

Supporting Statement A
**FAA Advisory Circular (AC) No. 120-119, Voluntarily Safety Management System
for Other Regulated Entities Transporting Dangerous Goods by Air**

OMB Control # 2120-0811

Changes in this renewal include:

- Adjustment (added an IC) to better distinguish between initial submission and continuing recordkeeping burden;
- Adjustment in respondent estimates (decrease) based on current data; and
- Adjustment in annual burden estimates for initial submission (decrease) based on subject matter expertise.

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

Advisory Circular (AC) 120-119, *Voluntary Safety Management System for Other Regulated Entities Transporting Dangerous Goods by Air*,¹ provides information on how entities subject to Title 49 of the Code of Federal Regulations (CFR) Parts 171-180 may voluntarily implement a Safety Management System (SMS) as described in 14 CFR Part 5, *Safety Management Systems*. These entities perform functions such as handling or shipping dangerous goods by air and are referred to as Other Regulated Entities (ORE).

As outlined in AC 120-119, large OREs can use the SMS principles in 14 CFR Part 5 as a basis to develop a voluntary SMS program, including an SMS Implementation Plan, which is submitted to the FAA's Office of Hazardous Materials Safety (AXH) for review and acceptance. Then, the ORE implements its SMS program and maintains records to document processes, identify hazards, and document non-compliance. This collection covers the burden of developing the implementation plan and continued monitoring of the voluntary SMS program.

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.

When a large ORE determines they want to participate in the voluntary SMS program (as outlined in AC 120-119), the ORE develops an SMS Implementation Plan, which is submitted to the FAA. Then, the FAA reviews the SMS Implementation Plan to understand how the ORE will implement an SMS, determine consistency with 14 CFR Part 5, and understand the burden of the SMS on the ORE. Ultimately, this information is used to approve the ORE for the voluntary SMS program. The submission of the SMS Implementation Plan is a one-time reporting burden.

¹ AC 120-119 is available at: https://www.faa.gov/regulations_policies/advisory_circulars/index.cfm/go/document.information/documentID/1037216

Following implementation, the ORE collects, maintains, and analyzes safety data, training, and communications as part of its SMS program. Specifically, for:

- Safety policy—the ORE establishes an organization-wide safety policy, including a safety policy statement by the “Accountable Executive” (single person with final authority over operations);
- Safety risk management—the ORE implements formal methods for identifying hazards;
- Safety assurance—the ORE controls and continually assesses risk and safety performance; and
- Safety promotion—the ORE provides employees with SMS training commensurate with their safety responsibilities and creates a means to deliver organization-wide safety communication.

Then, the ORE maintains records to capture appropriate processes, identify hazards, and instances of non-compliance with requirements and standards. There is no standard method for how the ORE maintains these records.

While this information is not required to be submitted to the FAA, the FAA may request that some of these records be submitted to ensure the continued success of the ORE’s SMS program. This information helps the FAA understand the progress of SMS implementation.

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.

No standard method exists for how an ORE creates and maintains its SMS documents and records, allowing an ORE to use the appropriate systems and media. The FAA, in accordance with the Government Paperwork Elimination Act (GPEA), allows, accepts, and encourages the use of automation and electronic media for the gathering, storage, presentation, review, and transmission of all requests, records, reports, tests, or statements related to this collection.

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.

While the SMS program is required for certain certificate holders in accordance with 14 CFR Part 5 (and therefore, the associated burdens are calculated in a separate information collection), because OREs are not subject to 14 CFR Part 5, they are not covered by that information collection. The FAA has reviewed other public-use reports and finds no duplication. No other agency collects this information, and similar information available is not available from any other source.

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

The information collection does not involve small businesses or other small entities because large OREs are the only respondents eligible for the AC 120-119 voluntary SMS program.

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.

While the ORE voluntarily implements an SMS program, the FAA must review the SMS program to understand and assist in its success. Without submission of this information to the FAA, the FAA cannot validate and assist an ORE in developing a successful SMS program. This SMS program also helps to support continual safety compliance for hazardous materials transported on aircraft.

