

ARP Part 139 SMS for Airports

Part 139 SMS Rule Overview

Presented to: Industry Day Attendees

By: Jim Schroeder

Date: March 30, 2023



**Federal Aviation
Administration**

The Part 139 SMS for Airports Rule



Changes and Additions to 14 CFR 139

- In addition to a new Subpart E (§§ 139.401-403), other changes were needed to part 139, including:
 - Added 11 new terms and definitions to §139.5, ***Definitions***
 - Revised §139.103(b), ***Application for certificate***, to require compliance with the SMS requirements for airport operators applying for a certificate
 - Added a new SMS-related ACM element to the table in §139.203(b), ***Required Airport Certification Manual Elements***
 - Revised record keeping requirements in §139.301(b), ***Records***, to include SMS-related items
 - Added SMS-related training to §139.303(e), ***Personnel***
- Unrelated to SMS, deleted § 139.101(c), which became obsolete after June 2005

Added terms and definitions:

- Accountable executive
- Airport Safety Management System (SMS)
- Hazard
- Non-movement area
- Risk
- Risk analysis
- Risk mitigation
- Safety assurance
- Safety policy
- Safety promotion
- Safety risk management



Subpart E - Overview

- **139.401 – General Requirements**
 - Defines the applicability of the SMS requirements
 - Identifies the scope of part 139 SMS
 - Waiver
 - Data Sharing and Reporting
- **139.402 – Components of the airport SMS**
 - Defines the 4 SMS components
- **139.403 – Airport SMS Implementation**
 - Identifies timelines for document submission and implementation



The New Subpart E:

14 CFR 139.401 – General Requirements



Applicability of SMS for Airports

Under §139.401:

- (a) Each certificate holder or applicant for an Airport Operating Certificate meeting at least one of the following criteria must develop, implement, maintain, and adhere to an Airport Safety Management System pursuant to the requirements established in subpart E of this part. If the certificate holder:
 - (1) Is classified as a large, medium, or small hub based on passenger data extracted from the Air Carrier Activity Information System;
 - (2) Has an average of 100,000 or more total annual operations, meaning the sum of all arrivals and departures, over the previous three calendar years; or
 - (3) Is classified as a port of entry, designated international airport, landing rights airport, or user fee airport.



...in other words:

Airport SMS requirements will apply to:

- **Certificate holders**

- Classified as large, medium, or small hub;
- Having an average of 100,000 or more total annual operations over the previous three calendar years;
- Host international operations other than GA traffic. *

OR

OR

* Waiver-eligible (see 139.401(d))



Scope of Applicability

§139.401:

- (b) The scope of an Airport Safety Management System must encompass aircraft operation in the *movement area*, aircraft operation in the *non-movement area*, and *other airport operations* addressed in this part.
- (c) The Airport Safety Management System should correspond in size, nature, and complexity to the operations, activities, hazards, and risks associated with the certificate holder's operations.



Scope of Applicability - Waiver

- **139.401(d) Waiver.** If a certificate holder qualifies exclusively under §139.401(a)(3) and has no tenants that are required to comply with SMS requirements of any jurisdiction, the certificate holder is eligible for a waiver from the requirements of §139.401(a).
 - (1) To obtain the waiver, the certificate holder must submit a written request to the Regional Airports Division Manager justifying its request.
 - (2) If FAA grants a certificate holder's request for a waiver, the certificate holder must validate its waiver eligibility to the Regional Airports Division Manager every two years.

Data Sharing and Reporting Plan

- **139.401(e) Data Sharing and Reporting Plan.** If an airport has a tenant required to maintain an SMS subject to the requirements of part 5 of this title, then the certificate holder may develop a data sharing and reporting plan to address the reporting and sharing of hazard and safety data with the tenant.
 - (1) Any data sharing and reporting plan must include, at a minimum:
 - [items (i) – (v)].....
 - (2) With a data sharing and reporting plan, the requirement for the certificate holder to provide safety awareness orientation to the tenants or their employees under § 139.402(d)(1) is waived.
 - (3) The certificate holder remains the ultimate responsible party for compliance with its Airport Safety Management System.

§139.401 - Documenting the SMS

- 139.401(f) Each certificate holder required to develop, implement, maintain, and adhere to an Airport Safety Management System under this subpart must describe its compliance with the requirements identified in § 139.402, either:
 - (1) Within a separate section of the certificate holder's Airport Certification Manual titled Airport Safety Management System; or
 - (2) Within a separate Airport Safety Management System Manual. If the certificate holder chooses to use a separate Airport Safety Management System Manual, the Airport Certification Manual must incorporate by reference the Airport Safety Management System Manual.



§139.401 - Documenting the SMS

- 139.401(g) On an annual basis or upon FAA request, the certificate holder shall provide the FAA copies of any changes to the Airport Safety Management System Manual.

Note: If the airport chooses to keep the SMS components in the main body of the ACM (under Sections 139.401-403), it must comply with the ACM revision requirements in 139.205

- ACM Revisions must be submitted for approval 30 days prior to implementation

§139.401 SMS Cessation

- **139.401(h)** A certificate holder that starts implementation of an Airport Safety Management System but no longer qualifies under § 139.401(a) must continue to develop, implement, maintain, and adhere to its Airport Safety Management System for the longest of the following periods:
 - (1) Twenty-four consecutive calendar months after full implementation; or
 - (2) Twenty-four consecutive calendar months from the date it no longer qualifies under § 139.401(a).



§139.401, in summary:

- **Addresses SMS applicability**
 - Identifies the types of airports that may be eligible for a waiver from the SMS requirements
- **Notes the scope of SMS**
- **Defines SMS documentation requirements**
- **Permits use of Data Sharing and Reporting Plans to avoid duplicative SMS programs**



The New Subpart E:

14 CFR 139.402 – Components of Airport Safety Management System



§139.402 - Components of the SMS

As per section 139.402,

An Airport SMS must include:

(a) *Safety Policy.* A Safety Policy that, at a minimum:

- (1) Identifies the Accountable Executive;
- (2) Establishes and maintains a safety policy statement signed by the accountable executive;
- (3) Ensures the safety policy statement is available to all employees and tenants;
- (4) Identifies and communicates the safety organizational structure;
- (5) Describes management responsibility and accountability for safety issues;
- (6) Establishes and maintains safety objectives; and
- (7) Defines methods, processes, and organizational structure necessary to meet safety objectives.



§139.402 - Components of the SMS

(b) *Safety Risk Management.* Safety Risk Management processes and procedures for identifying hazards and their associated risks within airport operations and for changes to those operations covered by this part that, at a minimum:

- (1) Establish a system for identifying operational safety issues.
- (2) Establish a systematic process to analyze hazards and their associated risks by:
 - (i) Describing the system;
 - (ii) Identifying hazards;
 - (iii) Analyzing the risk of identified hazards and/or proposed mitigations;
 - (iv) Assessing the level of risk associated with identified hazards; and
 - (v) Mitigating the risks of identified hazards, when appropriate.

.....



§139.402 - Components of the SMS

139.402(b)....

- (3) Establish and maintain records that document the certificate holder's Safety Risk Management processes.
 - (i) The records shall provide a means for airport management's acceptance of assessed risks and mitigations.
 - (ii) Records associated with the certificate holder's Safety Risk Management processes must be retained for the longer of:
 - (A) Thirty-six consecutive calendar months after the risk analysis of identified hazards under paragraph (b)(2) of this section has been completed; or
 - (B) Twelve consecutive calendar months after mitigations required under paragraph (b)(2)(v) of this section have been completed.



§139.402 - Components of the SMS

(c) *Safety Assurance.* Safety assurance processes and procedures to ensure mitigations developed through the certificate holder's Safety Risk Management processes and procedures are adequate, and the Airport's Safety Management System is functioning effectively. Those processes and procedures must, at a minimum:

- (1) Provide a means for monitoring safety performance including a means for ensuring that safety objectives identified under paragraph (a)(6) of this section are being met.
- (2) Establish and maintain a safety reporting system that provides a means for reporter confidentiality.

.....



§139.402 - Components of the SMS

139.402(c).....

- (3) Report pertinent safety information and data on a regular basis to the Accountable Executive. Reportable data includes:
 - (i) Compliance with the requirements under subparts D and E of this part;
 - (ii) Performance of safety objectives established under paragraph (a)(6) of this section;
 - (iii) Safety critical information distributed in accordance with paragraph (d)(5)(ii) of this section;
 - (iv) Status of ongoing mitigations required under the Airport's Safety Risk Management processes as described under paragraph (b)(2)(v) of this section; and
 - (v) Status of a certificate holder's schedule for implementing the Airport Safety Management System as described under § 139.403.



§139.402 - Components of the SMS

(d) *Safety Promotion.* Safety Promotion processes and procedures to foster an airport operating environment that encourages safety. Those processes and procedures must, at a minimum:

- (1) Provide all persons authorized to access the airport areas regulated under this part with a safety awareness orientation, which includes hazard identification and reporting. The safety awareness orientation materials must be readily available and must be reviewed and updated every 24 calendar months or sooner if appropriate.
- (2) Maintain a record of all safety awareness orientation materials made available under paragraph (d)(1) of this section including any revisions and means of distribution. Such records must be retained for 24 consecutive calendar months after the materials are made available.



