OAS Safety Management System (SMS) Questionnaire Supplement

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OUR PROGRAM

The Department's aviation programs are built on Federal Aviation Administration (FAA) regulatory requirements, Federal Management Regulations (FMR), Departmental regulations (DMs), and industry best practices.

SMS OVERVIEW

Aviation Safety Management System (SMS) is an approach to managing aviation safety that includes the formal, top-down, business-like approach to managing and reducing risk, which includes a systemic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures. SMS is an evolutionary development in aviation safety as it creates structured, repeatable, and proactive systems that can reduce aviation risk to the contractor and the government employees that use their services.

SMS SUPPLEMENT INTENT

This is intended to be a tutorial to supplement the SMS Questionnaire contained in DOI solicitations. **Specific questions about ongoing DOI solicitations must be directed to the point(s)-of-contact identified in the solicitation.**

The Four SMS Components

Safety Policy
Establishes senior management's commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet safety goals

Safety Assurance
Evaluates the continued effectiveness of implemented risk control strategies; supports the identification of new hazards

Safety Risk Management
Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk

Safety Promotion
Includes training, communication, and other actions to create a positive safety culture within all levels of the workforce
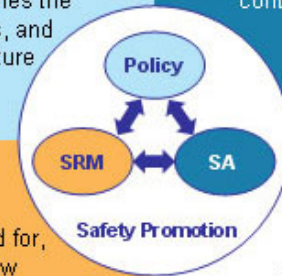
Policy — SRM — SA — Safety Promotion

Safety Management System (SMS), Flight Time, Accident History, and FAA Violation Questionnaire Supplement

The following slides provide supporting information for each of the Questionnaire References 1-33:

- **Description/Clarification of the Safety Policy and Objectives:**
  - *The question stated in other ways.*
- **Evidence Examples:**
  - *Possible ways to respond (not a comprehensive list).*
- **Common Errors:**
  - *Responses to avoid / what not to do.*

Questionnaire Supplement: Key Safety Personnel and Commitment

Reference 1:	Provide evidence that there is an appointed (named) safety manager that is responsible for the effective administration of the SMS.
Description / Purpose	Who is responsible for your SMS (comprehensive safety program)? What is their job title/position? Describe some of their job responsibilities.
Evidence Examples	Job descriptions, excerpts from SMS manual, org chart with names.
Common Errors	Partial information such as a generic org chart without actual names. Note that SMS must be addressed in each reference (1-3), not just safety.
Reference 2:	Provide evidence that the Contractor clearly defines key duties, authorities and accountabilities on their SMS functions.
Description / Purpose	In addition to the safety manager, who else is responsible for SMS implementation? Address the duties/authority/etc. of the other position(s).
Evidence Examples	Safety/SMS policy, excerpt from SMS manual, org chart with names, description of collateral duties.
Common Errors	Insufficient information like "Our company only has two employees, so we don't do this."
Reference 3:	Provide evidence of a strong organizational commitment and clear statement about the provision of necessary resources for the SMS.
Description / Purpose	Your company should have a clear/direct statement about the SMS and the company support of the SMS.
Evidence Examples	Letter from CEO/accountable executive, excerpt from SMS manual.
Common Errors	Providing an entire document (e.g, SMS manual) but not addressing the specific question.

Questionnaire Supplement: Contractor Operations Manual

Reference 4:	Provide evidence that Operations Manual contains a flight operations policy and aircraft maintenance policy.
Description / Purpose	Where is your flight ops/maintenance policy (Ops Manual or FAA-approved equivalent)?
Evidence Examples	Operations Manual or SOPs (including Ops Manual-type-content).
Common Errors	Submitting Operations Specifications (which doesn't address Ops Manual content).
Reference 5:	Provide evidence of a distribution process that ensures the current version of the Operations Manual is available to appropriate personnel in all areas of operation.
Description / Purpose	How do you ensure employee(s) have the correct version of your Ops Manual (or FAA-approved equivalent)?
Evidence Examples	Description of the document distribution process.
Common Errors	Not addressing how 'all areas of operation' receive the current version.
Reference 6:	Provide evidence that the Operations Manual is approved by the appointed accountable executive.
Description / Purpose	Who has the authority (in your company) to approve the document (name, title, approval role(s))?
Evidence Examples	Excerpt from policy or document, copy of approval page along with job description of approver.
Common Errors	Stating the FAA approves (answer must address who *in the company* approves).
Reference 7:	Provide evidence that the Operations Manual is amended or revised as necessary to ensure that the information contained is current.
Description / Purpose	Is the document kept up-to-date? Show how.
Evidence Examples	Log of reviews or revisions, list of effective pages, SMS excerpt showing requirement to maintain.
Common Errors	Submitting out-of-date document as evidence (e.g., no recent revisions).

