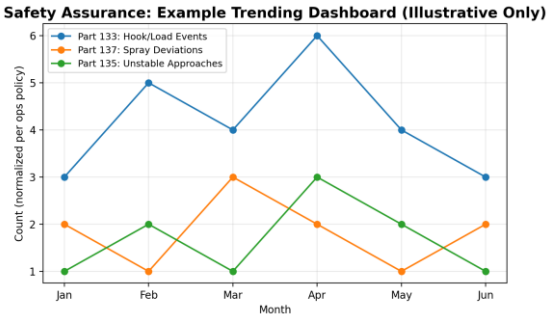


*Illustration: trending dashboard (illustrative only).*

## 4. Safety Promotion

Ensures personnel are competent, informed, and engaged through training, communication, and lessons-learned sharing.

| Example record / artifact | Definition | 133 / 137 / 135 linkage | Why it matters (Part 5) |
|---|---|---|---|
| **Training Matrix + Individual Training Records (SMS and ops-specific)** | Role-based training requirements plus individual completion/currency records. | Integrate Part 133 external-load procedures, Part 137 knowledge/skills, and Part 135 training/checks and duty compliance. | Part 5.97(c): retain SMS training records while employed; supports standardization and defendability. |
| **Safety Communications Archive (bulletins, alerts, read-and-sign logs)** | Retained communications plus distribution/receipt evidence (slides, memos, acknowledgments). | Seasonal campaigns (ag peak), external-load alerts, and Part 135 passenger/IFR risk reminders. | Part 5.97(d): retain communications at least 24 months; proves workforce was informed of hazards/controls. |
| **Debrief / Lessons-Learned Records (post-mission, periodic reviews)** | Structured capture of what changed, what was risky, and improvement actions. | Use for complex lifts, repeated spray jobs, and Part 135 customer/route patterns; link to hazard register and CAPs. | Accelerates learning and closes the loop from events to improved procedures and training. |

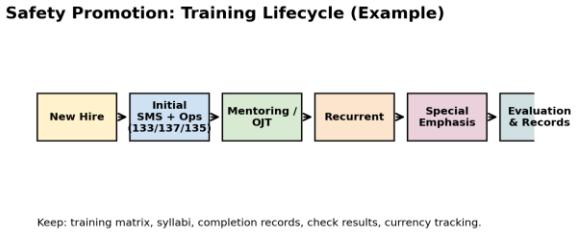


*Illustration: training lifecycle (example).*

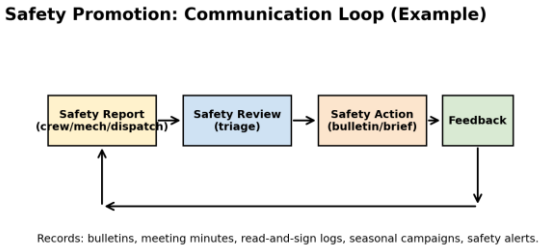


*Illustration: safety communication loop (example).*