OAS Safety Management System (SMS) Questionnaire Supplement
(Pre-Award Ver. 6.2 – 2025)

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

The intent of this document is to aid in the completion the SMS Questionnaire contained in DOI solicitations. Use of this document is not required. Specific questions about ongoing DOI solicitations must be directed to the point(s)-of-contact identified in the solicitation.

There is a fillable PDF version of the SMS Questionnaire available on the OAS website: https://www.doi.gov/aviation/library.

SMS Questionnaire Definitions (from ISO 9001:2015/IS-BAO standards) and examples.

Reference: *Definition*: a document or specific location within a document that provides guidance relevant to a particular SMS component.
Examples: screen capture of, or copy and paste from, a specific section within a policy document. Alternatively, the entire document can be provided, and then certain sections are referred to such as, Question 1 – "see SMS Manual, Section 1.4."

Evidence: *Definition*: material that furnishes proof.
Examples: copy of training certificate, photograph of bulletin board, screen capture of website or electronic system. A narrative description of an activity in the SMS Questionnaire is not sufficient evidence. The document/image provided must demonstrate the activity occurred.

Policy: *Definition*: a written course of action to guide and determine present and future decisions.

Process: a set of interrelated activities that use resources to transform inputs into outputs.

Procedure: a series of steps followed methodically to complete an activity: what shall be done and by whom, when, where, and how it shall be completed; what materials, equipment, and documentation shall be used, and how it shall be controlled.

System: a set of interrelated elements.

SMS Supplement Format
The following pages provide supporting information for Questionnaire items 1-33:
- **Question clarification:** *The question stated in a different way.*
- **Reference example:** *Examples of acceptable documents (not a comprehensive list).*
- **Evidence example:** *Examples of acceptable evidence (not a comprehensive list).*
- **Common errors:** *Responses to avoid / what not to do.*
- **Exemplar response:** *Examples demonstrating high-performing SMS implementation.*

Safety Policy (Questions #1-12)

QUESTION 1: Provide reference to policy (company document(s)) which shows there is one individual responsible for the effective administration/implementation of the SMS (e.g, safety manager, director of safety). Provide evidence to show the position is filled.
Question clarification: Who is responsible for the management and implementation of your SMS (comprehensive safety program)? What is their job title/position? Describe their SMS responsibilities.
Reference example: Excerpt from SMS Manual showing director of safety responsibilities.
Evidence example: Organizational chart (with names) showing director of safety and other positions.
Common errors: Partial information such as an organizational chart without actual names. Generic description of safety responsibilities without addressing SMS management.
Exemplar response: Clear and detailed SMS manager responsibilities, current org chart with names, requirements for SMS manager to achieve specific criteria, and records of completed SMS training to meet company requirements.

QUESTION 2: Provide reference to and evidence from company document(s) that show SMS duties, authorities, and accountabilities for all employees.
Question clarification: In addition to the safety manager, what are the responsibilities of other employees (e.g., accountable executive, managers, pilots, mechanics, administrative personnel)
Reference example: Excerpt from SMS Manual showing responsibilities for different types of employees.
Evidence example: Organizational chart (with names), records demonstrating an employee is fulfilling their SMS duties (e.g., meeting minutes, training certificates).
Common errors: Insufficient information like "Our company only has two employees, so we don't do this.", or only addressing management positions.
Exemplar response: Clear and detailed SMS responsibilities for different roles in the company and clear and current records showing duties being demonstrated.

QUESTION 3: Provide reference to and evidence of a strong organizational commitment and clear statement (e.g., safety/SMS policy) about the provision of necessary resources for the SMS.
Question clarification: Your company should have a clear/direct statement about the SMS and the company support of the SMS.
Reference example: Excerpt from SMS Manual including the SMS policy.
Evidence example: Signed/dated safety policy statement that includes the information requested.
Common errors: A general statement about *safety* that lacks specific commitment to develop and maintain an SMS program.
Exemplar response: A current signed safety policy statement by accountable executive or delegate, and clear examples of support that will be provided to maintain the health of the SMS program.