Questionnaire Supplement: Emergency Response Plan

Reference 8:	Provide evidence that the Contractor has an established emergency response plan to respond to an accident or emergency.
Description / Purpose	How do you plan to respond to an emergency? What is your emergency response plan?
Evidence Examples	Emergency response plan (whole/partial), excerpt from SMS manual showing emergency response plan.
Common Errors	Responding with "yes", without providing any evidence to support the response.
Reference 9:	Provide evidence that the Contractor has provided duties and training for those who have a role in the emergency response plan.
Description / Purpose	Who manages/implements the plan? What are their duties? How are they trained?
Evidence Examples	Excerpts from job descriptions and copies of training records, excerpt from emergency response plan and a copy of a training roster.
Common Errors	Showing policy that requires training but not providing evidence of completed training.
Reference 10:	Provide evidence that the emergency response plan is exercised at a minimum of annually to evaluate effectiveness and that results are recorded.
Description / Purpose	How do you ensure your organization is prepared to implement the plan? How do you ensure it is effective?
Evidence Examples	Policy showing testing requirement along with a training record.
Common Errors	(a) Showing policy that requires testing but not providing evidence of results (records). (b) Providing exercise information that is in excess of one-year old.

Questionnaire Supplement: Safety Risk Management

Reference 11:	Provide evidence that the Contractor developed and maintains a formal process to identify and track hazards including risk Analysis (Exposure), Risk Assessment (Severity and likelihood), Decision Making (Mitigations), Validation of Control (Controls effective).
Description / Purpose	How do you identify and track hazards?
Evidence Examples	A description of the hazard process and a sample spreadsheet with hazards.
Common Errors	Addressing identification of hazards but not describing how they are tracked.
Reference 12:	Provide evidence that the Contractor has a hazard/threat reporting program.
Description / Purpose	What is your hazard/threat reporting program? How do you internally report hazards?
Evidence Examples	SMS manual excerpt describing the program and a recent sample hazard report.
Common Errors	(a) Using SAFECOM as an example (note the question states the 'Contractor' has a program). (b) Providing policy but no evidence of a hazard being reported.
Reference 13:	Provide evidence that the Contractor has a policy to conduct operational risk assessment and or use a flight risk assessment tool, customized and appropriate for their operation.
Description / Purpose	Which risk assessment tool(s) are used? How do you assess risks associated with daily or mission-specific operations?
Evidence Examples	Copy of completed assessment, screen capture of online system/program.
Common Errors	Using the same answer as #11 or showing a blank report (template).
Reference 14:	Provide evidence that there is a process to mitigate high scoring risk assessments or obtain and record approval of the Contractor's management when it exceeds a predetermined level.
Description / Purpose	What is your risk mitigation elevation process? Who can approve different levels of risk?
Evidence Examples	A brief description of the process along with a completed example.
Common Errors	Failing to identify a process to mitigate/obtain approval for high scoring risk assessments.

Questionnaire Supplement: Safety Assurance

Reference 15:	**Provide evidence that the Contractor has a policy or process to verify safety performance in reference to the Contractor's performance indicators.**
Description / Purpose	What are your safety goals? What is the process for measuring and tracking performance?
Evidence Examples	Mishap rates, reporting rates, risk management trends, audit trends and risk mitigations.
Common Errors	Not addressing safety performance or safety assurance.
Reference 16:	**Provide evidence that the Contractor maintains a process to identify risks associated with change to the Contractor's structure or service (aircraft type, environment, organizational, or mission).**
Description / Purpose	If something changes (purchase/sale of aircraft, personnel change, etc.), how do you identify and address the risk(s) associated with the change?
Evidence Examples	Change Management section from SMS manual, description of organizational risk management process.
Common Errors	Incomplete response such as "Our company is small and doesn't change much".
Reference 17:	**Provide evidence that the Contractor has a system or policy to monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.**
Description / Purpose	How do you ensure your SMS is continuously improving?
Evidence Examples	Continuous Improvement section from SMS manual, improvement policy, a description of how SMS effectiveness is accomplished.
Common Errors	Not addressing the continuous improvement concept.

