SUPPORTING STATEMENT A

Safety Management System for Certificated Airports
OMB Control Number 2120-XXXX

The Supplemental Notice of Proposed Rulemaking (SNPRM) associated with this collection references collection 2120-0675, Certification of Airports, 14 CFR part 139. However, given we do not have a firm date for the publication of the Final Rule, we are pursuing a separate OMB clearance number for this rulemaking activity. After the final rule is published, we will merge the two collections into 2120-0675 to prevent duplicative counting of burden.

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection.

Since 1970, the Federal Aviation Administration (FAA) Administrator has had the statutory authority to issue airport operating certificates (AOCs) to airports serving certain air carriers and to establish minimum safety standards for the operation of those airports. This authority is found in Title 49, United States Code (U.S.C.) § 44706, Airport operating certificates. The FAA uses this authority to issue requirements for the certification and operation of certain land airports. These requirements are prescribed in Title 14, Code of Federal Regulation part 139 (part 139), Certification of Airports, as amended[1].

Under the recently published rule Safety Management System for Certificated Airports, the FAA now requires part 139 certificate holders that meet certain criteria to establish and maintain a safety management system (SMS) for the entire airfield environment (including movement and non-movement areas) to improve safety at airports serving air carrier operations. This revision identifies the new requirements and burden associated with SMS.

An SMS is a formalized approach to managing safety by developing an organization-wide safety policy, developing formal methods for identifying hazards, analyzing and mitigating risk, developing methods for ensuring continuous safety improvement, and creating organization-wide safety promotion strategies. These new requirements will increase safety at individual airports and harmonize with international safety management standards outlined in Annex 19 to the Convention on International Civil Aviation.

This collection revision supports the Department of Transportation's strategic goal of safety.

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2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

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[1] Information collected under part 139 is covered by OMB Collection 2120-0675.

This collection is mandatory for applicable certificate holders. It includes both reporting and recordkeeping. Depending on the specific information collection, the frequency will either be as needed (for example, for initial reporting/recordkeeping) or on an annual basis (for example, for Airport Certification Manual updates).

The final rule requires applicable certificate holders to submit an updated Airport Certification Manual (ACM) for review and approval. It also requires submission of an implementation plan based on a staggered submission schedule (hub airports within 12 months of the effective date; 100,000+ operations airports within 18 months of the effective date; and internationals within 24 months of the effective date). The intent of the implementation plan is for the certificate holder to identify its plan for implementing SMS within the applicable areas and map its schedule for implementing the SMS requirements. While the implementation plan's main purpose is to guide the certificate holder's implementation, the plan also provides a basis for the FAA's oversight during the development and implementation phases. The FAA's review and approval of the implementation plan ensures that the certificate holder is given feedback early and before they may make significant capital improvements as part of their SMS development and implementation.

In addition to updating the ACM, the certificate holder will collect data including hazard reports, Safety Risk Management (SRM) documentation, SMS related training records, and safety communications. The regulation does not require the certificate holder to submit this data to the FAA; rather, the certificate holder will use this data as part of its continuous improvement efforts and to proactively identify hazards and instances of non-compliance with safety requirements and standards. The certificate holder is required to provide data upon request, usually during the FAA's periodic inspection. The final rule does not prescribe how the certificate holder must collect or retain data; rather it simply requires the types of records and length of time for retention.

Airport operators applying for an AOC would be required to comply with the SMS requirements prior to certification if they meet the triggering criteria identified in the regulation.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

Certificate holders can submit electronic versions of their SMS documentation via email, just as they do now with their ACMs. These documents can include digital signatures to allow a completely electronic process from start to finish.

The SMS regulation does not specify how, or in what media, certificate holders must maintain documents and records. Therefore, the certificate holder is free to use whatever systems and media it deems appropriate. To assist with documentation requirements, however, the FAA will provide examples that certificate holders can use for collecting information associated with their SMS in an updated Advisory Circular (AC) 150/5200-37A, Introduction to Safety Management Systems (SMS) for Airport Operators. (After the Final Rule is published, the updated AC will be

available in the FAA's Document Library at
https://www.faa.gov/regulations_policies/advisory_circulars/.)

