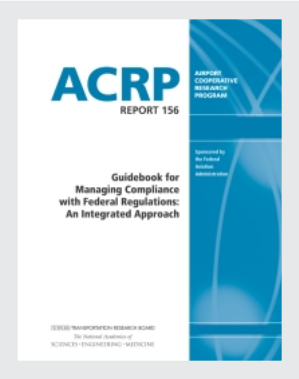

Guidebook for Managing Compliance with Federal Regulations: An Integrated Approach

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AIRPORT COOPERATIVE RESEARCH PROGRAM

ACRP REPORT 156

Guidebook for Managing Compliance with Federal Regulations: An Integrated Approach

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AIRPORT COOPERATIVE RESEARCH PROGRAM

Airports are vital national resources. They serve a key role in transportation of people and goods and in regional, national, and international commerce. They are where the nation's aviation system connects with other modes of transportation and where federal responsibility for managing and regulating air traffic operations intersects with the role of state and local governments that own and operate most airports. Research is necessary to solve common operating problems, to adapt appropriate new technologies from other industries, and to introduce innovations into the airport industry. The Airport Cooperative Research Program (ACRP) serves as one of the principal means by which the airport industry can develop innovative near-term solutions to meet demands placed on it.

The need for ACRP was identified in *TRB Special Report 272: Airport Research Needs: Cooperative Solutions* in 2003, based on a study sponsored by the Federal Aviation Administration (FAA). ACRP carries out applied research on problems that are shared by airport operating agencies and not being adequately addressed by existing federal research programs. ACRP is modeled after the successful National Cooperative Highway Research Program (NCHRP) and Transit Cooperative Research Program (TCRP). ACRP undertakes research and other technical activities in various airport subject areas, including design, construction, legal, maintenance, operations, safety, policy, planning, human resources, and administration. ACRP provides a forum where airport operators can cooperatively address common operational problems.

ACRP was authorized in December 2003 as part of the Vision 100—Century of Aviation Reauthorization Act. The primary participants in the ACRP are (1) an independent governing board, the ACRP Oversight Committee (AOC), appointed by the Secretary of the U.S. Department of Transportation with representation from airport operating agencies, other stakeholders, and relevant industry organizations such as the Airports Council International-North America (ACI-NA), the American Association of Airport Executives (AAAE), the National Association of State Aviation Officials (NASAO), Airlines for America (A4A), and the Airport Consultants Council (ACC) as vital links to the airport community; (2) TRB as program manager and secretariat for the governing board; and (3) the FAA as program sponsor. In October 2005, the FAA executed a contract with the National Academy of Sciences formally initiating the program.

ACRP benefits from the cooperation and participation of airport professionals, air carriers, shippers, state and local government officials, equipment and service suppliers, other airport users, and research organizations. Each of these participants has different interests and responsibilities, and each is an integral part of this cooperative research effort.

Research problem statements for ACRP are solicited periodically but may be submitted to TRB by anyone at any time. It is the responsibility of the AOC to formulate the research program by identifying the highest priority projects and defining funding levels and expected products.

Once selected, each ACRP project is assigned to an expert panel appointed by TRB. Panels include experienced practitioners and research specialists; heavy emphasis is placed on including airport professionals, the intended users of the research products. The panels prepare project statements (requests for proposals), select contractors, and provide technical guidance and counsel throughout the life of the project. The process for developing research problem statements and selecting research agencies has been used by TRB in managing cooperative research programs since 1962. As in other TRB activities, ACRP project panels serve voluntarily without compensation.

Primary emphasis is placed on disseminating ACRP results to the intended users of the research: airport operating agencies, service providers, and academic institutions. ACRP produces a series of research reports for use by airport operators, local agencies, the FAA, and other interested parties; industry associations may arrange for workshops, training aids, field visits, webinars, and other activities to ensure that results are implemented by airport industry practitioners.

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COOPERATIVE RESEARCH PROGRAMS

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FOREWORD

By Marci A. Greenberger
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ACRP Report 156: Guidebook for Managing Compliance with Federal Regulations: An Integrated Approach provides guidance on managing compliance with federal regulations pertaining to the operation and management of airports including planning and development. Accompanying the guidebook is the Regulation Compliance Management (RCM) Tool, an index of the applicable statutes, federal regulations, executive orders, OMB Circulars, and other documents with their compliance requirements. Additionally, the RCM Tool is designed to track compliance and allow the addition of state and local regulations/requirements. The guidebook and tool will be useful for airport management and staff at all levels and all functions so that they can work together to ensure compliance in an efficient manner.

Regulatory compliance requirements can include documentation, inspections, exercises (e.g., practice or training), notifications, and other activities. Many of these requirements have specific time requirements and others occur after a triggering event. Due to the breadth of regulations and sponsor assurances from federal agencies, there is no one person or department at an airport who is responsible for compliance on a day-to-day basis. This can lead to duplication of efforts if front line staff members do not fully understand how their jobs/tasks are driven by regulatory compliance.

This guidebook provides information about those regulations and how to integrate them into a compliance management program. The RCM Tool allows a user to customize and print out a Quick Reference Guide of those regulations that apply to them with the information the user needs to know. A "master schedule" of requirements based on those applicable regulations can be developed as a resource for those requirements that are based on time or compliance dates.

Aviation Management Consulting Group and the research team culled through more than 100 federal regulations, statutes, executive orders, and OMB circulars, and interviewed airport sponsors about tracking and managing compliance. The research resulted in this guidebook to assist airports in understanding how to put together a compliance management system and the RCM Tool to identify applicable federal regulations and to track compliance. Once a customized master schedule is developed by using the search filters to narrow the applicable regulations, airport management and staff can seek ways to comply with more than one regulation by combining activities.

CONTENTS

Note: Photographs, figures, and tables in this report may have been converted from color to grayscale for printing. The electronic version of the report (posted on the web at www.trb.org) retains the color versions.

SUMMARY

Guidebook for Managing Compliance with Federal Regulations: An Integrated Approach

When it comes to the planning, development, operation, and management of a federally obligated airport, and more specifically to the aviation/airside infrastructure, facilities, and activities of an airport, the requirement to comply with federal regulations is a given. Compliance is mandatory–not optional–and the failure to comply can have serious consequences.

As such, *ACRP Report 156: Guidebook for Managing Compliance with Federal Regulations: An Integrated Approach* and the stand-alone Regulation Compliance Management Tool (RCM Tool) provide guidance and tools for managing compliance with federal regulations. Federal regulations, as discussed in this guidebook and contained within the RCM Tool, include those statutes, regulations, executive orders, and circulars promulgated by Congress and federal departments, agencies, and offices for maintaining the safety, utility, efficiency, security, and compatibility of federally obligated airports.

Managing a federally obligated airport is a complex, and often demanding, task. Airport management is a fusion of many roles and responsibilities. One of the primary responsibilities of airport management and staff is managing compliance with applicable federal regulations. Beyond ensuring compliance with applicable federal regulations, airport management and staff also must ensure compliance with applicable federal grant obligations.

In order to secure grant funding through the FAA's Airport Improvement Program (AIP), an airport sponsor is required to give certain assurances to the FAA. While the assurances, known as the Airport Sponsor Assurances (Assurances), are not regulations, the Assurances are binding on airport sponsors who have accepted AIP grant funds. The Assurances incorporate numerous federal regulations, White House executive orders, and Office of Management and Budget (OMB) circulars that apply to federally obligated airports. Airports with property conveyed by the federal government under the Surplus Property Act are subject to deed restrictions, which in effect are similar to the Assurances.

Even for the most experienced airport management team, ensuring compliance with applicable federal regulations (and Assurances) can be challenging. For new airport personnel it can be overwhelming. In most cases involving general aviation airports, this responsibility may rest with one person. For example, at a small general aviation airport, one person may be responsible for managing all aspects of the airport including compliance with applicable federal regulations (and Assurances). In most cases involving commercial air carrier airports, the responsibility for managing compliance with applicable federal regulations (and Assurances) rests with several departments and people. For example, at a large hub primary commercial service airport, multiple departments and people overseeing multiple functional areas may be responsible for ensuring compliance with applicable federal regulations (and Assurances).

In all cases, the goal is the same: to ensure that the airport is planned, developed, operated, and managed in compliance with applicable federal regulations (and Assurances).

While airport management and staff may achieve this goal within a specific functional area of an airport, often times this goal is accomplished without regard to the other functional areas of the airport (i.e., compliance is achieved in a silo). Also, there can be a lack of understanding across the organization regarding compliance requirements (in general) and the compliance responsibilities of airport management and staff operating within each functional area of the airport (in particular).

The independent pursuit of compliance can lead to duplication of effort or redundancy. The resulting silo-effect is inefficient; it can have an adverse impact on productivity, and is not the most cost-effective way to achieve the goal of ensuring compliance with applicable federal regulations.

As such, this guidebook and RCM Tool provides a cross-functional solution to the age-old silo-effect problem associated with managing compliance with federal regulations that are applicable to the planning, development, operation, and management of the aviation/airside infrastructure, facilities, and activities of a federally obligated airport. The cross-functional solution introduced in this guidebook is also known as a system thinking approach, defined by Virginia Andersen and Lauren Johnson in their book *System Thinking Basics* as

> a school of thought that focuses on recognizing the interconnections between the parts of a system and synthesizing them into a unified view of the whole.

In essence, this guidebook will provide the foundation for airport management and staff in the development and implementation of a compliance management system (CMS) and provides instructions for use and implementation of the associated stand-alone RCM Tool. Combined, these tools and resources will assist airport management and staff with (1) identifying applicable federal regulations; (2) generating educational Quick Reference Guides that provide essential need-to-know information on the regulations; and (3) outputting compliance Master Schedules that provide a visual representation of the upcoming compliance due dates.

In combination, this guidebook and RCM Tool (and associated Quick Reference Guides and Master Schedules) provide users the foundation for managing compliance with applicable federal regulations (generally), and more specifically (1) facilitate the sharing of vital information and essential knowledge; (2) foster collaboration and innovation; and (3) improve efficiency and productivity across all functional areas of an airport.

CHAPTER 1

Introduction

1.1 Purpose of Guidebook and RCM Tool

This guidebook and the stand-alone RCM Tool are designed to help airport management and staff (1) identify U.S. statutes, regulations, executive orders, and OMB circulars that affect the aviation/airside infrastructure, facilities, and activities of federally obligated airports; (2) provide methods and techniques to integrate resources, plans, and procedures for managing compliance with applicable federal regulations; and (3) assist with tracking and managing compliance with applicable federal regulations.

This guidebook and the RCM Tool have been prepared primarily for managing compliance with applicable federal regulations pertaining to the planning, development, operation, and management of federally obligated airports, and more specifically to the aviation/airside infrastructure, facilities, and activities of an airport.

The following research supported the development of this guidebook and the RCM Tool:

- A comprehensive literature review of industry and non-industry CMSs and related resources to track and manage compliance with federal regulations;
- Identification of applicable U.S. statutes, regulations, executive orders, and OMB circulars (hereinafter referred to as federal regulations); and
- Interviews with 19 airports and/or airport sponsors on the systems and/or resources that have been developed, implemented, and referenced by airport and/or airport sponsor management and staff to track and manage compliance with federal regulations.

Statutes are laws enacted by Congress. Statutes with continuing effect are generally codified in the United States Code (USC).

Regulations are the rules issued by the executive branch departments and agencies of the federal government and codified in the Code of Federal Regulations (CFR).

Executive orders are directives of the President of the United States to officers and agencies of the executive branch for management of agency operations and have the full force of law.

OMB circulars are instructions, information, and/or policies adopted by OMB (an executive branch office) for executive branch departments and agencies.

Research revealed that federally obligated airports are required to comply with more than 60 primary and 339 secondary regulations as well as 17 primary and 21 secondary statutes, executive orders, and OMB circulars promulgated by 17 federal departments, agencies, and offices (further discussed in this chapter). **It is important to note that this guidebook and the RCM Tool do not include all federal regulations associated with federally obligated airports. Only those federal regulations associated with the planning, development, operation, and management of aviation/airside infrastructure, facilities, and activities of an airport that have a compliance responsibility are included.**

Multiple airport departments and associated management and staff members are typically responsible for compliance with federal regulations. Additionally, other municipality departments, agencies, and offices outside of the airport could be involved. This can result in compliance efforts being implemented in silos. The silo-effect can result in airport management and staff, without direct responsibility for compliance, not understanding how the respective responsibilities directly relate to compliance with other applicable federal regulations and actions or responsibilities of other airport departments and associated management and staff members. It can also result in duplication of efforts.

Research also revealed that there are a limited number of industry and non-industry compliance management tools and resources available to airport management and staff that can help track and manage compliance with applicable federal regulations. A majority of these compliance management tools and resources are individually focused in the primary areas of safety, environmental, security, 14 CFR Part 139, and Assurances. Further, these tools and resources are limited in scope (e.g., simple compliance checklists) and are not combined as a part of a comprehensive CMS that can be utilized for the identification and management of (1) applicable federal regulations; (2) compliance requirements; (3) related frequency timeframes; and (4) related resources.

The interviews revealed that most airports do not have a CMS or associated federal RCM tools and that non-compliance is commonly addressed following an inspection by a federal (or state or local) governing agency. Further, airport management and staff of federally obligated airports indicated that compliance efforts tend to focus on Assurances and FAA regulations.

While compliance with Assurances is extremely important in order to maintain AIP grant funding eligibility, non-compliance with the federal regulations incorporated into the Assurances and the numerous federal regulations not incorporated into the Assurances can have ramifications that go beyond the loss of AIP grant funding eligibility.

While this guidebook and the RCM Tool do not focus on the Assurances, they do include each of the federal regulations incorporated into the Assurances. Further, a separate ACRP project (ACRP Project 03-38, "Understanding FAA Grant Assurance Obligations") is currently in development and will be a complementary resource explaining the requirements for compliance with the Assurances and will identify all related resources.

In combination, this guidebook and the RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules, discussed further herein) will provide the foundation for airport management and staff of federally obligated airports to develop and implement a CMS and implement the use of the RCM Tool to facilitate compliance management of applicable federal regulations pertaining to the planning, development, operation, and management of aviation/airside infrastructure, facilities, and activities of the airport.

1.2 Overview of Guidebook

This guidebook will discuss the reasons for and value of a CMS and outlines the best practices for the development and implementation of a CMS. As such, airport management will be able to use this guidebook to educate airport management and staff within each airport functional area (and across the entire organization) about the value, components, development, and implementation of a CMS generally and the airport's individual CMS in particular.

Further, this guidebook will provide an overview of and outline the instructions on how to use and implement the stand-alone RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) and how these tools and resources can best be utilized by airport management and staff to track and manage compliance with applicable federal regulations. An overview of each chapter of this guidebook follows:

Chapter 1: Introduction

This chapter identifies the purpose and provides an overview of this guidebook and RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules). In addition, this chapter identifies and describes all federal agencies, departments, and offices that have jurisdiction and promulgated applicable federal regulations pertaining to the planning, development, operation, and management of federally obligated airports, and more specifically to the aviation/airside infrastructure, facilities, and activities of an airport.

Chapter 2: Compliance Management System

This chapter discusses the (1) reasons for developing and implementing an effective CMS; (2) the value of a CMS as a planning, management, and communication tool; (3) best practices for the development and implementation of a CMS; and (4) elements of a CMS.

Chapter 3: RCM Tool Instructions

This chapter describes the purpose and provides an overview of the RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) and outlines the instructions to use the RCM Tool for tracking and managing compliance with federal regulations including the user generated educational Quick Reference Guides and compliance Master Schedules.

Chapter 4: RCM Tool Implementation

This chapter outlines the best practices for the implementation of the RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules).

Bibliography and Appendix

The appendix includes a glossary of terms and acronyms used in this guidebook and the RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) and a bibliography.

Resources

The RCM Tool, which is used to generate educational Quick Reference Guides and compliance Master Schedules, is provided as a digital file on CRP-CD-182. CRP-CD-182 is also available as an ISO image by searching for *ACRP Report 156* on the TRB website.

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1.3 Overview of RCM Tool

By identifying applicable federal regulations, associated compliance requirements, and frequency timeframes, the stand-alone RCM Tool will: (1) facilitate the sharing of vital information and essential knowledge; (2) foster collaboration and innovation; (3) improve efficiency and productivity, across all airport functional areas; and (4) assist in diminishing silos. Most importantly, the RCM Tool will assist airports with tracking and managing compliance with applicable federal regulations.

The RCM Tool has been designed to assist airport management and staff with:

- Identifying applicable federal regulations associated with the planning, development, operation, and management of aviation/airside infrastructure, facilities, and activities of a federally obligated airport;
- Identifying associated compliance requirements (i.e., document, review, exercise, notification, condition, staff, etc.) and associated frequency (i.e., continuously, periodic, triggered by a particular event, etc.) for each federal regulation;
- Identifying commonalities among the compliance requirements;
- Identifying opportunities for inherent synergies of meeting multiple compliance requirements with the same action (e.g., conduct one table-top for FAA's 14 CFR Part 139, OSHA's 29 CFR Part 1910, and TSA's 49 CFR Part 1542);
- Identifying how compliance with federal regulations affects the various airport functional areas; and
- Development of a Master Schedule for compliance requirements for both routine action items and triggering events with federal regulations.

The RCM Tool will also allow airport management and staff to:

- Add and update existing federal regulations;
- Add and update state or local regulations;
- Create specific filtering capabilities (e.g., type of regulation; department, agency, or office; part number/title; compliance requirement type; frequency type; user specific sorting; functional area and key guidance; and compliance due dates calendar year);
- Add and update airport specific information/guidance related to each regulation; and
- Track compliance completion dates and follow compliance due dates.

Educational Quick Reference Guides

The educational Quick Reference Guides are generated by the user of the RCM Tool based on the regulation filter selections of the user (e.g., type of regulation; department, agency, or office; functional area, etc.). The Quick Reference Guides will provide airport management and staff essential need-to-know information on the federal regulations filtered in the RCM Tool (and also the state or local regulations added into the RCM Tool by users) that can be consulted in the field.

The Quick Reference Guides include a brief summary of the subject matter of each regulation and provide a summary of all information provided in the RCM Tool (as discussed further in *Chapter 3: RCM Tool Instructions*). The complete text of the regulations may not be included since regulations are readily accessible on U.S. government websites, so that the most current version of each regulation is used. The Quick Reference Guides are not intended to replace review of the regulations. Reference to the regulations will be necessary to assure complete understanding of the regulation, associated compliance requirements, and ultimately compliance with the regulation. Frequently asked questions and associated answers on the basic compliance actions required are provided for each regulation, including identification of other associated regulations and resources. Hyperlinks to these regulations and resources can be found in the RCM Tool.

Compliance Master Schedules

The compliance Master Schedules are also generated by the user of the RCM Tool based on the regulation filter selections made by the user (e.g., type of regulation; department, agency, or office; functional area, etc.). However, as compared with the educational Quick Reference Guides, the compliance Master Schedules are based on information inserted into the RCM Tool by the user. Only those regulations with a specific compliance due date will be identified on the Master Schedules. For example, if a regulation requires a specific activity on an annual basis, the user has the ability to enter a date one year from the most recent date of compliance.

Using the information inserted by the user into the RCM Tool, the Master Schedules provide airport management and staff with a visual representation of the timeline of upcoming compliance due dates based on the filter selections of the user. These Master Schedules are organized in a linear and sequential manner, identifying the upcoming compliance due dates. In addition, the Master Schedules identify those individuals responsible for compliance with the regulations.

1.4 Applicable Federal Departments, Agencies, and Offices

Based on the research findings, the following 17 federal departments, agencies, and offices (listed in alphabetical order) were identified to have promulgated applicable federal regulations pertaining to the planning, development, operation, and management of aviation/airside infrastructure, facilities, and activities of a federally obligated airport.

- **Customs and Border Protection (CBP)** – A federal law enforcement agency of the Department of Homeland Security, CBP enforces federal regulations by protecting U.S. borders from the crossing of illegal people and materials. With respect to airports, the CBP staffs the Ports of Entry at U.S. international airports to prevent the importation of illegal people and materials.
- **Department of Agriculture (USDA)** – The USDA, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations on food, agriculture, natural resources, rural development, nutrition, and related issues. With respect to airports, the USDA's Wildlife Services provides wildlife damage management to protect property and safety and works with airports to reduce wildlife hazards to protect public safety and reduce property damage.
- **Department of Defense (DOD)** – The DOD, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations that are related to the national security and the U.S. Armed Forces. With respect to airports, the DOD is involved in the use of airport property for DOD organizations.
- **Department of Homeland Security (DHS)** – The DHS, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations to protect the territory and people of the United States and responds to terrorist attacks, man-made accidents, and natural disasters. With respect to airports, the DHS forms and implements policies and programs to enhance aviation security.
- **Department of Housing and Urban Development (HUD)** – The HUD, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations on housing and metropolises to create strong and sustainable communities and quality affordable homes. With respect to airports, HUD forms and implements policies on accessibility by persons with disabilities.
- **Department of the Interior (DOI)** – The DOI, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations to manage and conserve federal land and natural resources and administer tribal community programs. With respect to airports, the DOI forms and implements policies to protect endangered and threatened wildlife and plants as well as migratory birds that are on or near airports.

