

**SI(DRAFT)**



# Safety Management System Manual

01 July 2011

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# Chapter 1

## Manual Overview

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## Chapter 1

### Manual Overview

**1.0 Purpose:** The Safety Management System Manual (SMSM) – contains specific information pertaining to the policies and procedures for the San Antonio Airport System (SAAS).

1.1 The SMSM outlines the methods used by the SAAS to support the implementation of SMS principles by:

1.1.1 Overseeing the collection and analysis of safety data.

1.1.2 Working with management to identify hazards and determine associated risks.

1.1.3 Guiding management in developing and implementing intervention strategies to mitigate risks.

1.1.4 Tracking and evaluating the effectiveness of the interventions.

1.1.5 Safety awareness among all employee groups and contractors.

1.1.6 Promote Safety by disseminating the results of safety investigations and analysis, and sharing safety lessons learned both internally within the SAAS and externally, as warranted.

### 1.2 General:

1.2.1 This manual includes instructions and information necessary for personnel to perform their duties and responsibilities with a high degree of safety.

1.2.2 Within this SMSM, a reference to the San Antonio Airport System or SAAS includes both San Antonio International Airport and Stinson Municipal Airport.

1.2.2.1 Should it be necessary to address an issue that is unique to the San Antonio International Airport we will refer to the airport by the three letter identifier "SAT".

1.2.2.2 Should it be necessary to address an issue that is unique to the Stinson Municipal Airport we will refer to the airport by the three letter identifier "SSF".

1.2.3 The policies and procedures contained in this manual are promulgated to attain compliance with applicable Federal and Foreign regulations (as required), City of San Antonio (COSA) Administrative Directives, SAAS operations specifications, Airport Rules and Regulations, and the Airport Operating Certificate.

1.2.4 When a conflict exists between this manual and the regulations, the more restrictive guidance will take precedence.

1.2.5 This manual references all applicable regulations:

1.2.5.1 Federal Regulations (14 CFR and 29 CFR)

1.2.5.2 City and State Regulations

1.2.5.3 National Codes.

1.2.6 Within this manual, reference to "employee" is a reference to SAAS, Airport Police, and ARFF employees.

1.2.7 Within this manual, reference to "tenants" is a reference to all employees that work for Airlines, Tenants, concessionaire, and contractors providing services within SAAS, provided tenant agreed to accept SAAS SMS program.

1.2.8 Where the SMSM defines or provides guidance on performing a task, directives to an employee are to be considered directives to applicable tenant providing services within SAAS, if tenant agreed to accept SAAS SMS program.

### 1.3 Objectives:

1.3.1 The Objective of this manual is to provide SAAS with:

1.3.1.1 Knowledge of safety management concepts

1.3.1.2 Guidance on how to accept and oversee the implementation of the key components of SMS in compliance with all relevant Regulations and National Codes stated in paragraph 1.2.5.

#### 1.4 Concept:

1.4.1 The concept underlying this manual is that of a continuous SMS Cycle (Reference Figure 1-1). This manual initially presents basic safety concepts as the foundation upon which to understand the need for a Safety Management System at San Antonio Airport System.

**Figure 1-1 – Continuous-SMS Cycle**



1.4.1.1 Describe the System:

- Define scope and objectives
- Define stakeholders
- Identify criteria and plan for risk management effort (including any modeling/simulation potentially required)
- Describe system / change (use, environment, and intended function, including planned future configuration)

1.4.1.2 Identify Hazards (what can go wrong?) that exist in the content of the NAS change:

- Use structured approach
- Be comprehensive (and do not dismiss hazards prematurely)
- Employ lessons learned and experience supplemented by checklists

1.4.1.3 Analyze Risk (For Each Hazard):

- Identify existing controls
- Determine risk (severity and likelihood of outcome)
- Qualitative or quantitative (preferred)

1.4.1.4 Assess Risk:

- Rank hazard according to the severity and likelihood of their risk (low – Medium – High) in accordance with risk Matrix
  - Select hazards for detailed risk treatment (based on risk)
- 1.4.1.5 Take Action:
- Identify feasible mitigations options
  - Select balanced response to the risk
  - Verify and implement the fix
- 1.4.1.6 Monitor solutions:
- Is this solution effective

## 1.5 Contents:

1.5.1 Unless otherwise specifically noted, the SMS Manager is responsible for the policies, procedures, and processes detailed within this manual. Any comments regarding the contents of this manual, including but not limited to, errors, omissions, conflicts with other documents, suggestions for improvement or similar issues should be directed to the Safety Management System, Manager, City of San Antonio, 9800 Airport Blvd, San Antonio, TX 78216, Phone: 210-207-1656, Fax: 210-207-9805; Email: [safety.report@sanantonio.gov](mailto:safety.report@sanantonio.gov).

1.5.2 The contents of this manual may be revised via the following methods.

1.5.2.1 Bulletin – Normally issued when the scope of the change is limited or temporary in nature.

1.5.2.1.1 A Bulletin is generated to call immediate attention to a change in operating procedure.

1.5.2.1.2 A Bulletin may also be used to clarify, interpret, or recall attention to policies, procedures, or regulations.

1.5.2.1.3 A Bulletin is generated as needed and printed on Yellow paper for immediate differentiation. The Bulletin format is determined by the subject matter being addressed.

1.5.2.1.4 The front matter for each manual contains a List of Bulletins (LOB) which indicates active and deleted Bulletins, as well as the removal date when appropriate.

1.5.2.1.5 Active Bulletins are placed in the manual immediately behind the LOB page.

1.5.2.2 Permanent Revision – Generated as needed, but expected to be issued approximately two or three times a year.

1.5.3 The front of this manual contains a Revision History (RH) incorporated in the manual at the time of the revision.

1.5.4 Each page footer contains the original date of the manual; should there be a revision to this page of the manual the date will be changed to the effective date of the revision followed by the revision number. e.g. 10 Jul 2009 (original date of Manual); 14 Jul 2009/REV 1 (reflects the date of the revision and revision number).

1.5.5 Manual changes, other than typographical corrections or minor editorial changes, are indicated by vertical ( | ) change bars in the left margin area.

1.5.6 Deletion arrows pointing to the left ( ← ) denote that significant information has been deleted.

1.5.7 Manual revisions are distributed by the SMSMG in hard copy.

1.5.8 Each employee must keep appropriate parts of the manual accessible while performing assigned duties.

1.5.9 Employees must be familiar with, and follow, the policies and procedures outlined within this manual while performing their assigned duties. Failure to adhere to these policies and procedures may result in disciplinary action.

1.5.10 Manual holders must keep manuals available for reference purposes. Manuals may not be removed from the facilities or stored in such a manner that prevents use.

1.5.11 Each manual holder assigned a SMSM is responsible for its safekeeping, ensuring proper care at all times.

1.5.12 This manual must be returned to SMSMG upon request, or termination of employment, in a current condition (must include all issued bulletins and revisions).

## 1.6 Manual Structure:

1.6.1 Throughout this manual the following conventions are used.

1.6.1.1 Masculine or feminine – Not gender specific and includes both genders.

1.6.1.2 Singular or Plural – Are used interchangeably.

1.6.1.3 Must, shall, and will – Indicates a procedure, practice, or condition is imperative or required.

1.6.1.4 May – Is permissive and states authority. The words “no person may...” or “a person may not...” means that no person is required, authorized, or permitted to do the act prescribed,

1.6.1.5 Includes – Means “includes but not limited to.”

**NOTE:** SMSM standards, such as the specific writing, formatting, templates, mechanical, and spelling standards for the documentation developed by the Safety Office will be followed consistently, however; we are open for suggestions to correct any errors that may be noted.

1.6.2 Referenced Documents - Various paragraph styles are used to indicate external document references within this manual. Examples of these styles appear as follows:

1.6.2.1 References to 14 CFR Parts 25, 43, 61, 67, 91, 119, and 139 are reflected as follows:

14CFR 25 61 67 91.3 119 139.3

1.6.2.2 References to Operations Specifications are reflected as follows:

OPS SPEC A009

1.6.2.3 References to National Transportation Safety Board (NTSB) or Department of Transportation (DOT) regulations, Advisory Circulars (AC), or similar documents indicate the type of document in the reference notation and are reflected as follows:

14CFR NTSB 830.5 AC 150/5200-37 AC 120-92

1.6.2.4 References to ICAO Specifications are reflected as follows

ICAO DOC 9859

1.6.3 Warnings, Cautions, and Notes – Specific formats are used to represent Warnings, Cautions, and Notes throughout this manual. The definitions associated with each of these items are presented below

1.6.3.1  **WARNING** –Operating procedures, techniques, or other actions that could result in personal injury or death if not carefully followed. Warnings precede applicable text; the text will be printed in bold.

1.6.3.2  **CAUTION** – Operating procedures, techniques, or other actions that could result in damage to equipment if not carefully followed. Cautions precede applicable text.

1.6.3.3 **NOTE** – Emphasized operating procedures, techniques, or other information considered essential. Information contained in a NOTE may also be safety related. Notes follow applicable text.

## 1.7 San Antonio Airport System – Mission Statement / Values Statement:

1.7.1 Management and employees first consider safety and security when making any decision. Our Mission/Values statement clearly relays this message (Reference – Figure 1-2).

Figure 1-2 Mission / Values Statement



## 1.8 Safety Management Systems (SMS):

ICAO: DOC 9859      14CFR: AC 150/3200-37

1.8.1 The Air Transportation Oversight System (ATOS) program implements the concepts of System Safety. The FAA has expanded the ATOS concept into Safety Management Systems (SMS) as introduced by Advisory Circular 120-92, Introduction to Safety Management Systems for Air Operators, and Advisory Circular 150/5200-37, Introduction to Safety Management Systems for Airport Operators. SMS requires every air carrier and airport operator to have a closed loop information system resulting in a cycle of continuous process improvement, which is accomplished by the SMS cycle.

1.8.1.1 SMS operates with five major safety attributes as shown in Table 1-1. The SMSM implements these SMS attributes into its operations.