§139.402 - Components of the SMS

(d) *Safety Promotion.....*

- (3) Provide safety training on those requirements of SMS and its implementation to each employee with responsibilities under the certificate holder's SMS that is appropriate to the individual's role. This training must be completed at least every 24 months.
- (4) Maintain a record of all training by each individual under paragraph (d)(3) of this section that includes, at a minimum, a description and date of training received. Such records must be retained for 24 consecutive calendar months after completion of training.



§139.402 - Components of the SMS

(d) *Safety Promotion*.....

- (5) Develop and maintain formal means for communicating important safety information that, at a minimum:
 - (i) Ensures all persons authorized to access the airport areas regulated under this part are aware of the SMS and their safety roles and responsibilities;
 - (ii) Conveys critical safety information;
 - (iii) Provides feedback to individuals using the airport's safety reporting system required under paragraph (c)(2) of this section; and
 - (iv) Disseminates safety lessons learned to relevant airport employees or other stakeholders.
- (6) Maintain records of communications required under this section for 12 consecutive calendar months.



§139.402, in summary

- Defines the 4 components of the part 139 SMS
- Identifies minimum requirements of each SMS component composition



The New Subpart E:

14 CFR 139.403

**Airport Safety Management
System Implementation**



**Federal Aviation
Administration**

§139.403 - SMS Implementation

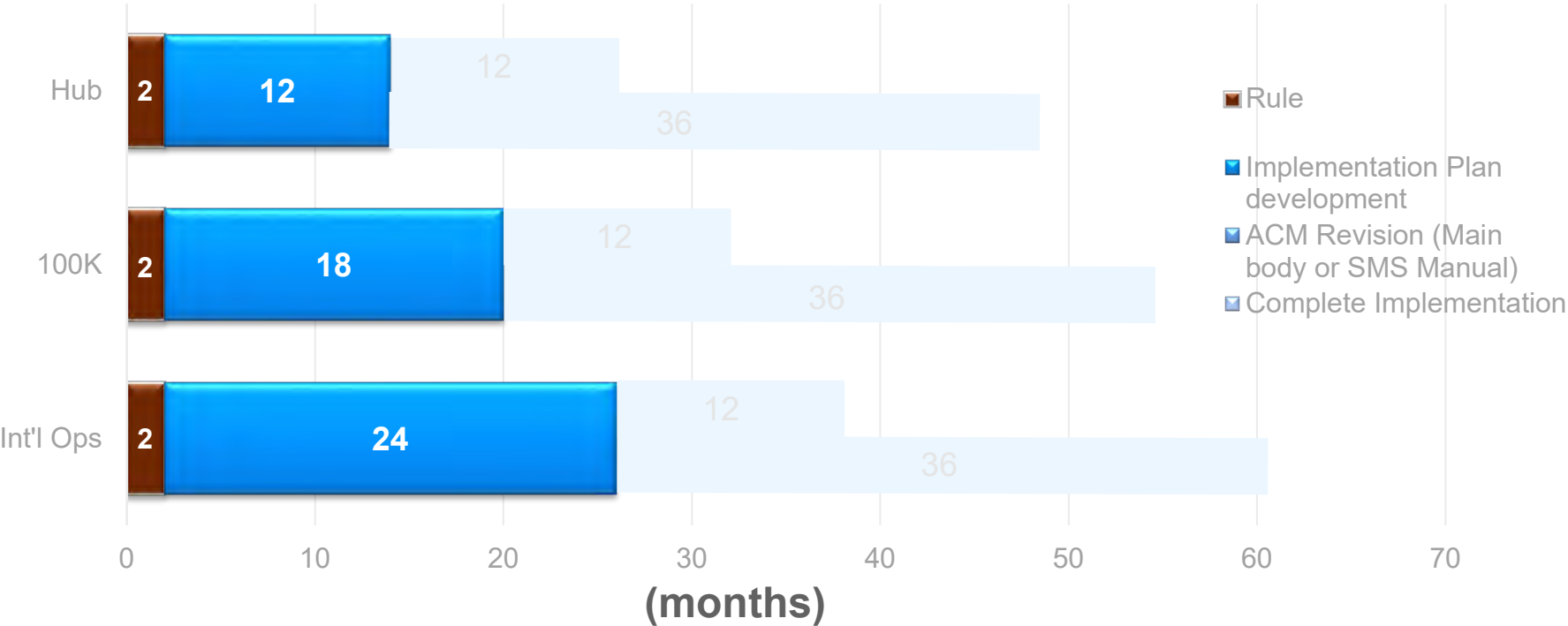
- (a) Each certificate holder will be required to develop, implement, maintain, and adhere to an Airport Safety Management System under this subpart must submit an Implementation Plan to the FAA for approval according to the following schedule:
 - (1) For certificate holders identified under § 139.401(a)(1), on or before: **12 MONTHS** AFTER APRIL 24, 2023
 - (2) For certificate holders identified under § 139.401(a)(2), on or before: **18 MONTHS** AFTER APRIL 24, 2023
 - (3) For certificate holders identified under § 139.401(a)(3), on or before: **24 MONTHS** AFTER APRIL 24, 2023
 - (4) For a certificate holder that qualifies under § 139.401(a) after APRIL 24, 2023, on or before 18 months after the certificate holder receives notification from the Regional Airports Division Manager of the change in its status.



§139.403 - SMS Implementation Plan development

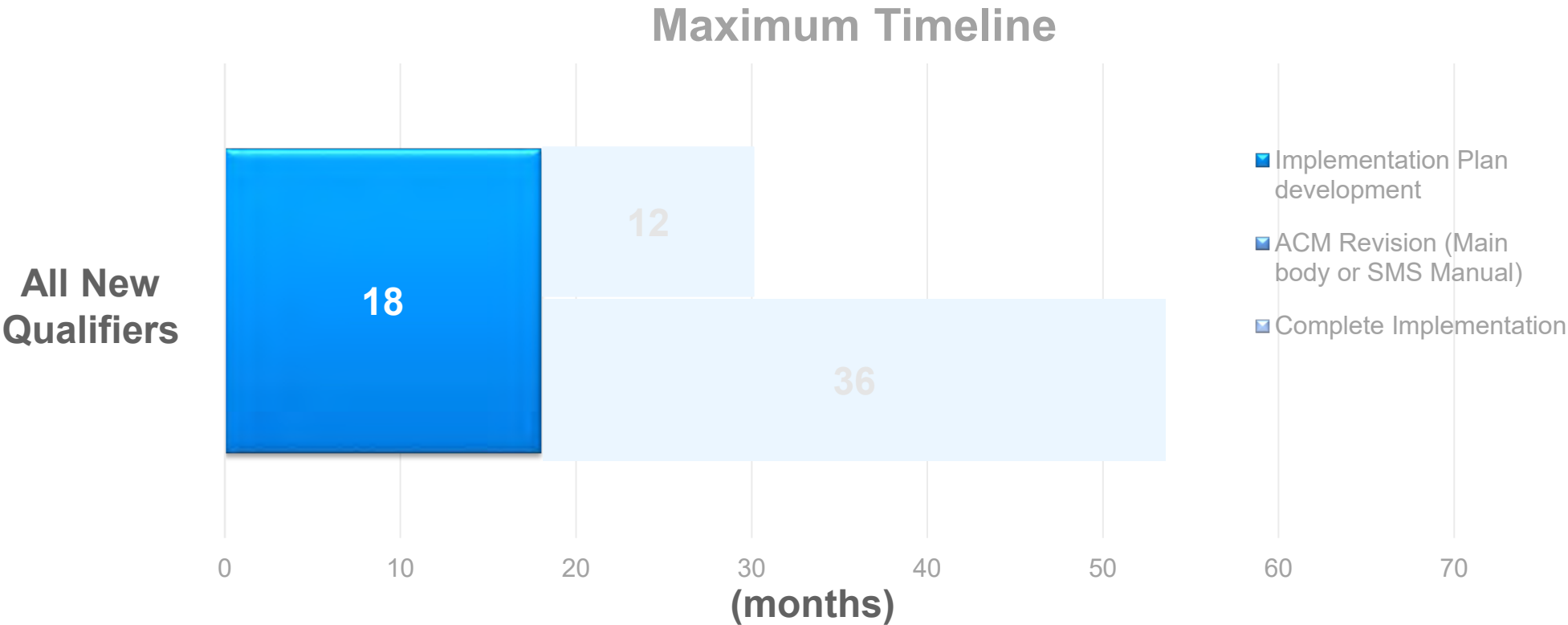
As of the effective date of April 24th, 2023

Maximum Timeline



§139.403 - SMS Implementation Plan development

After the effective date of April 24th, 2023



§139.403 - SMS Implementation Plan

- **(b) An Implementation Plan must provide:**
 - (1) A detailed proposal on how the certificate holder will meet the requirements prescribed in this subpart.
 - (2) A schedule for implementing SMS components and elements prescribed in § 139.402. The schedule must include timelines for the following requirements:
 - (i) Developing the safety policy statement as prescribed in § 139.402(a)(2) and when it will be made available to all employees and tenants as prescribed in § 139.402(a)(3);

§139.403 - SMS Implementation Plan

139.403(b)(2).....