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- **Department of Justice (DOJ)** – The DOJ is responsible for prosecution and defense of criminal and civil litigation in which the U.S. government has an interest, most federal law enforcement, and administration of civil rights and disability access programs. With respect to airports, DOJ enforces federal regulations regarding civil rights and access to public facilities.
- **Department of Labor (DOL)** – The DOL, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations to ensure occupational safety, wage and hour standards, and unemployment insurance benefits and tracks certain economic statistics. With respect to airports, the DOL provides under the Davis–Bacon Act critical wage protection for construction workers and has provided a level field for contractors bidding on federal projects.
- **Department of Transportation (DOT)** – The DOT, a cabinet-level department of the U.S. government, promulgates and enforces federal regulations to ensure development, coordination, and preservation of a safe, efficient, economical, and convenient transportation system. With respect to airports, DOT oversees the safety functions of the FAA Administrator and has delegated to the FAA the management of airport financial assistance and environmental programs.
- **Environmental Protection Agency (EPA)** – The EPA, an independent federal agency, promulgates and enforces federal regulations to protect human health and the environment. With respect to airports, the EPA regulates air emissions, water runoff, and waste management. The EPA also works with airports on voluntary pollution prevention programs and energy conservation efforts. Most states have environmental agencies that enforce the EPA regulations.
- **Federal Aviation Administration (FAA)** – The FAA, a modal administration of DOT, promulgates and enforces federal regulations with respect to U.S. civil aviation safety, air traffic control, and airport financial assistance. With respect to airports, the FAA implements safety certification for commercial airports and administers the Airport Improvement Program.
- **Federal Communications Commission (FCC)** – The FCC, an independent U.S. government agency, promulgates and enforces federal regulations with respect to interstate and international communications. With respect to airports, the FCC forms and implements policies pertaining to 911, public safety, communications assistance for law enforcement, and alert warning systems and handles the licensing of spectrum for public safety entities.
- **General Services Administration (GSA)** – The GSA, an independent U.S. government agency, promulgates and enforces federal regulations with respect to acquisition of goods and services by federal agencies, travel policies for federal employees, and utilization and disposition of personal and real property. With respect to airports, the GSA forms policies relating to prohibiting discriminatory actions for public programs receiving federal financial assistance.
- **Immigration and Customs Enforcement (ICE)** – A federal law enforcement agency of the DHS, ICE enforces federal regulations governing border control, customs, trade and immigration to promote homeland security and public safety. With respect to airports, ICE staffs the Ports of Entry at U.S. international airports.
- **Occupational Safety and Health Administration (OSHA)** – OSHA, an agency within the DOL, promulgates and enforces federal regulations with respect to occupational safety and health. Most OSHA regulations apply to airports in some capacity, mostly with respect to facility and non-airfield operations. Twenty-seven states and territories have agencies that enforce OSHA regulations.
- **OMB** – The OMB, an office within the Executive Office of the President of the United States, oversees the performance of federal departments, agencies, and offices and administers the federal budget. For airports, OMB issues circulars describing accounting principles for auditing of federal grant funds and for disposition of grant-funded property.
- **Transportation Security Administration (TSA)** – The TSA, an agency within the DHS, promulgates and enforces federal regulations with respect to transportation security. With respect to airports, the TSA forms policies for aviation security and enforces airport, aircraft operator, and air cargo security programs.

CHAPTER 2

Compliance Management System

2.1 Introduction

In simple terms, a CMS is a system utilized by an organization to manage compliance. In terms of this guidebook and the stand-alone RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules), a CMS is a comprehensive system consisting of a policy; management and oversight plan; goals, objectives, and action plans; and tools and resources (e.g., the stand-alone RCM Tool, educational Quick Reference Guides, and compliance Master Schedules). Airport management and staff utilize these CMS elements to manage compliance with applicable federal (and state and local) regulations.

For a CMS to be fully effective, compliance management must be integrated throughout the entire airport organization and within all functional areas of the airport (i.e., development, operations, management, and properties). In addition, the CMS must focus on processes to (1) reduce and manage risk; (2) ensure and improve health and safety of all employees and users of the airport; (3) protect the environment; and (4) improve the financial well-being of the airport. Without a top-to-bottom and side-to-side implementation approach, a CMS is more likely to fail. The airport's governing body, management team, and staff should be prepared to fully integrate compliance into the mindset and actions of each person charged with compliance, which should be everyone.

Compliance is truly a team sport. As with any sport, all participants first need to know and understand the rules. The rules in this case are both the federal (and state and local) regulations as well as the action plans formulated by airport management and staff to fulfill compliance with the applicable regulations. The most effective way to educate the compliance stakeholders is through the establishment of programs to increase awareness of the regulations, compliance requirements, and associated potential enforcement actions, fines, and/or penalties.

Ultimately, the study of this guidebook, implementation of the RCM Tool (and associated Quick Reference Guides and Master Schedules), and the development and implementation of an airport CMS, is a means to an end: compliance with all applicable federal (and state or local) regulations.

2.2 Reasons for a CMS

While there are many reasons for development and implementation of a CMS, based on research and airport interviews (Figure 2-1), the following are several compelling reasons that were identified. An airport CMS helps airport management and staff:

- Fulfill a primary responsibility–compliance;
- Maintain a focus and awareness on compliance within all functional areas of the airport;
- Lower overall cost of compliance;

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Figure 2-1. Reasons for a CMS.

- Provide resources to track and manage compliance; and
- Measure compliance successes (and failures).

When an airport develops and implements a CMS to track and manage compliance with federal (and state or local) regulations, the airport is likely to stay ahead on compliance matters versus constantly chasing non-compliance findings by associated federal (and state or local) departments, agencies, and offices. Further, airports with a CMS will likely have more time and resources to focus on the other elements of the airport's mission, vision, goals, objectives, and action plans not directly related to compliance. Further, compliance ensures a consistently maintained, safe, and efficient operation of a federally obligated airport within the national air transportation system.

Compliance with federal regulations is mandatory. Non-compliance could result in one or more of the following: (1) injury or death of an employee or user of the airport; (2) damage to property of the airport, employee, or user of the airport; (3) damage to the environment; (4) costly (time and money) litigation as a result of injury, death, or damage to property; (5) costly (time and money) defending a finding of non-compliance by a federal department, agency, or office; (6) costly fines or penalties associated with a finding of non-compliance; and/or (7) possible imprisonment of individuals that willfully disregard compliance with federal regulations.

Lastly, there is one more compelling reason to have a CMS. Under Assurance #1 (General Federal Requirements), the FAA requires that any federally obligated airport

> . . . comply with all applicable Federal laws, regulations, executive orders, policies, guidelines, and requirements as they relate to the application, acceptance and use of Federal funds . . .

Non-compliance with the Assurances could result in the loss of AIP grant funding eligibility, or worse, a requirement to repay past AIP grant funds.

One of the best ways to comply with Assurance #1 is to develop and implement a CMS that, at its core, demonstrates the steps that the airport's governing body, management, and staff are taking related to the compliance with federal (and state or local) regulations.

2.3 Value of a CMS

Airport management and staff utilize a variety of tools and resources to plan, develop, operate, and manage the infrastructure, facilities, and activities of a federally obligated airport. These include an airport strategic business plan, airport master plan, airport layout plan, and primary management and compliance documents (e.g., rules and regulations, leasing/rents and fees policy, minimum standards, and development standards). Each of these tools can be utilized as a planning, management, and/or communications tool. A CMS is one more tool and resource that airport management and staff can utilize to plan, develop, operate, and manage the infrastructure, facilities, and activities of an airport.

Figure 2-2. Value of a CMS—as a planning tool.

Planning, Management, and Communication Tool

As a planning tool, as depicted in Figure 2-2, a CMS (1) articulates the airport's policy and goals for tracking and managing compliance; (2) sets forth the objectives for achieving the compliance goals; (3) identifies the action plans for accomplishing the compliance objectives; (4) establishes the parameters for evaluating compliance successes (or failures); and (5) provides the basis for making adjustments–as needed–to achieve the compliance goals and maintain consistency with the compliance policy.

As a management tool, as depicted in Figure 2-3, a CMS helps the airport governing body, management, and staff maintain focus on achieving the compliance goals and maintaining consistency. In addition, a CMS keeps everyone on the same page with the compliance policy while providing an actionable plan for tracking and managing compliance of federal (and state and local) regulations. Most important, a CMS provides the framework for making informed, prudent, and defensible decisions concerning compliance of federal (and state and local) regulations.

As a communications tool, as depicted in Figure 2-4, the development process of a CMS provides the opportunity for the airport's governing body, management, staff, and stakeholders to collaborate on the best practices to track and manage compliance with federal (and state or local) regulations. Once implemented, a CMS aligns the compliance action plans across the functional areas of the airport; provides the resources for maintaining compliance; and creates a compliance culture.

Figure 2-3. Value of a CMS—as a management tool.

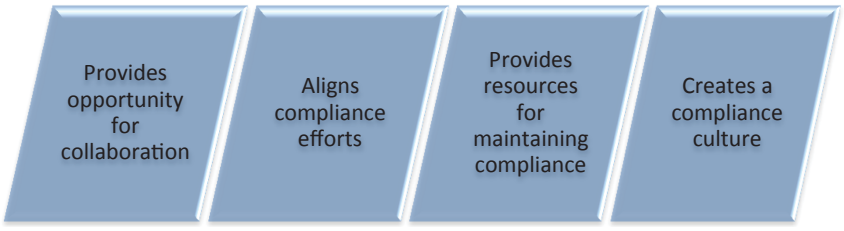

Figure 2-4. Value of a CMS—as a communications tool.

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Integrated Approach

The key word in CMS is system. A CMS develops an integrated approach to tracking and managing compliance with federal (and state or local) regulations. If properly developed and implemented, a CMS is a system thinking approach that can be utilized at all levels of the airport organization (e.g., governing body, management, staff, tenants, etc.) and across all functional areas of the airport (e.g., planning, development, operations, management, etc.). By integrating and streamlining the compliance tracking and management processes into a single, cross-functional CMS with clear lines of responsibility across the functional areas of the airport, the age-old inefficient silo-effect approach to tracking and managing compliance is addressed and resolved.

Efficient and Productive

The system, integrated approach to the development and implementation of a CMS improves the efficiency and productivity of airport management and staff while tracking and managing compliance. These efficiencies are tied back to the silo-effect of compliance. Historically, compliance with regulations at federally obligated airports is accomplished within each functional area of an airport without regard to the other functional areas of the airport (i.e., the goal is achieved in a silo). Also, there can be a lack of understanding–across the airport organization–regarding compliance requirements (in general) and the responsibilities of airport management and staff operating within each functional area of the airport (in particular). The independent pursuit of compliance can lead to duplication of effort and redundancy. The resulting silo-effect is inefficient; it can have an adverse impact on productivity and is not the most cost-effective way to achieve the goal of ensuring compliance with federal regulations.

Cost-Effective

A properly developed and implemented CMS essentially will lower the cost of compliance by utilizing a system, integrated approach that improves the efficiency and productivity of airport management and staff responsible for compliance. For example, a CMS lowers the cost of compliance by (1) allowing a single individual (i.e., compliance manager) to oversee the organization's compliance management efforts; (2) communicating compliance requirements from a single resource (i.e., the RCM Tool); (3) training from a single resource (i.e., the educational Quick Reference Guides); and (4) advance planning compliance timelines (i.e., the compliance Master Schedules).

2.4 Development and Implementation Process

Successful development, implementation, and improvement of any plan or system, such as a CMS, requires the use of a well-known four step process–Plan, Do, Check, and Act. Without the use of this multi-step process, a CMS can languish in mediocrity or fail miserably.

Following the four step process of developing a CMS, implementing a CMS, checking the results and outcome of the CMS, and taking action or making adjustments to the CMS, as depicted in Figure 2-5, is an effective way to achieve the desired results of a CMS—compliance. This cycle repeats as continuous improvement of the CMS is pursued.

Plan

The first step in preparing a CMS is to conduct the necessary planning and research in order to determine the proper overall scope of the CMS. This includes:

- Identifying federal (and state and local) regulations applicable to the airport and the associated compliance requirements of the applicable regulations;

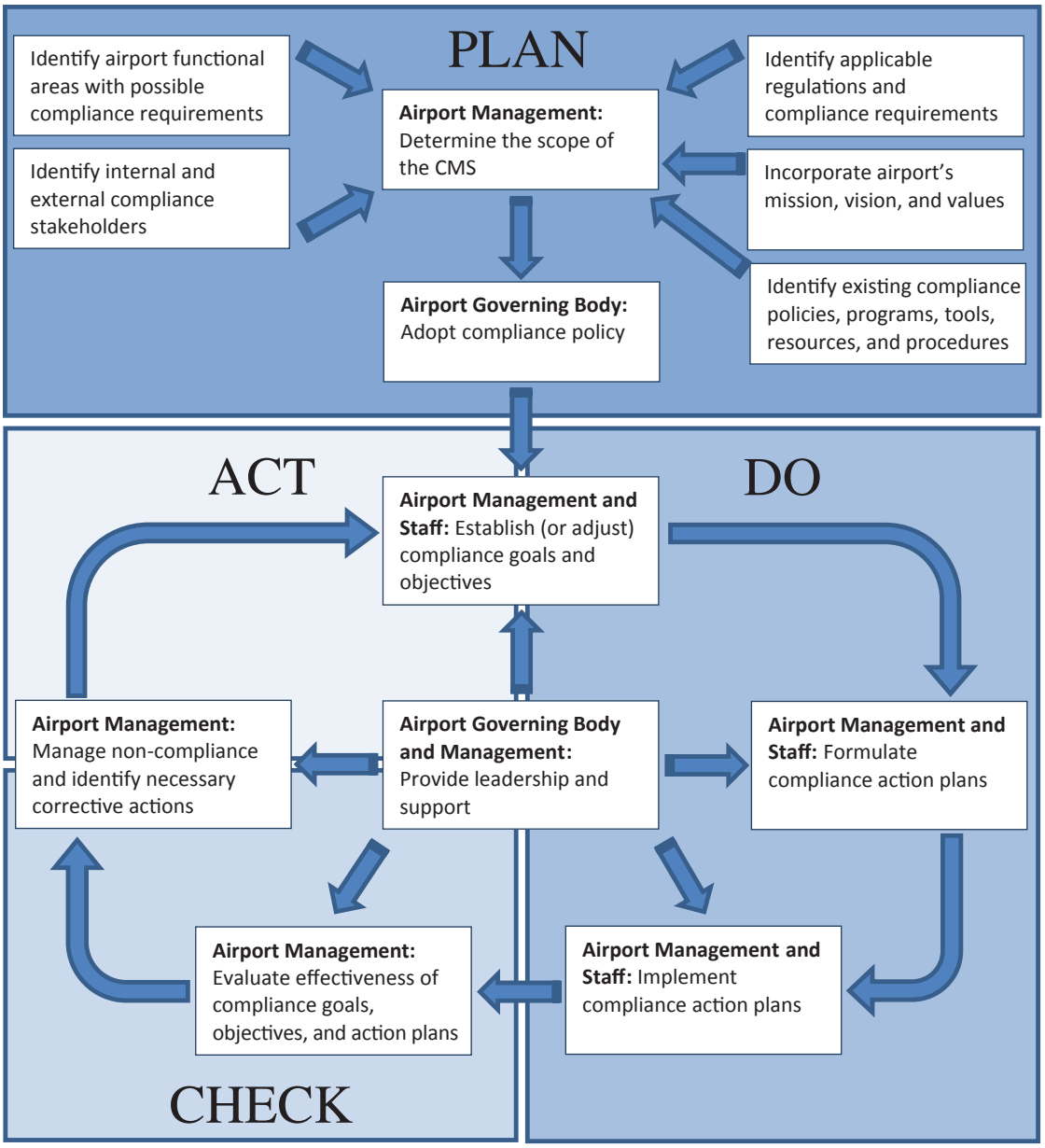

Figure 2-5. CMS—development and implementation process.

- Identifying the functional areas (e.g., planning, development, operations, management, etc.) of the airport that are impacted by applicable regulations;
- Identifying the internal (e.g., airport governing body, management, staff, etc.) and external (federal, state, and local departments, agencies, and offices associated with applicable regulations; consultants; tenants; users; etc.) compliance stakeholders;
- Incorporating elements of the airport's mission, vision, and values that address or impact compliance (if applicable); and
- Identifying existing compliance policies, programs, tools, resources, and procedures utilized by the airport.

Once this research is complete, airport management will be able to properly scope the CMS and present a recommendation to the airport's governing body regarding the development and implementation of the airport's CMS. Buy-in, including the airport's governing body, is

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essential to the overall success of a CMS. This buy-in should culminate in the adoption of a compliance policy, which is the foundation for the next step in the development and implementation of a CMS.

Throughout the remaining steps of the development and implementation process (do, check, and act), it is essential that the airport's governing body and management team provide the necessary leadership and support. This planning step is not a single step; it is a process. The airport's governing body and management team should make compliance a consistent and recurring theme in future policy discussions, management decisions, employee performance reviews, tenant agreement negotiations, and stakeholder communications.

Without this kind of leadership and support, the management and staff responsible for compliance will struggle to fully implement the CMS and will likely not initiate the last two steps of the implementation process (check and act). Without these last two steps, the CMS cannot improve and may ultimately fail. Complete implementation of a CMS can be extremely valuable and should include education of airport management and staff of the reasons for and value of a CMS, the elements of a CMS, and the ramifications of not implementing or following a CMS.

Do

Utilizing the compliance policy adopted by the airport's governing body as a foundation of the CMS, airport management and staff next develops goals that are consistent with the policy. A goal is a statement of a desired result, outcome, or level of attainment. Each goal should tie back to the compliance policy, and ultimately the airport's mission and vision statement. Next, objectives are developed to achieve the goals. Objectives are significant steps that should focus on each functional area of the airport.

It is important to plan and equally important to implement (do); however, it is imperative to know when to make a change (check and act).

Once the goals and objectives are established, airport management and staff should formulate an action plan for each objective. An action plan answers the key questions of who is going to do what, when, where, why, and how to complete each objective. Once all action plans have been established and individuals responsible for compliance are identified and educated on the CMS, applicable regulations, and associated compliance requirements, the action plans can then be implemented.

Check

The third step is checking the results associated with implementing the action plans. This includes asking the important questions, such as:

- Have the action plans been fully implemented and have the compliance goals and objectives been achieved?
- What is the variance between the actual results and the desired outcomes?
- What is the reason for the variance?
- What adjustments need to be made to achieve the desired outcomes?

These important questions need to be asked during the check step of the cycle. In essence, the check step involves analyzing the variances between actual results and desired outcomes and determining what caused the variances.

Preferably, the variances (findings of non-compliance) will be the result of self-inspection by airport management and staff. Other times variances will be findings of non-compliance due to

inspection by a federal, state, or local department, agency, or office. Non-compliance could be a result of an action plan not being implemented or completed, a change in an existing regulation, passage of a new regulation, or unanticipated changes that affected the ability to fulfill the compliance requirements. Within this context, it is important to closely monitor changes in the regulatory environment, airport operating environment, and progress on action plan implementation and completion. Informal and formal compliance meetings provide the opportunity to obtain feedback from individuals responsible for action plan implementation. Compliance team members should be encouraged to provide input and suggest alternatives when the desired outcomes are not being achieved.

When change is required and made promptly, the potential for achieving the desired result is improved significantly.

Act

The fourth step is taking corrective actions to achieve the desired outcome and lead to continuous improvement. Part of the corrective actions could include modification of the compliance goals and objectives, and most likely, the compliance action plans. Then, the cycle of **plan, do, check, act** begins again.

2.5 Elements of a CMS

By themselves, this guidebook and RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) do not make a complete CMS. These should only be used as tools and resources to track and manage compliance (e.g., RCM Tool), educate airport management and staff on the regulations that must be complied with (e.g., Quick Reference Guides), and track compliance schedules (e.g., Master Schedules). As discussed in this chapter, the elements of a CMS include: policy; management and oversight plan; goals, objectives, and action plans; and compliance management tools and resources.

