

CHANGE

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

ORDER 5200.11
CHG 3

Effective Date:
08/29/2014

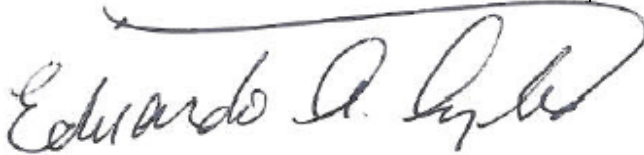
National Policy

SUBJ: FAA Airports (ARP) Safety Management System

- 1. Purpose.** This change announces the phase-in of Safety Risk Management (SRM) for medium and small hub airports. Now that the Office of Airports (ARP) Safety Management System has reached sufficient maturity, ARP will implement SRM at medium and small hub airports during Calendar Years 2015 and 2016, respectively.
- 2. Who this Change Affects.** This Change affects ARP, at the headquarters, regional, and field levels. It also affects Air Traffic and AFS who will have to participate on more SRM panels.
- 3. Distribution.** We will distribute an electronic version of this change to ARP headquarters, regional, and field offices. In addition, we will make this Change available on the FAA employees' website at https://employees.faa.gov/tools_resources/orders_notices/.
- 4. Disposition of Transmittal Paragraph.** Retain this transmittal until it is superseded by another change or we revise the Order.

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Eduardo A. Angeles
Associate Administrator
For Airports

Chapter 1. General Information

1-1. Purpose of This Order. This Order defines Safety Management System (SMS) requirements for the FAA's Airports (ARP) line of business. It identifies the responsibilities and authority of all offices within ARP for integrating the SMS into our programs. It also explains the roles other LOBs play in the ARP SMS.

1-2. Audience. This Order applies to all ARP personnel and applicable offices in the FAA Air Traffic Organization (ATO) and Aviation Safety (AVS) as well as other FAA offices as needed.

1-3. Availability. You can find this Order on the FAA Employees website at https://employees.faa.gov/tools_resources/orders_notices/.

1-4. Effective Date. This Order is effective on signature. However, implementation will begin June 1, 2011. Safety Risk Management (SRM) requirements will apply to the actions listed under paragraph 1-4a and be phased in according to the schedule in paragraph 1-4b. Projects, approvals, and standards *started after these dates* must comply with the Safety Risk Management (SRM) requirements in this Order and may require the full support of applicable LOBs in completing related Safety Assessments.¹ For purposes of this Order, a project being "started after these dates" means that the alternatives analysis phase begins after these dates. If the alternatives analysis has not begun prior to these dates, then SRM is required.

a. SRM Applicability (see paragraph 4-3 for more complete information).

(1) Submittal of new or revised Airport Layout Plans (ALPs) for FAA approval. SRM requirements do not apply to ALP submittals received prior to the dates identified for each category of airport listed under paragraph 1-4b.

(2) FAA airspace determinations for construction safety plans in accordance with JO Order 7400.2, Procedures for Handling Airspace Matters.²

(3) FAA airspace determinations for airport sponsor requests for non-construction airport changes submitted by FAA Form 7480-1, Notice of Landing Area Proposal. See paragraph 4-3f.

(4) FAA approval of Part 150 noise compatibility programs and program changes that may affect aviation safety.

(5) FAA approval of an airport sponsor's request for a Modification of Standards.

(6) Final FAA approval of new and updated airport planning, design, or construction standards.

¹ Within ARP, an SRM review and related documentation is called a Safety Assessment.

² Safety Assessments are required for construction safety plans submitted after all June 1 dates. However, ARP Regional and Headquarters Offices are encouraged to apply these standards earlier as part of training/implementation.

b. Sequence of SRM Applicability.

- (1) Beginning June 1, 2011, all large hub airports.
- (2) Beginning June 1, 2015, all medium hub airports.
- (3) Beginning June 1, 2016, all small hub airports.

ARP will implement SMS policies and procedures at the remaining National Plan of Integrated Airport Systems (NPIAS) airports in future years, depending on the levels of staffing and resources available.

The regional Airports offices or Airports District Offices (ADO) may elect to conduct SRM at airports earlier than the above schedule in cases where it is deemed beneficial and appropriate.

The period between signature and implementation will allow ARP to train staff, communicate with industry on the new requirements, and allow other LOBs to develop guidance for their employees. SMS training for ARP employees began in December 2010 *and is an ongoing effort*.

1-5. Importance of SMS. SMS is a set of defined processes that will enable ARP to adapt to changes and continuously improve airport safety. Organizations that employ SMS can identify and mitigate system hazards and risks without a negative effect on the overall mission. ARP affirms its continued commitment to safety by introducing and upholding SMS standards in this Order.

1-6. General Scope. This Order applies to all standards and approvals by ARP except:

a. External SMS – Regulation of airports under 14 Code of Federal Regulations (CFR) Part 139, Certification of Airports. ARP is engaged in a rulemaking project to develop standards for implementing SMS at certificated airports.³ Once the Agency completes its rulemaking under Part 139, ARP will synchronize its SMS efforts both internally and externally to the extent practicable. This Order applies to applicable Federal approvals and projects at certificated airports regardless of the rulemaking.

b. Occupational Safety and Health Administration requirements and FAA Order 3900.19, FAA Occupational Safety and Health Program.

1-7. Integration and Coordination.

a. FAA Order 8000.369, Safety Management System Guidance, provides the FAA standards for SMS guidance throughout the Agency.

b. The ARP SMS is one of many the FAA and its industry partners are introducing. While each SMS addresses organization-specific needs, they must all work together under a

³ This Order defines the FAA's responsibilities related to SRM associated with airport development projects, including all airports included in the NPIAS, regardless of whether the airport is certificated under Part 139.