

STATEMENT OF WORK
2nd FAA SMS Airport Pilot Study

1. OBJECTIVE

The FAA is conducting a pilot program to evaluate the implementation of Safety Management Systems (SMS) at airports of varying size and complexity. The pilot program will allow airports and the FAA to gain experience establishing airport specific SMS that are tailored for the individual airport. This information will provide FAA information on SMS best practices and lessons learned that will be helpful as FAA continues development of a Notice of Proposed Rulemaking to incorporate SMS into Title 14 Code of Federal Regulations (CFR) Part 139, *Certification of Airports*.

2. BENEFITS ANTICIPATED

For airport operators, the application of a systematic, proactive, and well defined safety program as is inherent in SMS allows an airport to continue to improve safety in the face of significant forecasted growth in air traffic activity. The use of SMS at airports can contribute to this effort by increasing the likelihood that airport operators will detect and correct safety problems before they result in an aircraft accident or incident.

The FAA benefits from the opportunity to assimilate the experience of airport operators developing an SMS for airports of widely varying activity levels and operational complexity. The FAA anticipates moving to a more formal requirement for the use of SMS at U.S. airports, consistent with the recent International Civil Aviation Organization (ICAO) amendment to Annex 14 to make SMS a mandatory standard at international airports. Experience gained through review of the SMS plans developed under this pilot program will be useful in development of a general U.S. standard.

3. APPROACH

Because SMS is not a regulatory requirement in the U.S. at this time, the SMS Manual and program developed under the pilot program should remain separate from the Airport Certification Manual (ACM) required under 14 CFR Part 139.

The SMS Manual and program should not simply apply existing guidance that has been developed in other countries with their own safety oversight rules, or duplicate SMS plans of airports subject to those rules. Rather, the SMS Manual and plan should complement existing U.S. safety requirements in 14 CFR Part 139, and be consistent with requirements under 14 CFR Part 139, FAA Advisory Circulars, and the airport's approved ACM. Therefore, the SMS Manual and program plan should address which elements of the airport operator's existing practices and guidance materials currently

meet the requirements of an SMS, which elements do not, and how these practices and documents will be revised in the future for consistency with the SMS plan.

4. DELIVERABLES

The development of the SMS Manual and program should be completed 6 months after award of the AIP grant. To help FAA evaluate the SMS airport specific development process, copies of the following documents must be provided to the FAA as they are completed. The FAA encourages sponsors and their consultants to refer other interim draft documents, questions, and comments to the FAA at any time in the process for consultation and information exchange.

a. Gap Analysis

The Gap Analysis should identify procedures, policies, documentation, and actions that the airport needs to implement as part of its SMS that go beyond the current Part 139 requirements addressed by the airport's FAA approved ACM.

Estimated completion date: 2 months from project start

b. Draft Plan

The airport will develop a complete SMS Manual and implementation plan. The draft should address the gap analysis and describe safety risk management, risk mitigation strategies, and documentation processes.

Estimated completion date: 5 months from project start

c. Final Plan

The airport will submit a copy of the final SMS Manual and implementation plan. While the airport is under no obligation to implement the Manual as part of this SMS Pilot Study, the Manual and program should be of sufficient quality and detail to implement the program when ready. An estimate of costs to implement the SMS should be provided with the final SMS Manual and implementation plan.

Estimated completion date: 6 months from project start

d. Contents and Scope of Plan

The contents and scope of the SMS Manual and implementation plan should address the following:

- Written safety policy statement and description of how it is communicated to airport employees.
- Identification and description of the airport safety goals.
- A plan for employee SMS indoctrination and training. SMS indoctrination training should provide an outline of proposed curriculum and resources.
- Documented process to identify training requirements for systems safety.

- A plan to validate training effectiveness and the process to gain training feedback, including useable metrics.
- A defined process to communicate safety policies and objectives throughout the organization. Include examples of how information will be communicated and any process for follow-up.
- A plan and description of employee non-punitive reporting systems, existing and new.
- An organizational chart identifying the names and safety responsibilities of all key personnel, such as the following:
 - Top Management
 - Safety Manager
 - Department Heads/Managers
 - Established Safety Committees and Chairpersons
- Description of the safety risk management (SRM) process, including application of “The Five Phases of SRM,” as discussed in FAA Advisory Circular 150/5200-37, *Introduction to Safety Management Systems for Airport Operators*.
- Guidance on the use of SRM and trend analysis.
- Defined process for documenting the results of SRM to include a description of how documents will be stored (i.e. electronic or paper).
- Description of how top management will follow-up on SRM to ensure safety mitigation strategies are appropriate.
- A description of the airport quality management and/or risk management program (if applicable) and its integration into the airport SMS.
- Description of a plan to integrate apron safety management into the Airport SMS. (FAA review of the plan will be limited to measures to prevent accident or incidents involving aircraft.) The plan could include:
 - A description of current apron safety management practices in place such as reporting requirements to the NTSB, FAA Flight Standards District Office, or the Occupational Safety and Health Administration (OSHA).
 - An explanation of how current apron safety management practices meet the intent of SMS. This could include the safety plans and practices of tenants and operators at the airport, which should complement the airport SMS.
- A detailed method to document self-auditing processes and their findings. Self-auditing may be part of the airport self-inspection process. If it is, explain how the self-inspection process addresses systems safety (i.e. if the self-inspection program identifies a hazard on the airport it should determine the risk and document the process for follow-up).
- A detailed method to document self-inspection reviews, analysis, and findings.
- A description or plan to integrate the tailored SMS program plan into the overall operation of the airport.
- Documented plan for training and education, safety communication, competency, and continuous improvement processes.
- Procedures to promote safety awareness and participation in non-punitive reporting systems.

- Process to document and review lessons learned from within the organization.
- Schedule for implementation and anticipated associated costs.

5. INFORMATION FURNISHED TO THE GOVERNMENT

All documents submitted by a sponsor or its agent to the FAA for review under this grant remain the property of the sponsor.

Final SMS documents and plans will be considered public information. Gap analyses, draft SMS manuals and plans, and other interim documents may be submitted with a request for confidentiality. The Freedom of Information Act requirements of 5 U.S.C. § 552, as amended, will apply to any such request.