Each airport's SMS documentation is unique to that airport and likely will offer little value
(beyond that of another example of a plan) to other airports. Further, they may include sensitive
and proprietary information that would not normally be shared publicly except through the FOIA
process.

**4. Describe efforts to identify duplication. Show specifically why any similar
information already available cannot be used or modified for use for the purposes
described in Item 2 above.**

No other agency collects SMS-related data from airport operators. The FAA has reviewed other
public-use reports and finds no duplication with existing regulations, apart from part 139. As
described above, however, SMS builds upon part 139. Where information collected for part 139
requirements satisfies SMS requirements, certificate holders will use this existing information
rather than duplicating it and supplement it as needed.

**5. If the collection of information involves businesses or other small entities,
describe the methods used to minimize burden.**

Using the Small Business Administration (SBA) definition of small entity, approximately 32
certificate holders affected by the proposal are classified as small entities.

The final rule affords smaller entities maximum flexibility and scalability in implementation
through broad requirements. Certificate holders with less complex, smaller airports have a
variety of ways to comply with the SMS requirements.

The FAA provides various templates in Advisory Circular (AC) guidance that certificate holders at
smaller airports can use to establish their programs. For example, the FAA offers a sample
implementation plan, SMS manual, and templates for reporting forms and documenting SRM. A
certificate holder can easily modify these templates as necessary. The FAA also encourages
smaller entities to use existing mechanisms and systems to minimize the burden. For example,
certificate holders can maintain SMS related training records using the same mechanisms and
systems it uses for existing training recordkeeping requirements under part 139.

The FAA Airport Certification Safety Inspectors (ACSIs) work with certificate holders on a
case-by-case basis to ensure compliance with required standards and to ensure information
collection is not unduly burdensome.

Compliance costs for certificate holders at smaller airports can be offset by Federal funding that
would assist these airports in complying with certain aspects of the final rule including data
collection and recordkeeping. The FAA determined that SMS software for hazard identification,
analysis, and documentation is an eligible expense under the Airport Improvement Program
(AIP). Likewise, certificate holders may share costs related to part 139 certification with airport
users (e.g., air carriers).

Numerous certificate holders at smaller airports who participated in the SMS pilot studies found ways to successfully develop and implement SMS within the constraints of their operations and budget. While these certificate holders received AIP funding to conduct the studies, they established scalable programs that they maintain without federal-financial assistance.

6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

Any less frequent collection of information would not allow the FAA to verify that certificate holders are in compliance with part 139 safety and operational requirements. Apart from the safety risk assessments, most information collected under this rule aligns with existing part 139 records requirements. Less frequent or no collection of this information would make it impossible for the FAA to verify part 139 compliance and potentially lead to a reduction in safety at the airport.

Under the final rule, the collection and analysis of safety data is an essential part of an SMS. Applicable certificate holders are required to maintain records of the outputs of SRM and Safety Assurance activities. Within Safety Promotion, the certificate holder is required to maintain training and safety communications records. Without these essential elements, the certificate holder's SMS would be incomplete, not as effective, and not able to realize the full potential of SMS through its proactive hazard identification and continuous improvement.

Only the implementation plan and SMS manual and/or ACM update are submitted to the FAA. Other documentation related to SRM, Safety Assurance, and Safety Promotion activities are maintained by the certificate holder and made available to the FAA upon request.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:

- ***requiring respondents to report information to the agency more often than quarterly;***

  There are no special circumstances requiring reporting of information to the agency more often than quarterly.

- ***requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;***

  There are no special circumstances under the final rule which require the certificate holder to prepare a written response to a collection of information in fewer than 30 days after receipt of it.

- ***requiring respondents to submit more than an original and two copies of any document; requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;***

  There are no special circumstances requiring collection of information to be submitted in more than an original and two copies of any document.
  The final rule requires the certificate holder to maintain SRM documentation for either 36 consecutive calendar months after the safety risk assessment or 12 consecutive calendar months after mitigations have been completed, which could be longer than 3 years. This retention is necessary because these documents serve an essential role in SRM and Safety Assurance activities. Without these records, the analysis of a safety issue or hazard and the reason for the mitigation could be lost or forgotten. Mitigations are employed to reduce the safety risk of a hazard to an acceptable level. Without this data, the mitigation itself could be eliminated, increasing safety risk to the airport.