- (ii) Identifying and communicating the safety organizational structure as prescribed in § 139.402(a)(4);
- (iii) Establishing a system for identifying operational safety issues as prescribed in § 139.402(b)(1);
- (iv) Establishing a safety reporting system as prescribed in § 139.402(c)(2);
- (v) Developing, providing, and maintaining safety awareness orientation materials as prescribed in § 139.402(d)(1);
- (vi) Providing SMS specific training to employees with responsibilities under the certificate holder's SMS as prescribed in § 139.402(d)(3); and
- (vii) Developing, implementing, and maintaining formal means for communicating important safety information as prescribed in § 139.402(d)(5).

§139.403 - SMS Implementation Plan

139.403(b)(3).....

- A description of any existing programs, policies, or procedures that the certificate holder intends to use to meet the requirements of this subpart.

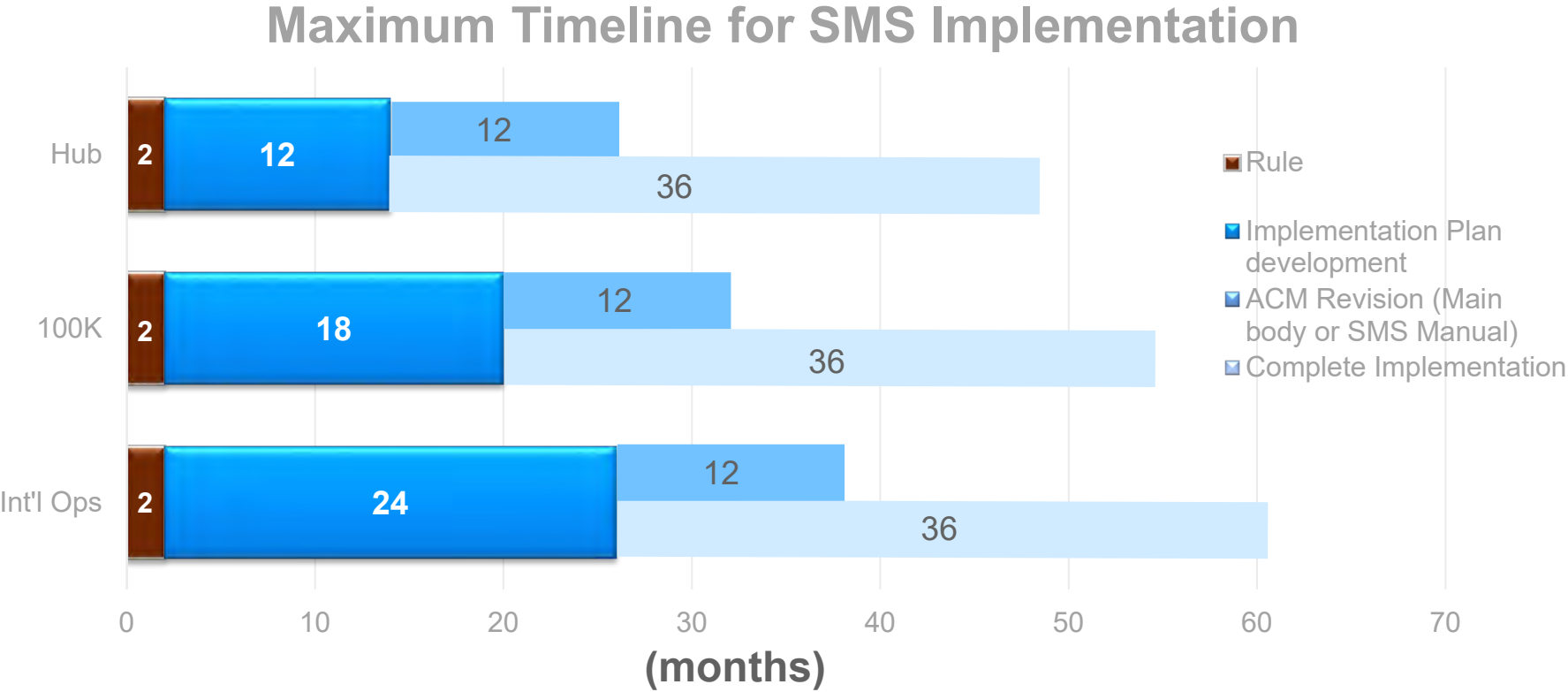


§139.403 - SMS Implementation

- **(c)** Each certificate holder required to develop, implement, maintain, and adhere to an Airport Safety Management System under this subpart must submit its amended Airport Certification Manual and Airport Safety Management System Manual, if applicable, to the FAA in accordance with its implementation plan but not later than 12 months after receiving FAA approval of the certificate holder's implementation plan.
- **(d)** A certificate holder that qualifies under § 139.401(a) must fully implement its Airport Safety Management System no later than 36 months after the approval of its implementation plan.

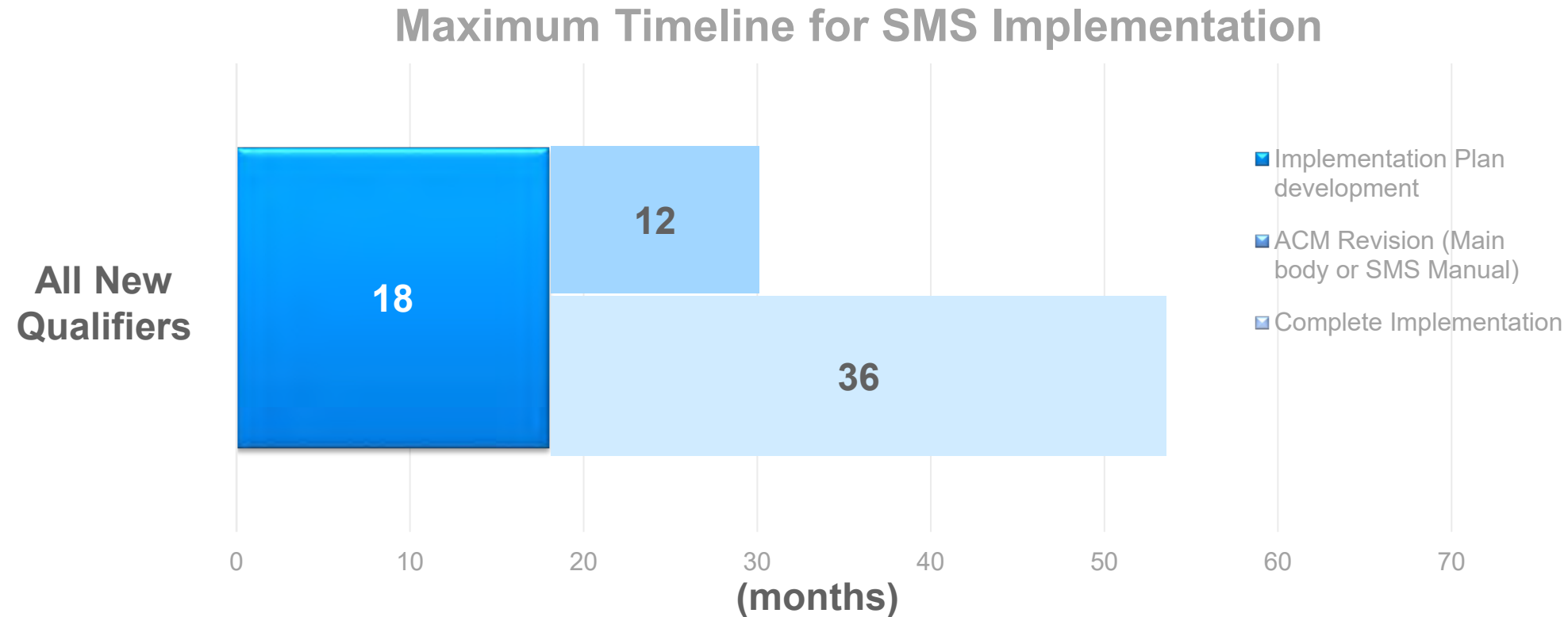


§139.403 - SMS Implementation – As of the effective date of April 24th, 2023



Maximum Timeline for SMS Implementation

§139.403 - SMS Implementation – After the effective date of April 24th, 2023



§139.403 in summary

- Identifies milestones for documentation and implementation
- Defines the Implementation Plan contents
- Requires submission of an updated ACM and/or SMS Manual



