

Safety Management Systems

North and South Dakota Airport Planning for SMS

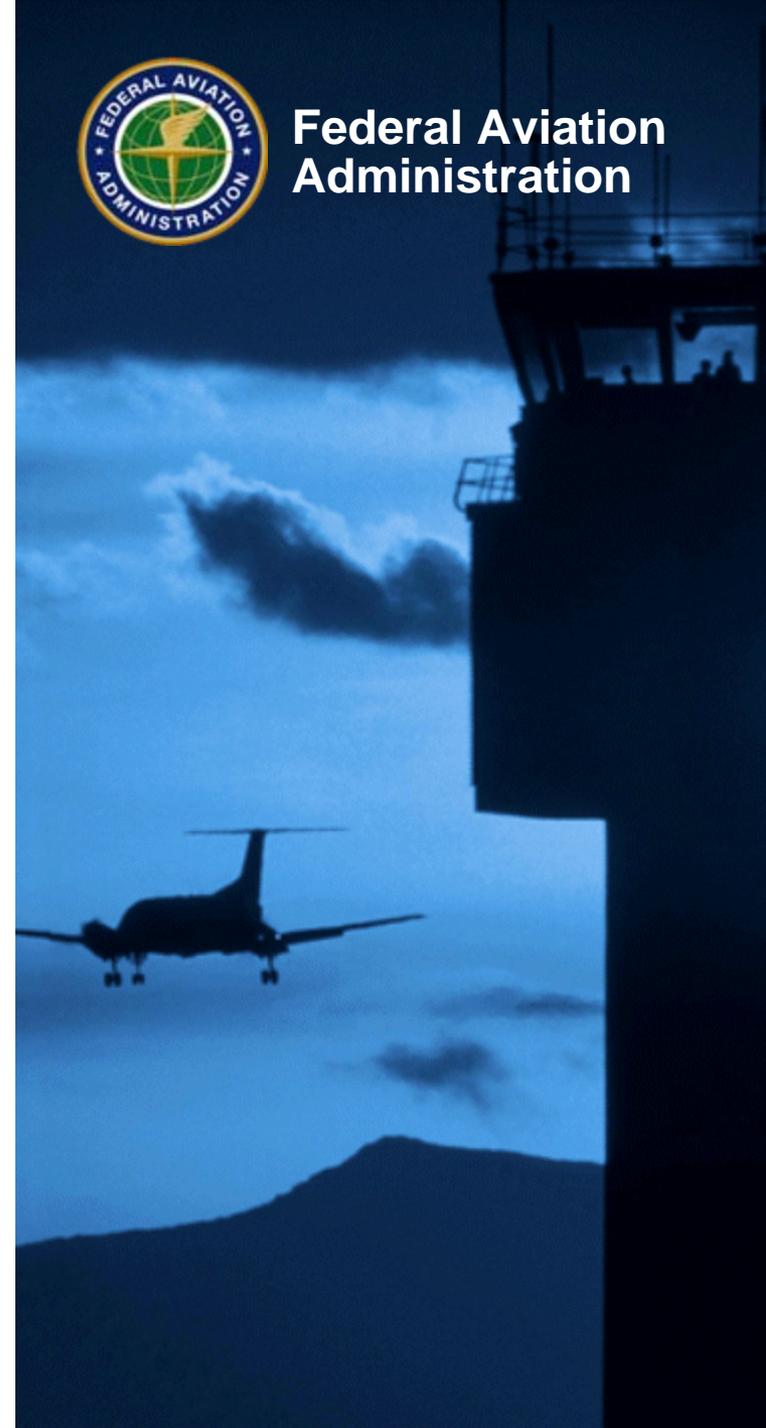
Presented to: General Audiences

By: FAA Office of Airports

Date: October 2010

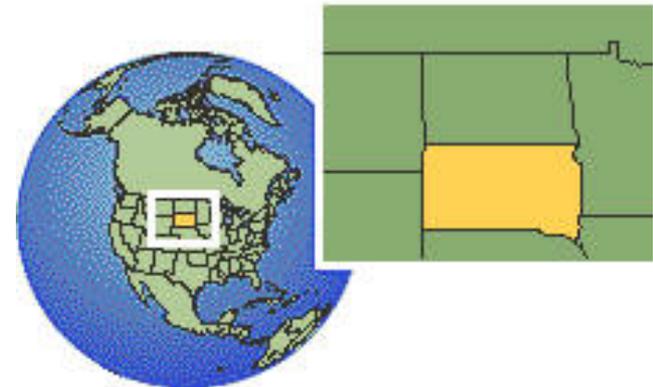


Federal Aviation
Administration



What is FAA Airports required to do?