Policy

The compliance policy should embrace the reasons for and value of a CMS and set clear expectations of airport management and staff on the development and implementation of a CMS. Further, it is important to note that if compliance was not previously part of the airport's mission, vision, and/or values, the governing body should consider reviewing and modifying these to incorporate the theme of compliance.

Management and Oversight Plan

Every plan or system requires a formal management and oversight plan. Without a management and oversight plan, a CMS will tend to collect dust on a shelf and not be fully implemented. By designating a CMS compliance manager with the full authority and accountability to oversee the development and implementation of the CMS, audit compliance results (e.g., self-inspection), and regularly report compliance results to the airport's governing body and management, the airport is more likely to successfully develop and implement a CMS and ultimately maintain compliance with applicable federal regulations. This reporting may be identified as part of the airport's strategic business plan's key performance indicators. It is important to note that a CMS compliance manager does not need to be a full-time position. For many smaller airports, the airport manager would be the designated CMS compliance manager.

Further, the individuals with compliance responsibilities will have a designated resource and support system when compliance issues arise. In addition, having a single-point of contact on compliance matters improves and facilitates communications with federal, state, and local departments, agencies, and offices. When multiple individuals communicate with these external compliance stakeholders, the airport first eliminates certain efficiencies and productivity. Most importantly, the compliance requirements, inspection dates, and non-compliance notices may not get delivered to the proper parties in a timely manner, be misplaced or lost, and/or not be understood by the receiving party.

At some general aviation airports and small 14 CFR Part 139 airports, the compliance responsibilities of airport management and staff many times will fall on one or two individuals. This by itself does not eliminate the reasons for or value of a CMS. However, it does allow for a more streamlined approach in the development and implementation of a CMS.

Goals, Objectives, and Action Plans

Goals, objectives, and action plans of a CMS are very similar to those of an airport strategic business plan. *ACRP Report 77: Guidebook for Developing General Aviation Airport Business Plans* has excellent guidance on formulating, assessing, and refining goals; organizing and prioritizing objectives; and formulating action plans. When formulating an action plan, each of the following questions needs to be answered:

- Who is going to be responsible for compliance (the people)?
- What specific compliance actions need to be performed to maintain compliance (the tasks)?
- When are the compliance action plan elements required to be completed (the schedule)?
- Where are the compliance action plan elements going to be accomplished (the location)?
- Why do the compliance action plan elements need to be performed (the reason)?
- How are the compliance action plan elements going to be accomplished (the approach and the resources)?

Compliance Management Tools and Resources

The stand-alone RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) further discussed in this guidebook are examples of tools and resources that the compliance management officer and other airport management and staff members designated with compliance responsibilities can use to track and manage compliance of federal (and state and local) regulations pertaining to the planning, development, operation, and management of federally obligated airports and more specifically to the aviation/airside infrastructure, facilities, and activities of the airport.

CHAPTER 3

RCM Tool Instructions

3.1 Introduction

The stand-alone RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules), provided as a digital file on CRP-CD-182 and as an ISO image by searching for *ACRP Report 156* on the TRB website, are designed to help airport management and staff of federally obligated airports (1) identify federal regulations that affect the aviation/airside infrastructure, facilities, and activities of airports; (2) provide proposed methods and techniques to integrate resources, plans, and procedures for compliance with applicable federal regulations; and (3) assist with tracking requirements of and managing compliance with applicable federal regulations. By identifying applicable federal regulations, compliance requirements, and frequency timeframes, the RCM Tool (and associated Quick Reference Guides and Master Schedules) will:

- Facilitate the sharing of vital information and essential knowledge;
- Foster collaboration and innovation; and
- Improve efficiency and productivity across all functional areas or departments of an airport.

Along with a brief summary of applicable federal regulations, the RCM Tool identifies frequently asked questions and answers as well as supplemental resources that provide additional compliance guidance. The RCM Tool can also be used to generate an output of the educational Quick Reference Guide or compliance Master Schedule. To enhance usability of the RCM Tool, each federal regulation and supplemental resource is hyperlinked to allow the user to review the exact language and determine the best method of compliance for the user's airport based on a review of the entire regulation and resource. This will ensure that the user has access to and is utilizing the most current regulation and resource available. The RCM Tool and user generated Quick Reference Guides are not intended to replace review of the regulations. Reference to the regulations will be necessary to assure compliance.

While the RCM Tool provides airport management and staff with a quick and easy method of reviewing applicable federal regulations to assist with managing compliance, the RCM Tool has also been designed to allow users the opportunity to add additional regulations including federal regulations related to non-aviation/non-airside infrastructure, facilities, and activities as well as state and local regulations that may be unique to the user's airport. The RCM Tool also accommodates (1) the addition of newly adopted applicable regulations; (2) the update of existing regulations contained within the RCM Tool; and/or (3) the deletion of existing regulations contained within the RCM Tool that either have been removed by the associated department, agency, or office or may no longer be applicable to the user's airport. This flexibility will ensure the RCM Tool remains specific and relevant to each user's airport.

Further, comprehensive filter functions allow the sorting of regulations to enhance usability of the RCM Tool as well as user generated Quick Reference Guides and Master Schedules. The

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Quick Reference Guides provide, essential need-to-know information. These Quick Reference Guides can be utilized in the field and by specific airport management and staff assigned to managing compliance of the user filtered regulations. The Master Schedules can be used to track and manage compliance due dates.

3.2 Purpose of the RCM Tool

The stand-alone RCM Tool (and associated educational Quick Reference Guides and compliance Master Schedules) are designed to be used by airport management and staff of federally obligated airports. Though not all regulations contained within the RCM Tool will apply to every airport, airport management and staff will be certain to find specific federal regulations that are applicable to the user's airport.

The RCM Tool only contains federal regulations applicable to the aviation/airside infrastructure, facilities, and activities of commercial service and general aviation, federally obligated airports. By identifying applicable federal regulations, associated compliance requirements, and frequency timeframes, the stand-alone RCM Tool: (1) facilitates the sharing of vital information and essential knowledge; (2) fosters collaboration and innovation; and (3) improves efficiency and productivity, across all airport functional areas, and assists in diminishing silos. Most importantly, the RCM Tool will assist airports with managing compliance with applicable federal regulations.

The user generated educational Quick Reference Guides provide an alternative method of viewing the information contained within the RCM Tool based on the filter selections of the user. In addition to providing a brief summary of each regulation, the Quick Reference Guides provide an easy to read format of frequently asked questions and answers on the basic compliance actions required, including identification of other associated regulations, agency resources, and other resources. Additionally, the Quick Reference Guides provide an area for airport management and staff to insert notes specific to the user's airport.

The user generated compliance Master Schedules provide airport management and staff with a visual representation of the upcoming compliance due dates based on the filter selections of the user. These Master Schedules are organized in a sequential manner based on the upcoming compliance due dates. Each compliance due date is accompanied by the applicable regulation information for ease of reference.

Airport Functional Areas

While (on a macro level) the RCM Tool and Quick Reference Guides address regulations applicable to the aviation/airside infrastructure, facilities, and activities of federally obligated airports, the RCM Tool and Quick Reference Guides also identify the impact of each of these federal regulations on the common airport functional areas (i.e., development, operations, management, and properties). The RCM Tool and Quick Reference Guides also identify if a federal regulation is considered a key guidance element. As outlined in Figure 3-1, the common airport functional areas are further divided into specific functions.

The development functional area consists of regulations relating to the planning, engineering, and construction of an airport. This includes, but is not limited to, regulations relating to handicap accessibility, water runoff/treatment, and airport layout. Regulations that impact the operations functional area will affect the general day-to-day operations of airside, landside, environmental, safety/security, and maintenance functions of the airport. Regulations impacting the management functional area will be of concern to the airport's administrative/management team. Regulations affecting the properties functional area address issues relating to proper land usage and leasing policies.

Development	Operations	Management	Properties	Key Guidance
Planning	Airside	Governance	Airside	Safety Mgmt System (SMS)
Engineering	Landside	Administration	Landside	Emergency Mgmt System (EMS)
Construction	Environmental	Legal	Airlines	Sponsor Assurances
	Safety/Security	Finance/Accounting	Concessions	14 CFR Part 139
	Maintenance	Risk Management	General Aviation	
			Land Use	

Figure 3-1. Airport functional areas.

Certain regulations are deemed key guidance due to the nature of importance or mandate. These regulations may address safety management systems (SMS) and/or emergency management systems (EMS). These regulations may also be related to the airport's Assurances, which must be met as a condition for receiving federal funds. Regulations found under 14 CFR Part 139 would be deemed key guidance as these regulations govern airports capable of accommodating scheduled air carrier service.

It is important to note that the user of the RCM Tool can and should modify the preselected functional areas associated with each federal regulation included in the RCM Tool. To be fully functional for and accurately representative of the user's airport, the RCM Tool should reflect the functional areas of the user's airport, the specific functions within each functional area, and the role each functional area plays.

3.3 Overview of the RCM Tool

The RCM Tool is a database (e.g., Microsoft Excel spreadsheet) of approximately 440 primary and secondary statutes, regulations, executive orders, and OMB circulars that affect the aviation/airside infrastructure, facilities, and activities of airports. The RCM Tool allows the user to determine which of these federal regulations are viewed and provides the option to output the filtered regulations to an easy to read and understand Quick Reference Guide.

The RCM Tool consists of five tabs (Home, Regulations, Master Schedule, Manage Regulations, and Lists) that are further outlined in Section 3.4. Various filters on the Home tab allow users to sort regulations by a variety of options including (1) Type, (2) Department, Agency or Office, (3) Part Number/Title, (4) Compliance Requirement Type, (5) Frequency Type, (6) Functional Area, (7) Key Guidance, and (8) Compliance Due Date Calendar Year. If desired, the filtered results can be viewed directly in the spreadsheet (on the Regulations tab) and/or can be output to a Quick Reference Guide. In addition, the applicable Compliance Due Dates can be viewed on the Master Schedule tab which identifies all regulations with a compliance due date in the filtered calendar year (as input by the user). The Manage Regulations tab provides the user with multiple dropdown lists to simplify the process of adding new and updating existing regulations. These lists can be modified by the user on the Lists tab.

CAUTION: To facilitate additional functionality of the RCM Tool, the Lists tab is editable to allow for the insertion (and subsequent editing and deleting) of additional list items. Therefore, users must take caution to not inadvertently modify or delete data that may affect the overall functionality of the RCM Tool.

As described herein, each tab of the RCM Tool is interrelated. As such, common terminology is used which provides a basis for the construction and use of the RCM Tool. The following identifies the name of each column on the Regulations tab (in bold) accompanied by a description of the information contained with each column and the associated common terminology utilized

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in each column and throughout the RCM Tool (and associated Quick Reference Guides and Master Schedules). In addition, an example of the information contained within each column is provided for reference, based on federal regulation 14 CFR Part 139.323(a) – Traffic and Wind Direction Indicators.

- **Column A: Type** identifies the type of regulation (e.g., federal, state, or local).
  - Example: Federal
- **Column B: Department, Agency, or Office** identifies the department, agency, or office that oversees the regulation.
  - Example: FAA
- **Column C: Part Number/Title** identifies the location (part number) within the CFRs and the associated title of the regulation.
  - Example: 14 CFR Part 139 – Certification of Airports
- **Column D: Citation** identifies the numerical citation of the regulation.
  - Example: §139.323(a)
- **Column E: Section Name** identifies the name of the section within the part number/title in which the regulation is located.
  - Example: Traffic and Wind Direction Indicators
- **Column F: Summary** provides a brief summary of the compliance elements of the regulation.
  - Example: A wind cone must be installed at each airport and a supplemental wind cone must be installed at the end of each runway available for air carrier use. The wind cones (including supplemental wind cones) must be lighted if the airport is open for air carrier operations at night.
- **Column G: Compliance Requirement Type** identifies how compliance of the regulation could be conducted.
  - Example: Condition
  - Compliance requirement types included in the RCM Tool include:
    - Document: A piece of written, printed, or electronic matter that provides information or evidence or serves as an official record.
    - Review: Formal assessment or examination of something with the possibility or intention of instituting change, if necessary.
    - Exercise: Something done or performed as a means of practice or training.
    - Notification: A written or printed matter that gives notice or brings attention to a present or upcoming issue.
    - Condition: The state of something, especially with regard to its appearance, quality, or working order.
    - Staff: The people employed by the organization.
    - Other: Any type of compliance requirement that does not fall into the categories listed above.
- **Column H: Action** identifies the action to be completed based on the compliance requirement type of the regulation.
  - Example: Equipment
  - Actions included in the RCM Tool for the Document Compliance Requirement Type include:
    - Manual: A book of instructions that describes in detail how to perform a specific task in regards to a predetermined standard.
    - Plan: A detailed proposal or decision for doing or achieving something in the future.
    - Report: A document that presents specific information and analyzed evidence that applies to a particular problem, issue, or concern.
    - Agreement: A negotiated and typically legally binding arrangement between parties as it relates to a course of action.

  - Public: Relating to or affecting all or most of the people of a country, state, community, etc.
  - License/Permit: An official document giving someone authorization to do something.
- Actions included in the RCM Tool for the Review Compliance Requirement Type include:
  - Inspection: The process of systematically examining, checking and testing facilities, components, and systems to detect actual or potential issues or concerns.
  - Audit: An official examination and verification to evaluate accuracy of records.
  - Surveillance: A systematic ongoing collection and analysis of data and the timely dissemination of information so action can be taken.
  - Observation: A statement describing what has been noticed or perceived as important or needing attention.
  - Testing: A particular process or method for assessing the quality, ability, aptitude, or performance.
  - Sampling: The act or process of selecting a sample for testing and analyzing.
- Actions included in the RCM Tool for the Exercise Compliance Requirement Type include:
  - Training: The education, instruction, or discipline of an individual to improve the individual's performance or attain a required level of knowledge, skill, or competence.
  - Drill: Any strict, methodical, repetitive, or mechanical training, instruction, or exercise.
  - Simulation: An imitative representation of the functioning of one process to determine the effectiveness of predetermined standards.
- Actions included in the RCM Tool for the Notification Compliance Requirement Type include:
  - NOTAM: A system to convey safety information to airport users utilizing the National Flight Data Center or Air Traffic Control Center.
  - FAA: A methodology of notifying the FAA of a certain condition or planned course of action.
  - Public: A methodology of notifying the general public.
  - Staff: A methodology of notifying the people employed by the airport.
  - Agreement: A negotiated and typically legally binding arrangement between parties as it relates to a course of action.
  - Air Carriers: Aircraft that is being operated by a person who undertakes directly by lease, or other arrangement, to engage in commercial air transportation.
  - Permit: An official document giving someone authorization to do something.
- Actions included in the RCM Tool for the Condition Compliance Requirement Type include:
  - Facility: The space necessary and utilized to accomplish a certain task.
  - Vehicle: A means of transportation used for transporting people or goods.
  - Equipment: A necessary item for a particular purpose.
  - Staff: The people employed by the airport.
- The RCM Tool also provides an Other (Specify) action that can be utilized when the compliance requirement type is unique to what is identified in Column G.

- **Column I: Action Details** provides the user the ability to outline additional details relating to the specific action requirement identified in Column H for the regulation.
  - Example: N/A
- **Column J: Frequency Type** and **Column K: Interval or Event** identifies how often the action must be completed to achieve compliance with the regulation.
  - Example: Periodic/Annually
  - Frequency types and associated intervals or events included in the RCM Tool include:
    - Continuously: Completed on a regular basis to ensure constant compliance.
    - Periodic: Completed on a recurring basis to ensure compliance (e.g., daily, weekly, monthly, quarterly, semi-annually, annually, biannually, triannually, and other).
    - Trigger: Completed when certain events occur (e.g., event, other, or N/A).

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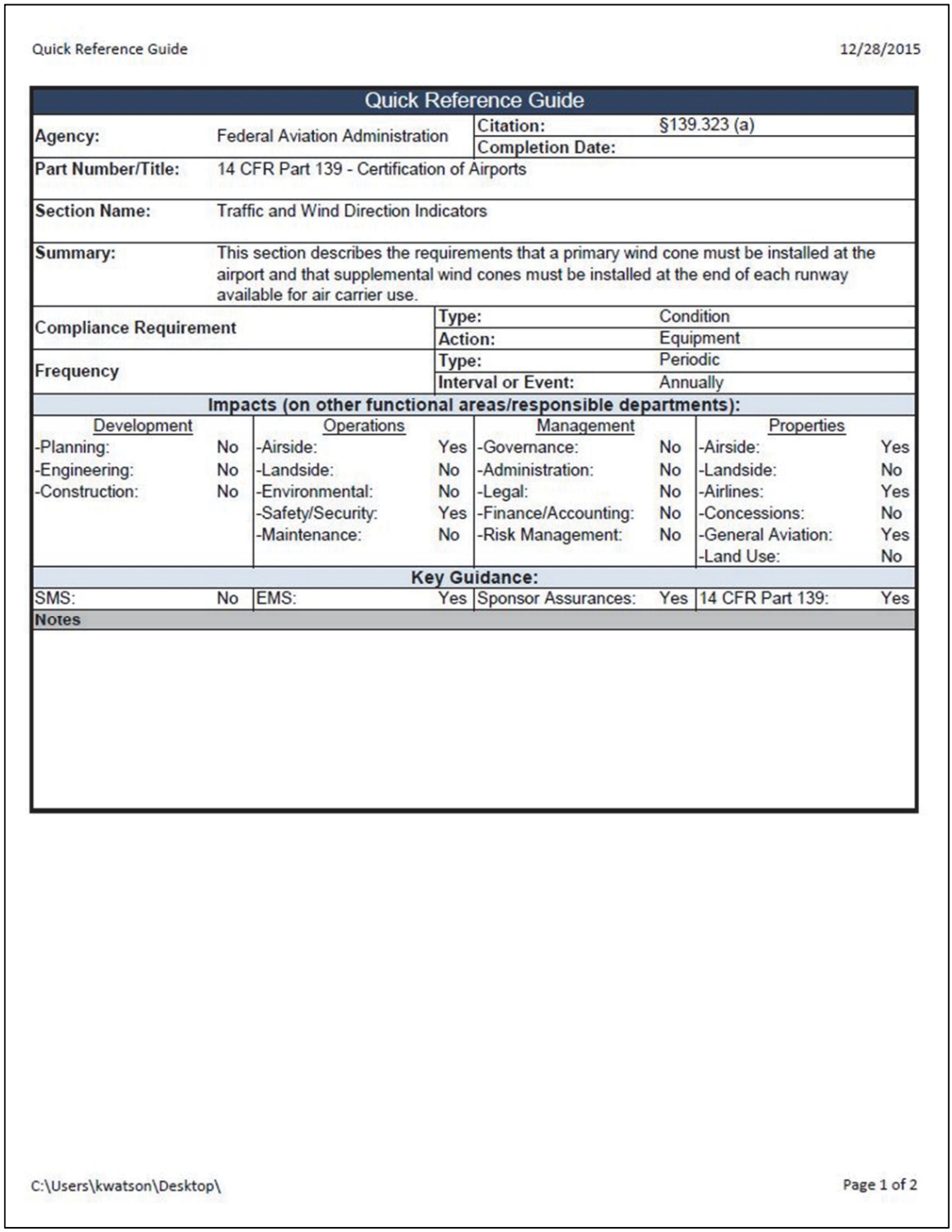
- **Column L: Interval or Event Details (if applicable)** provides the user the ability to outline additional details relating to the specific frequency type and interval/event identified in Columns J and K for the regulation.
  - Example: N/A
- **Column M: User Specific Sorting** allows the user to input a unique sorting system for the user's airport and have the ability to sort the regulations based on the input from the user.
  - Example: N/A
- **Columns N through AJ: Functional Areas** identifies the airport's common functional areas affected by or related to the regulation.
  - Example: Operations (Airside and Safety/Security) and Properties (Airside, Airlines, and General Aviation)
  - There are four common functional areas (Development, Operations, Management, and Properties). Each are subdivided into specific functional areas, defined in Section 3.2 – Airport Functional Areas.
- **Columns AK through AO: Key Guidance** identifies significant regulations due to the importance or mandate (e.g., SMS, EMS, Sponsor Assurances, and 14 CFR Part 139).
  - Example: EMS, Sponsor Assurances, and 14 CFR Part 139
- **Column AP: Assigned To** identifies the specific individual responsible for compliance with the regulation.
- **Column AQ: Completion Dates** identifies the date the compliance requirements for the regulation were completed.
- **Column AR: Compliance Due Dates** identifies the date the compliance requirements for the regulation are next due.
- **Columns AS through AY: Frequently Asked Questions** identifies questions and answers useful for the user to understand the regulation.
  - Example: Question 1, When is it required to have a segmented circle installed with a wind cone? Answer 1, For each runway with a right hand traffic pattern and for airports serving any air carrier operation.
- **Columns AZ through BC: Other Regulations** identifies regulations related to or supporting the regulation.
  - Example: Airport Sponsor Assurances, 14 CFR Part 121, and FAA Order 5280.5C Airport Certification Program Handbook
- **Columns BD through BG: Other Agency Resources** identifies resources from the overseeing agency useful for the user to understand the regulation.
  - Example: FAA Order 5190.6B FAA Airport Compliance Manual and AC 150/5345-27E Specifications for Wind Cone Assemblies
- **Columns BH through BK: Other Resources** identifies additional resources beyond the overseeing agency useful for the user to understand the regulation.
  - Example: AC 150/5200-18C Airport Safety Self-Inspection

Educational Quick Reference Guides

A user generated Quick Reference Guide can be outputted for all regulations contained within the Regulations tab or filtered to specific user filtered criteria. Each regulation contained within a Quick Reference Guide will be summarized on two pages (samples are provided in Figure 3-2 and Figure 3-3). The Agency, Citation, Completion Date, Part Number/Title and Section Name for each regulation will be repeated at the top of the second page to prevent confusion. As the regulations are intended to be updated with new and modified regulations, as appropriate, a date stamp of when a Quick Reference Guide was output will appear on the top right of each page of the Quick Reference Guide. In addition, the name of the file (input by the user) will appear on the top left of each page and the path in which the document was saved will appear on the bottom left of each page.