ARP Part 139 SMS for Airports

External SMS Web Page Overview

Presented to: Industry Day Attendees

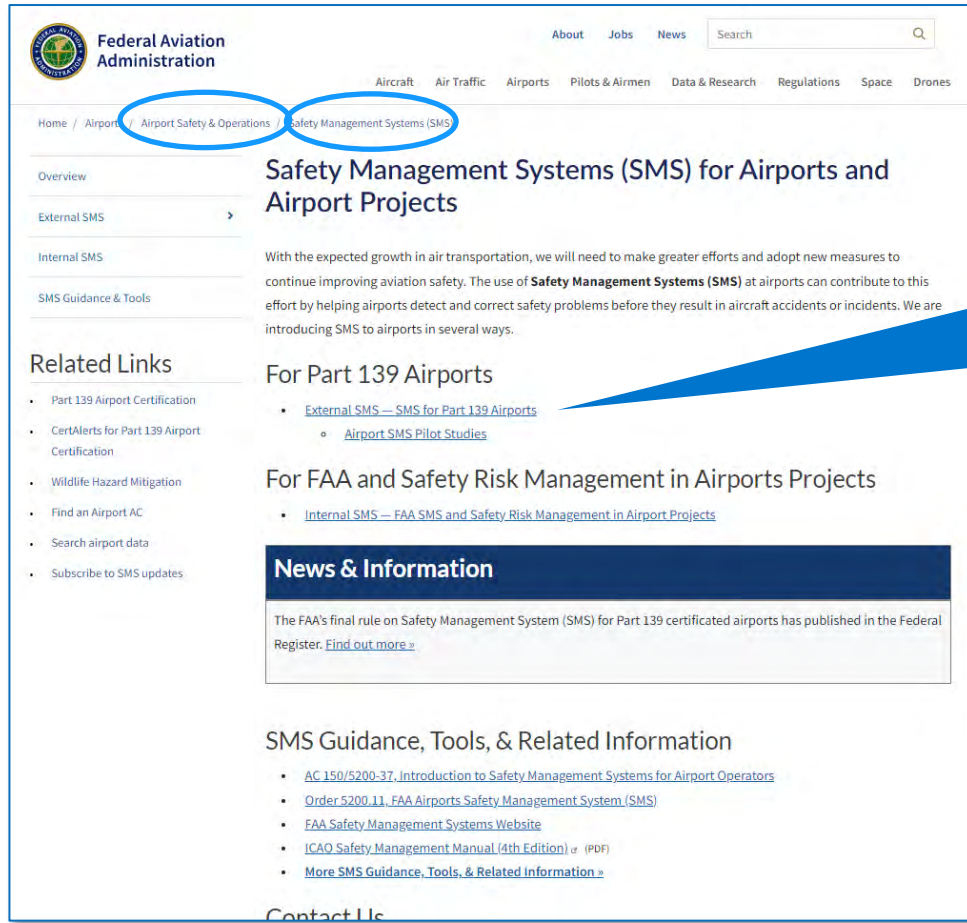
By: Jim Schroeder and Kenneth Taira

Date: March 30, 2023



**Federal Aviation
Administration**

The Airports Web Page



Federal Aviation Administration

Home / Airports / Airport Safety & Operations / **Safety Management Systems (SMS)**

Safety Management Systems (SMS) for Airports and Airport Projects

With the expected growth in air transportation, we will need to make greater efforts and adopt new measures to continue improving aviation safety. The use of **Safety Management Systems (SMS)** at airports can contribute to this effort by helping airports detect and correct safety problems before they result in aircraft accidents or incidents. We are introducing SMS to airports in several ways.

For Part 139 Airports

- [External SMS — SMS for Part 139 Airports](#)
 - [Airport SMS Pilot Studies](#)

For FAA and Safety Risk Management in Airports Projects

- [Internal SMS — FAA SMS and Safety Risk Management in Airport Projects](#)

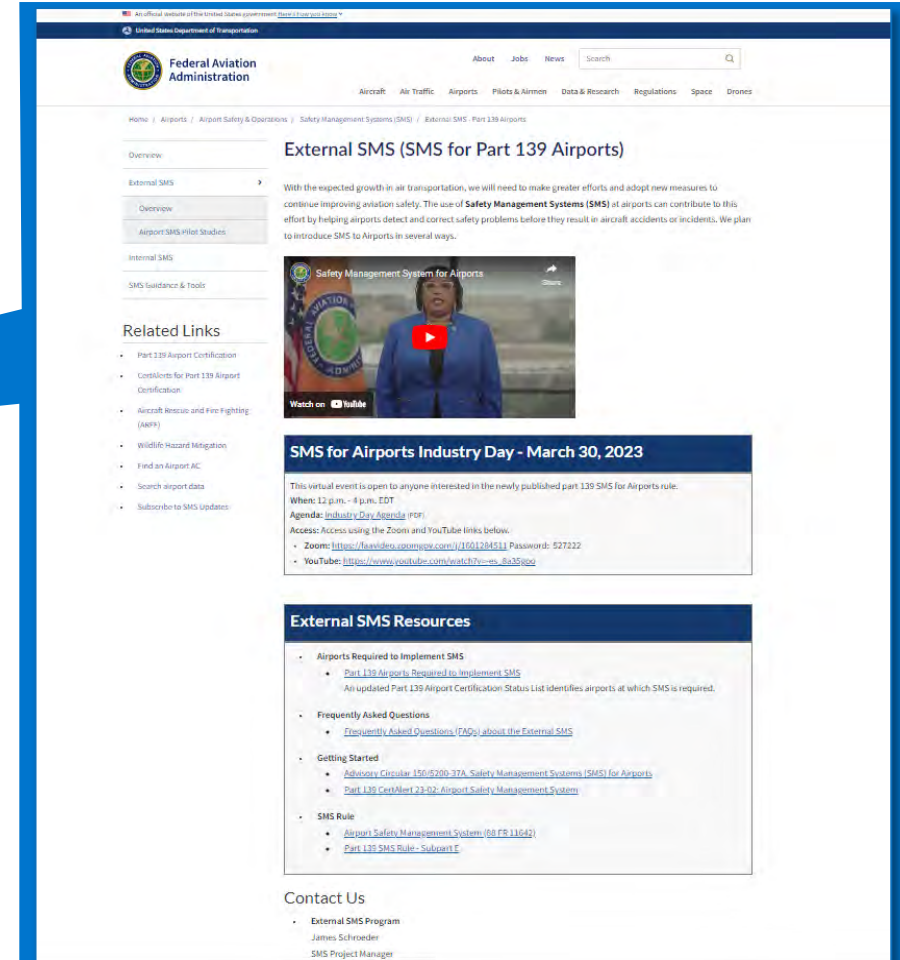
News & Information

The FAA's final rule on Safety Management System (SMS) for Part 139 certificated airports has published in the Federal Register. [Find out more](#).

SMS Guidance, Tools, & Related Information

- [AC 150/5200-37, Introduction to Safety Management Systems for Airport Operators](#)
- [Order 5200.11, FAA Airports Safety Management System \(SMS\)](#)
- [FAA Safety Management Systems Website](#)
- [ICAO Safety Management Manual \(4th Edition\)](#) (PDF)
- [More SMS Guidance, Tools, & Related Information »](#)

Contact Us



Federal Aviation Administration

Home / Airports / Airport Safety & Operations / Safety Management Systems (SMS) / External SMS / Part 139 Airports

External SMS (SMS for Part 139 Airports)

With the expected growth in air transportation, we will need to make greater efforts and adopt new measures to continue improving aviation safety. The use of **Safety Management Systems (SMS)** at airports can contribute to this effort by helping airports detect and correct safety problems before they result in aircraft accidents or incidents. We plan to introduce SMS to airports in several ways.

Related Links

- [Part 139 Airport Certification](#)
- [CertAlerts for Part 139 Airport Certification](#)
- [Wildlife Hazard Mitigation](#)
- [Find an Airport AC](#)
- [Search airport data](#)
- [Subscribe to SMS updates](#)

SMS for Airports Industry Day - March 30, 2023

This virtual event is open to anyone interested in the newly published part 139 SMS for Airports rule.

When: 12 p.m. - 4 p.m. EDT

Agenda: [Industry Day Agenda \(PDF\)](#)

Access: Access using the Zoom and YouTube links below.

- Zoom:** <https://faa.zoom.us/j/1061204511> Password: 527222
- YouTube:** https://www.youtube.com/watch?v=es_4a35j0u4

External SMS Resources

- Airports Required to Implement SMS**
 - [Part 139 Airports Required to Implement SMS](#)
An updated Part 139 Airport Certification Status List identifies airports at which SMS is required.
- Frequently Asked Questions**
 - [Frequently Asked Questions \(FAQs\) about the External SMS](#)
- Getting Started**
 - [Advisory Circular 150/5200-37A, Safety Management Systems \(SMS\) for Airports](#)
 - [Part 139 Certification 23-02, Airport Safety Management Systems](#)
- SMS Rule**
 - [Airport Safety Management System \(88 FR 11642\)](#)
 - [Part 139 SMS Rule - Subpart F](#)

Contact Us

- External SMS Program**
James Schroeder
SMS Project Manager



139.401 - SMS Implementation

How are SMS airports identified?

Baseline Airport Certification Status List – Available April 24, 2023

https://www.faa.gov/airports/airport_safety/part139_cert

The screenshot displays the FAA's Part 139 Airport Certification Status List (ACSL) website and an Excel spreadsheet. The website on the left shows the 'Part 139 Airport Certification Status List' page, with a link to 'part139-cert-status-table.xlsx (62.98 KB)'. A blue arrow points from this link to the Excel spreadsheet on the right. The spreadsheet, titled 'part139-cert-status-table (13).xlsx', contains a table with columns: FAA Region, Airport Identifier (LOC ID), Airport Name, Associated City, Inactive Status, Hub Size, NPAS Role, Class, ARFF Index, SMS Trigger, and SMS Waiver. A callout box labeled 'SMS Trigger' points to the 'SMS Trigger' column, which lists various triggers such as '139.401(a)(1) - Hub airport', '139.401(a)(2) - Int'l air carrier passenger operations', and '139.401(a)(3) - Int'l air carrier passenger operations'.