- **FAA Order 8000.369 requires Airports (ARP) Division to:**
 - Integrate SMS concepts into organization
 - Develop SMS requirement for regulated parties (Part 139 certificated airports)
- **FAA's efforts will also harmonize with International standards and recommended Practices**
 - ICAO State Safety Program for 'state' aviation organization
 - ICAO Annex 14 (SMS for certificated airports)



How are we dealing with these requirements?

- **Two front approach**
 - **External SMS** – Part 139 Airport SMS requirement (Implement through Notice of Proposed Rulemaking)
 - **Internal SMS** – Also known as ARP (Airports) SMS- processes and programs that impact safety (Implement through internal FAA Order and Implementation Guidance)



Be AWARE



On the **GROUND** & the Air!

 Federal Aviation Administration
The FAA Safety Team wants everyone to treat ground operations as a critical phase of flight. Keep your eyes outside and never lose situational awareness.
For more safety related information go to www.FAASafety.gov
product of the FAASafety Team Airport Surface Deviation (ASD) project

Part 139 Airport SMS Proposal

- **Notice of Proposed Rulemaking published in the Federal Register**
 - Available at www.regulations.gov by Docket # FAA-2010-0997
 - 90 day comment period (can submit through website by following online instructions)
 - Comments due on or before **Jan 5th-2011**



Part 139 Airport SMS Proposal

- Send Comments: Docket Operations, M-30; U.S. Department of Transportation, 1200 New Jersey Avenue, SE., West Building Ground Floor, Room W12-140, West Building Ground Floor, Washington, DC 20590-0001.
- Technical questions should be referred to Keri Spencer, FAA Airport Safety and Operations Division (202-267-8972 or keri.spencer@faa.gov)

- **Comments Due on or before January 5th -2011**



NPRM-SMS Summary Statement

- **SUMMARY:** This action would require each certificate holder to establish a safety management system (SMS) for its entire airfield environment (including movement and non-movement areas) to improve safety at airports hosting air carrier operations. An SMS is a formalized approach to managing safety by developing an organization-wide safety policy, developing formal methods of identifying hazards, analyzing and mitigating risk, developing methods for ensuring continuous safety improvement, and creating organization-wide safety promotion strategies. When systematically applied in an SMS, these activities provide a set of decision-making tools that airport management can use to improve safety. This proposal would require a certificate holder to submit an implementation plan and implement an SMS within timeframes commensurate with its class of Airport Operating Certificate (AOC).



FAA AIRPORT SMS - Implementation

- **FAA Order 5200.11, *FAA Airports Safety Management System*, signed August 30, 2010**
 - Effective now
- **SRM requirements phase in over four years for certain airport projects**
 - Largest airports begin June 1, 2011 (large, medium and small hubs)
 - All NPIAS airports begin by 2014



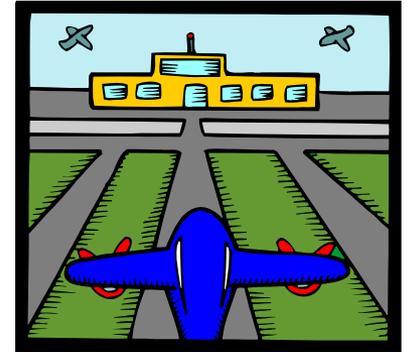
FAA AIRPORT SMS - Safety Policy

- **FAA Order establishes the framework for Airport SMS**
 - Clearly defines expectations of ARP and other impacted lines of business
- **FAA Airports plans to:**
 - Develop additional guidance documentation
 - Update applicable Advisory Circulars
 - Provide outreach to industry on requirements