- ***in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;***

  There are no special circumstances that would cause an information collection to be conducted in connection with a statistical survey.

- ***requiring the use of a statistical data classification that has not been reviewed and approved by OMB;***

  There are no special circumstances that would cause an information collection to be conducted in a manner requiring the use of a statistical data classification not reviewed and approved by OMB.

- ***that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or***

  There are no special circumstances that cause an information collection to be conducted in a manner that includes a pledge of confidentiality that is not supported by authority established in statute or regulation.

- ***requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.***

  There are no special circumstances requiring certificate holders to submit proprietary trade secrets or other confidential information.

8. Provide information on the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

On July 14, 2016, the FAA published a Supplemental Notice of Proposed Rulemaking (SNPRM) (81 FR 45872), allowing for public comment on the revised proposal. The FAA received submissions from 38 commenters in response to the SNPRM. Although most commenters were certificate holders, they also included air carriers, consultants, academia, and individuals. The following industry associations submitted comments: Airlines for America (A4A), Airports Council International-North America, American Association of Airport Executives, Helicopter Association of America, and the National Business Aviation Association (NBAA). Commenters to the rule were largely in favor of the rule with slight modifications. The comments received pertain to the following areas of the proposal: Applicability; Implementation; Non-movement area; Data protection; Safety reporting and interoperability; Training and orientation; Accountable executive; Definitions; and Miscellaneous.

Two commenters requested the FAA clarify how long certificate holders should retain data. One of the commenters recommended that certificate holders should follow State record retention laws instead of a uniform retention requirement. On the other hand, another commenter recommended that certificate holders must retain records for as long as reasonably necessary and discuss the benefits of having these records for improving operations in AC guidance. A commenter questioned why the record retention requirements for SRM and safety communications are different for part 139 and part 5 (referencing Safety Management Systems requirements for part 121 air carriers[2]). Another commenter pointed out inconsistencies between the proposed retention requirements and draft AC guidance.

The record retention requirements proposed in the NPRM and SNPRM sync with existing record retention requirements under part 139. In this case, the FAA found it more useful to apply existing retention standards for ease of document retention instead of syncing requirements with part 5. A certificate holder may always choose to retain records for longer, especially where State laws require longer retention. The final rule provides the minimum requirement for compliance.

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

The FAA does not provide for any type of payment or gift to certificate holders.

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[2] https://www.ecfr.gov/cgi-bin/text-idx?node=pt14.1.5&rgn=div5

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

The FAA provides no assurance of confidentiality.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

The FAA does not ask any questions of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The statement should:

- **Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices. * If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.**

- **Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under item 13.**

Although this submission may be a revision to an approved collection, and thus describes only the new or changed requirements in Question 2, this answer should state the total new burden hours and how much this figure is increased/decreased from the previous burden (if any) for the requirement. **NOTE: You are NOT required to stick to the estimated numbers in the Federal Register Notice for this collection.**

- a. The statement must provide the number of respondents expected annually, the frequency of their responses, the total number of responses expected, the average response time per respondent, and the total annual response time (in hours) for the collection. Response time includes not only the time necessary to

complete the form or answer the questions, but also the time needed to gather the information (unless it was already being gathered for other purposes), to have it reviewed by lawyers or accountants, etc. Explain how you arrived at these estimates.

- b. Remember that figures should be annualized. For example, if a permit will be valid for three years, and you expect 300 respondents the first year and none the second and third years, use the average of 100 respondents. If the burden per response is expected to vary widely, show the expected range of responses and explain the variance.

- c. If the collection will involve more than one form or other means of information collection, provide burden estimates for each form.

- d. Provide estimates of annualized labor cost to respondents for the hour burden for the collection, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for the collecting the information should not be included here (see Item 14 below).

The burden hours below are based on data provided by certificate holders that participated in FAA SMS pilot studies[3], industry comments submitted in response to the Initial and Supplemental Regulatory Evaluations[4], and the FAA's experience with SMS documentation. Estimates reflect the scalable nature of airport organizational structure, operational complexity and activity level.