QUESTION 4: Provide reference to and evidence of the company manual(s) that contain flight operations policy and aircraft maintenance policy.
Question clarification: Where are your flight operations policies and your aircraft maintenance policies? These are your internal standard operation procedures (SOP), not the general requirements defined in the Operations Specifications (OpsSpec).
Reference example: Reference to the location within the Operations Manual (GOM), SOP, General Maintenance Manual (GMM), and other documents as appropriate, that include flight and maintenance policies.
Evidence example: Excerpts from each of the documents which shows the policy, document title, document version number, and other identifiable information.
Common errors: Addressing the flight operations policy but not including maintenance policy. Stating that maintenance is outsourced but not referring to the actual policy which defines how the maintenance is accomplished. Referring to the OpsSpec and not provide any SOP, GOM, or GMM documents.
Exemplar response: Clear and legible copies of GOM which includes all the information requested. The inclusion of a table of contents (TOC) from each manual as a quick reference showing each of the topic areas.

QUESTION 5: Provide reference to the Operations Manual distribution policy. Provide evidence the current version of the Operations Manual is available to employees in accordance with company policy.
Question clarification: What does your Operations Manual say about distributing it to employees? How do you ensure employees have the current version of the Manual?
Reference example: Reference to the location within, or excerpt from, the Operations Manual section which covers the distribution policy.
Evidence example: Digital example: screen capture of read/receipt page showing that a manual has been received. Manual/physical example: copy of, or picture of, manual being accepted in accordance with the distribution and document management policy (e.g., initial/signature page).
Common errors: Providing a written (narrative) description of the process in the SMS Questionnaire rather than providing actual evidence.
Exemplar response: Clear policy showing what the distribution policy is, well defined responsibilities for ensuring who accomplishes it, and current evidence showing the system has checks/balances in place to prevent version control issues.

QUESTION 6: Provide reference to the Operations Manual internal approval policy. Provide evidence the Operations Manual is approved in accordance with company policy.
Question clarification: Who is responsible for final GOM approval? How are these actions carried out? What's the visual evidence the Manual has been approved internally?
Reference example: Reference to location within GOM that shows approval information (who has authority/responsibility, etc.).
Evidence example: Copy of cover, revision log, or other document location, showing approval details such as name/title/initials of approver, document revision number, date, etc.
Common errors: Describing the external (FAA) acceptance process. Referring only to the revision process but not including final approval or document oversight responsibilities. Providing the final OpsSpec and not the approved GOM.
Exemplar response: Clear policy showing the one individual responsible for final approval of the document, a revision log showing name/initials of approver, and cover page showing document name, version number, and effective date of approved GOM.

QUESTION 7: Provide reference to the Operations Manual revision policy. Provide evidence the Operations Manual has been revised in accordance with company policy.
Question clarification: Who is responsible for updating/revising the GOM? Is there a defined frequency or criteria for when the GOM must be revised? How are the revisions documented?
Reference example: Reference to location within GOM that shows revision procedures.
Evidence example: Copy of the list of effective pages, copy of the log of revisions.
Common errors: Describing the process in the Questionnaire response rather than providing actual policy. Providing an out-of-date GOM that has not been revised according to policy.
Exemplar response: Clearly detailed review/revision responsibilities, criteria for when or why the document should be revised, and current and legible evidence showing a pattern of revisions in alignment with company policy.

QUESTION 8: Provide reference to the Emergency Response Plan (ERP) and ERP revision policy. Provide evidence the ERP is up-to-date in accordance with company policy.
Question clarification: Demonstrate you have an ERP and it has instructions on how/when to review/revise the document. Who is responsible for maintaining the document?
Reference example: Provide reference to the ERP and provide excerpts showing there is a process/procedure for maintaining the document. Note – the ERP may be a standalone document or incorporated as part of other internal manuals.
Evidence example: Cover of document showing document name, version number, effective date, or other unique identification information. A copy of the log of revisions.
Common errors: Providing partial/incomplete emergency response information such as missing/overdue aircraft procedures from the SOP. An effective ERP needs to address aircraft and non-aircraft emergencies (e.g., vehicle accidents, bomb threats, natural disasters).
Exemplar response: Clearly detailed review/revision responsibilities, criteria for when or why the document should be revised, and current and legible evidence showing a pattern of revisions in alignment with company policy. Copy of meeting minutes showing the ERP was reviewed and changes were discussed.

QUESTION 9: Provide reference to policy showing how aircrew member records (e.g., FAA certificates, medical, proficiency records) are maintained. Provide evidence the aircrew records are maintained in accordance with company policy.