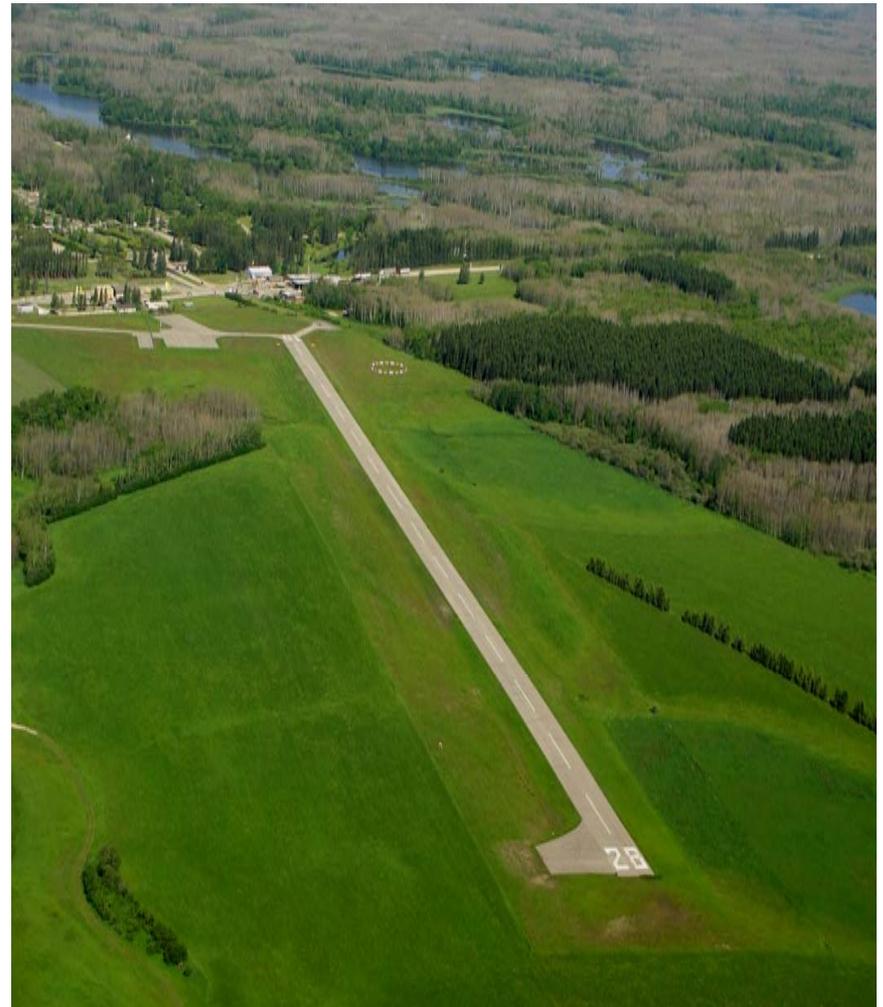
SMS - Safety Risk Management

- A accountable and documented process that ensures sound safety decisions through identification and analysis of hazards and risk mitigation
- Applies to FAA Airport standards development, project review and approvals that impact aviation safety.
- Airport SRM is documented by a Safety Assessment
 - Uses a Safety Assessment Screening form
 - Documents whether an SRM panel is appropriate for the proposed action



SMS - Safety Risk Management (SRM)

- **SRM is required when an FAA AIRPORT decision could impact aviation safety:**
 - Airport planning, environmental, engineering, construction, operations, and maintenance standards in Advisory Circulars.
 - Approval of new or updated Airport Layout Plans (ALPs).
 - FAA airspace determinations for construction safety plans*
 - FAA airspace determinations of airport sponsor requests for non-construction change
 - Approval of requests for project-specific Modifications of Standards.