**Table 1-1 – FAA/SMS – Airport Operations Relationship**

FAA / SMS Airport Operations	Airport Operations
Responsibility and Authority	Job Descriptions
Procedures	Operating Manual
Controls	Checklists, lock-outs, automatic limiters
Process Measurements	Collect and assess feedback to prevent or correct problems
Interfaces	Relationships between documents and manuals or divisions and organizations that address the same or related policies and procedures

1.8.1.2 The SMS safety attributes translate into daily operations.

1.8.1.2.1 Management creates a **Plan** in the form of a procedural based manual system.

1.8.1.2.2 Following the specific manual procedures, employees then **Perform** and **Check** the work.

1.8.1.2.3 An employee provides management **Feedback** that the system needs improvement.

1.8.1.2.4 Management must **Act** by evaluating the documented procedures and, if warranted, revising to include the necessary improvement.

1.8.1.3 Evaluating information that employees provide on Safety forms is one method of Process Measurement. As end users of the manuals, employees are in an excellent position to evaluate and provide valuable feed-back regarding policies and procedures, and to discover deficiencies in materials, facilities, or procedures that could affect safety. SAAS encourages all employees to submit ideas or concerns regarding any safety related issue to the SMSMG.

## 1.9 Safety Reporting System:

1.9.1 The SAAS promotes the Assertive Statement, "***I have a Safety Concern.***"

1.9.1.1 Normal communication skills are used by employees to express routine safety concerns however, if those skills do not appear to be working, or there is insufficient time, the Assertive Statement is used to obtain a co-workers attention.

1.9.1.2 The statement "I have a Safety Concern" must be used immediately by employees who observe a situation that requires urgent action to prevent:

1.9.1.2.1 An accident, incident, or injury to persons, or

1.9.1.2.2 Damage to property or equipment.

1.9.2 If addressed by a coworker with the statement "I have a Safety Concern" the employee must immediately elevate his/her situational awareness to consider or reconsider the information the co-worker is presenting and must take appropriate action to ensure safety is not compromised.

1.9.3 Management and employees are responsible for reporting hazards or safety concerns immediately.

1.9.4 Employees must report any hazard/incident to their immediate supervisor/manager and complete the appropriate reporting form. Using this reporting system, the Safety Division must be made aware of hazards, even if the hazard(s) can be resolved locally by the appropriate management personnel.

1.9.5 Examples that must be reported:

1.9.5.1 Equipment malfunctions.

1.9.5.2 Any event or situation that could compromise safety or cause damage or injury.

1.9.5.3 Inadequate procedures to accomplish tasks safely.

1.9.5.4 Personal protective equipment not available.

1.9.5.5 Resources not available to perform job safely.

1.9.5.6 Environmental factors affecting safety (lighting, noise, etc.).

1.9.5.7 A circumstance considered unusual from an operational or procedural standpoint.

1.9.6 The Safety Division acknowledges and investigates reported hazards and recommends action to be taken to address/correct the issue(s) as necessary.

#### **1.10 The Safety Policy for the San Antonio Airport System's identifies the Airport System's commitment to aviation safety:**

1.10.1 The San Antonio Aviation Department commits to its employees and airport users to provide a safe environment, while supporting a safety program intended to reduce incidents to the lowest possible level. The Aviation Department is committed to providing and maintaining an environment conducive to the safety and health of its employees, users and the public. The Aviation Department has primary responsibility for establishing a Safety Management System; however, safety is a shared responsibility of all employees in the workplace. It is everyone's responsibility to support and actively participate in the SMS and incident prevention programs.

#### **1.11 Non-Reprisal Reporting Policy:**

1.11.1 SAAS desires to foster a positive safety culture and encourages open reporting of all safety hazards or incidents. Employees are responsible to communicate any information that may affect safety of flight, facilities, equipment, or persons. Employees are not disciplined for reporting safety issues in accordance with the procedures in this and other SAAS manuals.

1.11.2 This policy does not apply to the following:

1.11.2.1 Reckless Conduct

1.11.2.2 Criminal Behavior

1.11.2.3 Violations of the COSA drug and alcohol policy

1.11.2.4 Violations of employee or administrative policies

1.11.2.5 Intentional falsification

1.11.2.6 Deliberate or willful disregard of regulations or procedures

1.11.3 An employee is not exempt from disciplinary action when the employee knowingly fails to report a safety related failure, concern or issue to the Safety Division, which is later discovered by other means.

#### **1.12 Safety Reporting Forms:**

1.12.1 Authorized individuals can access the forms library online as follows via the SharePoint site using an employee user ID and password.

1.12.1.1 Personnel directly connected to the network can go this SharePoint site – <http://sharepoint/sites/Aviation/safety/SMS%20Site/default.aspx>

1.12.1.2 Paper copies of the forms are available

1.12.1.2.1 SAT:

1.12.1.2.1.1 Break room in the Parking Administration building

1.12.1.2.1.2 Break room in Maintenance Facility

1.12.1.2.1.3 Terminal A – South – Arrival Level in hallway by duty-free office room number 1084.

#### 1.12.1.2.2 SSF:

##### 1.12.1.2.2.1 SSF Staff Break Room.

1.12.1.3 Refer to the Safety Hot Line (below) if paper or electronic forms are not available.

1.12.2 Safety Forms are as follows:

##### 1.12.2.1 SMS Form 02 – Voluntary Safety Report (Reference Figure 1-3)

### 1.13 Safety Reporting Procedures:

1.13.1 Refer to paragraph 4.4 of this manual for details regarding the processing of all safety reports.

### 1.14 Safety Management System, Manager:

1.14.1 The Safety Management System Manager (SMSMG) position is the equivalent position to the 14 CFR Part 119.65 requirements for a Director of Safety position within the 14 CFR Part 121 operations.

1.14.2 The Safety Management System Manager position holds all responsibilities and authorities associated with the 14 CFR 119.65 Director of Safety positions. Refer to the paragraph 3.4.9 of this manual for a full description of the SMSMG position.

### 1.15 SAAS (24-Hour) Safety Hot Line:

1.15.1 The 24-Hour Safety Hot Line is available to all for reporting any safety related issue or concern, **1-210-207-1600. This hotline is staffed from 07:15 to 16:30 M-F; voice messaging is available 24 hours per day.**

1.15.2 Only the Safety Division (SD) has access to the Safety Hot Line to protect the anonymity of the caller.

### 1.16 Voluntary Safety Report:

1.16.1 The Voluntary Safety Report form is the basic method to communicate safety related concerns to management. Information communicated in this form is not used by SAAS to pursue disciplinary action against the reporting person and is considered a "Safe from Reprisal" form of communication.

1.16.2 Employees can also use the Voluntary Safety Report (VSR), SMS FM 02 (Reference Figure 1-3), to provide input about a safety problem(s) in the field, a safety concern, or suggestions for improvement.

1.16.3 While input is normally unsolicited, the SAAS may occasionally solicit input from employees about the effectiveness of modified procedures or solicit opinions about proposed changes. Unless these solicitations require the use of a form developed specifically for the survey, employees can respond using the VSR form. Copies of this form are available at each location as stated in paragraph 1.12., Safety Reporting Forms of this chapter.

1.16.4 SMSMG may contain specific forms for reporting specific events, including instructions for completing and forwarding the form. Completing and forwarding those particular forms is accomplished in lieu of completing the VSR.

**NOTE** – Employees who are not comfortable disclosing their personal identity on the Voluntary Safety Report form may leave the identifying fields blank when reporting a hazard. The form is processed in the same fashion as if it carried the identity of the employee.

1.16.5 The employee must input the following minimum information:

1.16.5.1 Name of the employee originating the form (optional if submitting Hazard Report)

1.16.5.2 Date and Airport to which the form pertains

1.16.5.3 Type of report (Hazard Report/Suggestion)

1.16.5.4 A description of the concern, issue, or event

1.16.6 Following completion of the form, the employee transmits the VSR to the Safety Division via the instructions printed at the bottom of the form.

1.16.7 The SMSMG receives and reviews the form, then forwards the VSR (deidentified) to the responsible division head.

1.16.8 The SMSMG discusses the issue with the responsible division head or responsible Executive and either retains the issue for discussion at the next scheduled meeting of the SMS Review Committee, or calls a special meeting of the SMS Review Committee to discuss the pending issue.

1.16.9 Employees, who submit an VSR and identify themselves on the form, receive a written response from the SMSMG once the SMS Review Committee has met and a course of action is decided, provided a reply was requested on the VSR form.

1.16.10 For instructions on how to fill out this form (Reference – Table 1-2) are presented immediately following the form example.

1.16.11 Refer to the SMSM, paragraph 4.4.3.1 for details regarding the processing of the VSR form.

## **1.17 Record Management:**

**COSA AD 1.31 AD 1.34**

1.17.1 Introduction:

1.17.1.1 This section contains record management procedures for evaluations conducted by the Safety Division.

1.17.1.2 The record management process will be measured and evaluated on an annual basis by an external auditor.

1.17.2 Procedures for Record Management:

1.17.2.1 Internal Evaluation File:

1.17.2.1.1 The Lead Evaluator (LE) will maintain an Internal Evaluation file for each evaluation that he/she conducted. This Internal Evaluation file will contain the following documents.

1.17.2.1.1.1 Evaluation Checklists

1.17.2.1.1.2 Evaluation Preparation Checklists

1.17.2.1.1.3 Evaluation Reports

1.17.2.1.1.4 Process Evaluation Action Request Forms (PEAR)

1.17.2.1.1.5 E-mail communications

1.17.2.1.1.6 Evidence applicable to the evaluation

1.17.2.1.2 The Master Evaluation Schedules are maintained indefinitely in electronic format and in hard copy as revised by the quarterly report. The content of the Internal Evaluation file is maintained indefinitely in electronic format to support trend analysis and identification of previous evaluation findings.

1.17.2.2 Disposition of Records:

1.17.2.2.1 The SMSMG, and Lead Evaluator of applicable evaluations must verify the following information prior to the disposal of any IEP file.