Question clarification: How do you track crew member training and qualification records to ensure employees are qualified for the operations being conducted?

Reference example: Reference to GOM sections showing who has responsibility and duties for aircrew records management.

Evidence example: Copies of records being maintained in accordance with policy. Digital example: screen capture of web-based records tracking system with some sample records.

Manual/physical example: picture of pilot binder with some sample records visible

Common errors: Not addressing the question such as, "It's the air crew member responsibility", which does not indicate a company program or means of oversight. Describing a process but not including evidence of the process being used.

Exemplar response: Excerpt from GOM showing chief pilot responsibilities, evidence of chief pilot qualifications showing they are qualified for the position, and clear and legible examples of records being managed in accordance with company policy. Having a color coded system with visual indicators showing current, upcoming, and past-due training/credentials.

QUESTION 10: Provide reference to policy showing how aircraft maintenance/servicing personnel records (i.e., FAA certificates) are maintained. Provide evidence the personnel records are maintained in accordance with the policy.

Question clarification: How do you ensure maintenance personnel are current on required FAA certificates and training? How do you maintain these records?

Reference example: Reference to company policy showing who is responsible for maintaining maintenance records, verifying certifications, and maintaining FAA credentials.

Evidence example: Completed onboarding form, sample FAA training records, screen print of electronic system, current company training checklist.

Common errors: Responding it's the mechanics responsibility, which does not indicate a company process or means of supervision.

Exemplar response: Excerpt from GOM showing director of maintenance (DOM) responsibilities, evidence of qualifications showing they are qualified for the position, and clear and legible examples of records being managed in accordance with company policy. Having a color coded system with visual indicators showing current, upcoming, and past-due training/credentials.

QUESTION 11: Provide reference to company policy that ensures maintenance personnel are trained and approved to conduct specific maintenance (e.g., make/model). Provide evidence records are maintained in accordance with company policy.

Question clarification: How do you ensure maintenance personnel are trained and approved to conduct specific maintenance for your company? Who is responsible for the oversight?

Reference example: Excerpt from GOM/GMM showing duties and responsibilities for verification and management of maintenance staff.

Evidence example: Excerpt from GOM showing DOM duties, copies of sample records being management in accordance with policy.

Common errors: Describing an oversight program but not including a document as evidence that oversight exists.

Exemplar response: Excerpt from GOM showing (DOM) responsibilities, evidence of qualifications showing they are qualified for the position, and clear and legible examples of records being managed in accordance with company policy. Having consolidated digital system showing a list of all maintenance employees and a list of their approved capabilities. Having an employee development system which enables on-the-job (OJT) training and other career development opportunities.

QUESTION 12: Provide reference to Operations Manual policy for obtaining aircraft maintenance services while away from home base. Provide evidence of aircraft maintenance received or denied in accordance with the policy.

Question clarification: What are your away from base maintenance procedures?

Reference example: Reference to GOM or other company document showing the policy.

Evidence example: Maintenance record showing completion/approval. Email or meeting minutes showing that maintenance procedures were deferred since an external provider did not meet requirements.

Common errors: Submitting a general response such as "We complete maintenance in-house and continually look out for maintenance issues." Submitting an entire document such as a Maintenance Manual but not identifying how specific parts of the document are applicable.

Exemplar response: A clearly worded maintenance policy defining roles and responsibilities, a list of approved service providers, evidence of a quality assurance process to conduct oversight of service providers.

Safety Risk Management (Questions #13-16)

QUESTION 13: Provide reference to a risk management policy that includes: system analysis, hazard identification, risk analysis (exposure), risk assessment (severity and likelihood), decision making (mitigations and control), and validation of control (controls effective). Provide evidence the policy is in use.

Question clarification: Where is your risk management policy? How do you identify and track hazards and associated risks?

Reference example: Reference to the risk management policy, reference to the form (templates) used to track hazards and risks. Note – blank templates are not evidence.

Evidence example: Copy of current risk register, screen capture of web-based system.

Common errors: Addressing identification of hazards but not how they are tracked/monitored.

Exemplar response: Clear risk management policy defining all the steps required, clear policy defining when to apply the process, current evidence showing risks are monitored and assessed.