Quick Reference Guide 12/28/2015

Quick Reference Guide

Agency:	Federal Aviation Administration	**Citation:**	§139.323 (a)
		Completion Date:	
Part Number/Title:	14 CFR Part 139 - Certification of Airports		
Section Name:	Traffic and Wind Direction Indicators		
Summary:	This section describes the requirements that a primary wind cone must be installed at the airport and that supplemental wind cones must be installed at the end of each runway available for air carrier use.		
Compliance Requirement		**Type:**	Condition
		Action:	Equipment
Frequency		**Type:**	Periodic
		Interval or Event:	Annually

Impacts (on other functional areas/responsible departments):

Development		Operations		Management		Properties	
-Planning:	No	-Airside:	Yes	-Governance:	No	-Airside:	Yes
-Engineering:	No	-Landside:	No	-Administration:	No	-Landside:	No
-Construction:	No	-Environmental:	No	-Legal:	No	-Airlines:	Yes
		-Safety/Security:	Yes	-Finance/Accounting:	No	-Concessions:	No
		-Maintenance:	No	-Risk Management:	No	-General Aviation:	Yes
						-Land Use:	No

Key Guidance:

SMS:	No	EMS:	Yes	Sponsor Assurances:	Yes	14 CFR Part 139:	Yes

Notes

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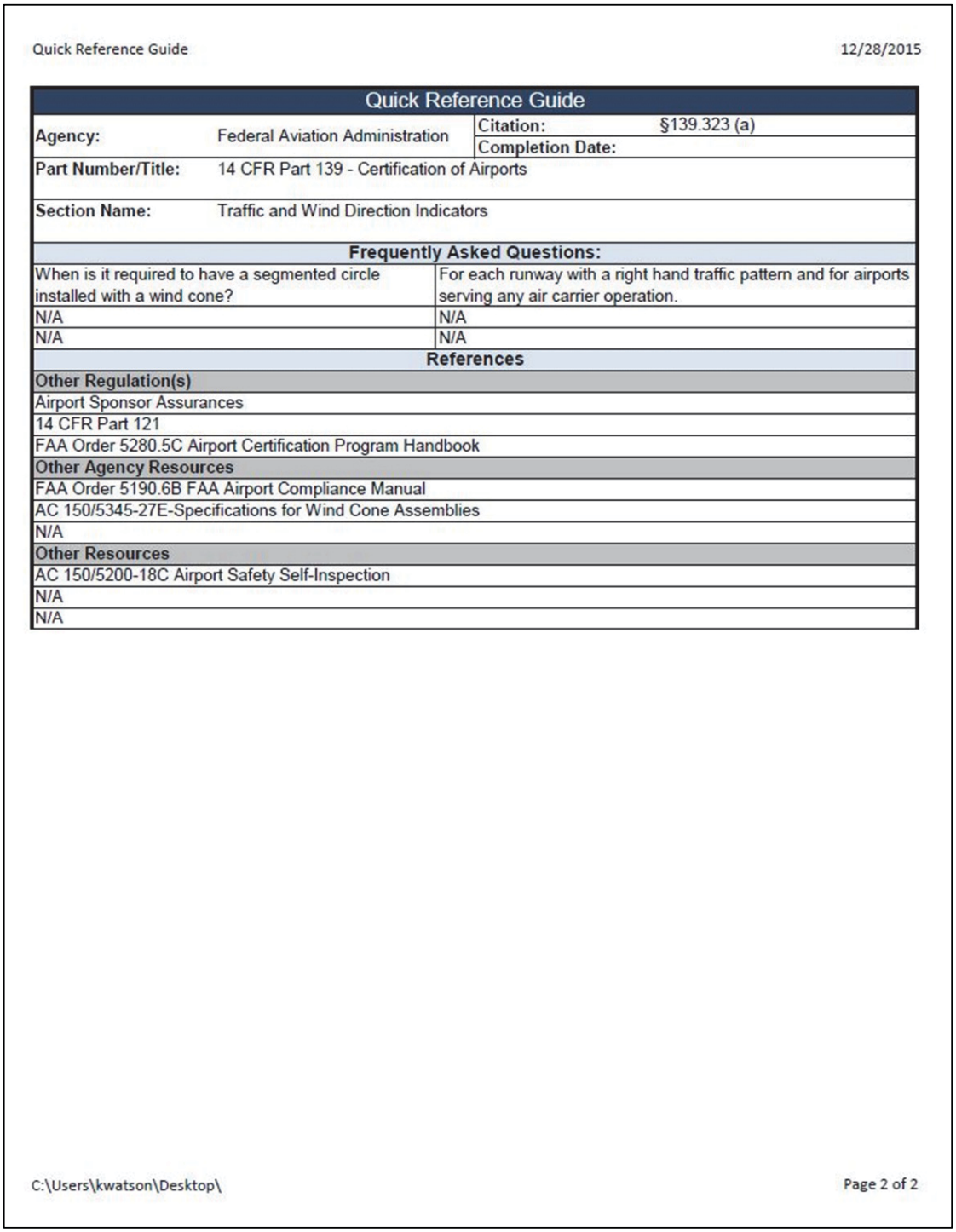
Figure 3-2. Quick Reference Guide sample (page 1).



Quick Reference Guide 12/28/2015

Quick Reference Guide			
Agency:	Federal Aviation Administration	**Citation:**	§139.323 (a)
		Completion Date:	
Part Number/Title:	14 CFR Part 139 - Certification of Airports		
Section Name:	Traffic and Wind Direction Indicators		

Frequently Asked Questions:	
When is it required to have a segmented circle installed with a wind cone?	For each runway with a right hand traffic pattern and for airports serving any air carrier operation.
N/A	N/A
N/A	N/A
References	
Other Regulation(s)	
Airport Sponsor Assurances	
14 CFR Part 121	
FAA Order 5280.5C Airport Certification Program Handbook	
Other Agency Resources	
FAA Order 5190.6B FAA Airport Compliance Manual	
AC 150/5345-27E-Specifications for Wind Cone Assemblies	
N/A	
Other Resources	
AC 150/5200-18C Airport Safety Self-Inspection	
N/A	
N/A	

C:\Users\kwatson\Desktop\ Page 2 of 2

Figure 3-3. Quick Reference Guide sample (page 2).

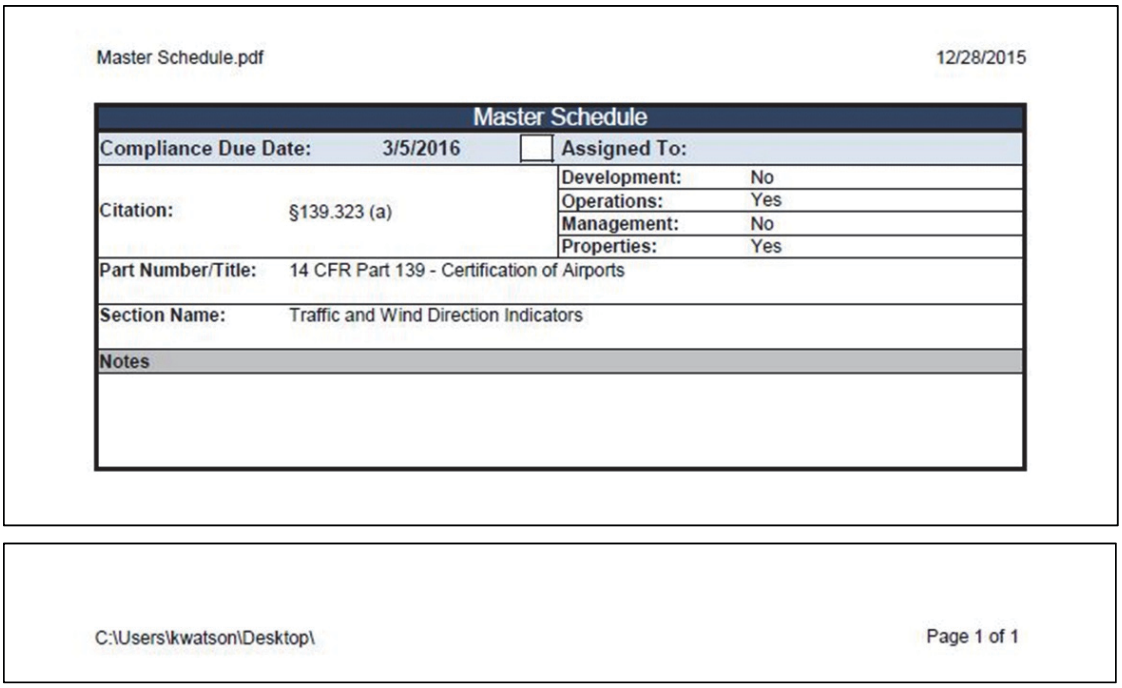


Figure 3-4. Master Schedule sample.

Compliance Master Schedules

A user generated compliance Master Schedule can be outputted for all upcoming compliance due dates for the regulations contained within the Regulations tab or filtered to specific user filtered criteria. The Master Schedules are based on the upcoming compliance dates inserted into the RCM Tool by the user (e.g., only those regulations with a specific compliance due date will be identified on the Master Schedule). For example, if a regulation requires a specific activity on an annual basis, the user has the ability to enter a date one year from the most recent date of compliance.

Using the information input by the user, the Master Schedules provide airport management and staff with a checklist of the upcoming compliance due dates and the specific individuals responsible for compliance based on the filter selections of the user. These Master Schedules are organized in a sequential manner based on the upcoming compliance due dates. The Master Schedule can either be viewed within the RCM Tool on the Master Schedule tab, saved as an editable Excel file to allow users to make further changes, or saved as a PDF (similar to the Quick Reference Guide). Each regulation identified with a compliance due date on the Master Schedule is accompanied by the applicable regulation information for ease of reference with additional space where users can add notes pertaining to compliance with the regulation. A date stamp showing when a Master Schedule PDF was created will appear on the top right of each page of the Master Schedule. In addition, the name of the file (input by the user) will appear on the top left of each page and the path in which the document was saved will appear on the bottom left of each page. An example of the Master Schedule PDF is shown in Figure 3-4.

3.4 Using the RCM Tool

Once the RCM Tool is launched, users will be greeted with a flash message regarding the security settings specific to the version of Microsoft Excel utilized by the user. If using Excel 2007–2013, users should click Options in the Security Warning section and then select "Enable

this content." If using Excel 2002–2003, users should close the file and re-open to enable macros. It is highly recommended that the RCM Tool be used on a Microsoft operating system to take advantage of the full functionality of the RCM Tool.

The RCM Tool consists of five tabs (Home, Regulations, Master Schedule, Manage Regulations, and Lists) all located in the bottom left corner of the window (see Figure 3-5). Use of each tab of the RCM Tool is further described in this section.

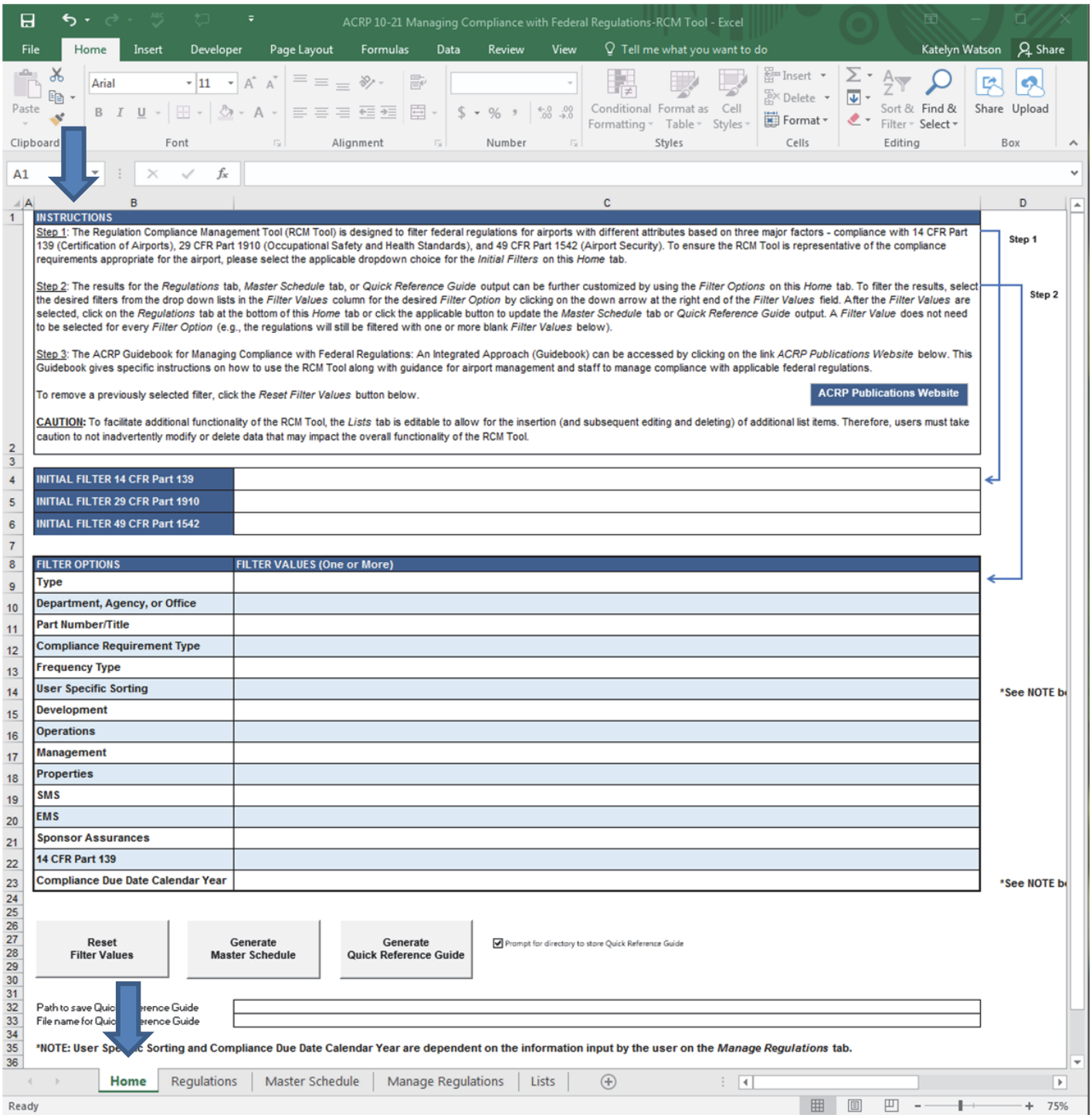


Figure 3-5. Home tab instructions.

Home Tab

Users will begin on the Home tab of the RCM Tool. The Home tab allows the user to filter the regulations by specific user filter criteria. As indicated in Figure 3-5, additional instructions are located at the top of the Home tab to explain the process for filtering the regulations so only those regulations desired by the user are visible on the Regulations tab, on the Master Schedule tab, or within the Quick Reference Guide output.

- The following filters can be used to filter the results for the Regulations tab, Master Schedule tab, or Quick Reference Guide output. To filter the results, select the applicable Initial Filters to differentiate between the compliance elements appropriate for the airport. Once the Initial Filters are chosen, select the desired filters from the dropdown lists in the Filter Values column for the desired Filter Option by clicking on the down arrow at the right end of the Filter Value field. After the Filter Values are selected, click on the Regulations tab at the bottom or click the applicable button to update the Master Schedule tab or Quick Reference Guide output. A blank filter value will not restrict the related filter options.

  To remove a previously selected filter, click the Reset Filter Values button or select the desired cell in the Filter Values column and click delete on the keyboard. When adding or updating any regulations on the Manage Regulations tab, click the Reset Filter Values button on the Home tab to update the applicable Filter Values.

  Below the instructions on the Home tab are Initial Filters, Filter Options, and Filter Values.

- The Initial Filters differentiates airports based on three major factors – compliance requirements related to 14 CFR Part 139 (Certification of Airports), 29 CFR Part 1910 (Occupational Safety and Health Standards), and 49 CFR Part 1542 (Airport Security).
  - The Initial Filters represent major factors that are not likely to change on a regular basis. As such, the initial filters do not reset when clicking the Reset Filter Values button.
  - If a change is needed to any of the Initial Filters, please reselect the applicable dropdown options under the Initial Filters.
- The Filter Options column identifies the options available for a user to filter the regulations on the Regulations tab, on the Master Schedule tab, or within Quick Reference Guide output.
- The Filter Values column consists of dropdown lists available for the user to filter the regulations. It is significant to note the functionality of some of the Filter Options are as follows:
  - Each dropdown list (unless otherwise noted) is dependent on the information on the Regulations tab or Lists tab.
  - Only the regulations meeting every Filter Value selected will be displayed on the Regulations tab, on the Master Schedule tab, or within the Quick Reference Guide output.
  - The options for the Filter Values for the "User Specific Sorting" (Filter Option) are dependent on the information input by the user on the Manage Regulations tab. When information is added to these rows, the options for the Filter Values will be automatically populated when the Reset Filter Values button is selected.
  - The options for the Filter Values for the "Compliance Due Dates Calendar Year" (Filter Option) are dependent on the information input by the user in the Manage Regulations tab. When information is added to these rows, the options for the Filter Values will be automatically populated and will automatically convert to a calendar year when the Reset Filter Values button is selected.

After the Filter Values are selected from the various dropdown lists, the user can view the results on the Regulations tab, as indicated in Figure 3-6.

