

EXHIBIT XX
SAFETY MANAGEMENT SYSTEM (SMS), FLIGHT TIME, ACCIDENT HISTORY, AND FAA
VIOLATION QUESTIONNAIRE FORM

This is an optional form to complete EXHIBIT XX - SMS Questionnaire. Other formats are acceptable, but responses need to include all the information requested.

COMPLETE THE SHADED BLOCKS

Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Key Safety Personnel and Commitment			
1	3-3	3.1.3.1	Provide evidence that there is an appointed (named) safety manager that is responsible for the effective administration of the SMS.
Reference 1 Response (if needed, continuation sheet is on next page)			
2	3-3	7.1.1	Provide evidence that the Contractor clearly defines key duties, authorities and accountabilities on their SMS functions.
Reference 2 Response (if needed, continuation sheet is on next page)			
3	3-3	3.1.1.1	Provide evidence of a strong organizational commitment and clear statement about the provision of necessary resources for the SMS.
Reference 3 Response (if needed, continuation sheet is on next page)			
Evidence for References 1-3 might consist of duty appointment letters, key safety personnel, duties, position descriptions, organizational structures, and policy that demonstrates that the accountable executive has identified or appointed the structure and key safety personnel and that they are actively involved in the SMS program.			

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Key Safety Personnel and Commitment (References 1-3), *continuation sheet*



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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Contractor Operations Manual			
4	3-3	6.1.1	Provide evidence that Operations Manual contains a flight operations policy and aircraft maintenance policy.
Reference 4 Response (if needed, continuation sheet is on next page)			
5	3-3	6.2.1	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.
Reference 5 Response (if needed, continuation sheet is on next page)			
6	3-3	6.1.1	Provide evidence that the Operations Manual is approved by the appointed accountable executive.
Reference 6 Response (if needed, continuation sheet is on next page)			
7	3-3	6.1.1	Provide evidence that the Operations Manual is amended or revised as necessary to ensure that the information contained is current.
Reference 7 Response (if needed, continuation sheet is on next page)			
Evidence for References 4-7 might include documented Operations Manual(s), revision and/or approval pages, SOPs, and procedures that describe how flight crews and maintenance personnel conduct flight and maintenance activities meet organizational expectations and objectives.			
Operations Manual contains internal instructions to employees and should not be confused with Operations Specifications (Ops Spec) as approved by the FAA.			

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Contractor Operations Manual (References 4-7), *continuation sheet*



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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Emergency Response Plan			
8	3-3	3.1.4.1	Provide evidence that the Contractor has an established emergency response plan to respond to an accident or emergency.
Reference 8 Response (if needed, continuation sheet is on next page)			
9	3-3	4.1.1	Provide evidence that the Contractor has provided duties and training for those who have a role in the emergency response plan.
Reference 9 Response (if needed, continuation sheet is on next page)			
10	3-3	4.3.3	Provide evidence that the emergency response plan is exercised at a minimum of annually to evaluate effectiveness and that results are recorded.
Reference 10 Response (if needed, continuation sheet is on next page)			
Evidence for References 8-10 might consist of documented and implemented plan that the Contractor will follow in the event of an accident, incident or operational emergency to mitigate the effects, of these events. Provide training records on the plan, how it was exercised, and updated it based on recorded results of using or exercising the plan.			

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Emergency Response Plan (References 8-10), *continuation sheet*