QUESTION 14: Provide reference to policy for hazard/threat reporting and tracking. Provide evidence that the program is in use.
Question clarification: What is your hazard/threat reporting program? How do you internally report hazards?
Reference example: Excerpt from SMS Manual describing the hazard reporting program, including appropriate uses of the form. Copy of a blank version of the hazard report form.
Evidence example: Example(s) of recently completed hazard reports. Screen capture of current list of pending/resolved hazard reports.
Common errors: Using an external system (e.g., SAFECOM) as an example. External tools are valuable for sharing lessons learned, but do not provide internal hazard tracking capabilities. Providing policy but no evidence of a hazards being actively documented or maintained.
Exemplar response: Clearly defined policy describing hazard reporting, anonymous capability to ensure privacy, web-based and offline capabilities to report hazards, copy of recent hazards submitted in accordance with policy.

QUESTION 15: Provide reference to company policy addressing the use of operational risk assessments and/or use of a flight risk assessment tool. Provide evidence of a completed risk assessment that shows the implementation this policy.
Question clarification: Which risk assessment tool(s) are used? How do you assess risks associated with daily or mission-specific operations?
Reference example: Excerpt from SMS Manual showing which tool to use (e.g., operational risk assessment matrix, flight risk assessment tool), who must complete it, when to use it, and how completed assessments will be managed.
Evidence example: Copy of recently completed assessment. Screen capture of digital tracking tool showing the management of completed assessments.
Common errors: Providing a blank template and not a completed assessment.
Exemplar response: Clearly defined policy addressing all required elements, evidence of a user-friendly tool customized to the company, evidence of active risk management and assurance such as including as part of safety performance metrics and safety committee meeting discussions.

QUESTION 16: Provide reference to policy that describes management approval requirements for operational risk assessments that exceed predetermined levels. Provide evidence of a risk assessment completed in accordance with the approval requirements.
Question clarification: What is your risk mitigation elevation process? Who can approve different levels of risk?
Reference example: Excerpt from SMS Manual showing risk assessment elevation and approval process. Copy of blank assessment template showing score thresholds and approval levels.
Evidence example: Copy of recently completed risk assessment that was approved at the appropriate level.
Common errors: Failing to identify a process to mitigate/obtain approval for high scoring risk assessments. Only providing a blank template and not a completed example.
Exemplar response: Clearly defined policy addressing all required elements, evidence of recently completed assessment. Digital capability that prevents completion/submission without appropriate approval. Evidence of active risk management and safety assurance such as including elevated assessments as part of safety performance metrics.

Safety Assurance (Questions #17-23)

QUESTION 17: Provide reference to a policy (or company document(s)) showing safety objectives and associated safety performance targets (SPTs). Provide evidence showing SPTs are current, measurable, and being monitored.
Question clarification: How do you monitor safety performance? Safety objectives should define what you are trying to accomplish (e.g., reduce injuries). Safety performance indicators (SPI) are a measure or value you monitor (e.g, number of ladder injuries per month). Safety performance targets (SPT) are targets or desired improvements with a quantity and time component (e.g., reduce ladder injuries by 25% over 12 months).
Reference example: Excerpt from SMS Manual showing safety performance measurement policies (e.g., objectives, SPI, SPT).
Evidence example: Meeting minutes showing status of safety performance. Screen capture of digital dashboard showing status of SPI/SPT.
Common errors: Safety performance metrics that are not measurable, out-of-date targets, safety policy that does not address safety objectives or corresponding targets and indicators.
Exemplar response: Clearly defined policy addressing required elements, achievable targets that are monitored, example of changes in procedures to increase likelihood of achieving targets. Record of historical targets to demonstrate recurring commitment to performance management.

QUESTION 18: Provide reference to a management of change (MOC) or change management policy. Provide evidence of the use of the change management policy (e.g., acceptance or rejection of a change).
Question clarification: If something changes at your company (purchase/sale of aircraft, personnel change, etc.), how do you identify and address the risk(s) associated with the change?
Reference example: Excerpt from SMS Manual showing MOC policy, including descriptions of when it is required and how to document decisions.
Evidence example: A completed MOC form with details showing the outcome. Recent meeting minutes showing the discussion and outcome of a changes.
Common errors: Incomplete response like "Our company is small and doesn't change much".
Exemplar response: Clearly defined MOC policy, including roles and responsibilities. Evidence of an inventory of historical changes (change log), and assurance methods being used to track changes after they were implemented.