1.17.2.2.1.1 The IEP file is no longer applicable.

1.17.2.2.1.2 All items pertaining to the evaluation are complete.

1.17.2.2.1.3 The members listed above must agree to the disposal of the file.

Figure 1-3 – Voluntary Safety Report – SMS FM 02

 <p><b>SAN ANTONIO AIRPORT SYSTEM</b></p>	<b>VOLUNTARY SAFETY REPORT</b>			
	1. TO: Manager, SMS	2. FROM: (Optional if you are checking Hazard report)		3. DATE:
	4. TYPE OF REPORT: <input type="checkbox"/> Hazard Report ((fill in section 7 & 8) 9 optional) <input type="checkbox"/> Suggestion (fill in section 8 & 9)		5. AIRPORT: <input type="checkbox"/> SSF <input type="checkbox"/> SAT	6. REPLY REQUESTED: <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Select the Appropriate Box for where you work. <input type="checkbox"/> Airport Operations <input type="checkbox"/> Airport Facilities <input type="checkbox"/> Airport Maintenance <input type="checkbox"/> Airport Police <input type="checkbox"/> Airport Administration <input type="checkbox"/> Airline Employee <input type="checkbox"/> Other				
8. Description of incident or observed hazard: (Provide date, time, and location, as applicable. Include a detailed and accurate description while being as concise as possible.)				
9. Recommendations to transfer, eliminate, or mitigate the hazard or Suggestion for improvement:				
10. Employee Information: (Required if you checked the Suggestion box above)				
10A. Employee Name (Print):	10B. Employee Signature:	10C. Employee Number:	10D. Date Signed:	
11. Supervisor Certification of Corrective Actions:				
11A. Name of Supervisor:	11B. Supervisor Signature:	11C. Employee Number:	11D. Date Signed:	
11E. Explanation of Corrective Action:				
12. This Section to be completed by Safety Division personnel:				
12A. Report ID Number Assigned:	12B. Risk Code:	12C. Report Status: <input type="checkbox"/> Closed	12D. Date Closed:	12E. Report Closed by (Enter Initials):
12F. Comments:				

SMS FM 02  
Jul 2009

**Table 1-2 – Instruction for the SMS FM 02 – Voluntary Safety Report form**

Block #	Block Title	Instructions
1	To:	This is always addressed to the Manager, SMS
2	From: (Optional if you are checking Hazard report)	Filling in this block is optional if submitting a Hazard Report anonymously. However, when submitting a report inclusive of a Suggestion, the author's name must be entered.
3	Date:	The Date the form was completed
4	Type of Report: Hazard Report or Suggestion	Two options are available for selection: 1. <b>HAZARD Report</b> – Should identify workplace hazards and/or events. The identification and submission of hazard reports assists SAAS in potentially eliminating reported hazards and may prevent recurrences. 2. <b>Suggestion</b> – Should identify areas of improvement for policies, procedures, and/or practices. Suggestions help to assist in providing a "Safer" workplace environment and may also help to reduce costs and increase revenue. When selected, sections 8 and 9 must be completed. If not, no action will be taken and the report will be closed.
5	Airport: SSF or SAT	The airport where the author of the report is employed.
6	Reply Requested: Yes or No	Select whether or not a reply letter is requested. A reply letter may consist of a description of the SAAS's intentions to eliminate Hazards as well as timelines for implementing recommendations. When neither box is selected, the default choice is "NO".
7	Select the appropriate box for where you work	Airport Operations – Self explanatory Airport Facilities – (Parking/GND TRANS/Property Management/Planning & Development) Airport Maintenance – (Facilities/Airfield/Building/Maintenance) Airport Police – (Airport Police/ARFF/Security) Airport Administration – All other Divisions Airline Employee – Self Explanatory Other – If you do not fit into one of the categories above
8	Description of incident or observed hazard: (Provide date, time and locations, as applicable, Include a detail and accurate description while being as concise as possible):	Provide a detailed, concise, and accurate description of the incident or observed hazard identifying who, what, when, where, and why if possible. If additional space is needed, additional paper may be attached to this report
9	Recommendations to transfer, eliminate, or mitigate the hazard of Suggestion for improvement:	Provide a concise recommendation or suggestion identifying who, what, when, where, and how as applicable. If additional space is needed, additional paper may be attached to this report.
10	Employee Information:	Completion section 10A thru 10D is required when a Suggestion is selected in box number 4. When the form is submitted in hard copy format, a signature is required, except if the form is being submitted anonymously. When submitted in electronic format, the form will be signed electronically. If this section is not completed as applicable, no action will be taken and the report will be closed.
10A	Employee Name (Print):	Self explanatory
10B	Employee Signature:	Self explanatory
10C	Employee Number:	Self explanatory
10D	Date Signed:	Date report was filed/submitted
11	<b>Supervisor Certification of Corrective Action:</b>	Completion of this section is required when tasked by the Safety Division for clarification of the corrective action.
11A	Name of Supervisor:	Self explanatory
11B	Supervisor Signature:	Self explanatory
11C	Employee Number:	Self explanatory
11D	Date Signed:	Date signed by supervisor and submitted
11E	Explanation of Corrective Action:	Provide a detailed, concise, and accurate description of the Corrective Action. If additional space is needed, additional paper may be attached to this report
12	<b>This Section to be completed by Safety Division personnel:</b>	
12A	Report Number Assigned:	Enter the Report's Identification Number provided by the Safety Database.
12B	Risk Code:	Enter the Risk Code provided by the Safety Database.
12C	Report Status: Closed	Select Closed when all open action items in the Safety Database is completed
12D	Date Closed:	Enter the date this report was closed by the Committee and in the Safety Database.
12E	Report Closed by (Enter Initials):	Enter the initials of the person updating the Safety Database to closed
12F	Comments:	Enter any comments that may be of importance to this report

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Chapter 2

**Acronyms and Definitions**

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## Chapter 2

### Acronyms and Definitions

**2.0 Introduction** – This chapter contains the acronyms and definitions applicable to this manual.

#### 2.1 Acronyms:

##### ≈ A ≈

<b>AAI</b>	Office of Accident Investigation
<b>AAS</b>	Advanced Automation System (the end systems for all FAA air traffic control, located at the ARTCCs)
<b>AAC</b>	Aeronautical Administration Communication (a class of communication which supports administrative communication)
<b>AATT</b>	Advanced Aviation Transportation Technology
<b>AC</b>	Advisory Circular
<b>ACFT</b>	Aircraft
<b>ACARS</b>	Aircraft Communications Addressing and Reporting System
<b>ACAS</b>	Airborne Collision and Avoidance System
<b>ACI</b>	Airports Council International
<b>ACM</b>	Airport Certification Manual
<b>ACO</b>	Aircraft Certification Office
<b>AD</b>	Airport Design or Administrative Directive
<b>ADA</b>	Americans with Disabilities Act
<b>ADG</b>	Airplane design group
<b>ADO</b>	Airport District Office ( <b>FAA</b> )
<b>ADNU</b>	Airfield Driver's News Update Program
<b>AFS</b>	Flight Standards Service
<b>AIDS</b>	Accident/Incident Reporting Data System
<b>AMA</b>	Mike Monroney Aeronautical Center - FAA Academy
<b>AMO</b>	Approved maintenance organization
<b>APU</b>	Auxiliary Power Unit
<b>AMS</b>	Acquisition Management System
<b>AOA</b>	Aircraft Operational Area
<b>AOC</b>	Air operator certificate
<b>AOS</b>	Airport Operations Supervisors
<b>AOV</b>	Air Traffic Safety Oversight Service
<b>ARP</b>	Airports Office
<b>ASAP</b>	Aviation Safety Action Program
<b>ASRP</b>	Aviation Safety Reporting Program
<b>ASRS</b>	Aviation Safety Reporting System
<b>ASY</b>	Office of System Safety
<b>ATA</b>	Air transport Association
<b>ATC</b>	Air Traffic Control
<b>ATM</b>	Air Traffic Management
<b>ATO</b>	Air Traffic Organization

<b>ATOS</b>	Air Transportation Oversight System	
<b>AVR</b>	Office of Regulation and Certification	
		≈ <b>B</b> ≈
<b>BOD</b>	Board of Directors	
		≈ <b>C</b> ≈
<b>C-ARTS</b>	Common Automated Radar Terminal System	
<b>CAT I</b>	Facility providing operation down to 200 feet decision height and runway visual range not less than 2600 feet.	
<b>CAT II</b>	Facility providing operation down to 100 feet decision height and runway visual range not less than 1200 feet.	
<b>CAA</b>	Civil Aviation Authority	
<b>CAP</b>	Corrective Action Plan	
<b>CASS</b>	Continuing Analysis and Surveillance System	
<b>CBI</b>	Computer-based Instruction	
<b>CBT</b>	Computer Based Training	
<b>CDA</b>	Constant descent arrivals	
<b>CDR</b>	Critical Design Review	
<b>CFIT</b>	Controlled flight into terrain	
<b>CFR</b>	Code of Federal Regulations	
<b>CNS</b>	Communications, Navigation, Surveillance	
<b>CONOP</b>	Concept of Operations	
<b>COO</b>	Chief Operating Officer	
<b>COSA</b>	City of San Antonio	
<b>CRM</b>	Crew resource management	
<b>CSA</b>	Comparative Safety Assessment	
<b>CVR</b>	Cockpit Voice recorder	
		≈ <b>D</b> ≈
<b>DCP</b>	Document Change Proposal	
<b>DEP</b>	Departure	
<b>DES</b>	Descent	
<b>DEST</b>	Destination	
<b>DME</b>	Distance Measuring Equipment	
<b>DOT</b>	Department of Transportation	
<b>DP</b>	Departure Procedures	
<b>DR&amp;A</b>	Data Reduction and Analysis	
		≈ <b>E</b> ≈
<b>IEP</b>	Internal Evaluation Program	
<b>EPA</b>	Environmental Protection Agency	
<b>ETBA</b>	Energy Trace-Barrier Analysis	
<b>ERAM</b>	Enroute Automation Modernization	
<b>ERM</b>	Emergency Response Manual	
<b>ERP</b>	Emergency Response Plan	
<b>ETMS</b>	Enhanced Traffic Management System	
		≈ <b>F</b> ≈
<b>FAA</b>	Federal Aviation Administration	

<b>FAR</b>	Federal Aviation Regulations (federal rules under which flight operations are conducted)
<b>FAST</b>	FAA Acquisition System Toolset
<b>FDM</b>	Flight Data Monitoring
<b>FDR</b>	Flight Data Recorder
<b>FHA</b>	Functional Hazard Analysis
<b>FMS</b>	Flight Management System
<b>FMEA</b>	Failure Modes and Effects Analysis
<b>FREQ</b>	Frequency
<b>FMECA</b>	Failure Modes, Effects, and Criticality Analysis
<b>FMS</b>	Flight Management System
<b>FOD</b>	Foreign Object Damage
<b>FRDF</b>	Facility Reference Data File
<b>FSDO</b>	Flight Standards District Office
<b>FTA</b>	Fault Tree Analysis
<b>FT</b>	Feet