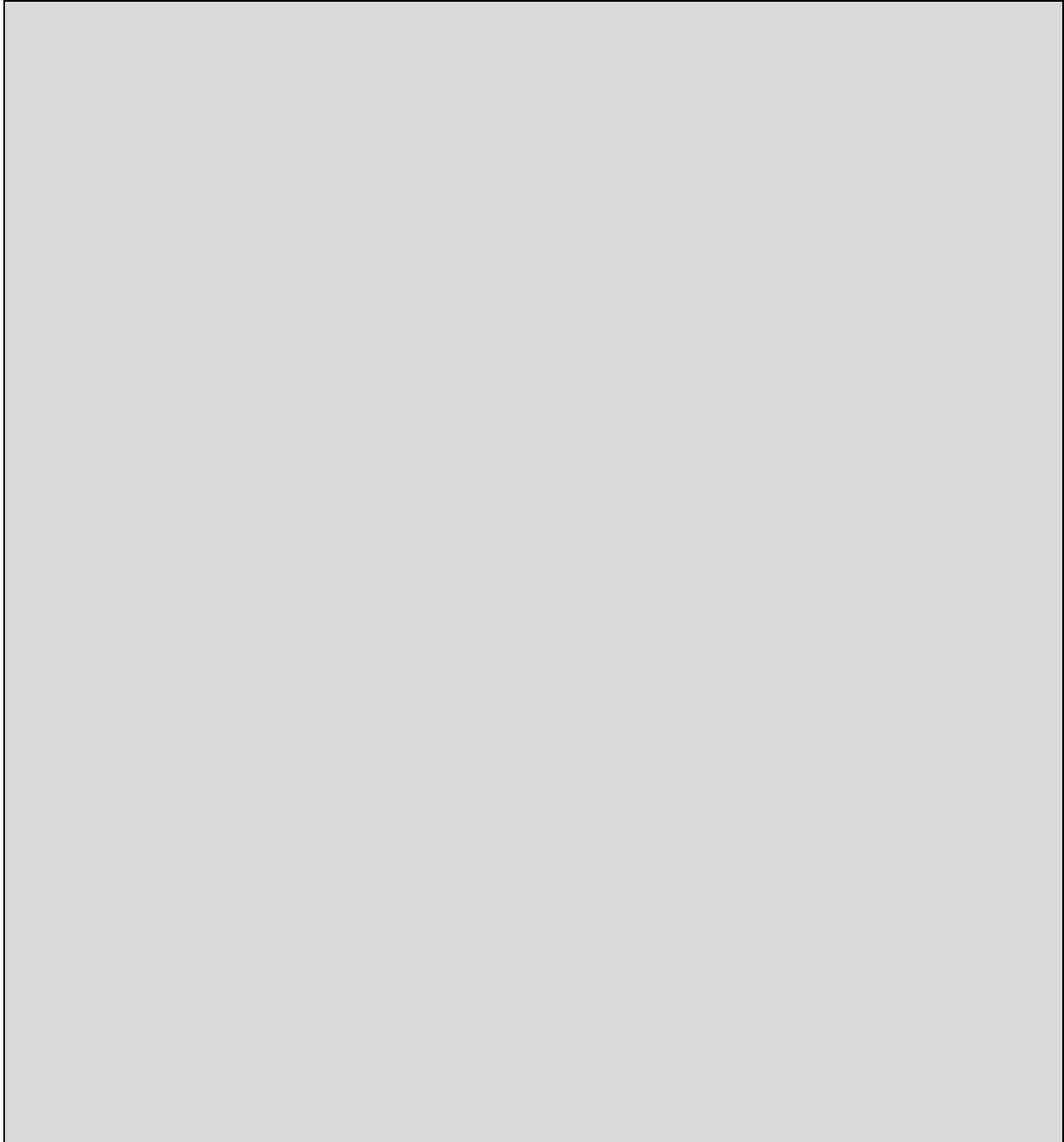


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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Safety Risk Management			
11	3-4	3.2.1.1	Provide evidence that the Contractor developed and maintains a formal process to identify and track hazards including risk Analysis (Exposure), Risk Assessment (Severity and likelihood), Decision Making (Mitigations), Validation of Control (Controls effective).
Reference 11 Response (if needed, continuation sheet is on next page)			
12	3-4	3.2.1.1	Provide evidence that the Contractor has a hazard/threat reporting program.
Reference 12 Response (if needed, continuation sheet is on next page)			
13	3-4	3.2.1.1	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.
Reference 13 Response (if needed, continuation sheet is on next page)			
14	3-4	3.1.2.1	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.
Reference 14 Response (if needed, continuation sheet is on next page)			
<p>Evidence for References 11-14 should demonstrate the developed processes to understand the critical characteristics of the Contractor systems and operational environment and apply this knowledge to identify hazards, analyze and assess risk, and design risk controls.</p> <p>Process should include: system description and task analysis, hazard identification, safety risk analysis, safety risk assessment, and safety risk control and mitigation. Mitigation and control processes might include a hazard/threat safety reporting system, a flight risk assessment tool and a documented method to for management to approve risk assessments that reach a predetermined level.</p>			

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Safety Risk Management (References 11-14), *continuation sheet*