QUESTION 19: Provide reference to the SMS continuous improvement policy. Provide evidence the SMS is being monitored and assessed in accordance with the policy.
Question clarification: How do you ensure your SMS is continuously improving?
Reference example: Excerpt from SMS Manual showing the improvement policy.
Evidence example: Evidence reflecting the system is being monitored in accordance with policy (e.g., meeting minutes, safety culture survey results, current safety performance metrics).
Common errors: Not addressing the continuous improvement concept or showing actual evidence of changes or improvements to the system.
Exemplar response: Clearly defined continuous improvement policy. Defined roles and responsibilities for oversight of the system. Evidence of changes made to the SMS because of active management of the SMS. Improved results from a series of safety culture survey results (e.g., multiple years of assessment).

QUESTION 20: Provide reference to policy showing that SMS audits must be completed at determined intervals (e.g., monthly, quarterly, annually). Provide evidence of a current audit schedule.

Question clarification: How do you evaluate if your SMS is working? Demonstrate how/when audits/assessments/evaluations take place.

Reference example: Excerpt from SMS Manual showing audit requirements (intervals, roles, responsibilities, etc.)

Evidence example: Screen capture of current web-based audit schedule, picture of whiteboard with audit schedule with dates.

Common errors: Partially addressing the question, not addressing interval requirements.

Exemplar response: Clearly defined audit schedule with internal and external frequency requirements. Evidence of clearly defined roles and responsibilities to manage the audit schedule. Evidence of completion of audits within defined schedule requirements.

QUESTION 21: Provide reference to policy that shows SMS audits must be documented. Provide evidence of the most recently completed audit (i.e., audit report).

Question clarification:

Reference example: Excerpt from internal evaluation program or SMS Manual showing audit documentation requirements.

Evidence example: Recently completed internal or external audit report, including details of the audit, not just simple status showing, "Complete".

Common errors: A general response such as "We are continuously evaluating the effectiveness of our organization. Lack of evidence of audits or the use of a bureau/agency evaluation (e.g., USFS, BLM) to count as an audit. Providing evidence of an old audit which is outside of the defined interval requirement.

Exemplar response: Clearly defined audit documentation policy. Legible and current audit report showing actionable findings. Evidence of lessons learned from the audit being shared with personnel through a meeting or memo.

QUESTION 22: Provide reference to policy which requires SMS audit findings (e.g., deficiencies, nonconformities) to be addressed. Provide evidence of a finding being addressed, or corrective action being implemented.

Question clarification: What are the instructions for doing something when an audit identifies a deficiency?

Reference example: Excerpt from manual showing corrective action policy including roles, which form(s) to use, assurance actions (follow-up activities).

Evidence example: Completed corrective action form (including dates, actionable items, etc.). Meeting minutes showing the correction was implemented and evaluated (assurance activities).

Common errors: Submitting an entire document such as an SMS manual but not identifying how specific parts of the document are applicable to the question. Submitting part of the document that is not relevant or applicable to the question.

Exemplar response: Clearly defined policy showing audit finding actions, responsibilities, and assurance actions. Evidence of a finding that was identified, corrective action implemented, and follow up actions taken and documented to prevent future occurrence. Evidence of a safety award given due to audit deficiencies being identified and resolved.

QUESTION 23: Provide reference to the maintenance control system (method of documentation, tracking, scheduling, and recording). Provide evidence of the maintenance control system in use.

Question clarification: What is your maintenance control system? Meaning, the interworking policy, process(es), and applications (if applicable).

Reference example: Excerpt from manual(s) showing who is responsible for maintenance tracking and which program(s)/methods must be used.

Evidence example: Small business: picture of whiteboard showing fleet status (tail numbers, dates, status of repairs, etc.). Medium business: screen capture of spreadsheet showing fleet status. Larger business: screen capture of web-based tracking system.

Common errors: Submitting insufficient information that addresses part of the question, for example, providing a TOC from a document but not providing excerpts or specific content.

Exemplar response: Clearly defined policy defining roles, responsibilities, and which systems to use. Clear and legible evidence of current maintenance standing of all aircraft, with automated capability to communicate potential lapses or other issues.