↻ **G** ↻

<b>GA</b>	General Aviation
<b>GAIN</b>	Global Aviation Information Network
<b>GAO</b>	General Accounting Office
<b>GPS</b>	Global Positioning System

↻ **H** ↻

<b>HAZMAT</b>	Hazardous Materials (Dangerous Goods)
<b>HAZOP</b>	Hazard and Operability Tool
<b>HF</b>	High Frequency
<b>HMI</b>	Human Machine Interface
<b>HTTR</b>	Hazard Tracking and Risk Resolution
<b>HTS</b>	Hazard Tracking System
<b>HZ</b>	Hazard

↻ **I** ↻

<b>IAPA</b>	Instrument Approach Procedures Automation
<b>IAW</b>	In accordance with
<b>ICAO</b>	International Civil Aviation Organization
<b>IEP</b>	Internal Evaluation Program
<b>IFR</b>	Instrument Flight Rules
<b>ILS</b>	Instrument Landing System
<b>INFO</b>	Information
<b>IMC</b>	Instrument Meteorological Conditions
<b>ISSP</b>	Integrated Safety System Program

↻ **J** ↻

<b>JHA</b>	Job Hazard Analysis
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↻ **K** ↻

<b>KG</b>	Kilogram
<b>KHz</b>	Kilohertz

<b>Km</b>	Kilometer
<b>KT</b>	Knot
<b>KTS</b>	Knots
<b>kW</b>	Kilowatt

≈ L ≈

<b>LAHSO</b>	Land and Hold Short Operations
<b>LDR</b>	Labor Distribution Reporting
<b>LE</b>	Lead Evaluator
<b>LOB</b>	Line of Business
<b>LOFT</b>	Line-Oriented Flight Training

≈ M ≈

<b>MDA</b>	Minimum Descent Altitude
<b>MEL</b>	Minimum Equipment List
<b>MES</b>	Multi-Linear Event Sequencing Tool
<b>MLS</b>	Microwave Landing System
<b>MMS</b>	Maintenance Management System
<b>MSDS</b>	Material Safety Data Sheet
<b>MOA</b>	Memorandum of Agreement
<b>MORT</b>	Management Oversight and Risk Tree
<b>MRM</b>	Maintenance Resource Management
<b>MVR</b>	Texas Motor Vehicle Report

≈ N ≈

<b>N/A</b>	Not Applicable
<b>NAIMS</b>	National Airspace Incident Monitoring System
<b>NAS</b>	National Airspace System
<b>NASA</b>	National Aeronautics and Space Administration
<b>NASDAC</b>	National Aviation Safety Data Analysis Center
<b>NASIP</b>	National Aviation Safety Inspection Program
<b>NASTEP</b>	NAS Technical Evaluation Program
<b>NAV</b>	Navigation
<b>NCP</b>	NAS Change Proposal
<b>NDB</b>	Nondirectional Radio Beacon
<b>NexGen</b>	Next Generation (e-mail) Messaging System
<b>NFPO</b>	National Flight Procedures Office
<b>NIMS</b>	NAS Infrastructure Management System
<b>NM</b>	Nautical Mile
<b>NMACS</b>	Near Midair Collision System
<b>NOAA</b>	National Oceanic and Atmospheric Administration
<b>NOTAMS</b>	Notice to Airmen
<b>NTSB</b>	National Transportation Safety Board

≈ O ≈

<b>OA</b>	Operations Analysis
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<b>OEDS</b>	Operational Error/Deviation System
<b>OIG</b>	Office of the Inspector General
<b>OJT</b>	On-the-Job Training
<b>OP</b>	Operational
<b>ORM</b>	Operational Risk Management
<b>OSA</b>	Operational Safety Assessment
<b>OSHA</b>	Occupational Safety and Health Administration
≈ P ≈	
<b>PANS</b>	Procedures for Air Navigation Services, Air Traffic Management
<b>PC</b>	Personal computer
<b>PDR</b>	Preliminary Design Review
<b>PDS</b>	Pilot Deviation System
<b>PE</b>	Physical Examination
<b>PEAR</b>	Process Evaluation and Action Request
<b>PHA</b>	Preliminary Hazard Analysis
<b>PIT</b>	Powered Industrial Truck
<b>POS</b>	Position
<b>POSC</b>	Post-Implementation Safety Case
<b>POV</b>	Personnel Operator Vehicle
<b>PPE</b>	Personal Protective Equipment
≈ Q ≈	
<b>QA</b>	Quality Assurance
<b>QC</b>	Quality Control
<b>QMS</b>	Quality Management System
<b>OPS SPEC</b>	Operations Specifications
≈ R ≈	
<b>RIS</b>	Regulatory Information System
<b>RH</b>	Revision History
<b>RNP-RNAV</b>	Required Navigation Performance for Area Navigation
<b>RTCA</b>	Radio Technical Commission for Aeronautics
<b>RVSM</b>	Reduced Vertical Separation Minima
≈ S ≈	
<b>SAAS</b>	San Antonio Airport System
<b>SAT</b>	San Antonio Airport three letter identifier
<b>SD</b>	Safety Division
<b>SEM</b>	System Engineering Manual
<b>SFR</b>	Safety Feedback Report form
<b>SID</b>	Standard Instrument Departure
<b>SIDA</b>	Security Identification Display Area
<b>SMO</b>	Systems Management Office
<b>SMS</b>	Safety Management System
<b>SMSM</b>	Safety Management System Manual
<b>SMSMg</b>	Safety Management System Manager

<b>SMSRC</b>	Safety Management System Review Committee
<b>SOIA</b>	Simultaneous Offset Instrument Approach
<b>SOP</b>	Standard Operating Procedures
<b>SRM</b>	Safety Risk Management
<b>SRMD</b>	Safety Risk Management Document
<b>SSAR</b>	System Safety Assessment Report
<b>SSE</b>	Senior Safety Engineer
<b>SSF</b>	Stinson Municipal Airport three letter identifier
<b>SSH</b>	System Safety Handbook
<b>SSHA</b>	Sub-system Hazard Analysis
<b>SSMP</b>	System Safety Management Program
<b>STARS</b>	Standard Terminal Automation Replacement System
<b>STEP</b>	Sequential Time Event Plot

≈ T ≈

<b>T&amp;E</b>	Test and Evaluation
<b>TEMP</b>	Temperature
<b>TAA</b>	Terminal Arrival Area
<b>TRACON</b>	Terminal Radar Approach Control
<b>TRM</b>	Team Resource Management
<b>TTT</b>	Trap Transport Transplant Permit Program
<b>TWA</b>	Time Weighted Average

≈ U ≈

<b>UCR</b>	Unsatisfactory Condition Report
<b>UHF</b>	Ultra-high Frequency

≈ V ≈

<b>VFR</b>	Visual Flight Rules
<b>VHF</b>	Very High Frequency
<b>VMC</b>	Visual Meteorological Conditions
<b>VOR</b>	VHF Omni-directional Range
<b>VP</b>	Vice President
<b>VSR</b>	Voluntary Safety Report

≈ W ≈

<b>WBI</b>	Web-based Instruction
<b>WT</b>	Weight
<b>WX</b>	Weather

≈ X ≈

<b>X-BAND</b>	The frequency range between 8000 and 12500 MHz
<b>XCVR</b>	Transceiver

≈ Y ≈

≈ Z ≈

<b>Z Zulu</b>	(GMT Time)
<b>ZFW</b>	Zero Fuel Weight

## 2.2 Definitions:

### ≈ A ≈

**“All Clear”** – Upon notice of “All Clear”, Staff, Tenants, and escorted passengers will be permitted to reenter the concourse from the ramp and gate area with additional screening.

**Accountable Executive** – The Accountable Executive assumes full responsibility and accountability for the San Antonio Airport System's SMS. The Accountable Executive can delegate the day-to-day functional responsibility to the Responsible Executive but is still the Accountable Executive for the San Antonio International Airport and Stinson Municipal Airport. The Aviation Director is the Accountable Executive for the San Antonio Airport System.

**Aircraft Accident (NTSB 830)** – Aircraft accident means an occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight, and all such persons have disembarked, and in which any person suffers death or serious injury, or in which the aircraft receives substantial damage.

**Aircraft Damage** – Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wing tips are not considered substantial damage but is considered aircraft damage.

**Aircraft Incident (NTSB 830)** – An occurrence, other than an accident, associated with the operation of an aircraft, which affects or could affect the safety of operations.

**Airlines** – Commercial air carriers who operate aircraft and fly passengers to and from Terminal A and/or B at SAT. Specifically, employees of those airlines who work regularly in Terminal A and/or B.

**Assembly Point** – A specific location outside of the Terminals identified for the purpose of providing a gathering place for evacuees.

**Assembly Point Officers** – Staff and Tenants designated to act as coordinators for Assembly Points during evacuations.

**Audit** – A methodical, planned review that compares actual practices to written policies or standards, and determines actual practices through interviews, observations, and review of documents and records.

**Auditor** – An individual who has satisfied defined experience prerequisites and is successfully qualified under a defined training program to conduct audits.

**Audit Evidence** – Records, statements of fact, or other information that are relevant to the evaluation criteria and are verifiable.

**Authority** – A person or group with the power to command, determine, influence, or judge.

### ≈ B ≈

**Business Partners:** Concession and/or retail operations conducting business in Terminal A and/or B at SAT. Specifically, employees who work regularly in Terminal A and/or B.

### ≈ C ≈

**Comprehensive Fix** – An action taken to resolve an unwanted situation and precludes the recurrence of a finding disclosed to the FAA.

**Concern** – An evaluation finding that indicates a system weakness or deficiency that is not contrary to the federal aviation regulations or SAAS Policies and does not pose an immediate safety threat.

**Continual** – A close prolonged succession or recurrence, infinite in time, without interruption.

**Control** – Checks and restraints designed into a process to ensure a desired result.

**Correction** – Repair, rework, or adjust to an existing nonconformity. Corrections are considered a short term fix to allow the system to continue working on a temporary basis.

**Corrective Action** – Relates to the elimination of the cause of nonconformity, or is a response to a PEAR or AFCAN. Long term fixes or corrective actions identify the root cause of the problem and make changes to ensure that the problem does not reoccur.