The complexity of SMS documentation is a direct reflection of the complexity of operations and the governance structure of the certificate holder's organization. Therefore, the FAA estimates are based on large airports (Large, Medium, and Small hub airports[5]) and small airports (all other applicable certificated airports).

Annual hours are based on the first 3 years (36 months) of SMS implementation and reflect the phased implementation schedule:
- Large airports are **adjusted to 12 months** for the 24-month initial implementation period;
- Small airports with at least 100,000 annual operations are **adjusted to 6 months** for the 30-month initial implementation period;
- Small airports with international operations are **adjusted to 0 months** for most activities described below to reflect the 36-month initial implementation period.

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[3] Between 2007 and 2010, the FAA conducted two types of Pilot Studies to evaluate the development and implementation of SMS at airports of varying size and complexity. During two rounds of the first initial pilot study, 22 airports developed their SMS policies, procedures, and processes; conducted a gap analysis; and prepared their Implementation Plans and SMS Manuals. A second study, using three of the original participants, served as a proof-of-concept. Details about these studies are available on the FAA website at [https://www.faa.gov/airports/airport_safety/safety_management_systems/external/pilot_studies/].

[4] See https://www.regulations.gov/docket?D=FAA-2010-0997.

[5] As established by the FAA Office of Airports Airport Certification Status List (https://www.faa.gov/airports/airport_safety/)

The SMS requirements apply to approximately 268 of the 532[6] certificate holders based on the criteria specified in Question 2. However, 74 of these airports only have general aviation international traffic[7] and are eligible for a waiver of the SMS requirement, so the FAA anticipates only 191 airports will be required to implement SMS. This includes 132 large airports and 27 small airports. Another 32 small airports with international operations are not included in the burden calculations below as they are allowed 36 months to implement SMS.

For each requirement, calculations are provided for existing certificate holders. Newly certificated airports will include SMS requirements as part of their initial certification, and will not update existing documents to incorporate SMS.

a. § 139.205, Amendment of airport certification manual

Section 139.205 establishes procedures for the certificate holder and the FAA to amend the ACM. Certificate holders amend the ACM to incorporate updated information and procedures.

The FAA estimates that all certificate holders will submit one SMS-related amendment to their ACM annually for FAA approval. With each amendment, certificate holders also update an ACM Distribution Log to communicate changes to airport tenants.

To arrive at a time burden and cost, the FAA used estimates provided by the certificate holders that participated in the SMS pilot studies.

Certificate Holders
ACM Amendment
Annual –
132 large certificated airports x 1 amendment per year x 12 hours = 1,584 **reporting** hours

27 small certificated airports x 1 amendment per year x 12 hours = 324 **reporting** hours

Newly Certificated Airports
Newly Certificated Airports must develop new ACMs and thus will not be amending existing documents to incorporate SMS requirements.[8]

The annual burden for preparing ACM amendments is 1,908 annual **reporting** hours.

Update ACM Distribution Log
Annual –
132 large certificated airports x 15 minutes x 50 tenants = 99,000 minutes = 1,650 **reporting** hours
27 small certificated airports x 15 minutes x 50 tenants = 20,250 minutes = 338 **reporting** hours (rounded)

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[6] These figures may differ from the final rule based on updated certificate status or operational data.
[7] Analysis of passenger enplanement data for international airports collected from Bureau of Transportation Statistics (https://www.transtats.bts.gov/)
[8] The burden and cost associated with new ACM development is already included in OMB Collection 2120-0675.

Newly Certificated Airports must develop new ACMs and thus will not be amending existing documents to incorporate SMS requirements.[9]

The annual burden for updating ACM distribution logs is 1,988 annual **reporting** hours.

b. § 139.301, Records

Section 139.301 identifies records the certificate holder must retain to show compliance with the regulation and document activities such as inspections for airfield, fueling, and wildlife. Under the final rule, applicable certificate holders will now also record potential safety hazards and document SRM activities.

Certificate Holders
Recording Potential Hazards
Annual –
This task will not begin for large certificated airports until Year 5 and for small certificated airports until Year 6. The burden is not included here as it will not occur during the 3-year period addressed by this Supporting Statement, but it will be included when the collection is renewed.