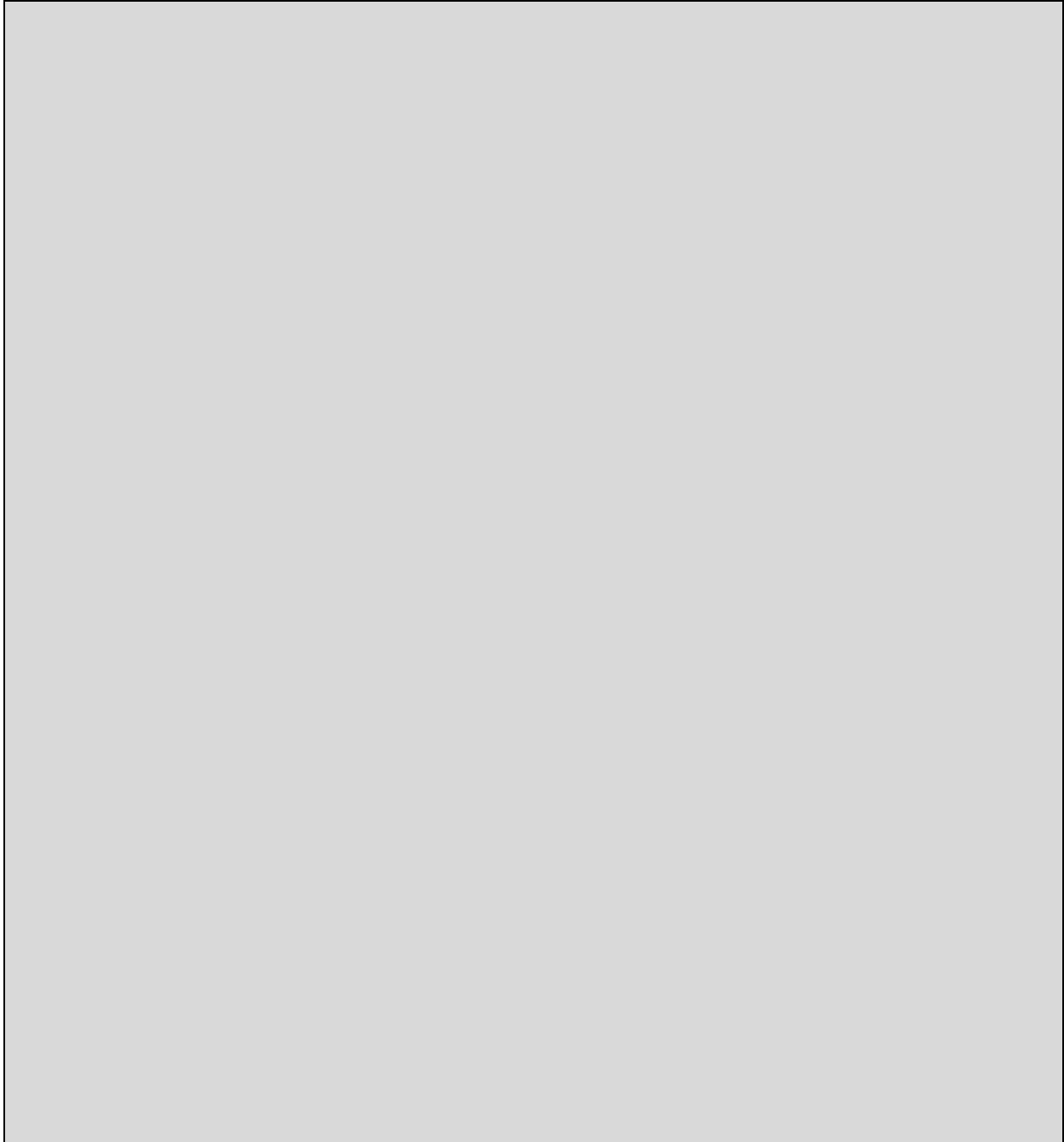


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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Safety Assurance			
15	3-5	3.3.1.1	Provide evidence that the Contractor has a policy or process to verify safety performance in reference to the Contractor's performance indicators.
Reference 15 Response (if needed, continuation sheet is on next page)			
16	3-5	3.3.2	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).
Reference 16 Response (if needed, continuation sheet is on next page)			
17	3-5	3.3.3	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.
Reference 17 Response (if needed, continuation sheet is on next page)			
Evidence for References 15-17 should show documented processes that establish benchmarks and safety measurement, identifying risks to organizational changes or new systems and the process of management of change, and how safety risk controls are effective.			
Examples may include: mishap rates, reporting rates, risk management trends, audit trends and risk mitigations.			