ARP SRM – Implementation Phase-In

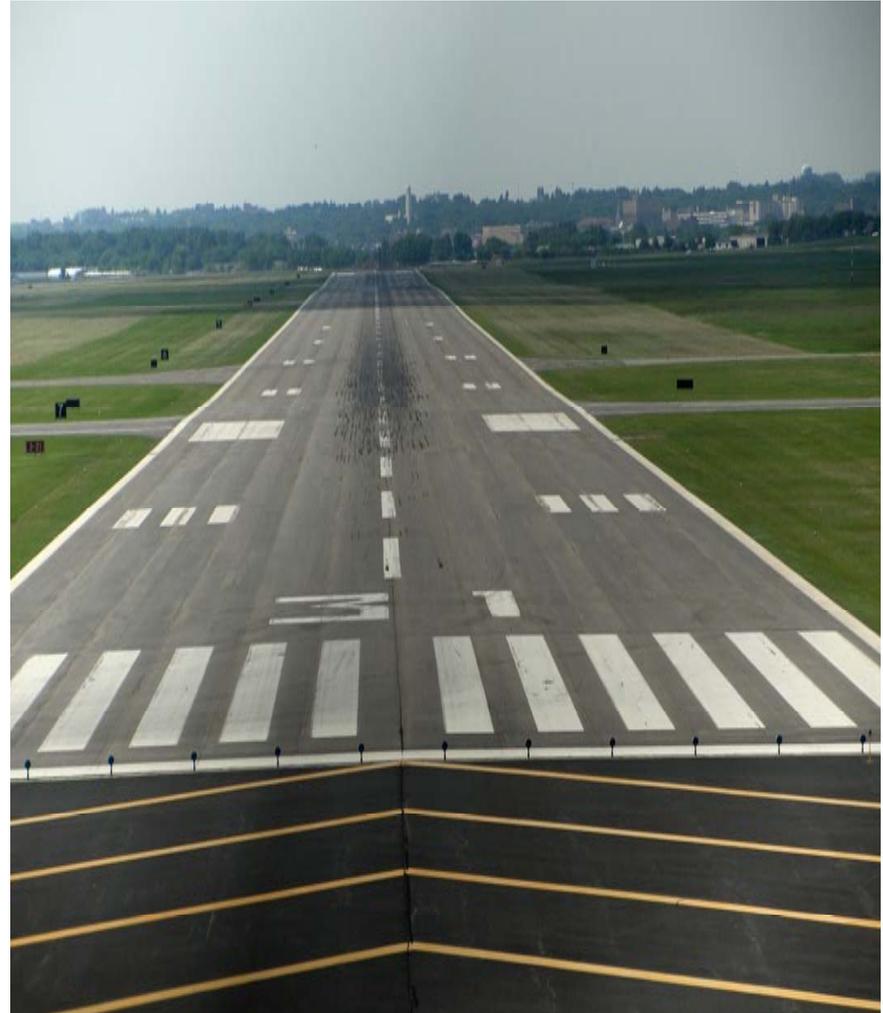
Airport Type (in Dakotas)	When SRM becomes applicable:
Large, Medium, and Small Hub Airports (1 Airport)	June 1, 2011
Remaining airports certificated under 14 CFR Part 139 (14 Airports)	June 1, 2012
Remaining FAA and contract tower airports	June 1, 2013
Remaining NPIAS airports(86 GA Airports)	June 1, 2014



SRM – Implementation Phase-In

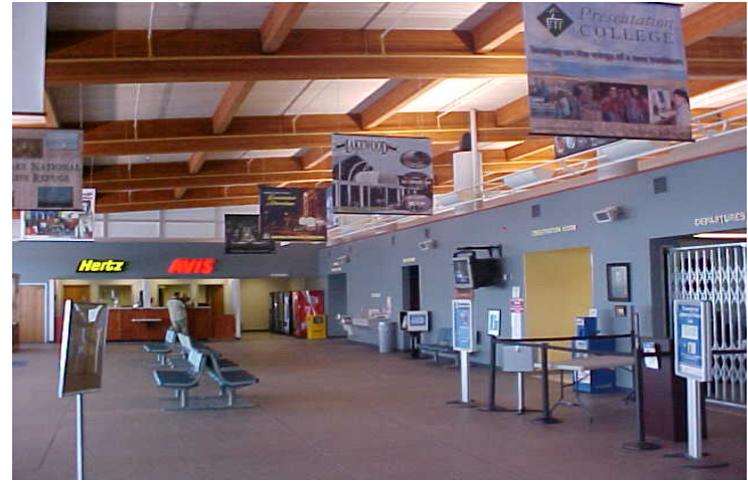
Example of Phase-In:

- **A medium hub airport submits their Airport Layout Plan on 6/2/11 for FAA approval**
 - FAA Airports begins a Safety Assessment Screening form
 - OE/AAA coordination is completed, if required
 - FAA Airports determines if hazards create a system safety impact, and initiates an SRM panel if appropriate
 - The SRM panel consists of subject matter experts
 - SRM panel findings are documented and attached to the Safety Assessment Screening Form
 - If risks are acceptable, the ALP *may* be approved, pending other considerations



AIRPORTS SMS – Guidance & Outreach

- **FAA AIRPORTS currently developing additional guidance**
 - Program Guidance under development for SRM
 - Further guidance to be developed includes panel facilitation and safety assurance
 - SMS requirements will be added to applicable Advisory Circulars as they are updated over time
- **FAA AIRPORTS committed to industry outreach**
 - Presentations at industry conferences and meetings
 - Coordination with industry groups on communications and training



SMS Overview

- Airports should review the NPRM and provide comments as to how this may impact your airport
- Review the implementation phase-in date and see when your airport should start SMS process
- Await FAA Airports guidance on what steps are to be taken
- Start planning and thinking about airport safety and how to document the assessment

Thank you for your attention to this new program!

