



FAA
Airports

Participant's Guide

Part 139 SMS Implementation Study

(Consultant edition)

STUDY OBJECTIVE

The FAA is conducting a Part 139 Safety Management System (SMS) Implementation Study as a follow-on to the Airport SMS Pilot Studies. The intent of the implementation study is to examine how airports implement the elements of the Safety Risk Management and Safety Assurance components of SMS throughout their airfield environment including the movement and non-movement areas where applicable. The study will also evaluate the validity of SMS documentation developed during the first pilot studies.

Results of the implementation study will directly assist FAA in the development of standards and guidance related to SMS for certificated airports throughout the nation.

APPLICABILITY OF STUDY AND GUIDE

Eligibility for participation in the Part 139 SMS Implementation Study is limited to airports that participated in the 1st or 2nd Airport SMS Pilot Study and completed all deliverables under those studies including the SMS Manual and/or Program Guide.

This Participant's Guide is for use by participants in the FAA's Part 139 SMS Implementation Study. The requirements of this study in no way constitute standards for the development or implementation of SMS for airports not participating in this study. At this time, the development and implementation of SMS is voluntary.

APPROACH

Because SMS is not a regulatory requirement in the U.S. at this time, the SMS Manual and program developed under the pilot study should remain separate from the Airport Certification Manual (ACM) required under 14 Code of Federal Regulations (CFR) Part 139, *Certification of Airports*. FAA Airport Certification Safety Inspectors may ask to review the airport's SMS documents or processes, but will not consider the SMS (or lack of an SMS) a factor in compliance with Part 139.

COMPLIANCE WITH PART 139

FAA is still considering rulemaking under Part 139 and is developing standards for SMS. Therefore, participation in this study or implementation of SMS as part of this study in no way assures compliance with future SMS standards or requirements. Airports are encouraged to develop and implement their SMS with maximum flexibility and so they are able to adapt their existing SMS to conform to any future FAA standards or requirements.

DURATION OF STUDY

Participating airports must complete and submit deliverables required under this study within 12 months of AIP grant award or study start for those airports not seeking AIP assistance. However, FAA will accept the final report required under this study within 13 months of AIP grant award or study start.

Airports will be asked to share the results of all tasks with FAA's Office of Airport Safety and Standards. Representatives of the FAA may conduct site visits during or after the study to evaluate SMS implementation.

AIRPORT IMPROVEMENT PROGRAM (AIP) ELIGIBILITY

Airports seeking Federal financial assistance through the Airport Improvement Program (AIP) may submit a grant application to their local FAA Airports office. Normal airport and state shares are in effect for those airports requesting AIP assistance.

ELIGIBLE ITEMS

In addition to consultant services, certain activities or infrastructure may be eligible for reimbursement under AIP for use in this study. See Attachment 1 for a list of eligible activities applicable to this study.

INELIGIBLE ITEMS

For the purposes of this study, expenses related to the development of Safety Policy or Promotion documentation or materials are not eligible. See Attachment 2 for a list of ineligible activities applicable to this study.

STUDY TASKS

1. Implement Safety Risk Management procedures, processes, or policies as formulated under the airport's SMS Manual or other documentation developed for the airport under the first pilot studies.
2. Conduct at least 3 safety risk analyses/assessments within 6 months of AIP grant award or study start. These analysis/assessments should not include analysis/assessments required under FAA Air Traffic Organization SMS. The analysis/assessments can address hazards in the movement or non-movement areas of the airport.
3. Implement a safety reporting and/or data collection system or applicable processes in conformance with the airport's SMS Manual or other documentation developed for the airport under the first pilot studies.
4. Collect hazard reports, incident and accident reports, and other safety related data/information under the airport's SMS Manual or other applicable documentation within 2 months of AIP grant award or study start.
5. Analyze the information collected through the reporting and/or data collection system or applicable processes within 5 months of AIP grant award or study start.
6. Conduct an internal audit/evaluation following the methods and procedures prescribed under the Safety Assurance component of the airport's SMS Manual or applicable documentation within 8 months of AIP grant award or study start.

FAA acknowledges that some airports may not use similar terminology or may have not developed the above referenced processes or procedures in this Participant's Guide. In those cases, the airport should contact Keri Spencer (202-267-8972 or keri.spencer@faa.gov) to develop a plan for addressing deficient processes or determining applicability of similar airport processes.