Special Notes

As noted on the Home tab, the User Specific Sorting and Compliance Due Date filters on the Home tab are dependent on the information input by the user on the Manage Regulations

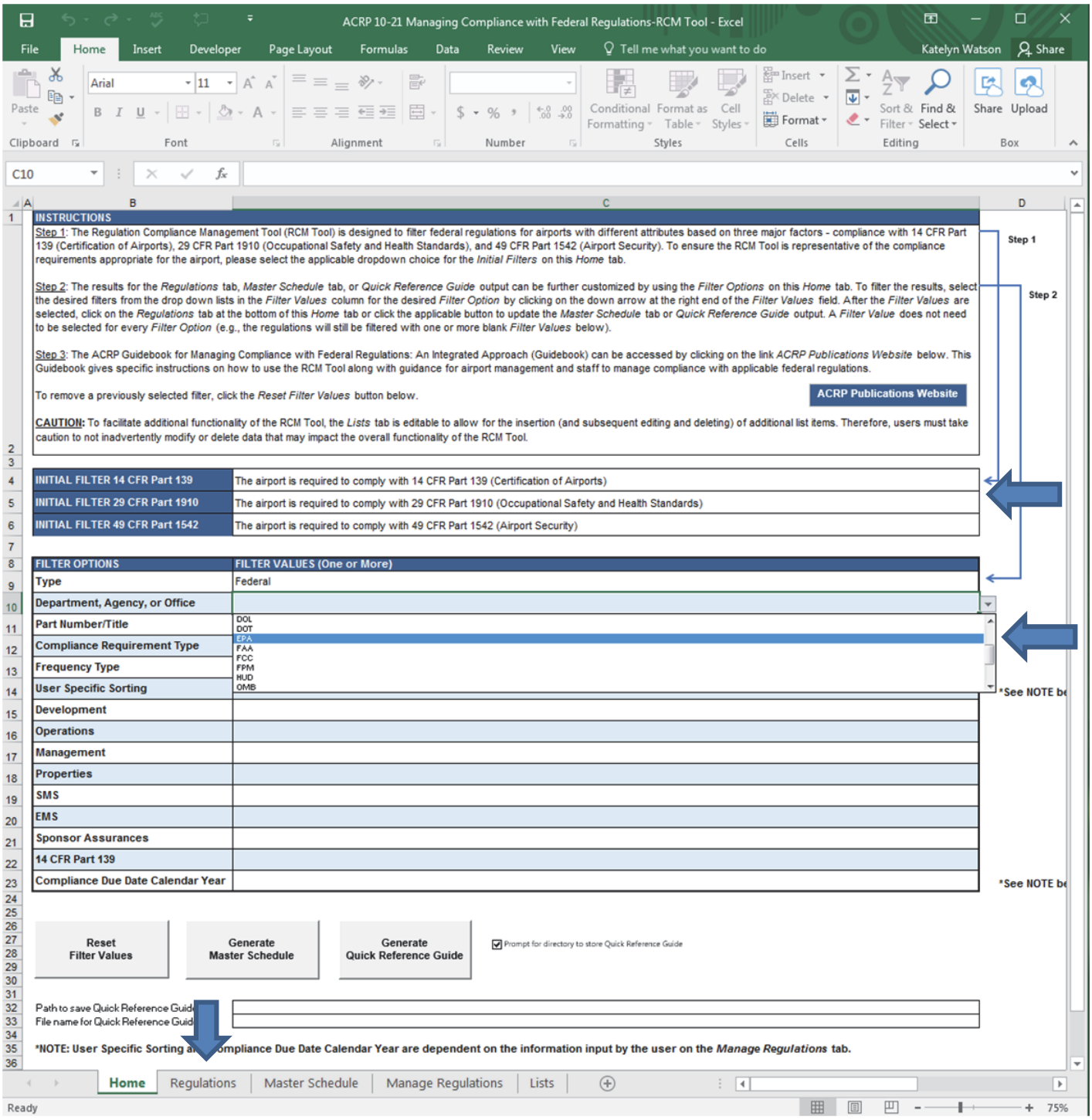


Figure 3-6. Home tab – applying filters.

tab. The Manage Regulations tab allows users to add new regulations and update existing regulations as needed. If modifications need to be made to existing regulations, the user can follow the directions on use of the Manage Regulations tab (as discussed in the Manage Regulations tab section). The information input by the user on the Manage Regulations tab will automatically update the Regulations tab. These areas on the Home tab are identified in Figure 3-7.

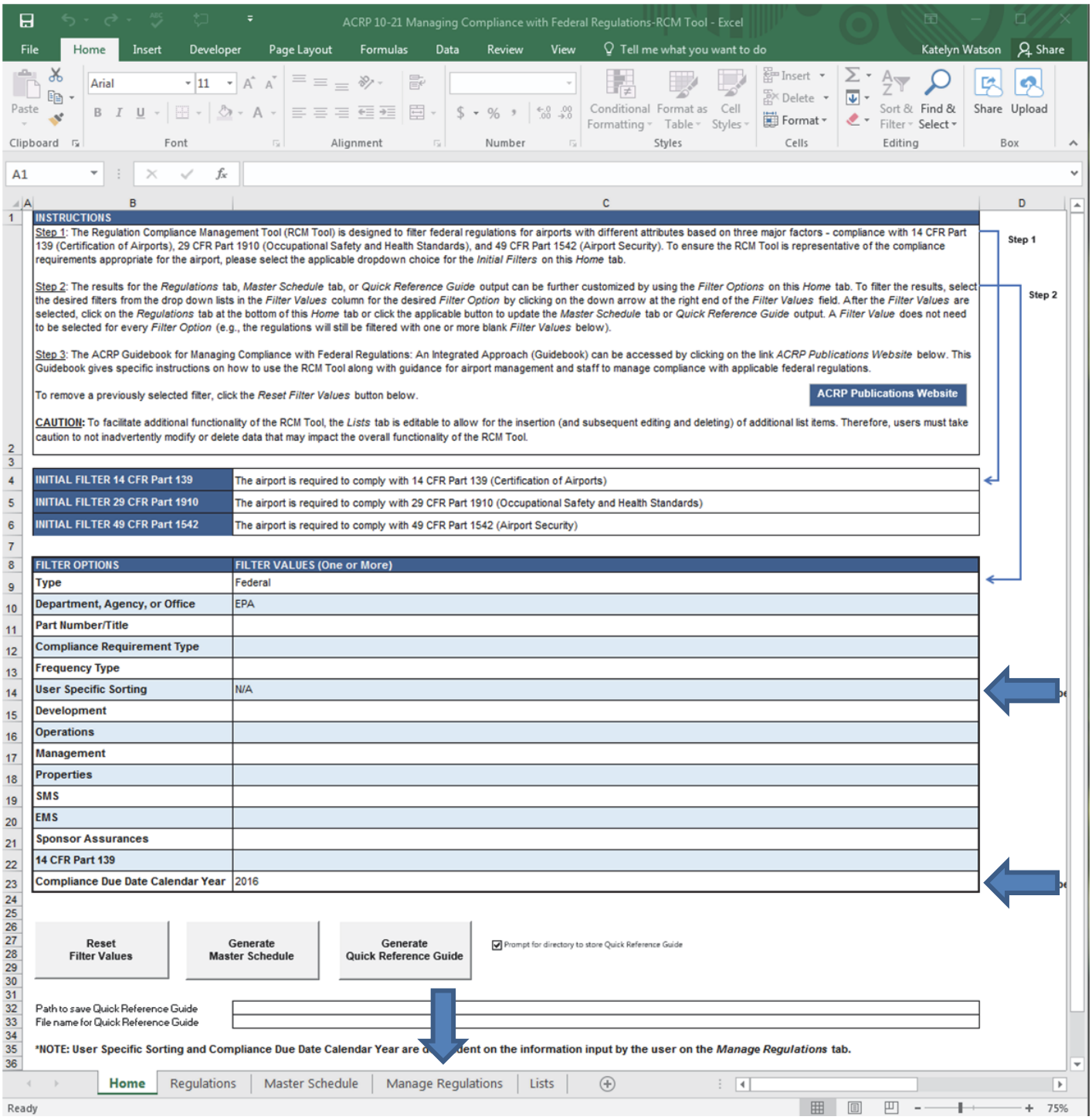


Figure 3-7. Home tab – notes.

Reset Filters

The Reset Filter Values button allows users to reset previously selected Home tab filters applied to the Regulations tab. When the button is selected, all Filter Values will be removed (with the exception of the Initial Filters) to allow new filters to be selected and the Regulations tab will show all regulations contained within the RCM Tool. This button is shown in Figure 3-8. It is significant to note that information input by the user on the Manage Regulations tab will not be deleted

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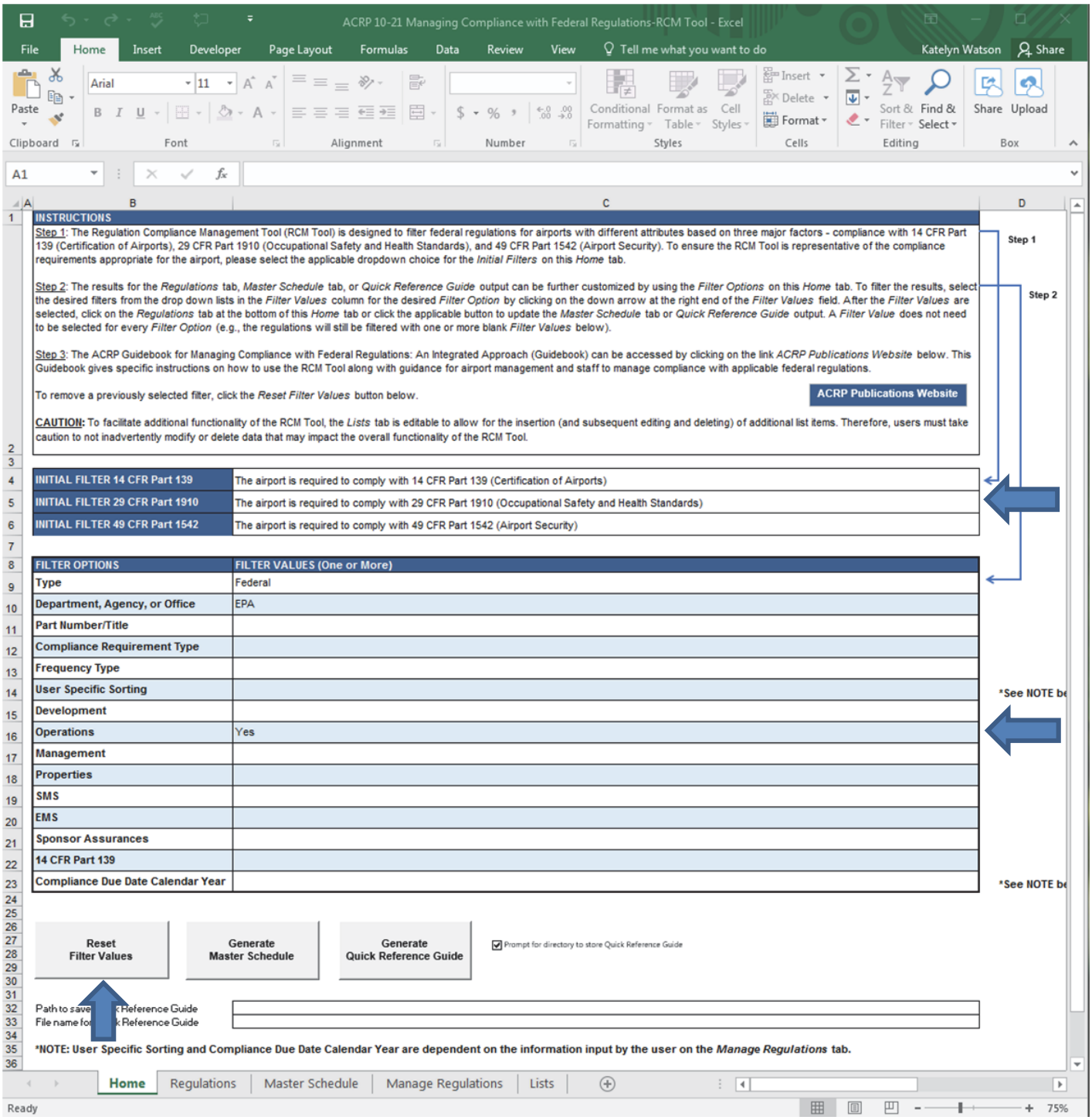

Figure 3-8. Home tab – Reset Filter Values.

from the RCM Tool when the Reset Filter Values button is selected. If new information needs to be updated on the Regulations tab, the user will need to insert, modify, or delete information in those specific areas on the Manage Regulations tab.

Generate Master Schedule

The Generate Master Schedule button allows users to apply the Home tab filters to the Master Schedule tab. When the button is selected, only the filtered regulations with a compliance due

date, inserted by the user on the Manage Regulations tab, will be displayed on the Master Schedule tab. Using the example in Figure 3-9, only federal regulations for the EPA pertaining to the operations functional area of the airport with a compliance due date will be displayed on the Master Schedule tab.

After selecting the Generate Master Schedule button, the user will automatically be redirected to the Master Schedule tab which will display a Master Schedule (as discussed in the Master Schedules Tab section) for the filtered regulations with a compliance due date.

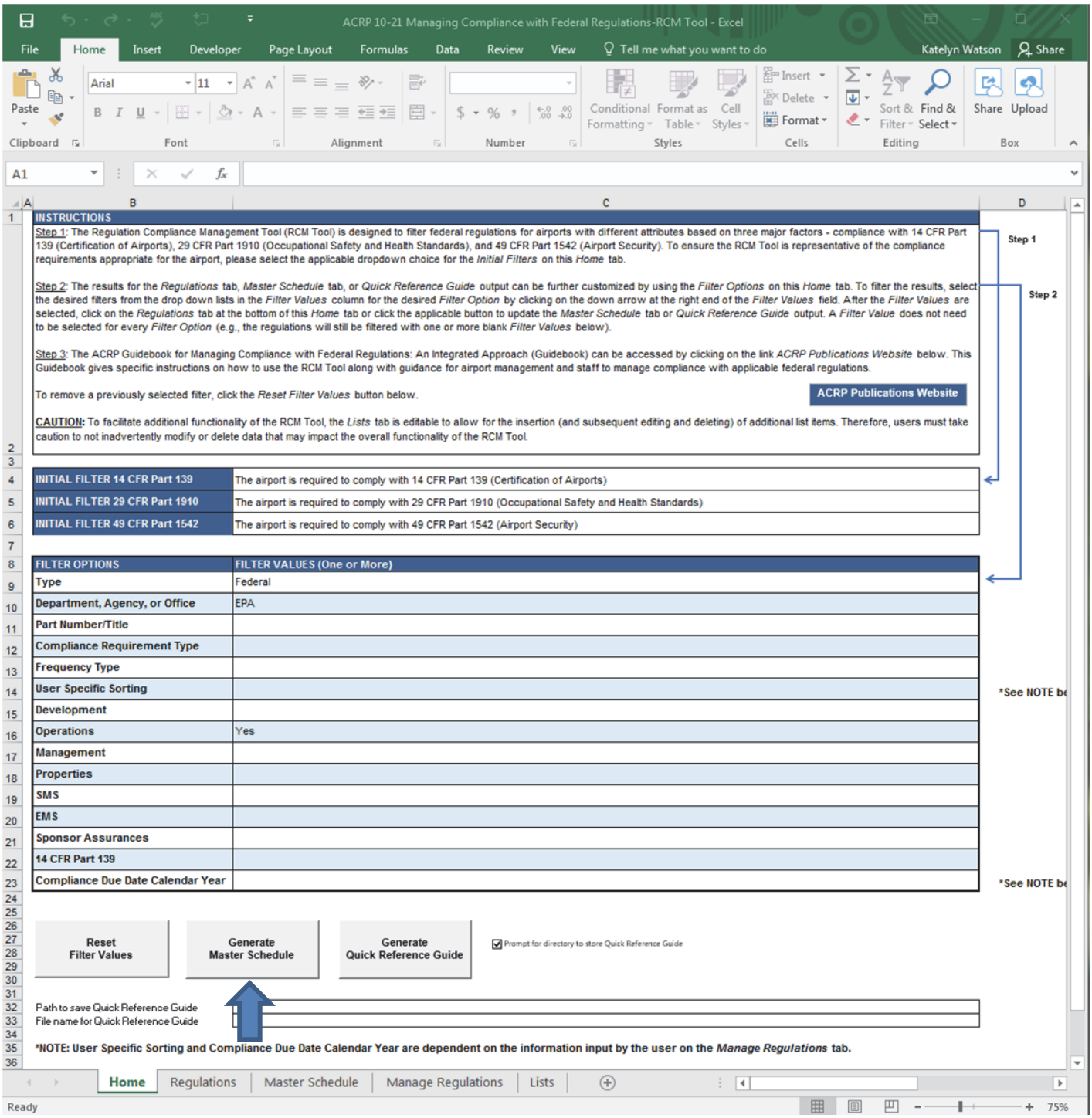

Figure 3-9. Home tab – Generate Master Schedule.

Generate Quick Reference Guide

The Generate Quick Reference Guide button allows users to apply the Home tab filters to the Quick Reference Guide. When the button is selected, only the filtered regulations will be included in the Quick Reference Guide output. Using the example in Figure 3-10, only federal regulations for the EPA pertaining to the operations functional area of the airport and with a compliance due date will be displayed in the Quick Reference Guide output.

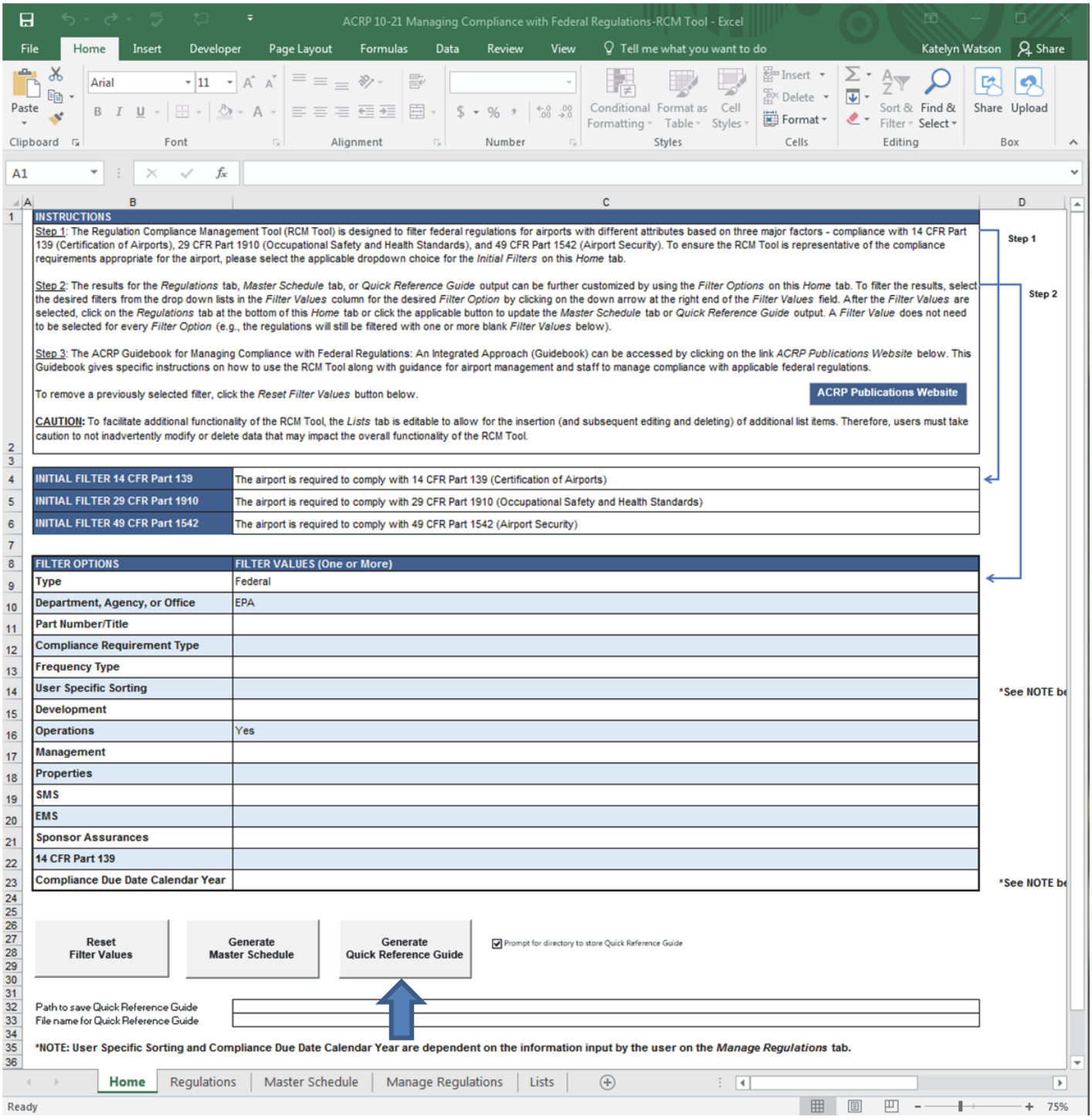

Figure 3-10. Home tab – Generate Quick Reference Guide.

The RCM Tool will automatically save the Quick Reference Guide output as a PDF document. Initially, the RCM Tool will be set to save the Quick Reference Guide output to the same folder that the RCM Tool file is saved on the user's computer. As identified in Figure 3-11, an optional checkbox is provided to allow the user to identify a new folder to save the Quick Reference Guide output after the Generate Quick Reference Guide button is selected. In order to save the Quick Reference Guide, the user must insert a file name in the File Name for Quick Reference Guide box.