**Corrective Action Plan (CAP)** – The total plan of a certificate holder to close all findings through implementation of comprehensive corrective action. This plan should include the changes in policy and /or procedures that will ensure continued compliance.

**Cost** – Activities, both direct and indirect, involving any negative impact, including money, time, labor, disruption, goodwill, as well as political and intangible losses

**Crewmember** – A person assigned to perform duty in an aircraft during flight time.

## D

**Deidentified** – A safety report that has had all information removed from it that may identify the submitter of the report.

## E

**Evacuation A Alarms:** In response to a single sensor device, the alarm sounds and Tenants and Staff in the effected terminal will direct evacuees to move out of the terminal and to the nearest Assembly Point (Evacuation A applies to one specific terminal A or B).

**Evacuation B Alarm(s):** Should a sensor device activate that causes the alarm to sound in both terminals, Tenants and Staff will direct evacuees to move out of the terminals and to the nearest Assembly Point (Evacuation B applies to the evacuation of both Terminals A and B simultaneously).

**Evaluation** – A functionally independent review of company policies, procedures, and systems. If accomplished by the company itself, the evaluation should be done by an element of the company other than the one performing the function being evaluated. The evaluation process builds on the concepts of audit and inspection. An evaluation is an anticipatory process, and is designed to identify and correct potential findings before they occur. An evaluation is synonymous with the term systems audit.

**Evaluation Standard** – Specific criteria on which basis a functional area will be evaluated in terms of compliance or conformance.

**Evacuees** – all people (Staff, Tenants, and Passengers) within the Terminal(s) at the time of evacuation

**Evidence** – these data are necessary to substantiate findings or concerns and to enable management or evaluators to determine the root causes of any reported findings.

## F

**FATAL Injury (NTSB 830)** – Fatal injury means any injury which results in death within 30 days of the accident.

**Finding** – A condition supported by objective evidence that demonstrates an instance of noncompliance with a specific law, regulation, written policy, or procedure.

**Fire Monitors** – Staff and Tenant members assigned specific duties in the event of a fire alarm/terminal evacuation

**Follow-up Evaluation** – Verifies corrective action plans were implemented and effective. Utilizes the same techniques as a planned evaluation but focuses on areas of non-compliance.

## G

**Ground Operations Accident (GOA)** – A mishap involving an aircraft that occurs prior to the arrival of an aircrew member at the aircraft (crewmembers starts preflight or enters aircraft with the intention of flight) and after the engine shutdown (spool down) that results in reportable damage, injury, or fatality; also includes a mishap that results in damage to any other type of Company property other than an aircraft.

## H

**Hazard** – Any existing or potential condition that can lead to injury, illness, or death to person; damage to or loss of a system, equipment, or property; or damage to the environment.



**Injury** – Anything other than a serious injury.

**Incident** – An individual occurrence or event; a distinct piece of action, or an episode, or something that occurs casually in connection with something else.

**Incident Command:** The Communications Center serves as the central point of contact for evacuation event.



**Just Culture** – errors and unsafe acts will not be punished if the error was unintentional and people are encouraged to provide essential safety-related information. However, those who act recklessly or take deliberate and unjustifiable risks will still be subject to disciplinary action.



**Major Finding** – The most significant evaluation finding, receiving the highest management attention. A finding will be classified as major if it is an apparent violation of a legal requirement, if critical systems lack controls or have other weaknesses, or if it is a serious safety issue.

**Minor Finding** – Not as serious as a Major Finding and does not indicate an immediate safety concern. A finding will be classified as minor for apparent non-compliance with policy or self-imposed limitations.

**Monitor** – To check, supervise, critically observe, or record the progress of an activity or system on a regular basis in order to identify change.



**Objective Evidence** – A documented statement of fact that may be quantitative or qualitative and is supported by documents, observations, or testimony. Evidence will be in the form of written documentation or reports that support an Internal Evaluation Program analysis and review.

**Observation** – An evaluation finding that may be positive or negative and does not require a corrective action or response.

**On-scene Commander:** SAAS fire department senior staff member who takes control of the scene at the scene.

**Op Spec** – Operations Specifications provide an effective method of establishing safety standards that address a wide range of variables. They can be adapted to a specific certificate holder or operator's class, size of aircraft, type, and kinds of operation.



**Passengers** – The traveling public

**Preventive Action** – Action to eliminate or mitigate the cause or reduce the effects of a potential nonconformity or other undesirable situation.

**Policy** – A high – level overall plan embracing the general goals and acceptable practices of a group. Policies state how goals will be achieved.

**Probability** – The likelihood of a specific outcome.

**Procedures** – A method for accomplishing a process, or for performing an activity.

**Process** – a set of interrelated resources and activities that transform inputs to outputs. Resources may include personnel, techniques, and methods.

**Public** – The combined group of passengers and non-passengers (meeters and greeters)

### Q

**Quality Assurance** – The activity through independent evaluation of established processes, procedures, and documentation.

**Quality Control** – The determination of the quality of a product by inspection and testing to determine compliance with standards.

### R

**Responsible Executive** – The Responsible Executive is directly responsible to the Accountable Executive for the day-to-day activities of the SMS. The Airport Operations Assistant Aviation Director is the Responsible Executive for the San Antonio Airport System.

**Responsibility** – The quality, state, or fact of being accountable.

**Risk** – An expression of the probability and impact of an undesired event in terms of event severity and event probability.

**Risk Assessment** – is an assessment of the system or component to compare the achieved risk level with the tolerable / acceptable level of risk.

**Risk Control** – Refers to steps taken to eliminate hazards or to mitigate their effects by reducing severity and/or likelihood of risk associated with those hazards.

**Risk Management** – Is a formal process that involves describing the system, identifying the hazards, assessing the risk, analyzing the risk, and controlling the risk. The SRM process is embedded in the operational system and is not a separate / distinct process.

**Root Cause** – Determination of what caused a finding. The identification of the root cause is the key to the implementation of an effective corrective action.

### S

**Safety Attribute Inspection** – A surveillance tool planned for at the subsystem level and conducted at the ‘element’ level by a team of inspectors to determine if an air carrier has the safety attributes of Responsibility, Authority, Procedures, Controls, Process measurement and interfaces adequately designed into their system element process.

**Safety Assessment** – Is a systematic, comprehensive evaluation of an implemented system.

**Safety Assurance** – SMS process management function that systematically provides confidence that organizational products/services meet or exceed safety requirements.

**Safety Culture** – The product of individual and group values, attitudes, competencies, and patterns of behavior that determine the commitment to, and the style and proficiency of, the organization’s management of safety.

**Safety Event** – This term is used to describe either an incident (close call, near miss, etc.) or an accident (some unintended physical contact resulting in some form of loss). This is a generic term that collectively describes any and all mishaps at the airport.

**Safety Management Systems** – The formal, top-down business-like approach to managing safety risk. It includes systematic procedures, practices, and policies for the management of safety, which includes safety risk management, safety policy, safety assurance, and safety promotion.

**Safety Manager** – The person in charge of the day-to-day operations of the San Antonio International Airport and Stinson Municipal Airport SMS Plan.

**Safety Policy** – SMS process management function which is a document that outlines the methods and processes that the organization will use to achieve desired safety out-come.

**Safety Promotion** – SMS process management function that is a combination of safety culture, training, and data sharing activities that support the implementation and operation of an SMS in an organization.

**Safety Risk** – Is the composite of the likelihood (i.e., risk) of the potential effect of a hazard, and predicted severity of that effect. As an example, the possibility of an overshoot by an aircraft landing on an icy runway would be considered a safety risk of the hazard.

**Safety Risk Control** – Anything that mitigates the safety risk of a hazard; Safety risk controls necessary to mitigate an unacceptable risk should be mandatory, measurable, and monitored for effectiveness.

**Safety Risk Management (SRM)** – A formal process within the SMS that involves describing the system, identifying the hazards, assessing the risk, analyzing the risk, and controlling the risk. The SRM process is embedded in the operational system and is not a separate/distinct process.

**Self Audit** – Is a critical self-assessment tool that management can use to measure safety margins.

**Senior Management** – Aviation Director, Assistant Directors, and all division managers.

**Serious Injury** – An Injury which: Requires hospitalization for more than 48 hours within seven days from the date the injury was received, Results in a fracture of any bone (except simple fractures of finger, toes, or nose), causes severe hemorrhages, nerve, muscle or tendon damage, involves any internal organ, or involves second or third-degree burns, or any burns affecting more than 5% of the body surface.

**Severity** – The consequence or impact of a hazard in terms of degree of loss or harm.

**SMS Committee** - The SMS Committee is the official group of airport stakeholders and airport staff created by the San Antonio Airport System to make recommendations to the Safety Manager concerning safety policy decisions, annual safety goals and reviews of safety performance results in support of the SAAS Safety Management System.

**Special Evaluation** – An unannounced review performed by the internal auditors and targeted at specific areas within Facilities Maintenance, Airport Operations, or Ground Operations.

**Staff** – SAAS, SAT, or COSA employees

**Stakeholders** – Tenants or groups of organizations that have a legitimate interest in the Airport System, who affect, or can be affected by, the Airport System's actions. These include the airlines, FAA, tenants, GA operators, TSA, contractors, police, Customs and Border Protection, flight schools, corporate aviation, and others.

**Substantial Damage** – (NTSB 830) Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wingtips are not considered "substantial damage".

**System** – This term is used in the SRA process which is the first step of an SRA, the term used is "Describe the System" – this is a process that is used to describe operation, equipment, and/or procedures being added or changed to help define the scope of the Risk Assessment. Whether a change involves new systems (hardware and/ or software) which can be a paragraph or several paragraphs that describes all the essential elements.

## ≈ T ≈

**Top Management** – The person or group of people who direct and control an organisation.

**Tenants** – The combined group of Airlines and Business Partners.

## ≈ U ≈

## ≈ V ≈

≈ W ≈

≈ X ≈

≈ Y ≈

≈ Z ≈



## Chapter 3

**Introduction to Safety Management**

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## Chapter 3

### SMS Organization

#### 3.1 Introduction:

AC 150 / 5200 - 37

3.1.1 SMS is a safety system that relies on involvement and commitment from top Airport Management; therefore, it is important that the senior manager within the airports be identified as key participants in this Manual. One of the key features of an effective SMS is to hold each person, regardless of his or her position, responsible for safety performance. In the San Antonio Airport System, the Aviation Director is the highest ranking official and therefore is the Accountable Executive. The Aviation Director ultimately assumes full responsibility for the San Antonio Airport System's SMS; however, he can delegate the day-to-day operational responsibilities for SMS to others.

