

**CHANGE**

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

**ORDER 5200.11  
CHG 1**

National Policy

Effective Date:  
05/31/11

**SUBJ: FAA Airports (ARP) Safety Management System**

**1. Purpose.** Standing up a Safety Management System (SMS) within the Airports organization requires additional resources, including frontline staff and travel funds. Without these resources, the Office of Airports' (ARP) staff would need to shift their efforts from other critical programs. Since we did not receive the additional resources expected when we developed the SMS implementation schedule, we are revising the initial phase-in of Safety Risk Management (SRM) for the ARP organization. Instead, we will apply SRM procedures to large hub airports only in the first year and to additional airports in future years as workload and staffing allow.

Since existing ARP safety review processes will continue as usual, this change will not introduce additional safety risks into the system.

**2. Who this Change Affects.** This change affects ARP, the Air Traffic Organization, and the Office of Aviation Safety staff at the headquarters, regional, and field levels.

**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 "My FAA" Web site at: [https://employees.faa.gov/tools\\_resources/orders\\_notices/](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 Disposition of Transmittal Paragraph.** Retain this transmittal until it is superseded by another change or we revise the Order.

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**b. Sequence of SRM Applicability.**

- (1) Beginning June 1, 2011, all large 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 continues through June 2011.

**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.<sup>3</sup> ARP is engaged in a rulemaking project to develop standards for implementing SMS at certificated airports. 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

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<sup>3</sup> 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.