Documenting Safety Risk Management
Annual –
132 large certificated airports x 30 minutes x 52 documents per year = 205,920 minutes = 3,432 annual **recordkeeping** hours

Small Certificated Airports
This task will not begin for small certificated airports until Year 4 and beyond. The burden is not included here as it will not occur during the 3-year period addressed by this Supporting Statement, but it will be included when the collection is renewed.

Newly Certificated Airports
No new burden. Newly Certificated Airports must develop new ACMs and thus will not be amending existing documents to incorporate SMS requirements.[10]

The annual burden for recording potential hazards is 3,432 annual **recordkeeping** hours.

c. § 139.303, Personnel

Section 139.303 outlines requirements for sufficient and qualified personnel, sufficient resources, and training to perform duties assigned in the ACM and regulation. The final rule requires certificate holders to conduct SMS training for airport and tenant personnel. The

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[9] The burden and cost associated with new ACM development is already included in OMB Collection 2120-0675.
[10] The burden and cost associated with new ACM development is already included in OMB Collection 2120-0675.

certificate holders' training documentation requirements will not change under the final rule, except to document SMS-specific training.

The FAA believes the number of individuals requiring training to comply with this section will vary depending on the size and complexity of the airport. Therefore, separate estimates for training records are provided for large airports and small airports.

> <u>Certificate Holders</u>
> **Annual** –
> This task will not begin for large certificated airports until Year 4 and for small certificated airports until Year 5. The burden is not included here as it will not occur during the 3-year period addressed by this Supporting Statement, but it will be included when the collection is renewed.

d. §139.401, General requirements [under Subpart E – Airport Safety Management System]

Section 139.401 requires 191 certificate holders to develop, implement, maintain, and adhere to an airport SMS. Certificate holders can document their processes, procedures, and activities for compliance with section 139.402 in one of two ways: within a separate section of their ACM or in a separate SMS manual. If the certificate holder chooses to maintain a separate SMS manual, it must incorporate the requirements by reference in a separate section of the ACM in order for the FAA to validate compliance. The submission, review and approval process is covered under § 139.205 (see 12a. above).

The FAA bases its estimate for the time needed to develop an SMS manual or an ACM update on estimates provided by SMS pilot participants. All pilot participants developed SMS manuals, but the FAA believes the time needed to prepare an ACM update equals that needed for an SMS manual, so the time estimate applies to both scenarios.

Many of the pilot study participants also developed informal implementation plans and schedules while developing their SMS manuals. Therefore, the cost associated with developing an implementation plan is included in the estimated burden for this section instead of under §139.403.

This section also requires applicable certificate holders to review their SMS manual/ACM update for changes and submit on an annual basis any changes to the SMS manual. During this initial approval period, we expect only initial submissions to occur. Large airports will be required to submit their SMS manuals/ACM updates by month 24, small airports by month 30, and small international airports by month 36.

> <u>Certificate Holders</u>
> **Initial** –
> 132 large airports x 508 hours x 1 submission = 67,056 **reporting** hours
>
> 27 small airports x 354 hours x 1 submission = 9,558 **reporting** hours
>
> 32 small international airports x 354 x 1 submission = 11,328 **reporting** hours

159 airports x 12 hours = 1,908 **recordkeeping** hours for updating the ACM.

Newly Certificated Airports
No new burden. Newly Certificated Airports must develop new ACMs and thus will not be amending existing documents to incorporate SMS requirements.[11]

The initial burden for creating an SMS manual/ACM update and implementation plan is 87,942 initial **reporting** hours and 1,908 **recordkeeping** hours.

e. §139.402 Components of airport safety management system

Section 402 outlines the requirements in a certificate holder's SMS to report pertinent safety information and data on a regular basis to the accountable executive. Reportable data includes compliance with SMS requirements, performance of safety objectives, distribution of safety critical information, and status of ongoing mitigations required under the airport's SRM.

Certificate Holders
Reporting Safety Information under Safety Assurance
Annual –
This task will not begin for large certificated airports until Year 5 and for small certificated airports until Year 6. As the burden will occur after the 3 years addressed by this Supporting Statement, it will be included when the collection is renewed.

f. §139.403 Airport safety management system implementation

This section requires submission of an implementation plan. Submission deadlines are phased based upon applicability criteria. Larger airports are required to submit their implementation plan for FAA approval within 12 months after the effective date of the final rule. Small airports will submit their implementation plans within 18 months, and small international airports will submit their plans within 24 months. After receiving FAA approval of the implementation plan, this section also requires certificate holders to submit their SMS documentation (SMS Manual and/or ACM update) within 12 months of FAA's approval of the implementation plan and have an operational SMS within 36 months.