3.1.2 This chapter contains the reporting structure, responsibilities and authorities, qualifications, and training requirements applicable for each position listed within the Safety Division.

3.1.3 Senior Management Commitment to Safety

3.1.3.1 Each member of senior management is strongly committed to safety. Figure 3-3 through Figure 3-5 outline the commitment of SAAS senior management.

#### 3.2 Safety Management Organization:

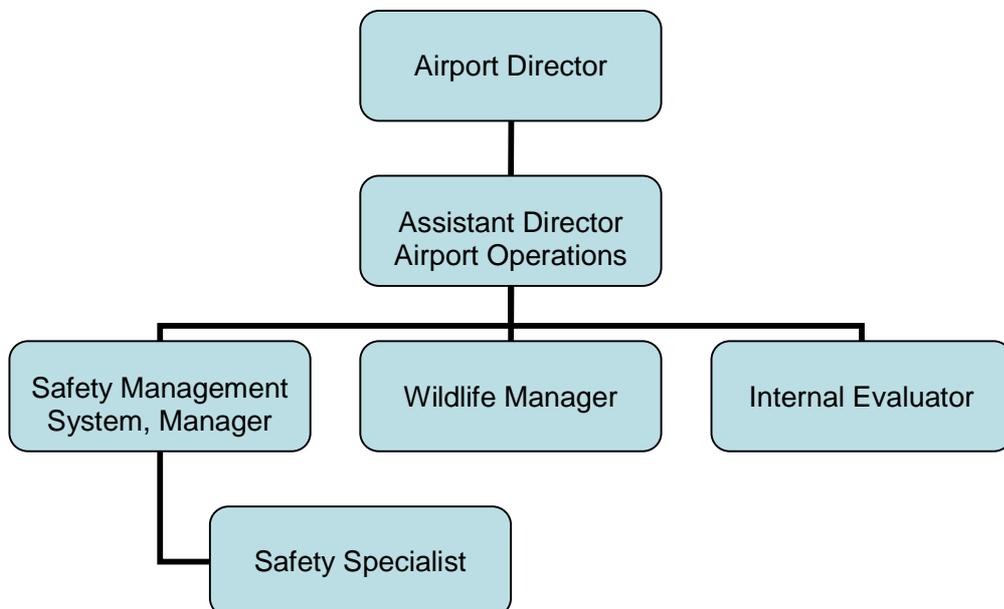
3.2.1 The Safety Management Organization's are described in this manual with the exception of SAAS Emergency Response Plan.

3.2.2 The policies and procedures contained in this manual apply to all SAAS employees and tenants.

#### 3.3 Organizational Chart:

3.3.1 The organization chart for the Safety Division is derived from the approved master organization charts contained within the City of San Antonio (COSA).

**Figure 3-1 – Safety Division Organization Chart**



3.3.2 This is the organizational chart for SAAS's SMS organization which shows the relationship among the various authorities to support SMS. This structure differs from the formal Airport System organization chart in that the SMS organizational chart has the Safety Manager and SMS Committee reporting directly to the Responsible Executive on matters of Safety.

Figure 3-2 – SAAS SMS Organization Chart

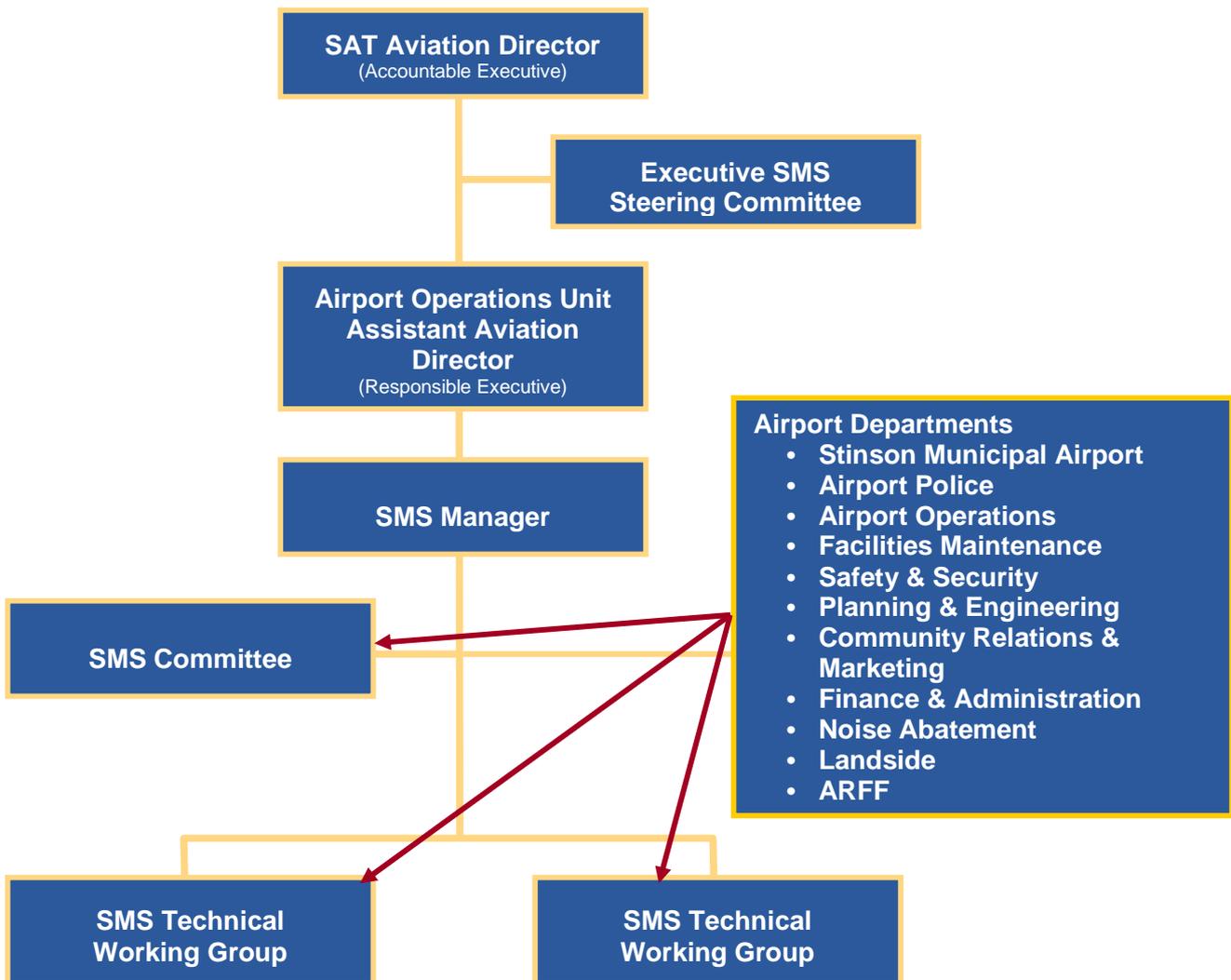


Figure 3-3 – Airport Director Support

## SAN ANTONIO AIRPORT SYSTEM



14 Aug 2009

TO: All Aviation Department Employees

“SAFETY in all services we provide to our customers.”

We chose to list this value first, because we believe that Safety is the foundation upon which we will build our reputation of being the best. Each of us must accept responsibility for the Safety of the San Antonio Airport System (SAAS) including the Airport Director and the Executive Team.

We encourage the sharing of safety information within the organization and expect all employees to display honesty and integrity by promptly reporting any safety hazard or concern. In accordance with the SAAS non-reprisal policy, no disciplinary action will be taken against any employee for reporting a safety hazard or concern; however, willful disregard for SAAS safety procedures will not be tolerated.

We will show our respect for our customers and each other by putting Safety first in all that we do.

We will approach our safety practices and procedures with resourcefulness.

Our Commitment is to:

- **Support** the Manager, Safety Management System through provision of all appropriate resources that will result in a culture that fosters safe practices, encourages effective safety reporting and communication and actively manage safety.
- **Enforce** the management of safety as a primary responsibility for all managers and employees.
- **Clearly** define for all staff, managers, and employees alike, their accountabilities and responsibilities for the delivery of the SAAS safety performance and the performance of our Safety Management System (SMS).
- **Establish and operate** hazard identification and risk management processes as part of the SMS.
- **Ensure**
  - That no action will be taken against any employee who discloses a safety concern through the hazard reporting system, unless such disclosure indicates, beyond any reasonable doubt, reckless conduct, criminal behavior, violations of the COSA drug and alcohol policy, intentional falsification or deliberate / willful disregard of regulations or procedures.
  - That sufficient skilled and trained human resources are available to implement safety strategies and processes.
  - Externally supplied systems and services to support our operations are delivered meeting our safety performance standards
- **Continually improve** our safety performance through management processes that ensures that relevant safety action is taken and is effective; and

Please assist the Safety Management System program by being a Safety Advocate for the San Antonio Airport System.

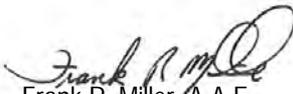
  
Frank R. Miller, A.A.E.  
Aviation Director

Figure 3-4 "DRAFT Place Holder for LETTER" Tim O'Krongley

## SAN ANTONIO AIRPORT SYSTEM



22 Jul 2009

Subject: Safety Management System (SMS)

TO: All Aviation Department Employees

This Safety Management System Manual (SMSM) is an internal document and produced by San Antonio Airport System Safety Division. The Primary contact for Safety Concerns and policy changes is San Antonio Airport System Safety Division.

Open Communication between employees and management on all safety related subjects is vital to the success of the San Antonio Airport System Safety Management Program. It is especially important in the area of safety that employees be encourage to report real or perceived threats to the safe operation of equipment, aircraft, airport and in particular, the safety of people in the work environment. It is not only the correct thing to do; it is good business as well.

I recognize that people will make mistakes; to encourage employees to report safety concerns or issues, the San Antonio Airport System has established a non-reprisal policy. In accordance with this policy no disciplinary action will be taken against any employee for reporting a safety concern. This policy can be found in chapter one (1), paragraph 1.11 of the SMSM.