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Safety Assurance (References 15-17), *continuation sheet*



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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Compliance Monitoring			
18	3-5	3.5	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.
Reference 18 Response (if needed, continuation sheet is on next page)			
19	3-5	3.5	Provide evidence of audits and their results.
Reference 19 Response (if needed, continuation sheet is on next page)			
20	3-5	3.5	Provide evidence of a policy or process to develop an action plan from the deficiencies identified in the audits.
Reference 20 Response (if needed, continuation sheet is on next page)			
Evidence for References 18-20 should demonstrate that the organization has a process to perform regularly scheduled audits, internal or externally conducted, that they are documented, and that audit findings are analyzed and included in an action plan.			

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Compliance Monitoring (References 18-20), *continuation sheet*



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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Safety Promotion			
21	3-6	3.4	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.
Reference 21 Response (if needed, continuation sheet is on next page)			
22	3-6	3.4	Provide evidence of lessons learned developed from an incident, accident, or operational issue affecting safety, and shared with the Contractor personnel.
Reference 22 Response (if needed, continuation sheet is on next page)			
23	N/A	N/A	Provide evidence of a Safety Award system in place and in practice.
Reference 23 Response (if needed, continuation sheet is on next page)			
Evidence for References 21-23 should include a documented process to communicate safety critical outputs of the SMS, rationale behind controls, preventative or corrective actions, and ensure company awareness of the SMS objective to its employees. Items may include lessons learned, impact and safety awards and other programs to provide safety promotion.			

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Safety Promotion (References 21-23), *continuation sheet*



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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Training Program			
24	3-6	8.1	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.
Reference 24 Response			
25	3-6	3.4.1	Provide evidence that there is a documented training plan for initial and recurrent SMS training.
Reference 25 Response			
Evidence for References 24-25 should consist of documented process and or controls to ensure employees are trained and competent to perform their assigned duties. Training programs should ensure that each employee is trained on the SMS program and their responsibilities (e.g., a completed training plan).			

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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Air Crew Member Qualifications			
26	3-3	8.5	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.
Reference 26 Response			
Evidence for Reference 26 should show a process to ensure that crew members and other personnel are current on their required certificates, medical exams, training, and proficiency checks.			

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Maintenance Personnel Qualifications			
27	3-3	15.1	Provide evidence of a process to ensure that the Contractor aircraft maintenance/servicing personnel are certificated by the FAA.
Reference 27 Response			
28	3-3	15.2.3	Provide evidence of a process that ensures maintenance personnel are trained and approved by the Contractor to conduct specific maintenance.
Reference 28 Response			
Evidence for References 27-28 should show a process to ensure that mechanics and other maintenance personnel are current on their required FAA certificates, training, and that they are trained to conduct specific maintenance.			

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Maintenance Control System			
29	3-3	15.1	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.
Reference 29 Response			
30	3-3	15.1	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.
Reference 30 Response			
Evidence for References 29-30 should document a process on how the Contractor will conduct maintenance, manage aircraft records, preventative/deferred maintenance, discrepancy management, technical dispatch, parts inventory and ordering, material control, tool calibration, maintenance arrangements, and maintenance safety programs.			

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Reference Number	FAA Component Number	IS-BAO Element	Safety Policy and Objectives
Flight Time, Accident History, and FAA Violations (during last five years: 10/1/20xx - 9/30/20xx)			
31	N/A	N/A	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).
Reference 31 Response (if needed, continuation sheet is on next page)			
32	N/A	N/A	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.
Reference 32 Response (if needed, continuation sheet is on next page)			
33	N/A	N/A	Total number of FAA violations (Civil Penalty) during last five years. If violations were reported, provide Case information.
Reference 33 Response (if needed, continuation sheet is on next page)			
Evidence for Reference 31 should show total hours for the specified time period, separated by year and aircraft category; Reference 32 should show total number of accidents/incidents, and if applicable, accident mishap prevention plan(s) should be included for each accident; Reference 33 should show total number of violations, and if applicable, information for each violation.			

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Flight Time, Accident History, and FAA Violations (References 31-33), *continuation sheet*

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