FAA Region	Airport Identifier (LOC ID)	Airport Name	Associated City	Inactive Status	Hub Size	NPAS Role	Class	ARFF Index	SMS Trigger	SMS Waiver
AK	AAL	ADK	ADAK ISLAND		Non-Hub	Basic	I	B		
AK	AAL	ADQ	KODIAK		Non-Hub		I	B		
AK	AAL	ADN	KING SALMON		Non-Hub		I	B		
AK	AAL	ANC	TED STEVENS ANCHORAGE INTL		Medium		I	E	139.401(a)(1) - Hub airport	
AK	AAL	BET	BETHEL		Non-Hub		I	B		
AK	AAL	BRW	WILEY POST-WILL ROGERS MEML		Non-Hub		I	B		
AK	AAL	COB	COLD BAY		Local		I	B		
AK	AAL	CDV	MERLE K (MUDHOLE) SMITH		Non-Hub		I	B		
AK	AAL	DGG	RED DOG		Non-Hub	IV	I	B		
AK	AAL	DLO	DILLINGHAM		Non-Hub		I	B		
AK	AAL	DUT	UNALASKA		Non-Hub		I	A	139.401(a)(2) - Int'l air carrier passenger operations	
AK	AAL	EVA	KENAI MEML		Non-Hub		I	A		
AK	AAL	FBI	FAIRBANKS INTL		Small		I	C	139.401(a)(1) - Hub airport	
AK	AAL	GST	GUSTAVUS		N/A		I	A		
AK	AAL	HOM	HOMER		N/A		I	A		
AK	AAL	JNU	JUNEAU INTL		Non-Hub		I	C	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	KTN	KETCHIKAN INTL		Non-Hub		I	B	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	OME	NOME		Non-Hub		I	B	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	OTZ	RALPH WIEN MEML		Non-Hub		I	B		
AK	AAL	PSG	PETERSBURG JAMES A JOHNSON		Non-Hub		I	B		
AK	AAL	SDC	DEADHORSE		Non-Hub		I	B		
AK	AAL	SDP	SAND POINT		N/A	Basic	I	A		
AK	AAL	SIT	SITKA ROCKY GUTIERREZ		Non-Hub		I	B	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	VDZ	VALDEZ PIONEER FLD		N/A	Local	I	A	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	WRG	WRANGELL		N/A		I	B	139.401(a)(3) - Int'l air carrier passenger operations	
AK	AAL	YAK	YAKUTAT		N/A		I	B		
AL	ASO	BFM	MOBILE INTL		Mobile	Regional	I	A	139.401(a)(3) - Int'l air carrier passenger operations	
AL	ASO	BHM	BIRMINGHAM-SHUTTLESWORTH INTL		Small		I	C	139.401(a)(1) - Hub airport	
AL	ASO	DHN	DOTHAN RGNL		Non-Hub		I	B		
AL	ASO	HSV	HUNTSVILLE INTL-CARL T JONES FLD		Small		I	C	139.401(a)(1) - Hub airport	



Federal Aviation
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139.401 - SMS Implementation

How are SMS airports identified?

Large / Medium /
Small Hub
Airports -
§139.401(a)(1)



ARP Airport Certification
Status List

100K Avg. Operations
Airports -
§139.401(a)(2)



ADIP / NASR

International
Airports -
§139.401(a)(3)



NFDC / CBP
Port of entry
Landing rights airports
User fee airports

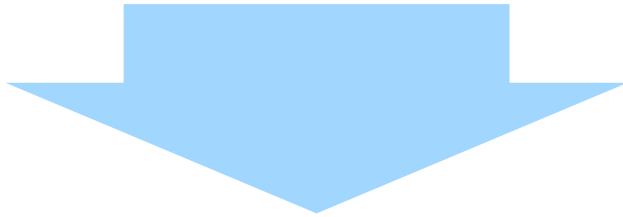


139.401 - SMS Implementation

How are SMS airports identified?

Large / Medium / Small Hub Airports - §139.401(a)(1)

Large / Medium /
Small Hub
Airports -
§139.401(a)(1)



Source: ARP Airport
Certification Status List

- *Passenger (enplanement) and cargo data is extracted from the Air Carrier Activity Information System (ACAIS), an FAA database that contains revenue passenger boarding and all-cargo data.*
- *Small, Medium and Large Hub airports are identified in the Part 139 Airport Certification Status List.*



139.401 - SMS Implementation

How are SMS airports identified?

100K Avg. Operations

Airports -
§139.401(a)(2)



Source: OPSNET / ADIP

- **FAA Operations Network (OPSNET)** - The Operations Network (OPSNET) is the official source of FAA air traffic operations. Daily Operations Data is available from FY 1990. Operations data is publicly accessible after the 20th of the next month.
- **Airports Data Information Portal (ADIP)** - Operations data for non-towered airports is collected from Fields 100-105 of the latest Airport Master Record (FAA Form 5010-1).



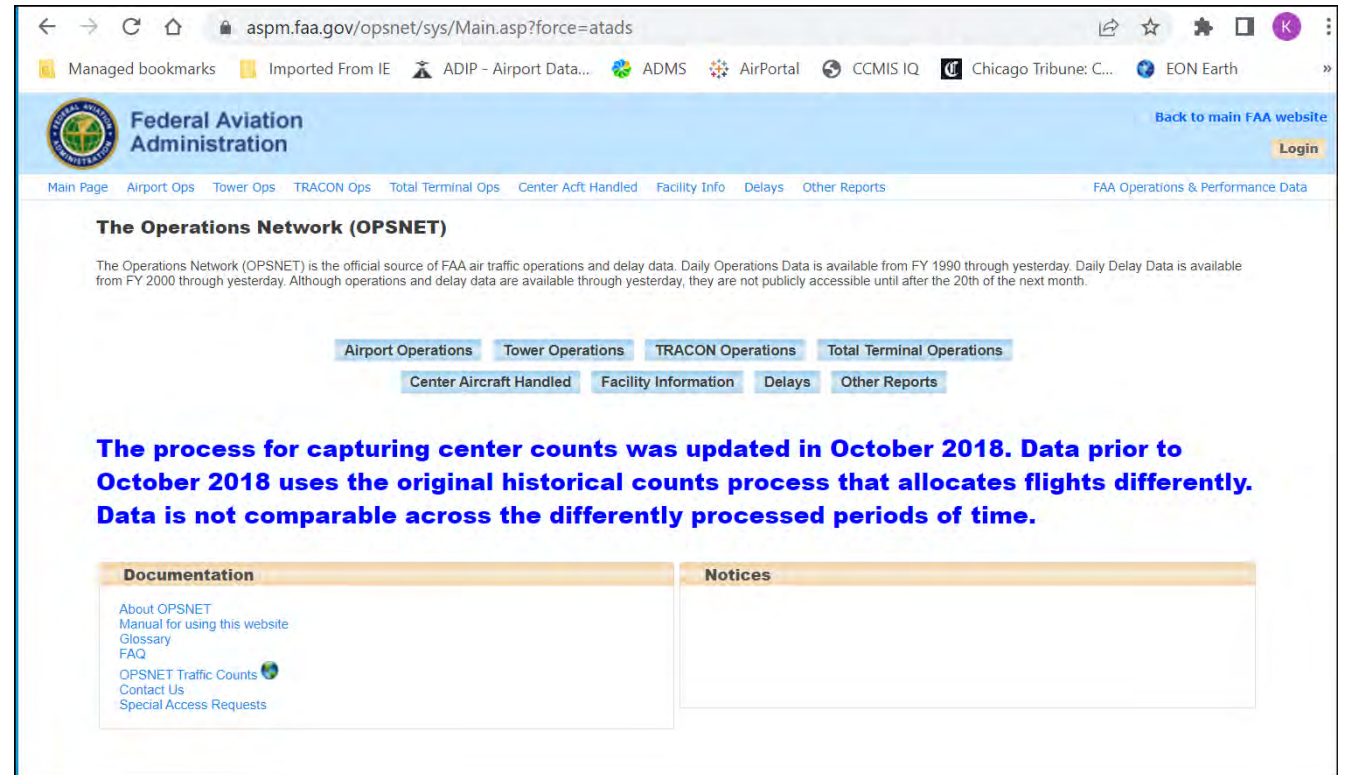
139.401 - SMS Implementation

How are SMS airports identified?

100K Avg. Operations Airports - §139.401(a)(2)

Towered Airports -

Air Traffic Activity Data System (ATADS) -
<http://aspm.faa.gov/main/atads.asp>



aspm.faa.gov/opsnet/sys/Main.asp?force=atads

Managed bookmarks Imported From IE ADIP - Airport Data... ADMS AirPortal CCMIS IQ Chicago Tribune: C... EON Earth

Federal Aviation Administration Back to main FAA website Login

Main Page Airport Ops Tower Ops TRACON Ops Total Terminal Ops Center Acft Handled Facility Info Delays Other Reports FAA Operations & Performance Data

The Operations Network (OPSNET)

The Operations Network (OPSNET) is the official source of FAA air traffic operations and delay data. Daily Operations Data is available from FY 1990 through yesterday. Daily Delay Data is available from FY 2000 through yesterday. Although operations and delay data are available through yesterday, they are not publicly accessible until after the 20th of the next month.

Airport Operations Tower Operations TRACON Operations Total Terminal Operations
Center Aircraft Handled Facility Information Delays Other Reports

The process for capturing center counts was updated in October 2018. Data prior to October 2018 uses the original historical counts process that allocates flights differently. Data is not comparable across the differently processed periods of time.