Safety Promotion (Questions #24-30)

QUESTION 24: Provide reference to policy showing Emergency Response Plan roles (i.e., key personnel), responsibilities, and duties. Provide evidence that training has been provided for these personnel to accomplish the duties.

Question clarification: Who manages/implements the ERP? What are their duties? Who else has responsibilities? How are they trained?

Reference example: ERP/SMS excerpt showing roles and training requirements.

Evidence example: Training certification showing topics, names, dates.

Common errors: Showing ERP training policy without providing training records (evidence). Providing the training curriculum (what will be taught) without providing evidence.

Exemplar response: Clearly defined policy showing roles, responsibilities, and training requirements. Recent training completion roster showing names, dates, and ERP topics. Meeting minutes showing ERP training topic with possible results or lessons learned.

QUESTION 25: Provide reference to policy showing the Emergency Response Plan must be exercised (drill/test/exercise) at least annually and documented. Provide evidence of the most recent ERP exercise.

Question clarification: How do you ensure your organization is prepared to implement the ERP? How do you ensure it is effective?

Reference example: Excerpt from ERP/SMS defining annual (or more frequent) ERP testing, including the requirements to document the event.

Evidence example: Completed ERP drill form (including names, topics, outcome, dates, etc.)

Common errors: Showing policy that requires testing but not providing evidence of results (records). Providing dated exercise results Providing ERP *training* results, not *exercise* results.

Exemplar response: Clearly defined policy showing frequency and documentation policy, including defining various events like table-top drills and full-scale drills at different intervals. Having scheduled and unscheduled drills to test various parts of the ERP, including external partners such as airport management and emergency providers in the drills.

QUESTION 26: Provide reference to the SMS safety communication policy. Provide evidence the policy describes the types of information to be communicated and how it will be communicated (e.g., method, frequency, responsibility).

Question clarification: How do you ensure safety information is available to employees?

Reference example: Excerpt from SMS policy defining communication roles, methods, tools, frequency, etc.

Evidence example: Picture of bulletin board with memos that support the policy, copy of email showing safety information being communicated.

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.)

Exemplar response: Clearly defined policy addressing the information requested. Screen capture of tracking system showing inventory of recent memos, bulletins, etc. Evidence of read/receipt capability to ensure messages are being sent, received, and read.

QUESTION 27: Provide reference to approved company safety information sharing methods (e.g., intranet, bulletin board). Provide evidence of safety lessons learned shared with personnel.

Question clarification: Which tools/methods do you use to share safety information?

Reference example: Excerpt from SMS policy defining communication methods to use.

Evidence example: Copy of email to employees showing a recent lesson learned, copy of a hazard report that included lessons that were learned and shared.

Common errors: Incomplete responses that address part of the question like showing the policy requirement for lessons learned creation but not providing evidence of lesson learned.

Exemplar response: Clearly defined policy showing methods, frequency of use, and templates to use so employees can easily share information. Copy of meeting minutes showing discussion of lessons learned and how they were applied to improve a system or procedure. Evidence of an award given to an employee for developing a lesson learned and preventing an accident/injury.

QUESTION 28: Provide reference to a safety award/incentive program. Provide evidence of the most recent award.

Question clarification: How do you encourage and promote your SMS program?

Reference example: Excerpt from SMS Manual showing safety program policy (award frequency, nomination process, eligibility examples, etc.).

Evidence example: Picture of the recent award (with name, date, award title, purpose). Meeting minutes describing the recent award (with name, date, award title, purpose).

Common errors: Assuming the award systems must be monetary (e.g., gift cards). Not providing evidence of the policy or implementation.

Exemplar response: Clearly defined award policy addressing how to nominate someone, how frequently the awards might occur, criteria for what constitutes an award, and examples of possible awards. Meeting minutes showing an award was provided for actions taken to prevent negative outcomes. An award that included attendance to an industry conference which would enhance employee skills and knowledge.

QUESTION 29: Provide reference to the company training program (FAA and internal) that ensures ground crew and air crew are trained and competent to perform their assigned duties. Provide evidence that personnel have been trained and are competent to perform their duties.

Question clarification: FAA training information addresses FAA requirements and internal training information should be specific to your company.

Reference example: Excerpt from GOM/GMM showing training and certification requirements; excerpt showing oversight responsibilities (e.g., DOM, chief pilot)

Evidence example: Current training plans (including names, dates, topics, etc.), copy of example certificates being managed in accordance with policy,

Common errors: Stating employees are FAA certified but not showing specific company training requirements. Submitting blank training plans or training plan for just ground, not addressing air crews.