The Safety Objectives of the San Antonio Aviation Department are as follows:

- To motivate safe actions through the establishment of a "Just Culture – errors and unsafe acts will **not** be punished if the error was unintentional and people are encouraged to provide essential safety-related information."
- To recognize and report unsafe practices
- To train all employees about the SMS Plan and procedures
- To share with tenants the SAAS SMS Plan and/or work cooperatively with their SMS Plan
- To ensure that safe work practices will take precedence over expediency
- To ensure that every attempt is made to reduce the possibility of accidents
- To preserve and protect the health and safety of employees, airport users, and the public by reducing losses arising from accidents
- To monitor and communicate the effectiveness of the SMS Plan to employees, tenants, and the Public

Please assist the Safety Management System program by being a Safety Advocate for the San Antonio Airport System.

Thanks, and BE SAFE!

  
 Tim O'Krongley, A.A.E., IAP  
 Assistant Director

Figure 3-5 "DRAFT Place Holder for LETTER" Executive Team Letter

## SAN ANTONIO AIRPORT SYSTEM



01 Jul 2010

Executive Team

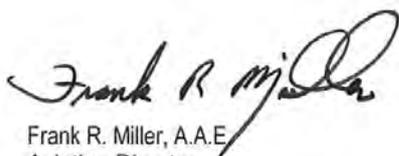
TO: All Aviation Department Employees

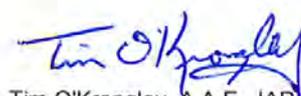
Subject: Executive Team support for Safety Management System (SMS)

The Executive Team of San Antonio Airport System is committed to the Safety Management System that we currently implementing. It is not only the right thing to do; it is good business as well.

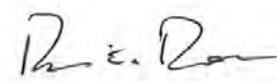
The Executive Team recognizes that people will make mistakes. However, we can and should learn from those situations in order not to repeat our mistakes. In accordance with the San Antonio Airport System's non-reprisal policy, no disciplinary action will be taken against any employee for reporting a safety hazard or concern.

The Executive Team supports the San Antonio Airport Systems Safety Policy and Objectives as well as the Safety Management System program and will serve on various safety committees and groups. The Executive Team has reviewed the Safety Policy and Objectives has been published under the Safety Management System.

  
Frank R. Miller, A.A.E.  
Aviation Director

  
Tim O'Krongley, A.A.E., IAP  
Assistant Director

  
Ellen Erenbaum  
Assistant Director

  
Ryan E. Rocha, A.A.E., IAP  
Interim Assistant Director

### 3.4 Role of the Safety Management System Organization:

#### 3.4.1 Safety Division (SD):

3.4.1.1 The Safety Division supports operational management in identifying and managing safety risk throughout SAAS daily operations. Safety Division does this by:

3.4.1.1.1 Motivating safe actions through establishing a dynamic safety culture.

3.4.1.1.2 Identifying hazards that affect safe operations.

3.4.1.1.3 Working with other SAAS divisions to develop and implement safety intervention programs.

3.4.1.1.4 Monitoring safety intervention programs to validate effectiveness.

3.4.1.1.5 Communicating results to employees and management.

#### 3.4.2 Required Management Personnel - Safety Management System, Manager (SMSMG):

3.4.2.1 The SMSMG is equivalent to the required Director of Safety position identified in 14 CFR 119.65, and IAW the SAAS Safety Management System Plan, dated 30 April 2008 requires a qualified person serve in this position full time.

3.4.2.2 A complete list of the SMSMG's duties, responsibilities, authorities, and qualifications are represented in this chapter.

#### 3.4.3 Internal Evaluation Program:

3.4.3.1 The Internal Evaluation Program (IEP) is designed to independently evaluate the SAAS's operational divisions to determine how well they are meeting regulatory and internal COSA requirements. These evaluations help the SAAS proactively identify hazards and areas of non-compliance on a continual basis. The IEP accomplishes this by:

3.4.3.1.1 Conducting planned and special evaluations in all areas within SAAS.

3.4.3.1.2 Communicating evaluation results to division heads and senior management so they can correct identified issues.

3.4.3.1.3 Coordinating disclosures of apparent violations with division heads, senior management, and FAA.

3.4.3.1.4 Evaluating divisions to determine if SMS attributes are incorporated within divisional policies and procedures.

#### 3.4.4 Safety Committees:

3.4.4.1 The SAAS Safety Management System Organization works with the following committees. (Reference Figure 3-2).

3.4.4.1.1 Executive SMS Committee – is the top management level and is chaired by the Aviation Director (Accountable Executive). The Executive SMS Committee is comprised of Aviation Director and Assistant Directors as voting members and members from the SAAS staff and stakeholders as non-voting members. The Accountable Executive is the Chairman of the Executive SMS Committee; in his absence the Responsible Executive will chair the Executive Committee meeting. This Committee will meet at a minimum once a quarter. Meeting minutes and action items are to be recorded as part of normal committee functioning and will be made available to the SMS Review Committee. The objective of the Executive SMS Steering Committee is to provide a forum for top airport managers and airport stakeholders to discuss "big picture" safety issues. The Executive SMS Steering Committee's responsibilities are:

3.4.4.1.1.1 Distribute safety information to stakeholders and Airport staff.

3.4.4.1.1.2 Review SMS Audit reports.

3.4.4.1.1.3 Promote SMS awareness.

3.4.4.1.1.4 Annually review SAAS safety goals.

3.4.4.1.1.5 Promote information sharing among SAAS stakeholders.

3.4.4.1.2 SMS Review Committee – The objective of the SMS Review Committee is to provide a forum do discuss issues related to the safety performance at SAAS and the health of the SMS. The SMS Committee makes recommendations / decision concerning safety policy and procedures and reviews safety performance results. Should a safety concern be addressed by the SMS Review Committee that is not with their realm of responsibility they should recommend that it be address at the next Executive SMS Committee. The SMS Manager is the Chairman of the SMS Review Committee; in his absence the Safety Specialist will chair the SMS Review Committee meeting. Meeting minutes and action items are to be recorded as part of normal committee functioning and will be made available to the Executive Committee Members, SAAS Staff, and stakeholders. The objective of the SMS Review Committee is to provide a source of expertise, guidance and advise on safety matters to SAAS. The SMS Review Committee's responsibility are:

3.4.4.1.2.1 Review, remark, and modify comments on risk management strategies suggested by the SMS Technical Work Group.

3.4.4.1.2.2 Review, remark, and modify comments on mitigation strategies suggested by the SMS Technical Work Group.

3.4.4.1.2.3 Review and accept Safety Risk Assessment analysis performed by SAAS Staff and SMS Technical Work Group(s).

3.4.4.1.2.4 Promotes the SMS program at SAAS by leading by example.

3.4.4.1.2.5 Promotes safety awareness to SAAS and stakeholders

3.4.4.1.3 SMS Technical Work Group – consists of members with specific technical expertise from various SAAS divisions and stakeholders. This group will be ad hoc and assembled by SMSMG based on the issue requiring risk analysis.

3.4.4.2 The participants, policies, and procedures of each committee are represented in Chapter 4 of this manual.

3.4.5 Division Personnel:

3.4.5.1 General Policies:

3.4.5.1.1 The Aviation Director holds the ultimate responsibility for the safety of the SAAS operation. The Aviation Director also has ultimate authority to manage the operations of the SAAS, and delegate this authority to the management officials within SAAS. However, the Aviation Director under SMS hold the title of "The Accountable Executive," which is important to understand as it is one of the primary elements of a successful SMS. SMS is different from other "safety programs" because it holds each individual responsible for safety. Each management official has the authority to establish policies and procedures, and to allocate and direct resources within his or her divisions. This means that the responsibility for safety in each division must be accepted by the management of that division. The three most important roles of the accountable executive are:

3.4.5.1.1.1 Visibly and actively promoting and requiring active participation by all employees within SAAS Safety Management Systems

3.4.5.1.1.2 Creating an organizational structure with designated position and responsible individuals that supports the San Antonio Airport System's Safety Management System,

3.4.5.1.1.3 Providing both human and financial resources.

3.4.5.1.2 The Assistant Aviation Director - Airport Operations, Safety Management System Manager, and the Human Resources Generalist will review all Safety Management Organization job descriptions once a year to ensure personnel meet necessary qualifications, experience, and training requirements. This annual review will occur during the second quarter of the calendar year, and the participants will consider the SAAS safety structure and staffing to ensure it continues to meet the safety needs of the SAAS as required by the FAA.

3.4.5.1.3 The SAAS may need to make exceptions to the experience requirements or qualifications for the jobs listed in this chapter. If an exception is necessary, the employee must possess an equivalent level of experience or qualification. The Human Resources Generalist, at the approval of the SMSMG, will prepare an internal memorandum stating the reasons for determining that the employee

possesses equivalent experience. A copy of this memo will be distributed to the SMSMG, and will be retained for as long as the employee serves in the position.

#### 3.4.6 Senior Management General Responsibilities and Authorities:

##### 3.4.6.1 Developing and Implementing Safety Policies:

3.4.6.1.1 Senior management is responsible for defining the SAAS's safety policies and reviewing them annually to ensure they remain relevant and appropriate to the SAAS's overall purpose and objectives. The SMSMG will coordinate this review. Senior Management is committed to:

- 3.4.6.1.1.1 Implementing Safety Management System (SMS) principles.
- 3.4.6.1.1.2 Continually improving the level of safety.
- 3.4.6.1.1.3 Managing risk to an acceptable level.
- 3.4.6.1.1.4 Complying with applicable regulatory requirements.
- 3.4.6.1.1.5 Encouraging employees to report safety issues without reprisal.
- 3.4.6.1.1.6 Establish clear standards for acceptable behavior for all employees and contractors.
- 3.4.6.1.1.7 Providing guidance for setting and reviewing safety performance.

##### 3.4.6.2 Establishing a Safety Management Plan:

3.4.6.2.1 Senior management is responsible for establishing SAAS safety objectives and developing a proactive safety management plan to meet the objectives. Procedures for developing the safety management plan are represented in Chapter 4 of this manual.