DOCUMENTATION

In addition to the tasks above, each participating airport will provide the following documents. All documents shall be provided to the FAA in electronic and paper format. Copies should be sent to the applicable Regional/Airport District Office and Keri Spencer, Airport Safety and Operations.

1. Study Plan. Within 1 month of AIP grant award or study start, a plan for completing study tasks including proposed safety risk analysis/assessment and a report detailing what

- costs the airport plans to allocate to its AIP funding (i.e. consultant services, infrastructure, etc.).
2. Monthly Reports. Provide monthly reports on the status of implementing study tasks and developing study deliverables including any pertinent findings or challenges. Monthly reports shall be no less than 1 page and no more than 5 pages in length and shall be provided to FAA by the last calendar day of the month.
 3. SRM Analysis. Within 1 month after each safety risk analysis/assessment, provide FAA documentation of the processes/procedures used to conduct the analysis and findings from the analysis.
 4. Final Report. Within 13 months of AIP grant award or study start, provide a final report on study findings and deliverables for the airport. The report shall include copies of all deliverables, and any changes to the original SMS Manual, Implementation or other documentation developed under the first pilot studies. The report will detail how the airport accomplished each of the study tasks and any trends discovered during Safety Risk Management or Safety Assurance processes or procedures. If software is purchased or developed for the purposes of this study, the airport will report on the usefulness of the software, costs associated with development/procurement/maintenance, and challenges or lessons learned using the software. The report shall also include a discussion of challenges or lessons learned through the study relative to Safety Risk Management and Safety Assurance. Finally, the airport will report the findings of its internal audit/evaluation.

ADDITIONAL GUIDANCE

Besides this Participant's Guide, participating airports are encouraged to review the following documents. FAA's reference to these documents does not constitute the definitive standard for SMS at this time. FAA is continuing to explore available options under rulemaking and in the development of standards for U.S. airports. These references are meant to spur creative development throughout the participating airports.

- FAA Advisory Circular 150/5200-37, *Introduction to Safety Management Systems for Airport Operators* (2007)
- ICAO Safety Management Manual, Second edition, Doc 9859 (2009)
- ACRP Report 1, *Safety Management Systems for Airports, Volume 1: Overview* (2007)
- ACRP Report 1, *Safety Management Systems for Airports, Volume 2: Guidebook* (2009)

STUDY CONTACT

All questions regarding study participation, tasks, and deliverables should be directed to Keri Spencer, Part 139 SMS Lead, FAA Airport Safety and Operations Division, 202-267-8972 or keri.spencer@faa.gov.

Attachment 1

List of Eligible Expenses Under the Airport Improvement Program

The following list of activities will typically be eligible for reimbursement through the Airport Improvement Program. This list is not all inclusive and does not constitute items that MUST be purchased under the study. Again, airports participating in the study are not required to purchase the following activities. Also, the list is provided to answer questions regarding eligibility relevant to this study ONLY. FAA recognizes that some airport may wish to complete all or portions of the study using existing staff or infrastructure. In those cases, normal force account approval will apply. Questions regarding items on this list or those items not discussed should be addressed to Keri Spencer, Part 139 SMS Lead, Airport Safety and Operations, 202-267-8972, keri.spencer@faa.gov.

1. Consultant Services
2. Procurement of Hazard and Mitigation Tracking Software Systems
3. Procurement of Safety Reporting Software Systems
4. Costs associated with developing training materials for safety risk management or safety assurance techniques
5. Costs associated with contractor-assisted training for safety risk management or safety assurance techniques
6. Development of detailed Safety Risk Management or Safety Assurance processes or procedures (Note: This activity is for airports that have not fully developed these processes or procedures as part of the first studies.)

Note – Airports should include a detailed breakout of costs in their AIP grant application.

Attachment 2

List of Ineligible Expenses Under the Airport Improvement Program

1. Training costs associated with general SMS training
2. Training costs not related to Safety Risk Management or Safety Assurance processes or procedures
3. Costs associated with employee time spent in training
4. Safety Promotion costs including communications systems, marketing, or the development of communications/marketing products
5. Further development of activities under the airport's Safety Policy (Note: FAA believes that most airports have developed thorough Safety Policy documents under the first pilot studies. Therefore, any development of documents for the airport's Safety Policy is not eligible under this study. Please see #6 under Attachment 1 for any Safety Risk Management or Safety Assurance process or procedure development as a result of deficient documentation from the first studies.)
6. Costs for certification under industry standards for audit/evaluation (i.e. IS-BAO)

Note – Airports should include a detailed breakout of costs in their AIP grant application.