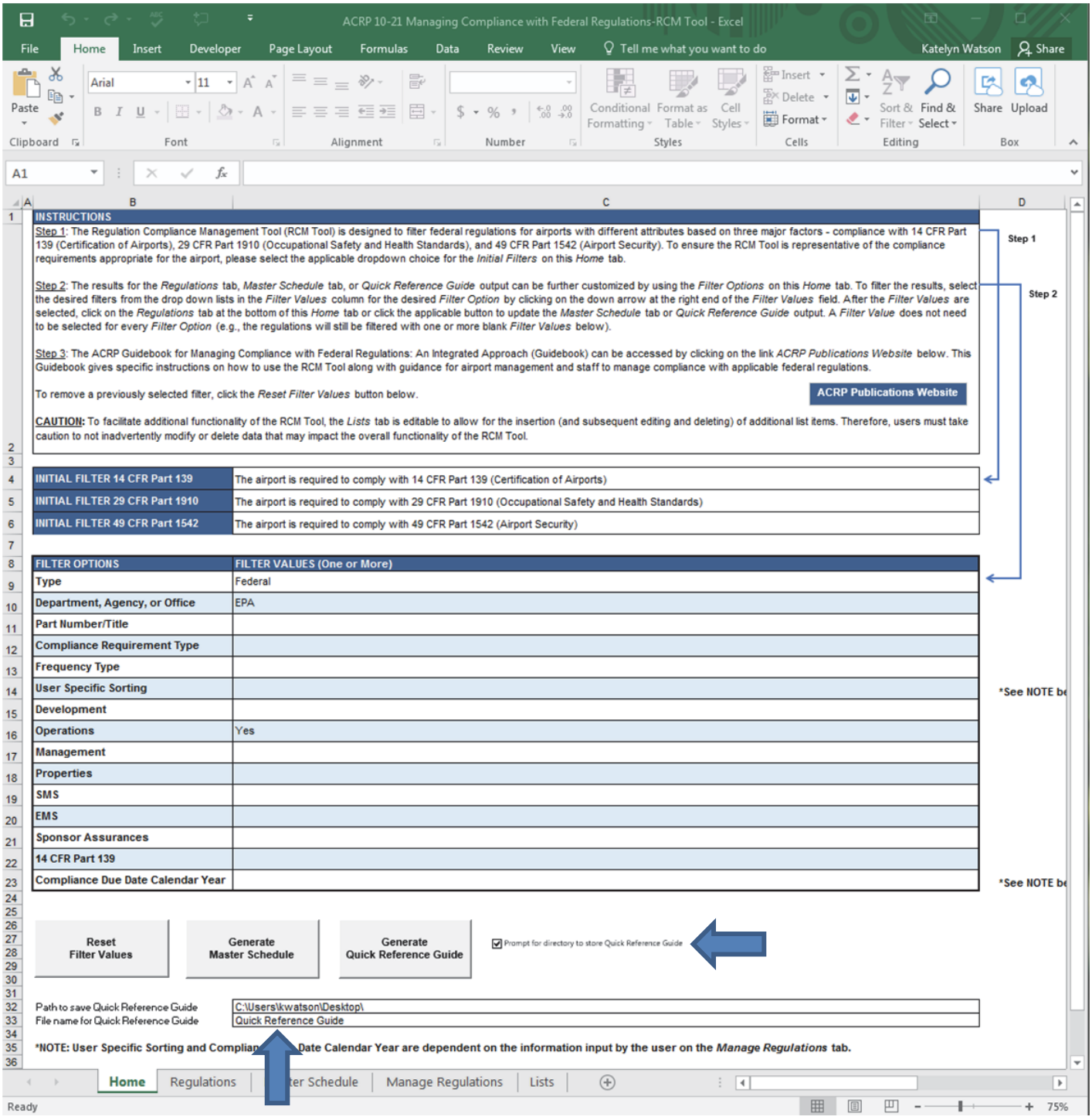

Figure 3-11. Home tab – saving Quick Reference Guide output.

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Regulations Tab

After the user selects all desired Filter Values on the Home tab and then clicks on the Regulations tab, the Regulations tab will be updated with regulations that meet all of the selected Filter Values. Each individual regulation on the Regulations tab is contained within one row of the Microsoft Excel spreadsheet. The user can scroll horizontally through the Regulations tab to review all information associated with the individual regulation. Column headings located in Row 1 (which are defined in Section 3.3) assist the user with understanding the corresponding information.

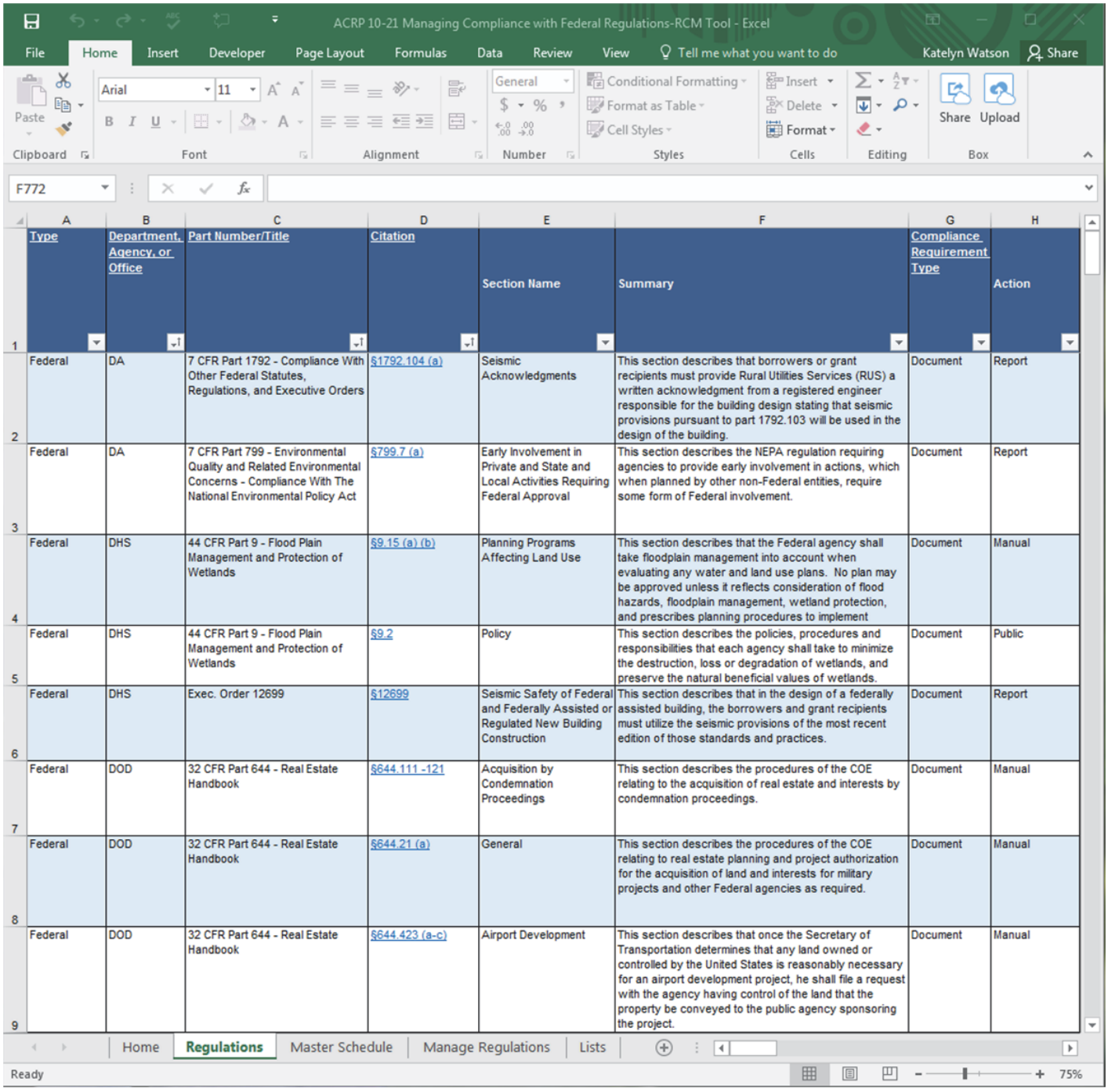
As partially identified in Figure 3-12, Columns (A–M) consist of (A) Type; (B) Department, Agency, or Office; (C) Part Number/Title; (D–F) Citation, Section Name, and Summary; (G–I) Compliance Requirement Type, Action, and Action Details (if applicable); (J–L) Frequency Type, Interval or Event, and Interval or Event Details (if applicable); and (M) User Specific Sorting.

Columns N–AJ identify the common and specific Functional Areas of an airport as described in Section 3.3 and are highlighted in either dark gray or light gray to enhance readability. The dark gray columns (Column N, R, X, and AD) identify the common functional areas of an airport while the light gray columns identify the specific functional areas within each common functional area. The dark gray columns will indicate if any light gray columns (the related specific functional areas) are impacted by including a Yes as identified in Figure 3-13.

The remaining columns on the Regulations tab of the RCM Tool consist of the following: Columns AK–AO consist of the Key Guidance elements; Columns AP–AR consist of the Assigned To, Completion Dates, and Compliance Due Dates which can be completed by the user in the Manage Regulations tab and will serve as the basis for creating the Master Schedule; Columns AS–AY consist of the Frequently Asked Questions and Answers; Columns AZ–BC provide hyperlinks to Other Regulations; Columns BD–BG provide hyperlinks to Other Agency Resources; and Columns BH–BK provide hyperlinks to Other Resources.

Master Schedule Tab

The Master Schedule tab displays a timeline of Compliance Due Dates (Column AQ) and the associated regulation information from the Regulations tab. After the user inputs applicable compliance due dates in the Compliance Due Dates row (Row 52) on the Manage Regulations tab, the user can return to the Home tab, click on the Reset Filter Values button to apply the information added, and then proceed to select the desired Filter Values and Compliance Due Dates Calendar Year. After completing the desired Filter Values, the user can select the Generate Master Schedule button and will automatically be redirected to the Master Schedule tab. The Master Schedule will be updated to display the compliance due dates and associated regulations in chronological order. Each regulation has a checkbox next to the compliance due date and an additional space for users to add notes pertaining to the specific regulation. The Master Schedule can either be viewed within the RCM Tool, saved as an editable Excel file to allow users to make further changes, or can be saved as a PDF (similar to the Quick Reference Guide). If the user decides to begin inserting information into the editable cells, the information will be saved and exported when the Save as Excel button is selected. To save the Master Schedule, the user must insert a file name in the "File name for Master Schedule" box and then select either the Save as PDF button or the Save as Excel button. Initially, the RCM Tool will be set to save the Master Schedule PDF and the Master Schedule Excel file to the same folder that the RCM Tool file is saved on the user's computer. As identified in Figure 3-14, an optional checkbox is provided to allow the user to identify a new folder to save the Master Schedule PDF and the Master Schedule Excel file.



	A	B	C	D	E	F	G	H
1	Type	Department, Agency, or Office	Part Number/Title	Citation	Section Name	Summary	Compliance Requirement Type	Action
2	Federal	DA	7 CFR Part 1792 - Compliance With Other Federal Statutes, Regulations, and Executive Orders	§1792.104 (a)	Seismic Acknowledgments	This section describes that borrowers or grant recipients must provide Rural Utilities Services (RUS) a written acknowledgment from a registered engineer responsible for the building design stating that seismic provisions pursuant to part 1792.103 will be used in the design of the building.	Document	Report
3	Federal	DA	7 CFR Part 799 - Environmental Quality and Related Environmental Concerns - Compliance With The National Environmental Policy Act	§799.7 (a)	Early Involvement in Private and State and Local Activities Requiring Federal Approval	This section describes the NEPA regulation requiring agencies to provide early involvement in actions, which when planned by other non-Federal entities, require some form of Federal involvement.	Document	Report
4	Federal	DHS	44 CFR Part 9 - Flood Plain Management and Protection of Wetlands	§9.15 (a) (b)	Planning Programs Affecting Land Use	This section describes that the Federal agency shall take floodplain management into account when evaluating any water and land use plans. No plan may be approved unless it reflects consideration of flood hazards, floodplain management, wetland protection, and prescribes planning procedures to implement	Document	Manual
5	Federal	DHS	44 CFR Part 9 - Flood Plain Management and Protection of Wetlands	§9.2	Policy	This section describes the policies, procedures and responsibilities that each agency shall take to minimize the destruction, loss or degradation of wetlands, and preserve the natural beneficial values of wetlands.	Document	Public
6	Federal	DHS	Exec. Order 12699	§12699	Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction	This section describes that in the design of a federally assisted building, the borrowers and grant recipients must utilize the seismic provisions of the most recent edition of those standards and practices.	Document	Report
7	Federal	DOD	32 CFR Part 644 - Real Estate Handbook	§644.111 -121	Acquisition by Condemnation Proceedings	This section describes the procedures of the COE relating to the acquisition of real estate and interests by condemnation proceedings.	Document	Manual
8	Federal	DOD	32 CFR Part 644 - Real Estate Handbook	§644.21 (a)	General	This section describes the procedures of the COE relating to real estate planning and project authorization for the acquisition of land and interests for military projects and other Federal agencies as required.	Document	Manual
9	Federal	DOD	32 CFR Part 644 - Real Estate Handbook	§644.423 (a-c)	Airport Development	This section describes that once the Secretary of Transportation determines that any land owned or controlled by the United States is reasonably necessary for an airport development project, he shall file a request with the agency having control of the land that the property be conveyed to the public agency sponsoring the project.	Document	Manual

Figure 3-12. Regulations tab – column headings.

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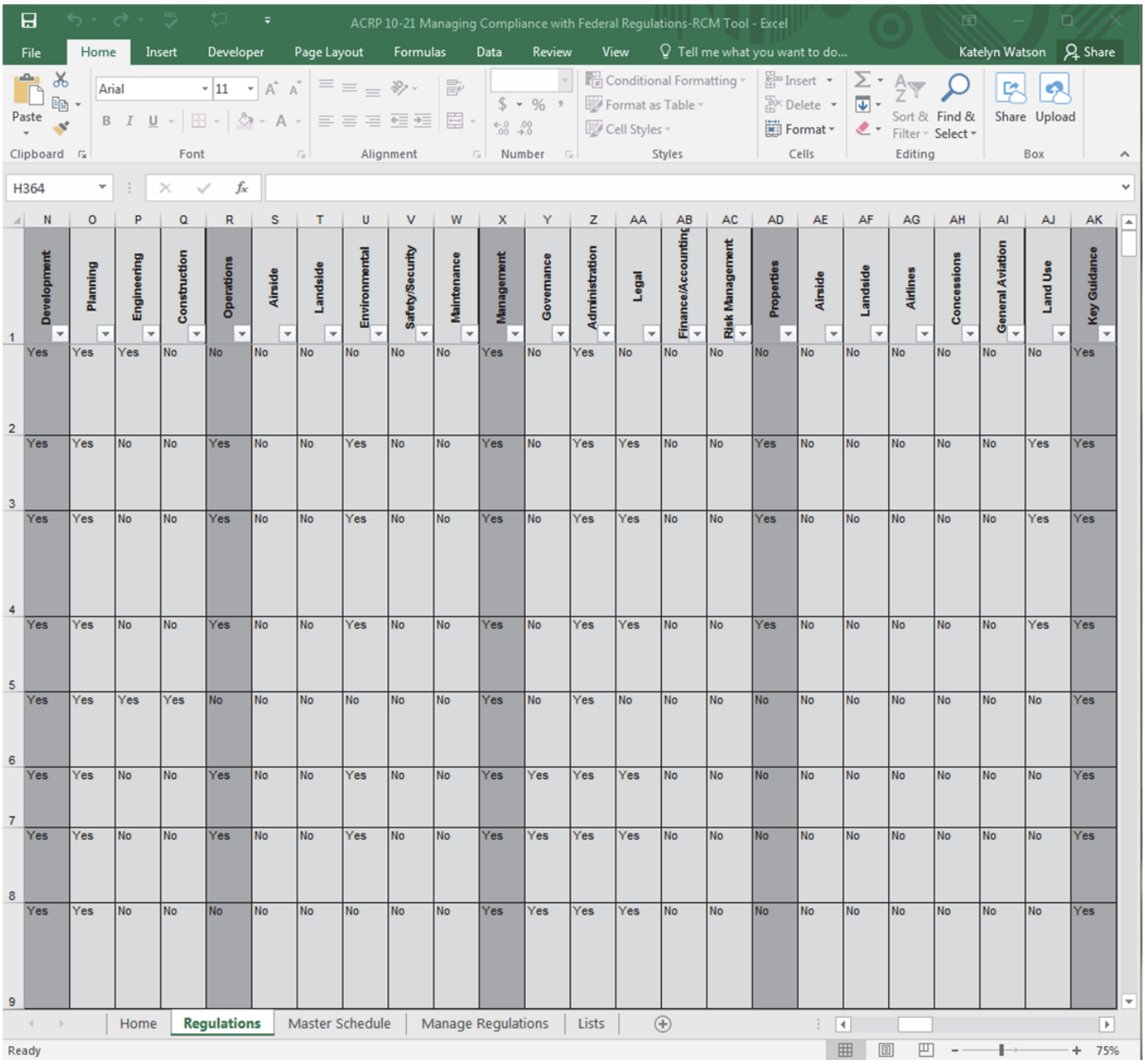

Figure 3-13. Regulations tab – functional areas.

Manage Regulations Tab

As new applicable regulations are adopted and existing applicable regulations are modified, RCM Tool users can add new and/or update existing regulations on the Manage Regulations tab.

Adding New Regulations

When adding new regulations, users will follow the steps listed in Column A of the Manage Regulations tab. Prior to adding new information, the user should click the Clear button to ensure an existing regulation is not being modified. A prompt may appear asking the user to click the Reset Filter Values button before beginning. If so, select the Home tab and click the Reset

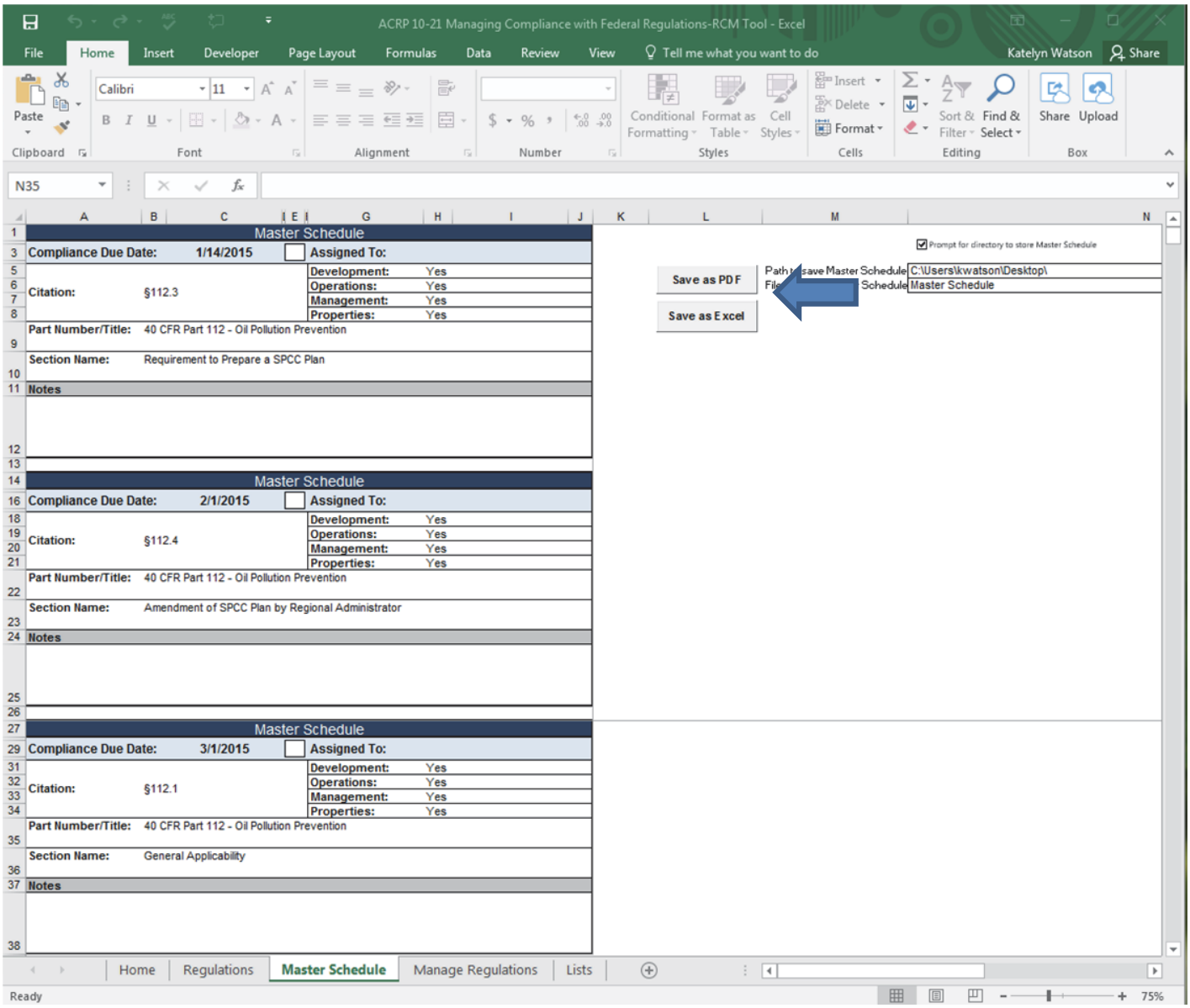

Figure 3-14. Master Schedule tab – updating Master Schedule.