Exemplar response: Clearly worded policy showing individual and supervisory responsibilities. Current evidence examples showing representative ground and air crew are current and certified. Evidence of a digital system showing tracking capability to prevent expirations or unqualified personnel from completing missions.

QUESTION 30: Provide reference to policy showing initial (new employee) and recurrent SMS training requirements. Provide evidence of the most recent SMS training record (initial or recurrent).

Question clarification: Where are your initial and recurrent SMS training requirements?

Reference example: Excerpt from SMS Manual showing initial and recurrent training requirements.

Evidence example: Copy of training record with employee name, date, topic(s). Screen capture of list of employees with completed SMS training (showing whether it was initial or recurrent).

Common errors: Providing evidence of a training plan but not specifically addressing initial and recurrent SMS training. Providing evidence of safety training (e.g., hazmat) but not SMS.

Exemplar response: Clearly worded policy showing initial and recurrent SMS training requirements. Having a completed standardized training record form used for multiple kinds of company training (e.g., SMS, onboarding, SOP). Use of a color coded system tracking system with visual indicators showing current, upcoming, and past-due training.

Flight Time, Accident History, and FAA Violations (Questions #31-33)

QUESTION 31: Total number of flight hours during the five years defined in the Exhibit. Flight hours must be separated by year and category: fixed-wing, rotary-wing, and uncrewed aircraft system (UAS). Example:
10/1/20xx-9/30/20xx: total _____ (separate by category as applicable: fixed, rotor, UAS)
10/1/20xx-9/30/20xx: total _____ (separate by category as applicable: fixed, rotor, UAS)
10/1/20xx-9/30/20xx: total _____ (separate by category as applicable: fixed, rotor, UAS)
10/1/20xx-9/30/20xx: total _____ (separate by category as applicable: fixed, rotor, UAS)
10/1/20xx-9/30/20xx: total _____ (separate by category as applicable: fixed, rotor, UAS)
Five year total: _____
Question clarification: What are your 5-yr flight hours (by year, category, and total)?
Reference example: See Evidence below.
Evidence example: Complete the table above or comparable equivalent.
Common errors: Incomplete flight time, not identifying aircraft category, providing flight time outside of the specified time. Only including flight time from DOI missions.
Exemplar response: Clear and legible completion of flight time meeting all stated requirements.

QUESTION 32: Total number of accidents (aircraft accident as defined within 49 CFR 830.2) during the five years defined in the Exhibit. Accident details must be provided for each accident listed (e.g., date, NTSB accident number, registration number).

If the Offeror had an accident in the five years identified, provide an accident prevention plan.*
The prevention plan must include the following elements: a) summary of accident (i.e., what happened?), b) description of mitigation(s) to prevent future occurrence (i.e., how was it corrected?), and c) description of assurance methods used to validate the effectiveness of mitigation measures (i.e., how do you make sure it doesn't happen again?).

*The submission of an accident prevention plan is not required, but if provided, may positively impact the offer.
Question clarification: Total number of accidents in time specified in solicitation.
Reference example: See Evidence below.
Evidence example: Spreadsheet, table, or other document addressing all elements of the question. If an accident occurred, accident details must address the information requested. Refer to Section D (noted above) for information on accident prevention plans.
Common errors: Not responding to the question. If no accidents occurred, respond with zero (0), none, or N/A. Not disclosing accidents that are Preliminary (NTSB report).
Exemplar response: No accidents, or if accident occurred, detailed accident information and accident prevention plan showing actions taken to prevent future negative events.

QUESTION 33: Total number of FAA violations (Civil Penalty) during the five years defined in the Exhibit. If violations were reported, Case information must be provided.
Question clarification: Did you receive any FAA violations during the specified period? Even if paid/resolved, violations must be disclosed.
Reference example: See Evidence below.

Evidence example: Spreadsheet, table, or other document addressing all elements of the question. If a violation occurred, all case information must be provided.
Common errors: Not responding to the question. If no violations meet the criteria, state 'none'. Knowingly not disclosing violations.
Exemplar response: No violations, or if violation occurred, clear and legible response addressing information requested.

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.