

SAFETY MANAGEMENT SYSTEMS

An FAA Update

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Federal Aviation
Administration



What is SMS?

“The formal, top-down business-like approach to managing safety risk. It includes systematic procedures, practices, and policies for the management of safety (including safety policy, safety risk management, safety assurance, and safety promotion). – FAA AC150/5200-37

- **Things to Remember about SMS:**
 - It’s a MANAGEMENT system
 - It focuses on OPERATIONAL safety
 - It enables a PROACTIVE approach to safety
 - It’s provides DECISION MAKING tools for management

Evolution of SMS For Airports

- **ICAO Annex 14 Amended in November 2005**

“Annex 14, Volume 1, requires States to certify aerodromes used for international operations and recommends certification of aerodromes available for public use. The aerodrome certification process includes approval/acceptance of an aerodrome manual that outlines the aerodrome’s safety management system (SMS).” – *ICAO Safety Management Manual*

- **USOAP Audit Finding**

How will US Meet SMS requirements?

- **Under today's Part 139 Rule**
 - Certification based on type of operations and aircraft
 - Issued Airport Operating Certificate
 - Required to develop and maintain an Airport Certification Manual which FAA approves
 - Some elements of SMS in already in 139 (i.e. reporting/communication)
- **FAA would need to amend 14 CFR Part 139**



How will US Meet SMS requirements?

Rulemaking

- **Variety of airports certificated under Part 139**
 - Seattle-Tacoma International Airport (Class I AOC)
 - Lancaster Airport, Pennsylvania (Class II AOC)
 - Show Low Regional Airport, Arizona (Class III AOC)
 - Teterboro Airport, New Jersey (Class IV AOC)
- **Many airports are choosing to retain their AOC even after they lose air service**



How will US Meet SMS requirements?

Rulemaking

- **Scope/Scalability of SMS requirement under Part 139**
 - Some certificated airports have complex structure with hundreds of direct-report employees
 - Others have two full-time employees or less!
- **Practical Implementation**
 - Phased approach but what is considered reasonable

Steps Toward SMS Regulation

- **Published Advisory Circular 150/5200-37**
- **2 ACRP Projects**
 - ACRP 11-02: Safety Management Systems for Airports (Volume 1: Overview)
 - Guidebook for Developing Airport Safety Management Systems
- **Established SMS Pilot Studies**



SMS Pilot Studies

- **Two types of pilot studies established**
 - Develop SMS Manual and Implementation Plan
 - 1st SMS Pilot Study
 - 2nd SMS Pilot Study (for Class II, III, and IV airports only)
 - Proof-of-Concept thru implementation
 - Follow-on Study



SMS Pilot Studies

1st Pilot Study

- **20+ airports volunteered**
- **3 deliverables in 6 months if AIP funded**
 - GAP analysis
 - Draft Program and Implementation Plan
 - Final Program and Implementation Plan
- **Completed 1st study in July 2008**
- **Summary presentation available at FAA.gov**



SMS Pilot Studies

1st Pilot Study

- **AEA Airports Participating**
 - Baltimore-Washington International Airport, MD
 - Pittsburg-Allegheny County, PA
- **Neighboring Regions**
 - Toledo Express Airport, OH
 - South Bend Regional, IN
 - Southern Illinois, IL
 - Lexington-Blue Grass, KY
 - Concord Regional Airport, NC



SMS Pilot Studies

1st Pilot Study

- **Part 139, in and of itself, is not SMS**
 - But elements of it can support SMS
- **Many have good employee safety programs**
 - Can use as a foundation to set up SMS
 - But need to go beyond ‘employee safety’ to ‘operational safety’
- **Public ownership structures may present unique challenges to SMS**
 - Non-punitive/confidential reporting systems vs. Sunshine laws
- **SMS requirements need to be scalable**



SMS Pilot Studies

2nd Pilot Study

- **1st Pilot Study was top heavy with Class I Airports**
- **Opened 2nd Pilot Study to only Class II, III, and IV Airports**
 - Same deliverables
 - Same time frames
 - Same AIP eligibility



SMS Pilot Studies

2nd Pilot Study

- **9 airports participating**
 - 3 Class II's
 - 2 Class III's
 - 4 Class IV's

- **Expect to complete study by summer 2009**



SMS Pilot Studies

2nd Pilot Study

- **AEA Airports Participating**
 - Teterboro, NJ
- **Neighboring Regions**
 - Ohio State University, OH



SMS Pilot Studies

Follow-on Study

- **Proof-of-concept using airports in ‘implementation phase’ of SMS**
 - 1 Year study
 - 3 airports from 1st pilot study
 - Seattle-Tacoma, South Bend, Concord (NC)
- **Monthly reporting & Final Report**
 - Deliverables
 - Any changes to SMS Manual/Implementation Plan
 - Lessons Learned

SMS Pilot Studies

Follow-on Study

- **Proving concepts in Safety Policy, SRM, & Safety Assurance with tasks like:**
 - Developing standard elements of an SMS Policy
 - Reviewing non-punitive programs (legal authority)
 - Researching 3rd party data collection/collaboration/reporting
 - Proving concepts of SRM for varying airport sizes
 - Developing record keeping programs for SMS

What's next?

- **Moving rulemaking project to next phase**
- **Rulemaking potentially within next 3 years**
 - Anticipate NPRM in 2010 if rulemaking proceeds
 - Update AC 150/5200-37 to clarify requirements
 - Provide any additional guidance for compliance
 - Train FAA inspector cadre on SMS requirements



Other SMS Initiatives

- **FAA is committed to implementing SMS internally!**
 - Part of State Safety Program
 - Required of all LOBs under FAA Order 8000.369
- **ATO SMS is operational**
- **AVS/ARP/AST all in development**



Other SMS Initiatives

- **FAA & LOBs will need to incorporate concepts of SMS into their organizations and processes**
- **Industry will be most impacted by SRM**
 - SRM analysis before FAA takes federal action/approves documents/etc.
 - Already seeing it now with ATO SRM on airfield projects



Other SMS Initiatives

- **ARP plans to ‘test’ implementation of SRM**
 - To get lessons learned & assist in developing detailed procedures
- **Ongoing discussion regarding who conducts SRM (i.e. 3rd party or using our own FAA employees)**
 - Regardless, the airport will still be involved by participating in SRM Panels



QUESTIONS?

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