Filter Values button. To add a new regulation, the user will insert applicable information in each cell of Column B. Cells that are white indicate a dropdown menu can be used to input applicable information. Cells that are highlighted in peach indicate that the user should manually input applicable information. The cells highlighted in gray identify the main Functional Areas in the Regulations tab and are not necessary to complete. Once all necessary cells are completed, the user will then click on the Update button in Column B as identified in Figure 3-15. After selecting the Update button, the user should return to the Home tab and select the Reset Filter Values button to apply the new regulation to the Regulations tab.

Modifying Existing Regulations

When modifying an existing regulation, users will follow the steps listed in Column C of the Manage Regulations tab. The dropdown located to the right of the listed steps will allow the user to choose the desired existing regulation. When a regulation is selected from the dropdown, the

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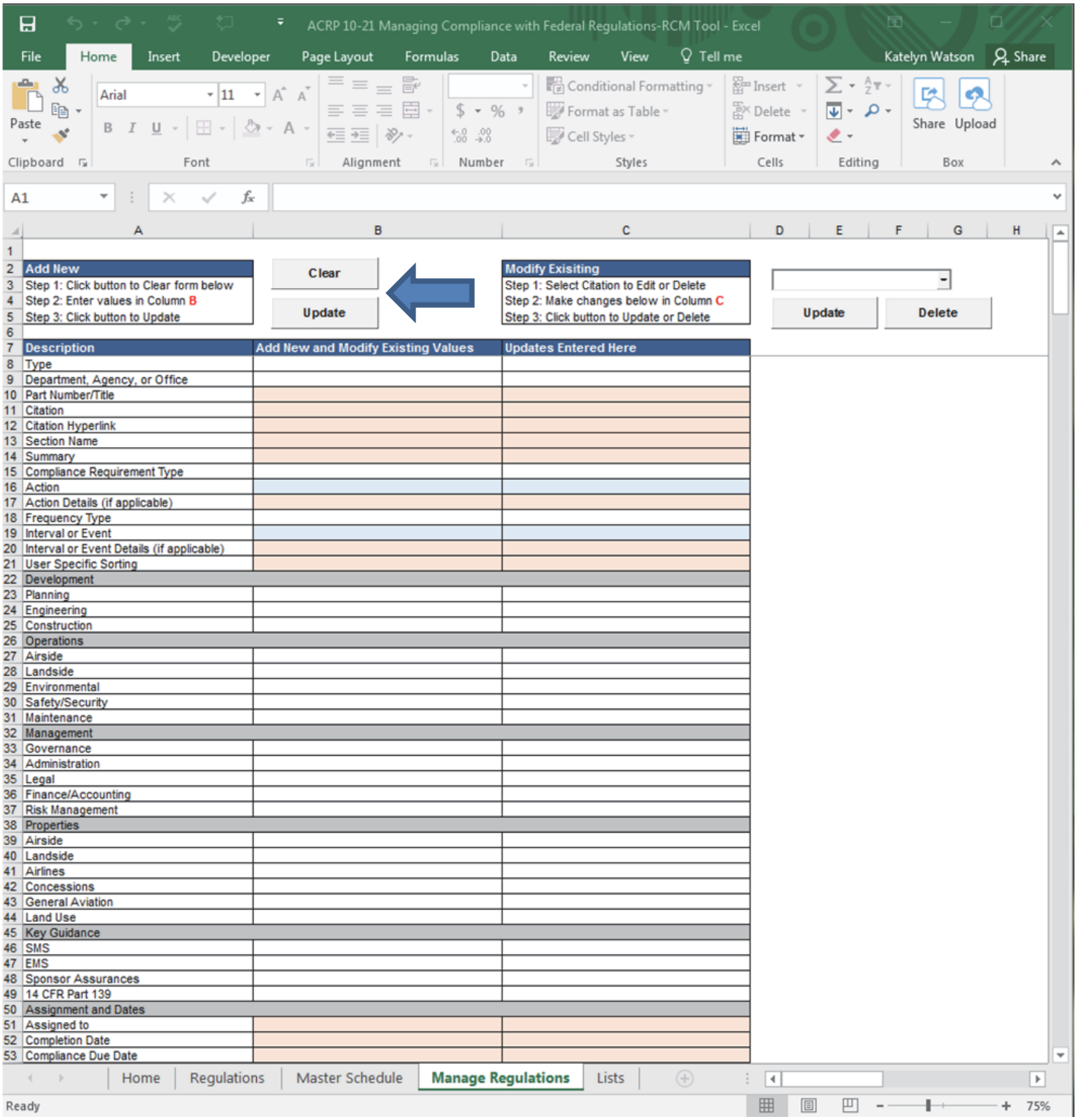

Figure 3-15. Master Regulations tab – adding new regulations.

selected regulation will automatically show in the Add New and Modify Existing Values column (Column B). The user is now able to update any element of the selected regulation. Cells that are white indicate a dropdown menu that will be used to input applicable information. Cells that are highlighted peach indicate that the user should manually input applicable information. The cells highlighted in gray identify the main Functional Areas in the Regulations tab and are not necessary to complete. Once all updates are complete, the user will then click on the Update

button in Column D as identified in Figure 3-16. After selecting the Update button, the user should return to the Home tab and select the Reset Filter Values button to apply the new updates to the Regulations tab.

Dependencies of Dropdown Lists

To ensure consistency and full functionality of the RCM Tool, certain rows of the Manage Regulations tab include dropdown lists with subsequent rows containing associated dependent dropdown lists. For example, Row 9 (Department, Agency, or Office) is dependent on Row 8 (Type). If federal is selected from the dropdown list in Row 8, Row 9 will include the associated

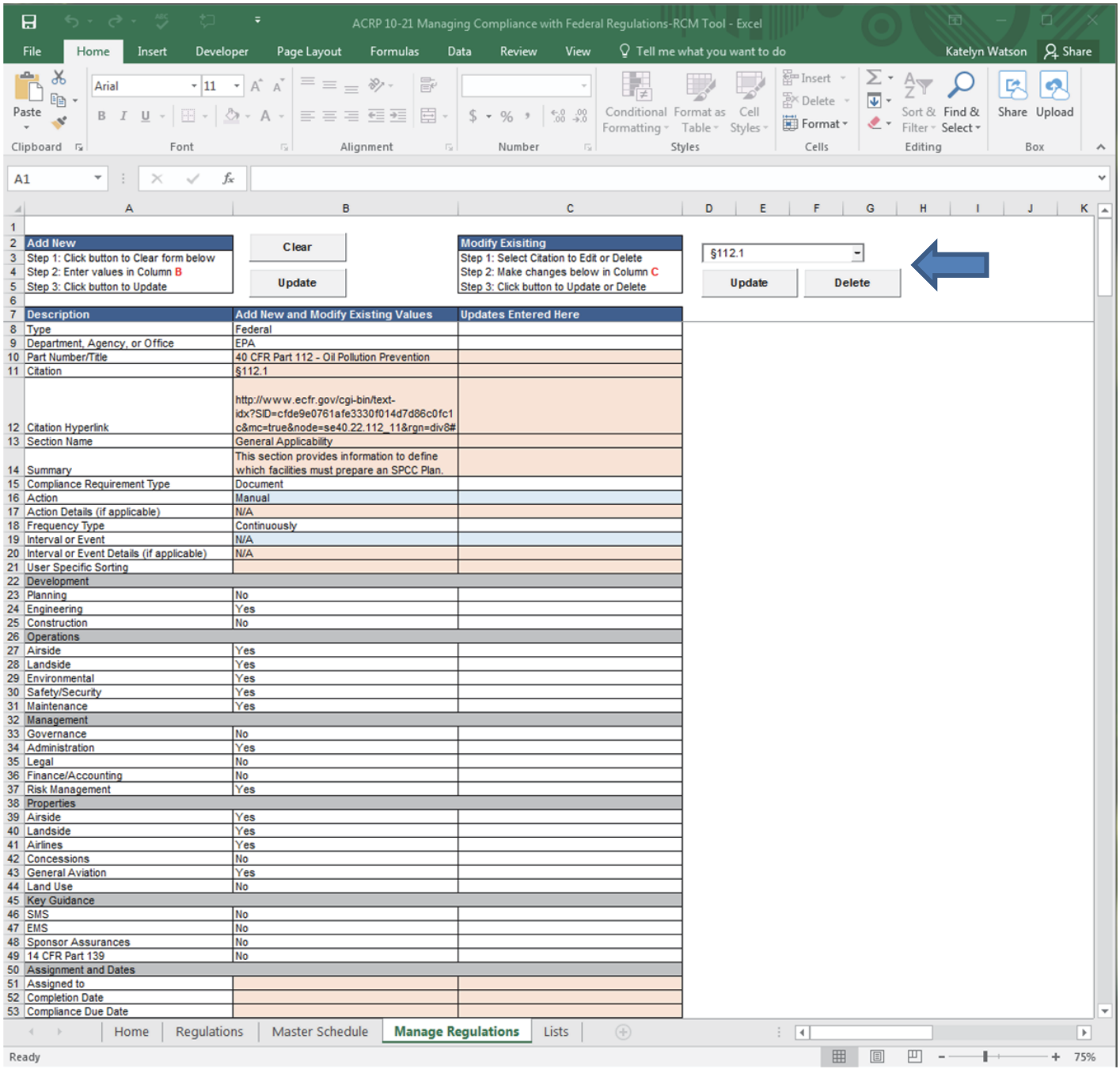

Figure 3-16. Master Regulations tab – modifying existing regulations.

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Type	Department, Agency, or Office
Federal	DA
State	DHS
Local	DOD
	DOE
	DOI
	DOJ
	DOL
	DOT
	EPA
	FAA
	FCC
	FPM
	HUD
	OMB
	OPM
	OSHA
	TSA
	U.S.C.

Compliance Requirement Type	Action
Document	Manual
	Plan
	Report
	Agreement
	Public
	License/Permit
Review	Inspection
	Audit
	Surveillance
	Observation
	Testing
	Sampling
Exercise	Training
	Drill
	Simulation
Notification	NOTAM
	FAA
	Public
	Staff
	Agreement
	Air Carriers
	Permit
Condition	Facility
	Vehicle
	Equipment
	Staffing
Other	Other (specify)

Frequency Type	Interval or Event
Continuously	N/A
Periodic	Daily
	Weekly
	Monthly
	Quarterly
	Semi-annually
	Annually
	Biannually
	Triannually
	Other (specify)
Trigger	Event
	Other (specify)
	N/A

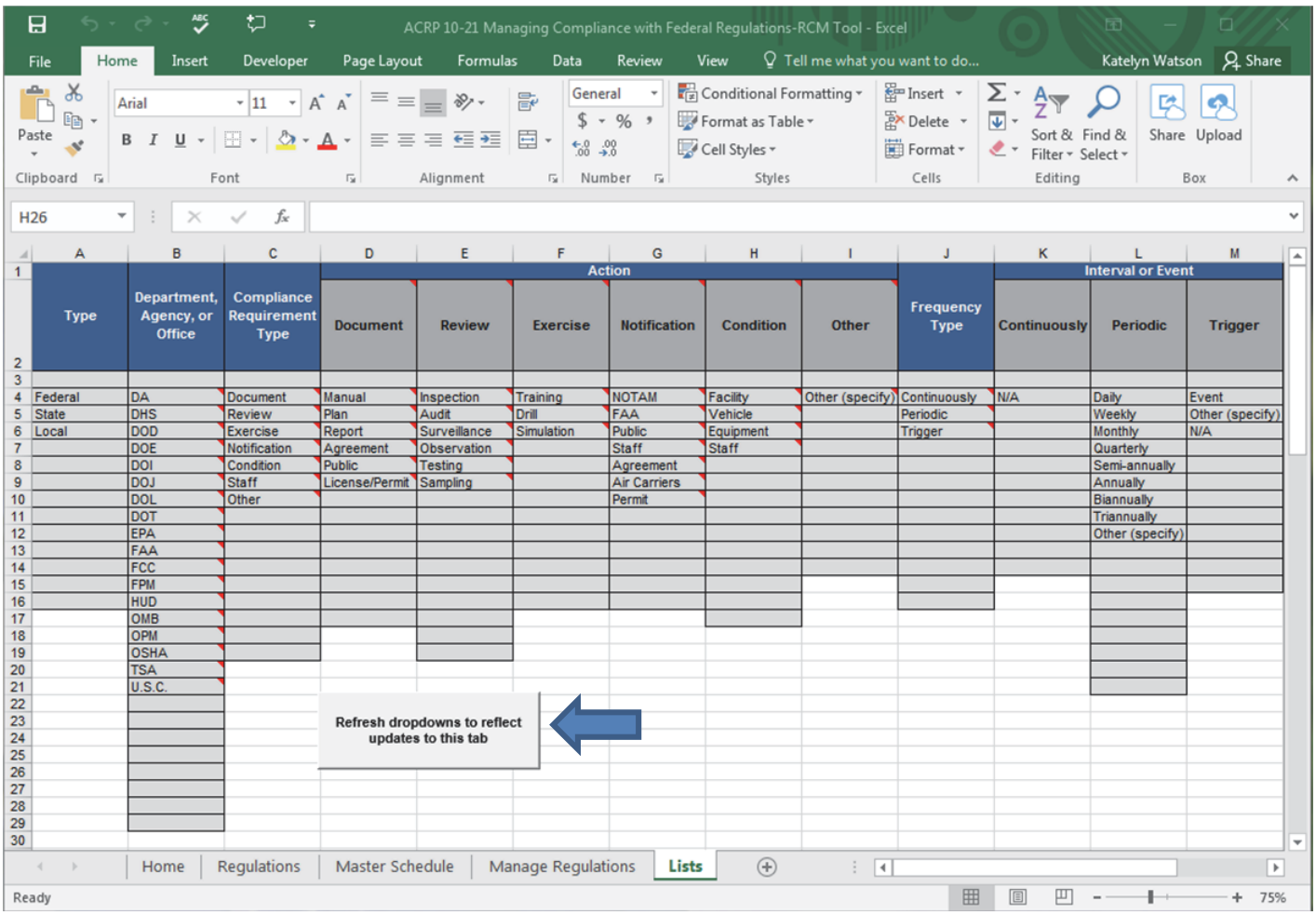
Figure 3-17. Manage Regulations tab – dropdown lists.

Federal Departments, Agencies, or Offices. The dropdown lists and associated dependent dropdown lists are identified in Figure 3-17. Additionally, users can modify the existing dropdown lists as necessary (as discussed further herein).

REMINDER: If the user is adding new regulations or modifying existing regulations, information in the Lists tab may need to be added in order for the new information to be applied to the RCM Tool.

Lists Tab

The Lists tab identifies all lists that are utilized on the Manage Regulations tab while adding new or modifying existing regulations. Certain terminology is defined to help the user understand the intended use of the term as identified by the red flag in the top right corner of a cell. If desired, the user can mouse-over the specific cell to see the definition of the associated term (which are also defined in Section 3.3). On the Lists tab, the user has the ability to add new items (in the gray highlighted areas below the existing lists) and/or modify existing items. The items on the Lists tab serve as the basis for the dropdowns in the Manage Regulations tab, which provides the ability to add new or modify existing regulations on the Regulations tab. However, it is important to note that many of the regulations utilize existing items and any change to those items will not update throughout the Regulations tab. After new items are added, the user can select the "Refresh dropdowns to reflect updates to this tab" button, as identified in Figure 3-18, to ensure the dropdown lists on the Regulations tab are updated.



Type	Department, Agency, or Office	Compliance Requirement Type	Action: Document	Review	Exercise	Notification	Condition	Other	Frequency Type	Interval or Event: Continuously	Periodic	Trigger
Federal	DA	Document	Manual	Inspection	Training	NOTAM	Facility	Other (specify)	Continuously	N/A	Daily	Event
State	DHS	Review	Plan	Audit	Drill	FAA	Vehicle		Periodic		Weekly	Other (specify)
Local	DOD	Exercise	Report	Surveillance	Simulation	Public	Equipment		Trigger		Monthly	N/A
	DOE	Notification	Agreement	Observation		Staff	Staff				Quarterly	
	DOI	Condition	Public	Testing		Agreement					Semi-annually	
	DOJ	Staff	License/Permit	Sampling		Air Carriers					Annually	
	DOL	Other				Permit					Biannually	
	DOT										Triannually	
	EPA										Other (specify)	
	FAA											
	FCC											
	FPM											
	HUD											
	OMB											
	OPM											
	OSHA											
	TSA											
	U.S.C.											

Figure 3-18. Lists tab – updating lists.

NOTE: If adding a Compliance Requirement Type or Frequency Type to the Lists tab, the user will be unable to further sort new or modified regulations with secondary selections in the Action and Interval or Events cells.

CHAPTER 4

RCM Tool Implementation

4.1 Introduction

While understanding how to use the RCM Tool (as discussed in Chapter 3) is important, the implementation of the RCM Tool is critical to fully realize the benefits. These benefits, as they relate to compliance with federal regulations, include (1) the sharing of vital information and essential knowledge; (2) fostering collaboration and innovation; and (3) improvement of efficiency and productivity across all functional areas of an airport.

> Knowledge is not power.
>
> Implementation of knowledge is power.
>
> Unknown

In developing this guidebook and the RCM Tool, the research team reviewed industry and non-industry CMSs (and related tools and resources) to track and manage compliance with federal regulations. Based on this research, it was determined that best management practices for compliance with federal regulations include the development and implementation of a CMS (as discussed in Chapter 2).

It is critical to understand that the RCM Tool, by itself, is not a CMS. The RCM Tool does not help with the establishment of a compliance policy, a compliance management and oversight plan, or compliance goals, objectives, and action plans. The RCM Tool contains information and features that can be used by airports to help track and manage compliance with federal (and state and local) regulations.

A valuable feature of a CMS is the availability of tools and resources that can identify applicable regulations and manage compliance with the regulations (e.g., the RCM Tool). This chapter will focus on the implementation of tools and resource features of the RCM Tool.

By definition, implementation is the process of putting a plan into action. Therefore, implementation of the RCM Tool should answer the following questions:

- Who will be responsible for managing and using the RCM Tool?
- What are the functional areas of the airport and who is responsible for compliance with the regulations associated with each of the airport's functional areas?
- What regulations will be tracked and managed by the RCM Tool?
- Who, what, when, where, why, and how was compliance with the regulations last accomplished?
- What are the methods and techniques that can be used to integrate the use of the RCM Tool (and the associated educational Quick Reference Guides and compliance Master Schedules) into the regulation compliance efforts of the airport?

4.2 RCM Tool Manager and User

The individuals assigned responsibility for the management of the RCM Tool and use of the RCM Tool may ultimately be the same person, especially for small general aviation and 14 CFR

Part 139 airports with limited airport management and staff. However, the role and responsibilities for these two functions are very different.

RCM Tool Manager

The individual responsible for managing the RCM Tool (RCM Tool manager) is likely the individual that has been designated the compliance manager to oversee the organization's compliance management efforts (discussed further in Chapter 2). The RCM Tool manager is responsible for overseeing the use and implementation of the RCM Tool and assures its integration into the airport's CMS. The specific roles and responsibilities of the RCM Tool manager include:

- Integrate use of the RCM Tool into the action plans of the CMS (CMS action plans are discussed further in Section 2.5).
- Assign an individual to learn and use the RCM Tool (RCM Tool user).
- Coordinate the training of the airport's functional area compliance team members on the use of the educational Quick Reference Guides and compliance Master Schedules. Training should also include an overview of the RCM Tool features and how the RCM Tool can integrate the airport's existing compliance policies, programs, tools, resources, and procedures of each functional area.
- Coordinate with the airport's functional area compliance team members the identification of the applicable federal, state, and local regulations that should be tracked and managed by the RCM Tool.
- Coordinate with the airport's functional area compliance team members the collection of compliance resources, plans, policies, and procedures from each functional area for inclusion into the RCM Tool (and ultimately the Quick Reference Guides).
- Coordinate with the RCM Tool user the output and distribution of the Quick Reference Guides and Master Schedules to the appropriate airport's functional area compliance team members.
- Implement a Plan, Do, Check, Act process for the use and implementation of the RCM Tool (discussed further in Section 2.4).