The cost associated with developing an implementation plan is included in the estimated burden for section 139.401.

g. Summary of reporting and recordkeeping burden to regulated airport operators

The following table summarizes the total number of burden hours by part 139 section. As requested in the terms of clearance for previous submissions, burden hours for newly certificated airports are differentiated from burden hours associated with existing certificate holders.

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[11] The burden and cost associated with new ACM development is already included in OMB Collection 2120-0675.

Burden Hours by Part 139 Section

Part 139 Sections	Initial Reporting Hours[1,2,3]		Initial Recordkeeping Hours[4,5]		Annual Reporting Hours[5,6]		Annual Recordkeeping Hours[5,7,8]	
	Certificate Holders	Newly Certificated[3]	Certificate Holders	Newly Certificated	Certificate Holders	Newly Certificated	Certificate Holders	Newly Certificated
139.205	0	0	0	0	3,896	0	0	0
139.301	0	0	0	0	0	0	3,432	0
139.303	0	0	0	0	0	0	0	0
139.401	87,942	0	1,908	0	0	0	0	0
139.402	0	0	0	0	0	0	0	0
TOTAL:	87,942	**0**	**1,908**	**0**	**3,896**	**0**	**3,432**	**0**
	89,850				**7,328**			

1-Initial Reporting Hours includes all implementation-related activities, including the Implementation Plan.

2-Section 401: Estimated time needed for SMS implementation is based on Pilot Study data: 508 hours for Large airports, 354 hours for Small airports.

3-Newly certificated airports will implement SMS requirements as part of their initial certification process.

4-Section 401: Estimated time needed for ACM revisions from Pilot Study data: 12 hours for Large and Small airports.

5-Annual hours are prorated to reflect the PRA collection period of 3 years: Large airports prorated to 12 months for initial 24-month implementation period, Small airports prorated to 6 month for initial 30-month implementation period; Small International are prorated to 0 months to reflect the 36-month implementation period.   Data collection under Section 402 does not begin until Year 5.

6-Section 205: Estimated time needed for Updating the ACM and Distribution List from Pilot Study data: 12 hours for Large airports for Updating the ACM; 15 minutes x 50 tenants for Updating Distribution Log for Large airports. Data collection for Small airports does not begin until after the initial 3 years addressed by this Supporting Statement.

7- Section 301: Data collection for Recording Potential Hazards and Documenting Safety Risk Management does not begin until Year 4.

8- Section 303: Updating Training Records does not begin until Year 4.

Total Initial burden: 89,850 hours

Total Annual burden: 7,328 hours

BURDEN TOTAL: 97,178 hours

Burden Hours for Reporting and Recordkeeping

Summary (Annual numbers)	Reporting (Large Airports)	Reporting (Small Airports/ Small International Airports)	Recordkeeping (Large Airports)	Recordkeeping (Small Airports/ Small International Airports)
IC 1 (139.205 – ACM Amendment)				
# of Respondents	132	27		
# of Responses per respondent	1	1		

Summary (Annual numbers)	Reporting (Large Airports)	Reporting (Small Airports/ Small International Airports)	Recordkeeping (Large Airports)	Recordkeeping (Small Airports/ Small International Airports)
Time per Response (hours)	12	12		
Total Burden Hours	1,584	324		
IC 2 (139.205 – Update ACM Distribution Log)				
# of Respondents	132	27		
# of Responses per respondent	50	50		
Time per Response (hours)	.25	.25		
Total Burden Hours	1650	338		
IC 3 (139.301 – Recording Potential Hazards)				
# of Respondents			0	0
# of Responses per respondent			0	0
Time per Response (hours)			0	0
Total Burden Hours			0	0
IC 4 (139.301 – Documenting Safety Risk Management)				
# of Respondents			132	0
# of Responses per respondent			52	0
Time per Response (hours)			.50	0
Total Burden Hours			3432	0
IC 5 (139.303 – Training Records)				
# of Respondents			0	0
# of Responses per respondent			0	0
Time per Response (hours)			0	0