Documentation

- About OPSNET
- Manual for using this website
- Glossary
- FAQ
- OPSNET Traffic Counts
- Contact Us
- Special Access Requests

Notices

139.401 - SMS Implementation

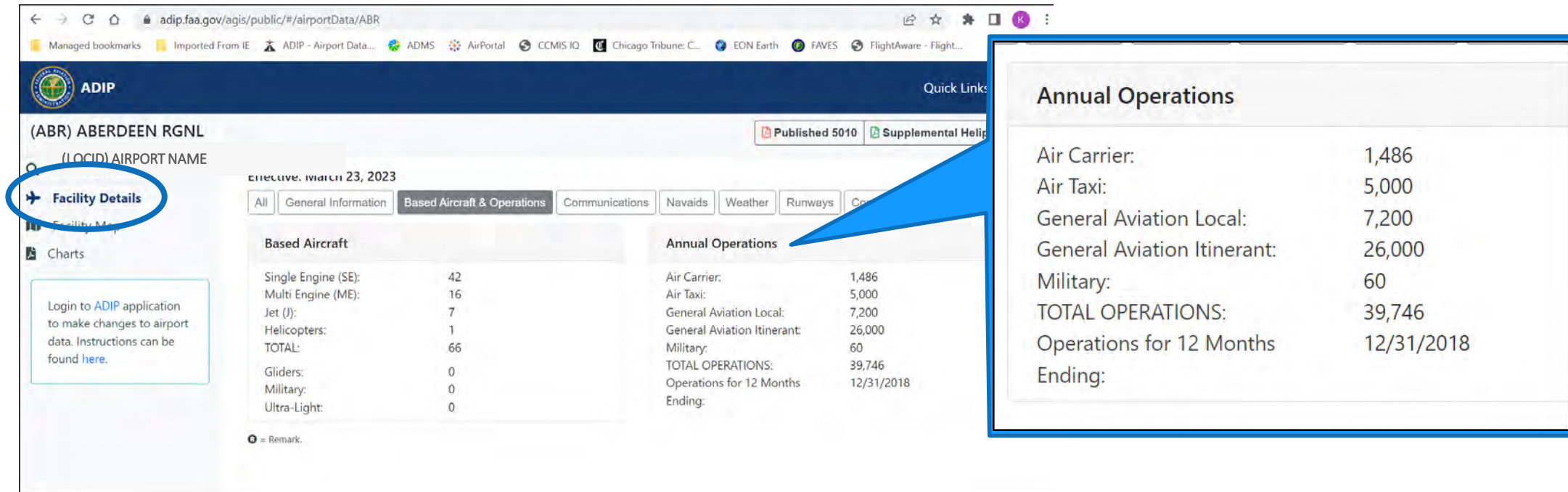
How are SMS airports identified?

100K Avg. Operations Airports - §139.401(a)(2)

Non-Towered Airports -

Airport Data and Information portal (ADIP) -

<https://adip.faa.gov/agis/public/#/public>



The screenshot shows the ADIP website for ABERDEEN RGNL. The 'Facility Details' tab is selected. The 'Based Aircraft' table shows 66 total aircraft. The 'Annual Operations' table shows 39,746 total operations for 12 months ending 12/31/2018.

Based Aircraft	
Single Engine (SE):	42
Multi Engine (ME):	16
Jet (J):	7
Helicopters:	1
TOTAL:	66
Gliders:	0
Military:	0
Ultra-Light:	0

Annual Operations	
Air Carrier:	1,486
Air Taxi:	5,000
General Aviation Local:	7,200
General Aviation Itinerant:	26,000
Military:	60
TOTAL OPERATIONS:	39,746
Operations for 12 Months	12/31/2018
Ending:	

139.401 - SMS Implementation

How are SMS airports identified?

International
Airports -
§139.401(a)(3)



Source: CBP / ADIP

- ***Landing rights airport.*** A “landing rights airport” is any airport, other than an international airport or user fee airport, at which flights from a foreign area are given permission by Customs to land.
- ***An airport of entry (AOE)*** is an airport that provides customs and immigration services for incoming flights. These services allow the airport to serve as an initial port of entry for foreign visitors arriving in a country.
- **User Fee Facilities Program:** User fee airports are those airports which, while not qualifying for designation as international or landing rights airports, have been approved by the Commissioner of CBP to receive, for a fee, the services of CBP officers for the processing of aircraft entering the United States, and the passengers and cargo of those aircraft



139.401 - SMS Implementation

How are SMS airports identified?

International Airports - §139.401(a)(3)

Port of Entry / Landing Rights Airports

The screenshot displays the ADIP application interface. On the left, a sidebar contains navigation links: 'New Search', 'Facility Details' (highlighted with a blue circle), 'Facility Map', and 'Charts'. Below these links is a box with the text: 'Login to ADIP application to make changes to airport data. Instructions can be found [here](#).' The main content area shows the 'Effective: March 23, 2023' and a series of tabs: 'All', 'General Information', 'Based Aircraft & Operations', 'Communications', 'NavAids', 'Weather', 'Runways', 'Contacts', and 'Remarks'. The 'General Information' tab is active, displaying a form with two main sections: 'Location and General Information' and 'Services & Facility Information'. The 'Location and General Information' section includes fields for Site Id, NPIAS Number, Service Level, Hub Type, Airport Status, Location, City/State, County, Elevation, Variation, and Last Inspection Date. The 'Services & Facility Information' section includes fields for Control Tower, Tower Hours, FSS On Airport, FSS, FSS Toll Free Phone, NOTAMS Facility, and Attendance. A blue callout box points to the 'International Airport of Entry for Customs' field, which is set to 'YES'.

Location and General Information	
Site Id:	
NPIAS Number:	
Service Level:	General Aviation
Hub Type:	N/A
Airport Status:	Operational
Location:	ESTIMATED
City/State:	
County:	
Elevation:	483
Variation:	SURVEYED Location: 04W (1990)
Last Inspection Date:	05/19/2022

Services & Facility Information	
Control Tower:	On Airport ATCT
Tower Hours:	0700-2300
FSS On Airport:	NO
FSS:	
FSS Toll Free Phone:	1-800-WX-BRIEF
NOTAMS Facility:	
Attendance:	CONTINUOUS

Ownership Type:	
Ownership Type:	PUBLIC
Facility Use:	PUBLIC
NPIAS:	YES
NPIAS/Federal Agreements:	NGY
CBD To Airport:	03NM / SE
ARTCC:	
Sectional:	
Region / ADO:	
Area:	

Wind Indicator:	
Wind Indicator:	LIGHTED
Segmented Circle:	NO
Lighting Schedule:	SEE RMK
Beacon Lens Color:	White and Green
Beacon Schedule:	SS-SR
Landing Fee:	YES
Fuel Types:	100LL, A+
Other Services:	AMB,AVNCS,CH,INSTR,SALES
FAR 139 Index:	IV A U 11,1974
International Airport of Entry for Customs:	YES
Military/Civil Joint Use:	NO

139.401 - SMS Implementation

How are SMS airports identified?

International Airports - §139.401(a)(3)

User Fee Airports

ADIP

Quick Links

(LOCID) AIRPORT NAME

Published 5010 Supplemental Heliport Data

Effective: March 23, 2023

All General Information Based Aircraft & Operations Communications NavAids Weather Runways Contacts Remarks

Facility Details

Login to ADIP application to make changes to airport data. Instructions can be found [here](#).

Element Number	Remark
A081	
A30A	
A030	
A110-001	
A110-005	
A110-006	
A110-007	
A110-008	
A110-009	
A110-010	
A110-011	
A110-012	U.S. CUSTOMS USER FEE ARPT: 2 HRS PPR CTC



Federal Aviation
Administration

139.401 - SMS Implementation

How are SMS airports identified?

International Airports - §139.401(a)(3)

Questions about Landing Rights / Port of Entry / User Fee Airport status?

The screenshot shows the ADIP interface with the 'Facility Details' tab selected. A blue box highlights the 'International Airport of Entry for Customs' checkbox, which is checked. Other fields visible include 'Effective March 23, 2021', 'Location and General Information', and 'Standard & Facility Information'.

- Submit an Aeronautical Inquiry with the FAA: https://www.faa.gov/air_traffic/flight_info/aeronav/aero_data/Aeronautical_Inquiries/

The screenshot shows the ADIP interface with the 'Facility Details' tab selected. A blue box highlights the 'Remarks' section, which contains a list of airport details. The first entry is 'A001 - LIGHTING SCHEDULE ACTYV MAJOR RWY 32R MAJOR RWY 04/22 HIRL RWY 14/32R - CTAF'. Other entries include 'A002 - RWY 14/32R NOT AVBL FOR SCHED ACFT OPS WITH MORE THAN 9 PSGR SEATS OR UNSCHEDULED ACFT AT LEAST 31 PSGR SEATS', 'A110-001 - TWT PRGZ ON SE GA APN ONLY', 'A110-002 - BRCS ON & INVC APPT', 'A110-003 - TWT AS & C1 SW OF RWY 14/32R CLSD TO ACFT OVR 11800 LBS', 'A110-004 - TWT AS & A7 ADJ TO AIR CARRIER APRON NOT VSB FM THE ACFT', 'A110-005 - APR 22 & 32R NOT VSB FM EACH OTHER', 'A110-006 - FOR CD IF UNA TO CTC ON FSS FBQZ CTC', 'A110-007 - RWY 14/32R CLSD TO ACFT ABV 12000 LBS', 'A110-008 - RWY 14/32R AS TO 11800 LBS', and 'A110-009 - CTS CUSTOMS USER FEE APPT 2 HRS PER CTC DFC'. A blue box also highlights the 'A110-009' entry.