Questionnaire Supplement: Compliance Monitoring

Reference 18:	**Provide evidence that the Contractor has established the requirements for audits or assessments at determined intervals to ensure that their implemented SMS components, are being followed in daily operations.**
Description / Purpose	How do you evaluate if your SMS is working in daily activities? Demonstrate how/when audits/assessments/evaluations take place.
Evidence Examples	Excerpts from Operations Manual or SMS manual, SOP addressing compliance monitoring topics.
Common Errors	Addressing <u>part</u> of the question, for example, not addressing the *determined interval* requirement.
Reference 19:	**Provide evidence of audits and their results.**
Description / Purpose	Show the outcome (report, summary, description) of recent audits.
Evidence Examples	Internal audit report, external audit summary, safety assessment report.
Common Errors	(a) A general response such as "We are continuously evaluating the effectiveness of our organization." (b) Lack of evidence of audits or the use of a bureau/agency evaluation (e.g., USFS, BLM).
Reference 20:	**Provide evidence of a policy or process to develop an action plan from the deficiencies identified in the audits.**
Description / Purpose	What are the instructions for doing something when an audit identifies a deficiency?
Evidence Examples	A written description of compliance/auditing requirements along with a sample action plan.
Common Errors	(a) Submitting an entire document such as an SMS manual but not identifying how specific parts of the document are applicable to the question. (b) Submitting part of the document that is not relevant or applicable to the question.

Questionnaire Supplement: Safety Promotion

Reference 21:	Provide evidence that the Contractor established and maintains a formal means for internal safety communication that promotes the SMS and conveys safety-critical information such as safety bulletins or lessons learned.
Description / Purpose	How do you share safety information with employees?
Evidence Examples	SOPs, SMS manual, or other documents outlining processes related to safety communication.
Common Errors	Stating "We don't have a communication system in place due to our small size." (As one of the four components of SMS, safety promotion is critical, regardless of organizational size/complexity.)
Reference 22:	Provide evidence of lessons learned developed from an incident, accident, or operational issue affecting safety, and shared with the Contractor personnel.
Description / Purpose	The previous question should show you have a process; this question is asking for a demonstration of the process. Show a lesson learned that was created by your company and shared with employees.
Evidence Examples	Email, after action report, accident prevention plan.
Common Errors	Incomplete responses that only address part of the question like showing the policy requirement for lessons learned creation but not providing evidence of an actual shared lesson.
Reference 23:	Provide evidence of a Safety Award system in place and in practice.
Description / Purpose	How do you encourage and promote safety?
Evidence Examples	SOPs, SMS manual, or other documents outlining safety award system/program **and** an example award/acknowledgement (meeting minutes, copy of award, etc.).
Common Errors	(a) Assuming the award systems must be monetary. (b) No evidence of the policy or implementation.

Questionnaire Supplement: Training Program

Reference 24:	Provide evidence that the Contractor has a training program (FAA and internal) that ensures personnel are trained and competent to perform their assigned duties including ground crews and air crews.
Description / Purpose	FAA training information addresses FAA requirements and internal training information should be specific to your company.
Evidence Examples	Company Ops Manual, SOP, Maintenance Manual or training plans, for ground and air, or other document showing specific maintenance training for maintenance personnel at specified intervals.
Common Errors	(a) Stating employees are FAA certified but not showing specific company training requirements. (b) Submitting blank training plans or training plan for just ground, not addressing air crews.
Reference 25:	Provide evidence that there is a documented training plan for initial <u>and</u> recurrent SMS training.
Description / Purpose	Where are your SMS training requirements?
Evidence Examples	SMS manual, training manual, or other document showing training plan (including SMS), along with sample records, training roster, etc.
Common Errors	Providing evidence of a training plan but not specifically addressing <u>initial and recurrent SMS training.</u>

Questionnaire Supplement: Air Crew Member Qualifications

Reference 26:	**Provide evidence that the Contractor has a program to establish and maintain air crew member records for required certificates, medical category, required training, and proficiency checks.**
Description / Purpose	How do you track crew member training and qualification records to ensure employees are qualified for the operations being conducted?
Evidence Examples	A description of the process along with a completed form, training record, screen print, simple spreadsheet, etc.
Common Errors	(a) Not addressing the question such as, "It's the air crew member responsibility", which does not indicate a company program or means of oversight. (b) Describing a process but not including evidence of the process being used.