Summary (Annual numbers)	Reporting (Large Airports)	Reporting (Small Airports/ Small International Airports)	Recordkeeping (Large Airports)	Recordkeeping (Small Airports/ Small International Airports)
Total Burden Hours			0	0
IC 6 (139.401 – SMS Manual)				
# of Respondents	132	59	132	27
# of Responses per respondent	1	1	1	1
Time per Response (hours)	508	354	12	12
Total Burden Hours	67056	20886	1584	324
IC 7 (139.402 - Reporting Safety Information under Safety Assurance)				
# of Respondents	0	0		
# of Responses per respondent	0	0		
Time per Response (hours)	0	0		
Total Burden Hours	0	0		

h. Estimated total initial reporting cost burden:

The total costs included in this document differ from those in the Initial Regulatory Evaluation for the final rule. The Initial Regulatory Evaluation calculated costs using a 10-year model; the costs below are based on the first 3 years of the final rule's implementation.

Initial cost burden was calculated using the hourly estimates and occupational definitions derived from the SMS Pilot Study data. Wage estimates, taken from the Regulatory Impact Analysis for the Final Rule, come from the U.S. Bureau of Labor Statistics (BLS) for the following Air Transportation occupations and include benefits[12].

- Clerical wage with benefits (BLS Occupation Code 43-6014) - $27.64[13];
- Operations Research Analysts wage with benefits (BLS Occupation Code 15-2031) - $63.12[14];

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[12]Bureau of Labor Statistics News Release. Employer Costs for Employee Compensation – December 2020. Employer Costs for Employee Compensation Archived News Releases : U.S. Bureau of Labor Statistics (bls.gov)
[13] Bureau of Labor Statistic (BLS); Annual Mean Wage, Occupation Code 43-6014; May 2020. This fully loaded wage includes both salary and benefits and matches the compensation identified in the Regulatory Impact Analysis.
[14] Bureau of Labor Statistic (BLS); Annual Mean Wage, Occupation Code 15-2031; May 2020. This fully loaded wage includes both salary and benefits and matches the compensation identified in the Regulatory Impact Analysis.

- Airfield Operations Specialists wage with benefits (BLS Occupation 53-2022) - $39.91[15].

The initial hour burden for section 139.401 combines the work performed by three occupations: Clerical, Operations Research Analysts, and Airfield Operations Specialists. The cost burden calculation uses an average of the wages with benefits for these positions or $44.

i. Estimated total initial reporting cost:

Estimated total initial reporting burden:	87,942 hrs.
Average hourly wage with benefits 87,942 hrs. x $44)	$3,869,448
Estimated initial reporting cost to respondents:	$3,869,448

j. Estimated total annual reporting cost burden:

Estimated total annual reporting burden:	3,896 hrs.
Clerical hourly wage with benefits (3,896 hrs. x $27.64)	$107,685
Estimated annual reporting cost to respondents:	$107,685

k. Estimated total initial recordkeeping cost burden:

Estimated total initial recordkeeping burden:	1,908 hrs.
Average hourly wage with benefits (1,908 hrs. x $44)	$100,848
Estimated initial reporting cost to respondents:	$100,848

l. Estimated total annual recordkeeping cost burden:

Estimated total annual recordkeeping burden:	3,432 hrs.
Clerical hourly wage with benefits (3,432 x $27.64)	$83,952
Estimated annual recordkeeping cost to respondents:	$83,952

m. Total burden cost to respondents

The estimate of the total reporting and recordkeeping cost burden for certificated airport would be $4,161,933.

13. Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information.

The final rule requires airports to establish a safety reporting system, and to identify, analyze, and mitigate hazards when appropriate. Based on this requirement, airports indicated the need for new equipment and materials to store, track, and analyze data and to promote safety. Equipment can be placed into one of the three categories: software, hardware, and promotional material.

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[15] Bureau of Labor Statistic (BLS); Annual Mean Wage, Occupation Code 53-2022; May 2020. This fully loaded wage includes both salary and benefits and matches the compensation identified in the Regulatory Impact Analysis.