- If data is not correct, airports must consult with CBP to correct data. CBP will then update data submitted to the FAA



Frequently Asked Questions

- Great source for answers for most general questions
- Living document and will be update as common questions are asked

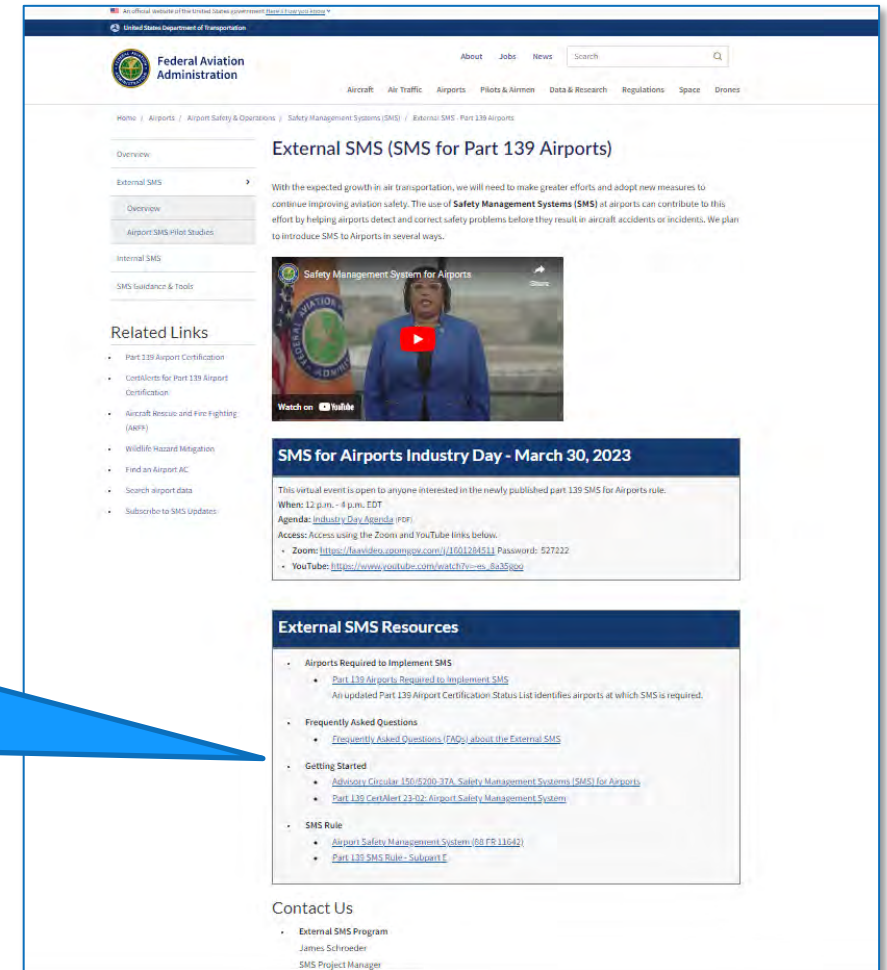
Frequently Asked Questions (FAQs) for Safety Management Systems (SMS) Implementation

FAQs

1. [Why did it take more than 10 years for Federal Aviation Administration \(FAA\) to issue the final rule?](#)
2. [As an Airport Operator, why is SMS important to me?](#)
3. [Why does the FAA require SMS at certain part 139 airports but not others?](#)
4. [Why does part 139 SMS for Airports look different from other FAA SMSs, like part 121 for Air Carriers?](#)
5. [What is the difference between "internal" SMS and "external" SMS?](#)

Getting Started

6. [When does the part 139 SMS rule go into effect?](#)
7. [How do I start implementing SMS for my airport?](#)
8. [How do I determine if my airport meets one of the final rule's triggering criteria?](#)
9. [My airport meets one of the three triggers, do I have to implement SMS?](#)
10. [How do I apply for a waiver?](#)
11. [Does the SMS requirement apply to my entire airport?](#)
12. [My airport does not meet any of the three triggers, may I still implement an SMS to support my airport's certification program?](#)
13. [My airport implemented SMS before the final rule became effective. Does that mean I am done?](#)
14. [What if my airport's established SMS does not match the part 139 SMS requirements?](#)
15. [What happens if my airport is no longer required to have SMS?](#)



External SMS (SMS for Part 139 Airports)

With the expected growth in air transportation, we will need to make greater efforts and adopt new measures to continue improving aviation safety. The use of **Safety Management Systems (SMS)** at airports can contribute to this effort by helping airports detect and correct safety problems before they result in aircraft accidents or incidents. We plan to introduce SMS to Airports in several ways.

SMS for Airports Industry Day - March 30, 2023

This virtual event is open to anyone interested in the newly published part 139 SMS for Airports rule.

When: 12 p.m. - 4 p.m. EDT
Agenda: [Industry Day Agenda](#) (PDF)
Access: Access using the Zoom and YouTube links below:
• **Zoom:** <https://faavideo.zoomgov.com/join/214511> Password: 527222
• **YouTube:** https://www.youtube.com/watch?v=es_8A256p0c

External SMS Resources

- **Airports Required to Implement SMS**
 - [Part 139 Airports Required to Implement SMS](#)
An updated Part 139 Airport Certification Status List identifies airports at which SMS is required.
- **Frequently Asked Questions**
 - [Frequently Asked Questions \(FAQs\) about the External SMS](#)
- **Getting Started**
 - [Advisory Circular 150/5200-37A, Safety Management Systems \(SMS\) for Airports](#)
 - [Part 139 Certification 23-02: Airport Safety Management System](#)
- **SMS Rule**
 - [Airport Safety Management System \(68 FR 11642\)](#)
 - [Part 139 SMS Rule - Subsequent F](#)

Contact Us

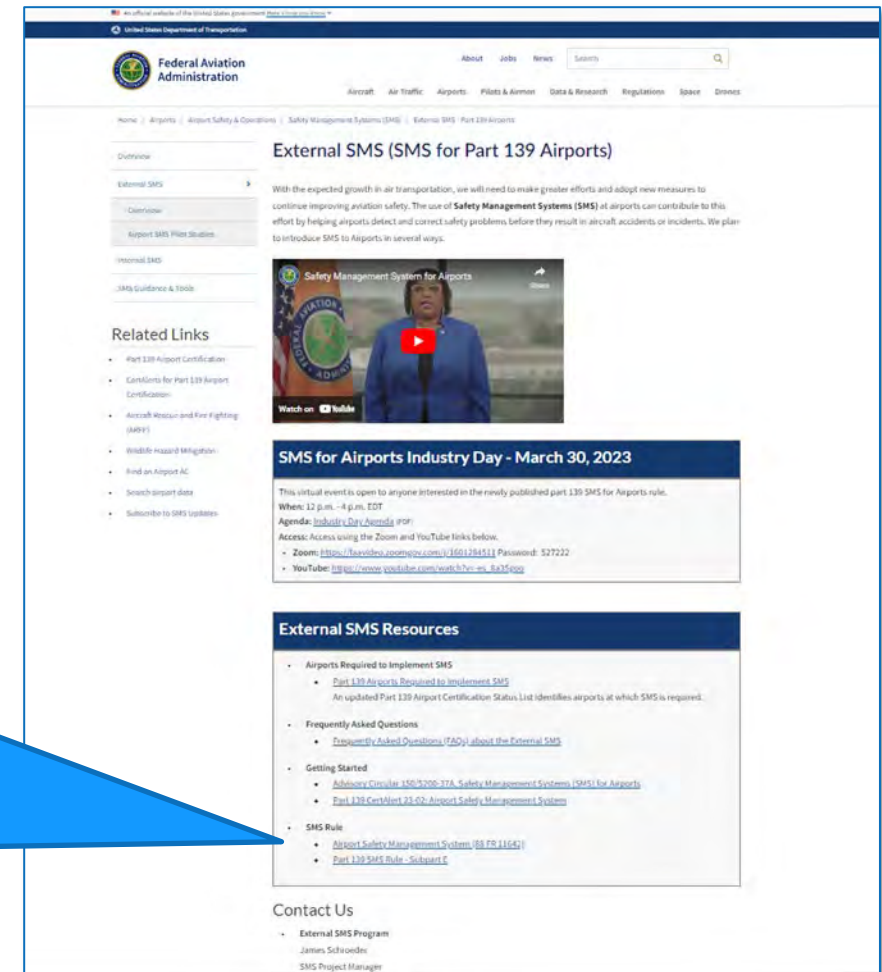
- **External SMS Program**
James Schroeder
SMS Project Manager



Part 139 SMS for Airports Preamble

- Published in the Federal Register, this is the complete story explaining the rule
- A 2nd document contains only the new Subpart E amendment

-This is a shorter, more user friendly version of the complete published document in the Federal Register



Advisory Circular 150/5200-37A

- Wealth of information on the adaptation of the SMS for Airports rule to you airport
- Is advisory and guidance in nature, not prescriptive
- Guidance is scalable
- Does not teach SMS
- Examples