RCM Tool User

While the RCM Tool has been designed for use by all individuals capable of following the instructions provided in Chapter 3, to maximize the full benefit of the RCM Tool it is recommended that the RCM Tool user have a minimum of intermediate experience with Microsoft Excel. The RCM Tool user is responsible for learning the full functionality of the RCM Tool, managing the content of the RCM Tool, and generating the Quick Reference Guides and Master Schedules. It also is recommended that there only be one RCM Tool user. The specific roles and responsibilities of the RCM Tool user, in coordination with the RCM Tool manager and/or the airport's functional area compliance team members, are as follows:

- Delete existing federal regulations currently included in the RCM Tool that are not applicable to the airport (discussed further in Section 4.4). In the alternative to deleting a regulation, an N/A could be added to the type of regulation list and the regulation could then be updated to this type. **The Manage Regulations tab must be used to delete existing federal regulations on the Regulations tab (discussed further in Section 3.4).**
- Enter the additional applicable federal, state, and local regulations to be tracked and managed by the RCM Tool (discussed further in Section 4.4). **The Manage Regulations tab must be used to add new federal regulations to the Regulations tab (discussed further in Section 3.4).**
- Include action details (see Column I), interval or event details (see Column L), user specific sorting (see Column M), assigned to (see Column AP), completion dates (see Column AQ),

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and compliance due dates (see Column AR) for the regulations to be tracked and managed by the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

- Identify the applicable functional areas (Columns N through AJ) for the regulations to be tracked and managed by the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**
- Include additional frequently asked questions and answers (see Columns AS through AY), other regulations (see Columns AZ through BC), other agency resources (see Columns BD through BG), and other resources (Columns BH through BK) for the regulations to be tracked and managed by the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**
- Generate the outputs (discussed further in Section 3.4) of the Quick Reference Guides and Master Schedules and distribute to the appropriate airport's functional area compliance team members based on specified filter values.
- Monitor changes to regulations being tracked and managed by the RCM Tool and modify the RCM Tool content accordingly.
- Update compliance completion dates and compliance due dates. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**
- Modify regulation details contained within the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

4.3 Airport Functional Areas

Compliance with regulations is commonly accomplished within a specific airport functional area (i.e., compliance is often achieved in a silo). This can also occur with regulations that may impact other airport functional areas and where these other airport functional areas are pursuing independent compliance efforts for the same regulation. It is also important to note that other municipality departments may also have responsibility for a specific airport functional area.

The independent pursuit of compliance can lead to duplication of effort or redundancy. The resulting silo-effect is inefficient; it can have an adverse impact on productivity, and is not the most cost-effective way to achieve the goal of ensuring compliance with regulations.

The airport functional areas selected for the federal regulations provided in the RCM Tool are based on the research team's experience associated with the planning, development, operation, and management of federally obligated airports and the associated federal regulations. However, it is recognized that the airport functional areas for each airport that utilizes the RCM Tool may vary.

To realize the full benefits of the compliance tracking and management features of the RCM Tool, it is recommended that the airport's management and staff responsible for the functional areas identified in the RCM Tool be identified. The airport's functional area compliance team members should then review the regulations provided in the RCM Tool and identify those regulations that fall within the compliance responsibility of the functional area.

4.4 RCM Tool Regulations

It is significant to note that the federal regulations provided in the RCM Tool only affect the aviation/airside infrastructure, facilities, and activities of airports. If there are additional federal regulations that have been identified by the airport's functional area compliance team members

as affecting the non-aviation/landside infrastructure, facilities, and activities of the airport, it is recommended that these regulations be provided to the RCM Tool user for inclusion into the RCM Tool.

Further, the regulations provided in the RCM Tool can apply to a variety of airports including certificated (14 CFR Part 139) and non-certificated airports. Therefore, if there are regulations included in the RCM Tool that have been identified by the airport's functional area compliance team members as not applicable to the airport, it is recommended that these regulations be deleted (or modified to N/A) from the RCM Tool by the RCM Tool user.

To realize the full benefits of the compliance tracking and management features of the RCM Tool, it is recommended that the airport's functional area compliance team members identify all the additional regulations that apply to the airport so that they can be entered into the RCM Tool. This includes all state and local regulations.

4.5 Past Compliance Actions

The RCM Tool is designed to assist airports with tracking and managing compliance with federal regulations. While compliance steps associated with the regulations may be contained within the regulation and/or the resources identified, the RCM Tool was not intended to be a compliance manual as the compliance steps would vary airport-to-airport and state-to-state. Therefore, it is recommended that the airport's functional area compliance team members identify the following information for each regulation contained within the RCM Tool (as discussed in Section 4.4). Collection of past compliance actions (including the airport's existing compliance policies, programs, tools, resources, and procedures) will assist with identifying this information.

Who

Which airport functional area compliance team member (**who**) is responsible for compliance of the regulation? The RCM Tool user should include this information into Column AP: Assigned To of the RCM Tool. In addition, which internal and external compliance stakeholders can assist with compliance of the regulation? **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

What

What are the compliance requirements of the regulation? Summaries of the compliance requirements for the federal regulations that affect the aviation/airside infrastructure, facilities, and activities of airports are provided in the RCM Tool. The RCM Tool user can include the supplemental information identified for the additional federal, state, and local regulations applicable to the airport into the appropriate columns of the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

When

When was the last time compliance of the regulation was accomplished and when is the next compliance due date (if applicable)? The RCM Tool user should include this information into Column AQ: Completion Dates and Column AR: Compliance Due Dates of the RCM Tool. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

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Where

Which functional areas of the airport are impacted by compliance with the regulation (**where**)? The functional areas for the federal regulations that affect the aviation/airside infrastructure, facilities, and activities of airports are provided in the RCM Tool. This information will need to be determined for the additional federal, state, and local regulations and included into Columns N through AJ: Functional Areas of the RCM Tool by the RCM Tool user. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

How

How was compliance with the regulation accomplished? What existing compliance policies, programs, tools, resources, and procedures were utilized to fulfill compliance with the regulation? The RCM Tool identifies industry, department, agency, and office resources for the federal regulations that affect the aviation/airside infrastructure, facilities, and activities of airports. The airport's compliance policies, programs, tools, resources, and procedures utilized by the airport for compliance with the regulation need to be included into Columns AS through AY: Frequently Asked Questions, Columns BD through BG: Other Agency Resources, and Columns BH through BK: Other Resources of the RCM Tool by the RCM Tool user. **The Manage Regulations tab must be used to add, delete, or modify content of regulation fields shown on the Regulations tab (discussed further in Section 3.4).**

4.6 Integration of RCM Tool

The integration of the RCM Tool into the airport's CMS requires a thorough understanding of how to interpret the information contained within the RCM Tool and ultimately the information contained within the outputs of the educational Quick Reference Guides and Master Schedules. This understanding will help in the assignment of compliance responsibilities across the airport's functional areas and eliminate and/or reduce the duplication of compliance efforts across all functional areas of an airport.

Beyond the basic tracking and managing of individual regulations (as discussed in Chapter 3), the RCM Tool can be used to identify:

- Where the airport's functional area compliance team members of multiple functional areas can be involved in the compliance steps of specific regulations, and
- Where compliance with multiple regulations can be accomplished with a completion of a common compliance requirement (and/or associated frequency).

Multiple Functional Areas—Specific Regulation

To identify the multiple functional areas of the airport that are impacted by a specific regulation, the RCM Tool manager or user can view the functional areas marked "Yes" on the Regulations tab in Columns N through AJ (as discussed in Section 3.4 and shown in Figure 3-13). Once the multiple functional areas are identified for specific regulations, the RCM Tool manager should distribute Quick Reference Guides and Master Schedules for the specific regulations to the airport's functional area compliance team members. This will help facilitate joint compliance efforts across the airport's functional areas on specific regulations.

Once the airport's functional area compliance team members receive the associated Quick Reference Guide and Master Schedule for the specific regulation, identification of the other

Impacts (on other functional areas/responsible departments):							
Development		Operations		Management		Properties	
-Planning:	No	-Airside:	Yes	-Governance:	No	-Airside:	Yes
-Engineering:	No	-Landside:	No	-Administration:	No	-Landside:	No
-Construction:	No	-Environmental:	No	-Legal:	No	-Airlines:	Yes
		-Safety/Security:	Yes	-Finance/Accounting:	No	-Concessions:	No
		-Maintenance:	No	-Risk Management:	No	-General Aviation:	Yes
						-Land Use:	No

Figure 4-1. Quick Reference Guide – functional areas.

functional areas is simple, as identified in Figure 4-1 (an excerpt from a Quick Reference Guide) and Figure 4-2.

Once the functional areas have been identified, the impacted functional area compliance team members should take steps to coordinate compliance with the other functional areas and share and combine the compliance policies, programs, tools, resources, and procedures related to the specific regulation.

Common Compliance Requirements—Multiple Regulations

To identify the multiple regulations where compliance can be accomplished with the completion of a common compliance requirement (and/or associated frequency), the RCM Tool user can filter the regulations by Compliance Requirement Type and/or Frequency Type utilizing the Filter Values on the Home tab (as discussed in Section 3.4 and shown in Figure 3-6). Once the Filter Values are selected, the multiple filtered regulations that have a common compliance requirement (and/or associated frequency) can be viewed on the Regulations tab.

It will be necessary for the RCM Tool manager to review the filtered regulations to make a final determination of the ability of the airport's functional area compliance team members to effectively utilize a common compliance requirement (and/or associated frequency) to comply with multiple regulations. It is important to note that the User Specific Sorting field of the RCM Tool could be used to filter these multiple regulations in the future.

Once the multiple regulations are identified, the RCM Tool manager should distribute Quick Reference Guides and Master Schedules for the filtered regulations to the airport's functional area compliance team members. This will help facilitate joint compliance efforts across the airport's functional areas on the multiple regulations.

Once the airport's functional area compliance team members receive the associated Quick Reference Guide and Master Schedule for the multiple regulations, identification of the common compliance requirements (and/or associated frequency) is simple, as identified in Figure 4-3 (an excerpt from a Quick Reference Guide).

Once the common compliance requirements (and/or associated frequency) have been identified, the impacted functional area compliance team members should take steps to coordinate

Master Schedule			
Compliance Due Date:	3/5/2016	Assigned To:	
Citation:	§139.323 (a)	Development:	No
		Operations:	Yes
		Management:	No
		Properties:	Yes

Figure 4-2. Master Schedule – functional areas.

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Compliance Requirement	Type:	Condition
	Action:	Equipment
Frequency	Type:	Periodic
	Interval or Event:	Annually

Figure 4-3. Quick Reference Guide – compliance requirements and frequency.

compliance with the other functional areas and share and combine the compliance policies, programs, tools, resources, and procedures related to the multiple regulations.

Compliance Scenarios

Environmental

The guidebook and RCM Tool can assist airport professionals in a variety of ways to improve integration of compliance activities. Environmental compliance can be a challenging and sometimes daunting task. The first and most important step is to know what regulations have compliance requirements and are applicable to the airport. The RCM Tool is an excellent resource to achieve this first step. An important second step is to determine which functional areas must comply and be responsible for compliance of the specific regulation(s). A great example of how the guidebook and RCM Tool can assist in the integration process is with the application of the Spill Prevention Control and Countermeasures (SPCC) regulation. The RCM Tool provides the resources to determine if the facility must comply and can assist in the determination for the various tenants on the airport. The RCM Tool provides a guide for which airport departments would likely be involved in this compliance activity and helps to determine who will be responsible for achieving compliance.

For example, a small general aviation airport with an airport director, an operations manager, and several staff members has one fixed-based operator (FBO) that owns a tank farm (jet fuel and AVGAS) and two refueler trucks. The airport also has a diesel fuel tank, an automotive gasoline (MOGAS) tank, and a diesel powered emergency generator. The RCM Tool can help the airport director determine whether or not he is subject to the SPCC Rule and if the FBO would be subject to the rule as well. In this case, both are subject to the rule. Separate SPCC plans are typically recommended for this situation and the two entities can achieve some cost savings by using the same engineer to prepare each plan.

The RCM Tool includes a scheduling option that the airport director may choose to use to manage the required inspections and training that are included in the SPCC Rule. Further integration could be utilized with other municipality departments to perform tank testing by the same consultant and with the same mobilization, thus saving time and money.

Using this same example, the airport director can use the RCM Tool to determine if the airport is subject to the Stormwater regulations and must obtain a Stormwater Permit. Typically, the airport will obtain the Stormwater Permit and prepare the Stormwater Pollution Prevention Plan (SWPPP). The FBO would be required to comply with the Permit and the SWPPP. The schedule option in the RCM Tool can assist the airport director in managing the inspections and analytical testing that are required by the permit and can coordinate with the other tenants/other city departments to achieve this goal.

Part 139 Full-Scale Exercise

The airport is planning a tri-annual full-scale exercise and wants to conserve time and expenses. In essence, be efficient and eliminate redundancy. To accomplish this, the airport plans to incorporate the functional area responsibilities of the airport, TSA, airport sponsor, and

the municipality environmental, health, fire and police in the drill to test all participants' abilities and resources, each of which have responsibilities under the Airport Certification Manual (ACM) and Emergency Plan. The airport wants to incorporate several individual accidents/catastrophic events into this one drill rather than one test of the airport's resources such as an airplane crash only.

Combined efforts during the full-scale exercise conserve time and expenses for all parties involved. This is accomplished through reduced personnel and observer expense and elimination of time involved in preparing, planning, and participating in multiple drills versus one drill with multiple event scenarios. The Quick Reference Guides and Master Schedules associated with the regulation(s) that require a full-scale exercise would be distributed to all participants in order to share the compliance policies, programs, tools, resources, and procedures related to the full-scale exercise.

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APPENDIX A

Glossary of Terms and Acronyms

Definitions

Agreement: A negotiated and typically legally binding arrangement between parties as it relates to a course of action

Air carriers: Aircraft that is being operated by a person who undertakes directly by lease, or other arrangement, to engage in air transportation

Audit: An official examination and verification to evaluate accuracy of records

Condition: The state of something, especially with regard to its appearance, quality, or working order

Continuously: Completed on a regular basis to ensure constant compliance

Document: A piece of written, printed, or electronic matter that provides information or evidence or that serves as an official record

Drill: Any strict, methodical, repetitive, or mechanical training, instruction, or exercise

Equipment: A necessary item for a particular purpose

Exercise: Something done or performed as a means of practice or training

FAA notification: A methodology of notifying the FAA of a certain condition or planned course of action

Facility: The space necessary and utilized to accomplish a certain task

Inspection: The process of systematically examining, checking, and testing facilities, components, and systems to detect actual or potential issues or concerns

Manual: A book of instructions that describes in detail how to perform a specific task in regards to a predetermined standard

NOTAM: (Notice to Airmen) A system to convey safety information to airport users utilizing the National Flight Data Center or air traffic control

Notification: A written or printed matter that gives notice or brings attention to a present or upcoming matter

Observation: A statement describing what has been noticed or perceived as important or needing attention

Other: Any type of compliance requirement that does not fall into the categories listed above. In this instance, please specify what action(s) are directly required

Periodic: Completed on a recurring basis to ensure compliance (e.g., daily, weekly, monthly, quarterly, semi-annually, annually, biannually, triannually, and other)

Permit: An official document giving someone authorization to do something

Plan: A detailed proposal or decision for doing or achieving something in the future

Public: A methodology of notifying the general public

Report: A document that presents specific information and analyzed evidence that applies to a particular problem, issue, or concern

Review: Formal assessment or examination of something with the possibility or intention of instituting change if necessary

Sampling: The act or process of selecting a sample for testing and analyzing

Simulation: An imitative representation of the functioning of one process to determine the effectiveness of predetermined standards

Staffing: A group of employees charged with carrying out the work of an establishment or executing some undertaking

Surveillance: A systematic ongoing collection and analysis of data and the timely dissemination of information so action can be taken

Testing: A particular process or method for assessing the quality, ability, aptitude, or performance

Training: The education, instruction, or discipline of an individual to improve the individual's performance or attain a required level of knowledge or skill

Trigger: Completed when certain events occur (e.g., event, other, or N/A)

Vehicle: A thing used for transporting people or goods

Acronyms

AAP	Affirmative Action Program
ABA	Architectural Barriers Act
AC	Advisory Circular
ACDBE	Airport Concessionaire Disadvantaged Business Enterprise
ACM	Airport Certification Manual
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
ADAP	Airport Development Aid Program
AEP	Airport Emergency Plan
AIM	Airman's Information Manual
AIP	Airport Improvement Program
AMA	Aircraft Movement Area
ANCA	Airport Noise and Capacity Act
AOA	Air Operations Area
ARFF	Airport Rescue and Firefighting
ASOS	Automatic Surface Observation System
AST	Aboveground Storage Tank
ATC	Air Traffic Control
AWOS	Automated Weather Observation System
CAA	Clean Air Act

CESQG	Conditionally Exempt Small Quantity Generator
CFR	Code of Federal Regulations
CHRC	Criminal History Records Checks
COE	U.S. Army Corps of Engineers
CPA	Certified Public Accountants
CWA	Clean Water Act
DA	Defense Agencies
DBE	Disadvantaged Business Enterprise
DOD	Department of Defense
DOL	Department of Labor
DOT	Department of Transportation
E.O.	Executive Order/Exec. Ord.
EEO	Equal Employment Opportunity
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FAR	Federal Aviation Regulation
FBO	Fixed-Base Operator
FCC	Federal Communication Commission
FEMA	Federal Emergency Management Agency
FOD	Foreign Object Debris
FSS	Flight Service Station
FUA	Fuel Use Act
GPR	Ground Penetrating Radar
HCS	Hazard Communication Standard
HUD	Housing and Urban Development
HR	Human Resources
ICAO	International Civil Aviation Organization
IFR	Instrument Flight Rules
LEPC	Local Emergency Planning Committee
LQG	Large Quantity Generator
MSDS	Material Safety Data Sheet
NAGP&RA	Native Americans Graves Protection and Repatriation Act
NATA	National Air Transportation Association
NAVAID	Navigational Aid
NCP	Noise Compatibility Program
NEM	Noise Exposure Map
NEPA	National Environmental Policy Act
NHPA	National Historic Preservation Act
NOTAM	Notice to Airmen
NPDES	National Pollutant Discharge Elimination System
NPIAS	National Plan of Integrated Airport Systems
OFCCP	Office of Federal Contract Compliance
OMB	Office of Management and Budget
OSHA	Occupational Safety and Health Administration
P.L.	Public Law
PE	Professional Engineer
PEL	Permissible Exposure Limit
PFC	Passenger Facility Charge
POTW	Public Owned Treatment Works
PPE	Personal Protective Equipment
PRA	Paperwork Reduction Act

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PURPA	Power Plant and Industrial Fuel Act
RCM Tool	Regulation Compliance Management Tool
RF	Radio Frequency
RP	Restricted Radio Telephone Operator Permit
RUS	Rural Utilities Service
SBGP	State Block Grant Program
SERC	State Emergency Response Commission
SIDA	Security Identification Display Area
SOP	Standard Operating Procedure
SPCC Plan	Spill Prevention, Control, and Countermeasures Plan
SQG	Small Quantity Generator
SWPPP	Storm Water Pollution Prevention Plan
U.S.	United States
UWB	Ultra Wide Band
USC	United States Code
UST	Underground Storage Tank
VFR	Visual Flight Rules

Abbreviations and acronyms used without definitions in TRB publications:

A4A	Airlines for America
AAAE	American Association of Airport Executives
AASHO	American Association of State Highway Officials
AASHTO	American Association of State Highway and Transportation Officials
ACI–NA	Airports Council International–North America
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASCE	American Society of Civil Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
ATA	American Trucking Associations
CTAA	Community Transportation Association of America
CTBSSP	Commercial Truck and Bus Safety Synthesis Program
DHS	Department of Homeland Security
DOE	Department of Energy
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FAST	Fixing America's Surface Transportation Act (2015)
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
HMCRP	Hazardous Materials Cooperative Research Program
IEEE	Institute of Electrical and Electronics Engineers
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITE	Institute of Transportation Engineers
MAP-21	Moving Ahead for Progress in the 21st Century Act (2012)
NASA	National Aeronautics and Space Administration
NASAO	National Association of State Aviation Officials
NCFRP	National Cooperative Freight Research Program
NCHRP	National Cooperative Highway Research Program
NHTSA	National Highway Traffic Safety Administration
NTSB	National Transportation Safety Board
PHMSA	Pipeline and Hazardous Materials Safety Administration
RITA	Research and Innovative Technology Administration
SAE	Society of Automotive Engineers
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005)
TCRP	Transit Cooperative Research Program
TDC	Transit Development Corporation
TEA-21	Transportation Equity Act for the 21st Century (1998)
TRB	Transportation Research Board
TSA	Transportation Security Administration
U.S.DOT	United States Department of Transportation

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