However, based on the Regulatory Impact Assessment, airports are not expected to incur these costs until years 4 and beyond of the final rule's implementation and are thus not included in this Supporting Statement, which only covers the first 3 years. They will be included when this collection is renewed.

14. Provide estimates of annualized costs to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.

The following sections of the regulation require the FAA to perform additional work as a result of the new SMS requirements. Under the final rule, FAA personnel will review SMS manuals, implementation plans, and SMS manual revisions.

The total estimated cost to the Federal government for the tasks described below 3is $363,112.

a. **§ 139.205, Amendment of ACM**

Annual –ACSIs will spend an average of 8 hours reviewing each ACM amendment. Due to the staggered implementation of SMS requirements, the FAA estimates 132 large airports and 27 small airports will submit ACM amendments each year for the first 3 years of the program.

159 certificated airports x 8 hours x 1 amendment/yr. = 1,272 hours

b. **§139.401, General requirements [under new Subpart E – Airport Safety Management System]**

Initial – Due to the staggered implementation of SMS requirements, the FAA estimates 132 large airports and 27 small airports will submit ACM implementation plans and SMS documents. Airport Certification Safety Inspectors will spend on average the following hours reviewing implementation plans and SMS documents—

- At large airports: 16 hours on each implementation plan and 8 hours on each SMS document for a total of 24 hours.

- At small airports: 4 hours on each implementation plan and 8 hours on each SMS document for a total of 12 hours.

132 large certificated airports x 24 hours = 3,168 hours

27 small certificated airports x 12 hours = 324 hours

Annual –

This task will not begin for large certificated airports until Year 4 and for small certificated airports until Year 5. The cost is not included here as it will not occur during the 3-year period addressed by this Supporting Statement, but it will be included when the collection is renewed.

c. Summary of hours the FAA estimates it will spend responding to the new SMS requirements in part 139:

Part 139 Section	Initial Hours[1, 2, 3]	Annual Hours[4, 5,]
139.205	0	1,272
139.401	3,492	0
TOTAL:	**3,492**	**1,272**

1-Initial Burden Hours include all implementation-related activities, including the Implementation Plan.
2-Initial Burden Hours are adjusted to the part 139 implementation period: Large airports - 24 months; Small 100K airports, 30 months; Small International airports, 36 months.
3-Section 401: Initial hour burden estimate from implementation studies - 16 hours for implementation plan + 8 hours for SMS document for Large airports; 4 hours for implementation plan + 8 hours for SMS document for Small airports.
4-Section 205: Annual amendment of ACM - 8 hours x 1 amendment per year
5-Annual hours are adjusted to reflect the PRA collection period of 3 years: Large airports adjusted to 12 months for initial 24 month implementation period, Small 100K airports adjusted to 6 month for initial 30 month implementation period; Small International are adjusted to 0 to reflect the 36 month implementation period.

d. Cost to the Federal Government

Under the final rule, the cost of initial submissions to the Federal Government is estimated at $363,112.

The burden for collecting and analyzing data is borne primarily by FAA ACSIs. The average hourly pay with benefits for an ACSI is $76.22[16].

Initial: 3,492 X $76.22 = $266,160

Annual: 1,272 x $76.22 = $96,952

15. Explain the reasons for any program changes or adjustments.

This is a new collection, so there are no program changes or adjustments.

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[16] The FAA assumes a 2020 salary for a GS-13 step 5 for the inspector. The compensation information, taken from the Regulatory Impact Analysis for the Final Rule, comes from Bureau of Labor Statistics News Release. Employer Costs for Employee Compensation – December 2020. Employer Costs for Employee Compensation Archived News Releases : U.S. Bureau of Labor Statistics (bls.gov). Average hourly amount includes both wage and benefits.

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

The FAA does not expect to disseminate the information collected from individual certificate holders directly to the public. However, aggregated data collected from all certificate holders may be released in scientific, management, technical or general informational publications. Further, if safety issues are identified that could have systemic implications, the FAA may release sanitized information as part of safety or certification awareness campaigns.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

The FAA is not seeking such approval.

18. Explain each exception to the topics of the certification statement identified in "Certification for Paperwork Reduction Act Submissions."

No exceptions requested.