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;*
- *requiring respondents 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;*
- *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;*
- *requiring the use of a statistical data classification that has not been 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*
- *requiring respondents to submit proprietary trade secret, 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.*

The only special circumstance in this collection is that respondents may wish to maintain their internal information for more than three years following their SMS program. For example, outputs of safety assurance processes should be retained for a

minimum of 5 years to establish a baseline history and allow the ORE to assess the impact of operational changes on its safety performance.

There are no other special circumstances for this information collection.

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.

A 60-day Federal Register Notice published on June 17, 2025 (90 FR 25739) solicited public comments. No comments were received.

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

No payments or gifts are provided to respondents.

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

No assurance of confidentiality is provided to respondents.

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.

There are no 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.

The FAA estimates that one new large ORE develops and submits its SMS Implementation Plan to the FAA each year. The FAA estimates that, on average, the implementation plan takes 4,160 hours to develop. The FAA estimates that the hourly wage rate, including benefits, is \$71.94.²

Table 1 – Initial Implementation Plan

Total OREs	Average Response per ORE	Total Responses	Average Annual Burden Hours	Annual Burden Hours	Hourly Wage	Annual Cost
1	1	1	4,160	4,160	\$71.94	\$299,284

The FAA estimates that there are four large ORE continuing participants. The FAA estimates that, on average, it takes 170 burden hours to keep appropriate records related to its implemented SMS program. The FAA estimates that the hourly wage rate, including benefits, is \$71.94.³

Table 2 – Continual Program

Total OREs	Average Response per ORE	Total Responses	Average Annual Burden Hours	Annual Burden Hours	Hourly Wage	Annual Cost
4	1	4	170	680	\$71.94	\$48,921

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

The FAA estimates that large OREs participating in the voluntary SMS program will likely hire one new full-time employee. The estimated annual cost of these employees is estimated in Question 12.

Large OREs participating in the voluntary SMS program can develop their implementation plan using the Web-Based Application Tool (WBAT) for a minimal initial set-up fee. However, large OREs may use other free software, including a SharePoint site or shared drives as a repository. AC 120-119 only recommends electronically submitting an implementation plan via email, so the FAA assumes that capital and start-up costs are minimal.

Total costs are estimated for large companies using WBAT. Costs include establishing an implementation plan, SMS documentation, and implementing the programs

² BLS. *Occupational Employment and Wages*, May 2024. Transportation and Material Moving Occupations; Transportation, Storage, and Distribution Managers NAICS 11-3071. <https://data.bls.gov/oesprofile/>. Mean hourly wage is estimated at \$55.77. For private industry, the FAA estimates 29% for benefits. Therefore, to account for benefits: $\$55.77 \times 1.29 = \71.94 .

³ Ibid.

necessary for a functioning Safety Management System. The FAA estimates that annual WBAT costs are \$12,280, and annual material costs for the SMS implementation plan development and document maintenance are approximately \$112,500.

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 FAA estimates that there are two Full Time Employees (FTE) who spend 50% of their time dedicated to reviewing the information collected under this collection. The FAA estimates that the annual wage rate, including benefits, for the FTEs is \$160,341.48⁴ for a total annual cost of \$160,341.48.

Table 3 – Federal Government Cost

Total FTEs	Percent of FTE Workload	Total FTEs	Annual Wage	Annual Cost
2	50%	1	\$160,341.48	\$160,341.48

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

As this is the first renewal of this collection, the FAA has adjusted the estimates based on the first few years of AC 120-119 implementation. The FAA has separated the collection into two ICs to better distinguish between the number of respondents and the burden of initial submission and continuing recordkeeping. The FAA has also adjusted the estimated respondents to differentiate between each IC and the differing burden for initial and continuing respondents. Additionally, the FAA estimates that the reporting burden for initial submission is smaller than initially estimated, reducing the burden accordingly.

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 results of this information will not be published.

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.

No such approval is being sought.

⁴ FAA. Core Compensation Salary Table, January 12, 2025. Average J-Band Salary Washington locality. https://www.faa.gov/jobs/working_here/benefits/pay/core_salary_with_conversion.xlsx. Mean annual rate is estimated at \$120,557.50. For government, the FAA estimates 33% for benefits. Therefore, to account for benefits, annual cost: \$120,557.50*1.33=\$160,341.48.

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

There are no exceptions.