AC 150/5200-37A - Safety Management Systems for Airports

Document Information

Number

150/5200-37A

Title

Safety Management Systems for Airports

Status

Active

Date issued

2023-02-16

Office of Primary Responsibility

AAS-300, Office of Airport Safety and Operations - Airport Safety & Operations Division

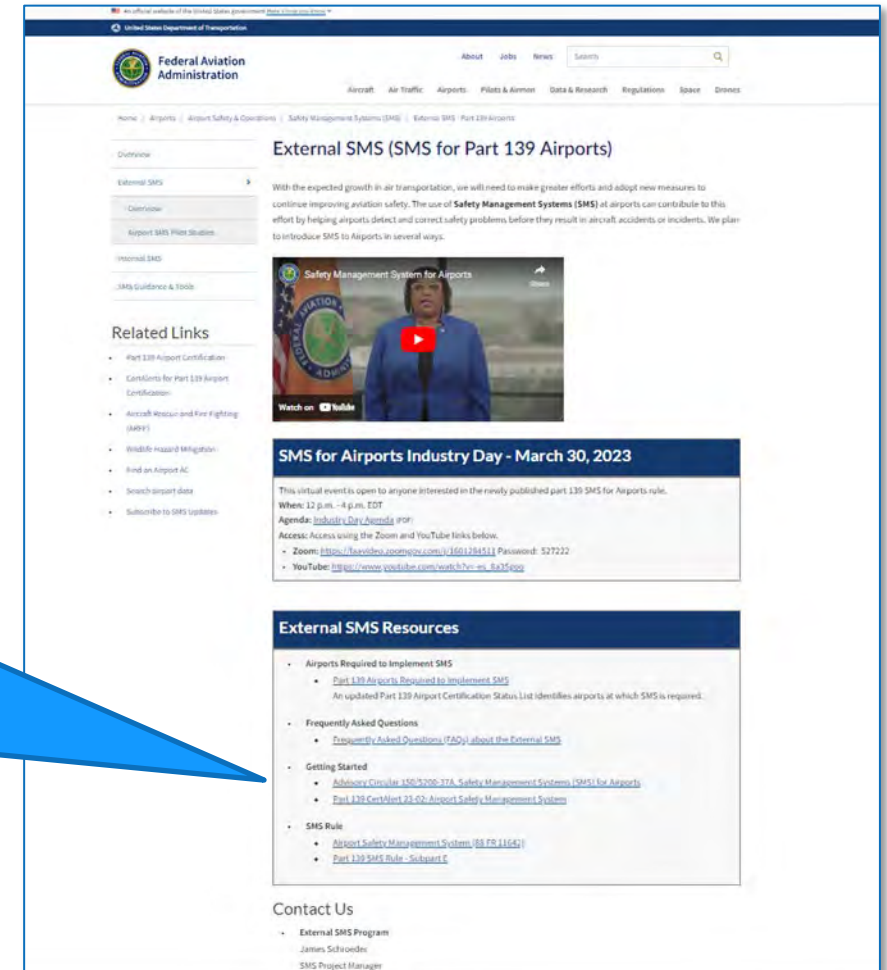
Description

This AC presents the concepts of a Safety Management System (SMS) and provides detailed guidance about developing and implementing SMS for an airport.

For more information, see [External SMS - SMS for Part 139 Airports](#).

Content

- [150/5200-37A \(PDF\)](#)



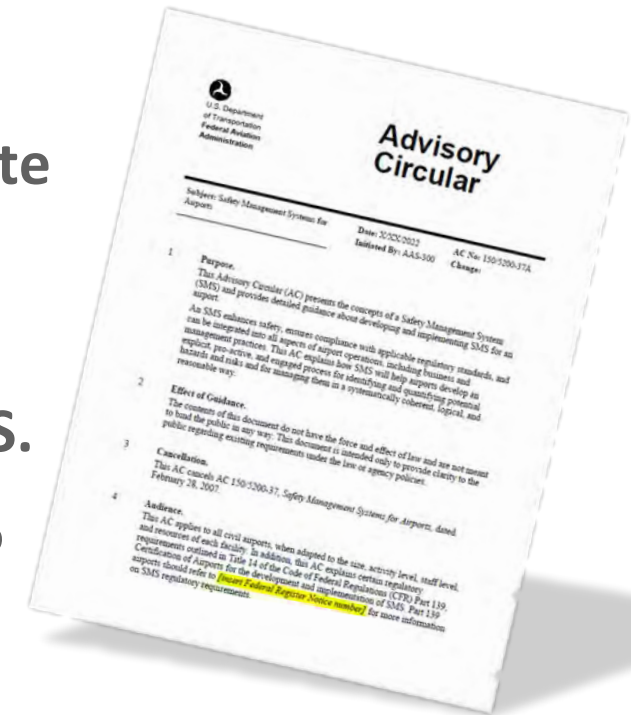
The screenshot shows the Federal Aviation Administration's website for the External SMS (SMS for Part 139 Airports). The page features a navigation bar with links to Home, Airports, Airport Safety & Operations, Safety Management Systems (SMS), External SMS, Part 139 Airports, and a search bar. The main content area includes a video player for 'Safety Management System for Airports' and a section for 'SMS for Airports Industry Day - March 30, 2023'. The industry day section provides details about the event, including the agenda, access information, and contact details. Below this, there is a section for 'External SMS Resources' which lists various links and documents related to the SMS program, including 'Airports Required to Implement SMS', 'Frequently Asked Questions', 'Getting Started', and 'SMS Rule'. The page also includes a 'Contact Us' section with the name of the SMS Project Manager.



Federal Aviation
Administration

Advisory Circular 150/5200-37A

- Advisory Circular 150/5200-37 was first published in 2007 to provide guidance in developing and implementing SMS for Airports.
- The updated AC 150/5200-37A expands on how to integrate the new 14 CFR 139 Subpart E requirements into airport operations.
- This guidance may be used by **ANY** airport wanting an SMS.
- The current revision of the AC has been expanded from 16 pages to 100+ pages of guidance.



Advisory Circular 150/5200-37A

- Chapter 1 – Background
- Chapter 2 – Getting started
- Chapter 3 – Safety Policy
- Chapter 4 – Safety Risk Management
- Chapter 5 – Safety Assurance
- Chapter 6 – Safety Promotion



Advisory Circular 150/5200-37A

Appendices:

- A – Definitions and Acronyms
- B – Related Reading Material
- C – Sample SMS Implementation Plan Template and Checklist
- D – Sample SMS Manual
- E – Sample Safety Reporting Dashboard

[Insert Airport Name] Safety Management System Implementation Plan

SMS Implementation Plan Checklist:
[Instructions: The Implementation Plan Checklist provides a guide for airports to use in developing and deploying the essential components and elements of an SMS. For efficiency, airports should look to existing systems, processes, and procedures to determine whether they can be used within the SMS. Additionally, the "status of implementation" column can be updated over time to communicate progress to the Accountable Executive. An airport could use this checklist as a means for updating the Accountable Executive on the progress of SMS implementation.]

Item	Task	Description of Any Existing Systems/Processes Being Used to Meet the Task	Status of Implementation	Target for Completion
1. Documentation				
1.1	SMS Manual (optional method)			
2. Safety Policy				
2.1	Identify the Accountable Executive			
2.2	Develop and distribute a Safety Policy Statement			
2.3	Make Safety Policy Statement available to all employees and tenants			
2.4	Identify organizational structure responsible for airport safety issues			
2.5	Communicate safety organizational structure to airport employees and managers			
2.6	Define airport management, including various levels throughout the organization, responsibilities and accountabilities for safety issues			
2.7	Establish a procedure to periodically review management responsibilities and accountabilities for safety issues			
2.8	Establish Safety Objectives			

Approved by: [signature]
Date: [insert date]

[Insert Airport Name] Safety Management System Implementation Plan

Schedule for SMS Development and Deployment:
[Instructions: In this section, document the major milestones and any potential challenges to implementation.]

I. Major Milestones
[List the major milestones associated with SMS development and deployment. This can be in narrative or tabular format. A sample table is provided below. This section should summarize the airport's major milestones and the target date for completion. Within each milestone, list the known smaller steps required to achieve the milestone. This will help identify any unanticipated obstructions.]

Milestone	Target Date
Develop Implementation Plan	
Conduct Gap Analysis	
Finalize SMS Manual	
Provide SMS Training	
Deploy Hazard Reporting System	
Full Implementation of SMS	
Conduct first evaluation of SMS implementation	

II. Challenges
[List and explain any challenges the airport may face that could impact these target dates (e.g., lease or union negotiations or procurement schedules). Where possible, include a description of the methods the airport will use to mitigate these challenges where possible and track the status of these issues.]

Approved by: [signature]
Date: [insert date]



Part 139 SMS Roles

Certificate Holders

Implement and operate their airport's SMS

ACSI

Oversee SMS rule compliance, approval / acceptance of documentation and liaison for airport questions

ARP Regional SMS Coordinators

- Manage the ARP SMS for Planning and Development (Internal SMS)
- Regional points of contact for SMS questions

ADO

Point of contact for federal funding eligibility and projects related to the SMS rule

AAS-300/310

Manages the internal and external SMS programs, provides guidance, promotes the programs



Questions about SMS for Part 139 Airports?

- FAA External SMS website - https://www.faa.gov/airports/airport_safety/safety_management_systems/external
- Your assigned Airport Certification Safety Inspector
- Your regional Safety and Standards Branch



Thank you