Questionnaire Supplement: Maintenance Crew Member Qualifications

Reference 27:	Provide evidence of a process to ensure that the Contractor aircraft maintenance/servicing personnel are certificated by the FAA.
Description / Purpose	How do you ensure maintenance personnel are current on required FAA certificates / training?
Evidence Examples	A description of the process along with a completed form, training record, screen print, company training checklist, simple spreadsheet, etc.
Common Errors	Specifying it's the mechanics or other maintenance personnel obligation does not indicate a company process or means of supervision.
Reference 28:	Provide evidence of a process that ensures maintenance personnel are trained and approved by the Contractor to conduct specific maintenance.
Description / Purpose	How do you ensure maintenance personnel are trained and approved to conduct specific maintenance for your company?
Evidence Examples	A description of the process along with a completed form, training record, screen print, company training checklist, simple spreadsheet, etc.
Common Errors	Outlining a program but not including a document as evidence the program is used.

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Questionnaire Supplement: Maintenance Control System

Reference 29:	Provide evidence that the Contractor has a maintenance control system that is appropriate to the type and number of aircraft operated and the manner in which maintenance is conducted.
Description / Purpose	What is your maintenance control system? Meaning, the interworking policy, process(es), and applications (if applicable).
Evidence Examples	Operations Manual, SOP, Maintenance Manual, or Operations Specifications, screen capture of maintenance tracking program.
Common Errors	Submitting insufficient information that addresses part of the question, for example, providing a Table of Contents from a document but not providing excerpts or specific content.
Reference 30:	Provide evidence that the Contractor Operations Manual includes procedures to obtain and qualify aircraft maintenance services when away from home base to ensure service is performed by qualified personnel.
Description / Purpose	What are your away from base maintenance procedures?
Evidence Examples	Operations Manual, SOP, Maintenance Manual, or Operations Specifications. In the event you are not required to have an Ops Manual, the evidence being used must address the whole question.
Common Errors	(a) Submitting a general response such as "We complete maintenance in-house and continually look out for maintenance issues." (b) Submitting an entire document such as a Maintenance Manual but not identifying how specific parts of the document are applicable.

Questionnaire Supplement: Flight Time, Accident History, and FAA Violations

Reference 31:	**Total number of flight hours during last five years. Flight hours must be separated by year and category: fixed-wing, rotary-wing, and uncrewed aircraft system (UAS).**
Description / Purpose	Total number of flight hours during the last five years (specified in the solicitation: 10/1/20xx–9/30/20xx). Flight Time, along with number of accidents, is used to determine accident rate.
Evidence Examples	Spreadsheet, table, or other document addressing of the question.
Common Errors	Submitting incomplete flight time (not providing data for specified period). For References 31-33, a blank response or lack of response will be noted as incomplete.
Reference 32:	**Total number of accidents or incidents during last five years as determined by the NTSB that met the "substantial damage" criteria as defined within 49 CFR 830.2. If the accident was reported to the NTSB and it was downgraded to an incident, you must provide evidence from the NTSB.**
Description / Purpose	Total number of accidents (or substantial damage incident(s)) during last five years (specified in the solicitation: 10/1/20xx–9/30/20xx).
Evidence Examples	Spreadsheet, table, or other document addressing of the question. If an accident/incident occurred, provide an accident prevention action plan or evidence of actions taken to prevent future accidents. A prevention plan is not required but may positively impact the overall rating.
Common Errors	Not responding to the question. If no accidents/incidents meet the criteria, respond with zero (0), none, or N/A.
Reference 33:	**Total number of FAA violations (Civil Penalty) during last five years. If violations were reported, provide Case information.**
Description / Purpose	Total number of FAA violations during last five years (specified in the solicitation: 10/1/20xx-9/30/20xx).
Evidence Examples	Spreadsheet, table, or other document addressing of the question. If FAA violations occurred, provide summary information (date, number, results, findings, description, etc.).
Common Errors	Not responding to the question. If no violations meet the criteria, respond with zero (0), none, or N/A.

SMS Questionnaire Supplement Summary

Questions/comments about this Supplement can be directed to:

Josh Haney, OAS
Quality and Safety Management Systems Analyst
joshua_haney@ios.doi.gov

Specific questions about ongoing DOI solicitations must be directed to the point(s)-of-contact identified in the solicitation.