#### 3.4.7 Employee General Responsibilities:

3.4.7.1 The front-line employee plays a critical part in the SAAS successfully managing risk. Employees are required to:

- 3.4.7.1.1 Comply with all policies and procedures in the Alcohol and Controlled Substance per COSA Administrative Directive Number 4.3.
- 3.4.7.1.2 Arrive for work physically and mentally fit for duty.
- 3.4.7.1.3 Know and follow all procedures outlined in the COSA Job description that pertain to their job.
- 3.4.7.1.4 Perform only those technical functions for which they have been trained.
- 3.4.7.1.5 Operate only the equipment they have been trained on and are qualified to operate.
- 3.4.7.1.6 Immediately notify management of any safety concern or hazard.
- 3.4.7.1.7 Immediately report all accidents and injuries per COSA Administrative Directive Number 4.1.
- 3.4.7.1.8 Keep work areas free of recognized hazards.
- 3.4.7.1.9 Follow procedures when using and disposing of chemicals.
- 3.4.7.1.10 Follow health and safety procedures, and use personal protective equipment.

#### 3.4.8 Assistant Aviation Director – Airport Operations:

3.4.8.1 Reports to the Aviation Director.

##### 3.4.8.2 Responsibilities and Authorities:

3.4.8.2.1 Discharges all duties to meet applicable legal requirements and maintain safe operations.

3.4.8.2.2 Has the responsibility and authority to oversee the quality of the Safety Management Plan and establish and modify the policies, procedures, instructions, and information for the plan. He will do this by:

- 3.4.8.2.2.1 Establishing safety objectives for the SAAS and develop a safety plan to meet the objectives.
- 3.4.8.2.2.2 Ensuring resources are in place so employees can implement the safety plan.

- 3.4.8.2.2.3 Monitoring safety performance in all areas of the operation and revising the Safety Management Plan as needed.
- 3.4.8.2.2.4 Communicating pertinent safety information to the Executive SMS Steering Committee and all airport employees and stakeholders.
- 3.4.8.3 Qualifications:
  - 3.4.8.3.1 Bachelor Degree from an accredited college or university with major coursework in Aviation Management, Public, or Business Administration, or a related field.
  - 3.4.8.3.2 Eight (8) years of increasingly responsibly professional experience in aviation management or airport operations.
  - 3.4.8.3.3 Four (4) years of administrative or supervisory responsibility.
  - 3.4.8.3.4 Or Equivalent combination of education and experience.
  - 3.4.8.3.5 Completed or will complete a training course in aviation safety within 6 months of assuming responsibilities.
  - 3.4.8.3.6 Valid Class "C" Texas Driver's License.
- 3.4.9 Safety Management System Manager:
  - 3.4.9.1 Reports to the Assistant Aviation Director – Airport Operations.
  - 3.4.9.2 Responsibilities and Authorities:
    - 3.4.9.2.1 Manages the daily operations of the Safety Division. Working with the Wildlife Manager, and Ground Safety, provides direction and resources for all SAAS safety programs.
    - 3.4.9.2.2 Monitors all safety programs for negative trends to SAAS's operations. Reports to the Assistant Aviation Director / Airport Operations any safety trends or issues that may impact safety.
    - 3.4.9.2.3 Conducts timely and comprehensive investigations of all accidents and safety incidents. Prepares factual reports to appropriate divisions summarizing the circumstances and root causes of the accident or incident, and then follows up with recommended corrective and preventative action to be taken by the division.
    - 3.4.9.2.4 Organizes and facilitates meetings of the Executive SMS Steering Committee, SMS Committee, Safety Review Committee, and SMS Technical Work Group.
    - 3.4.9.2.5 Develops and administers safety education programs, and communicates safety information and trends to employees and management on a regular basis.
    - 3.4.9.2.6 Manages the SAAS's safety related reporting systems, which are the Voluntary Safety Report, and Safety Hotline.
    - 3.4.9.2.7 Ensures Safety Division personnel conduct inspections and audits as scheduled and per procedures outlined in this manual.
    - 3.4.9.2.8 Solicits and processes all safety improvement suggestions for the SAAS.
    - 3.4.9.2.9 Manages and maintains the safety database used to monitor and analyze trends.
    - 3.4.9.2.10 Interfaces with other SAAS divisions, customers, vendors, contractors, and the FAA regarding safety issues.
    - 3.4.9.2.11 Provides and/or facilitates training to appropriate personnel in all of the safety programs per the SMS Manual.
    - 3.4.9.2.12 Maintains close liaison with the FAA, NTSB, and industry safety organizations. Monitors industry safety concerns that may impact SAAS operations.
    - 3.4.9.2.13 Working with the Safety Specialist, conducts audits to ensure compliance with all applicable regulations and requirements to ensure safe operations.
    - 3.4.9.2.14 Attends safety conferences and industry meetings (e.g., FAA INFO Share) to ensure that safety programs remain current.
    - 3.4.9.2.15 Provides assistance to the Aviation Director and/ or Assistant Aviation Director / Airport Operations in all aspects of creating and promoting a safe work environment.

3.4.9.2.16 Supervises, coordinates, monitors, and evaluates the activities of division staff. Responsible for the employee performance evaluation, training, motivation, counseling, and discipline of assigned employees.

3.4.9.2.17 Prepares annual Safety Division budget, training plan and evaluation schedules.

3.4.9.2.18 Manual Sponsor for both the Safety Management System Manual (SMSM), and Emergency Response Manual (ERM), (if required) with associated responsibilities and authorities as identified.

3.4.9.2.19 Performs other related duties as assigned.

#### 3.4.9.3 Qualifications:

3.4.9.3.1 Bachelor Degree preferred; two years of college from an accredited college or university preferably with course work in Engineering, or Safety.

3.4.9.3.2 At least one of the following qualifications:

3.4.9.3.2.1 Three years experience in a supervisory position with a Part 139 airport, or Part 121 or Scheduled Part 135 air carrier.

3.4.9.3.2.2 Three years supervisory experience in U.S military aviation operations that is comparable to a Part 139 airport, Part 121, or scheduled Part 135 air carrier operation.

3.4.9.3.2.3 Three years experience in a supervisory position with a U.S. government department, board, or agency that deals directly with aviation matters.

3.4.9.3.3 Should have extensive operational experience and professional qualifications in aviation, including knowledge and understanding of the following areas:

3.4.9.3.3.1 Aviation safety programs.

3.4.9.3.3.2 System Safety and/or Safety Management System.

3.4.9.3.3.3 Aviation safety standards and safe operating practices.

3.4.9.3.3.4 14 CFR, Chapter 1.

3.4.9.3.3.5 Airport operations specifications and manuals.

3.4.9.3.3.6 Appropriate maintenance and airworthiness requirements of 14 CFR.

3.4.9.3.4 Excellent skills in presentation and communication, both oral and written. Strong analytical and problem solving skills. Ability to interact, communicate, and collaborate with all levels of staff and management.

3.4.9.3.5 Valid Class "C" Texas Driver's License.

3.4.9.3.6 Experience using Microsoft Office programs. Skills must include operating a computer, printer, facsimile, telephone, cell phone, copy machine, and various computer software packages.

#### 3.4.9.4 Training :

3.4.9.4.1 Must attend, or have attended, a training course(s) in aviation safety. The training course(s) should include the following information:

3.4.9.4.1.1 Safety philosophy.

3.4.9.4.1.2 Safety data collection and analysis.

3.4.9.4.1.3 Risk management.

3.4.9.4.1.4 Incident/accident prevention and investigation.

3.4.9.4.1.5 Human factors.

3.4.9.4.1.6 FAA-approved System Safety Course or equivalent.

3.4.9.4.1.7 Additional training as assigned by Assistant Director / Airport Operations.

#### 3.4.10 Wildlife Manager – (Senior Environmental Protection Officer):

3.4.10.1 Reports to Assistant Aviation Director – Airport Operations.

3.4.10.2 Responsibilities and Authorities:

3.4.10.2.1 Responsible for the daily operations of the Safety Division with reference to the SAAS Wildlife Management Program.

- 3.4.10.2.2 Provides technical guidance to airport operations by developing ecological studies and wildlife management plans as required by FAR Part 139.
  - 3.4.10.2.3 Conducts timely and comprehensive investigations of all wildlife strikes and safety incidents. Prepares factual reports to appropriate divisions summarizing the circumstances and root causes of the accident or incident, and then follows up with recommended corrective and preventative action to be taken by the division.
  - 3.4.10.2.4 Develops and administers safety education programs with respect to wildlife management, and communicates safety information and trends to employees and management on a regular basis.
  - 3.4.10.2.5 Conduct inspections and audits as scheduled per procedures outlined in this manual and Wildlife Management Plan.
  - 3.4.10.2.6 Update the safety database used to monitor and analyze trends.
  - 3.4.10.2.7 Interfaces with other SAAS divisions, customers, vendors, contractors, and the FAA regarding wildlife management and safety issues.
  - 3.4.10.2.8 Provides and/or facilitates training to appropriate personnel in all the safety programs per the SMS Manual.
  - 3.4.10.2.9 Attends safety conferences and industry meetings (e.g., FAA INFO Share) to ensure the safety / wildlife management programs remain current.
  - 3.4.10.2.10 Provides assistance to the Assistant Aviation Director – Airport Operations, Airport Operations Manager, and SMS Manager in all aspects of creating and promoting a safe operating environment for flight operations with SAAS.
  - 3.4.10.2.11 Sponsor for Wildlife Management in conjunction with the SMSMG, and with associated responsibilities and authorities as identified in regard to wildlife management.
  - 3.4.10.2.12 Performs other related duties as assigned.
- 3.4.10.3 Qualifications:
- 3.4.10.3.1 Bachelor Degree from an accredited college or university with preferable course work in Environmental Science, Geology, Chemistry, Engineering, Transportation Planning, or a related field.
  - 3.4.10.3.2 Three years of experience administering or monitoring environmental protections programs.
  - 3.4.10.3.3 Excellent skills in presentation and communication, both oral and written. Strong analytical and problem solving skills. Ability to interact, communicate and collaborate with all levels of staff and management.
  - 3.4.10.3.4 Valid Class "C" Texas Driver's License.
  - 3.4.10.3.5 Experience using Microsoft Office programs. Skills must include operating a computer, printer, facsimile, telephone, cell phone, copy machine, and various computer software packages.
- 3.4.10.4 Training:
- 3.4.10.4.1 Must attend, or have attended, a training course(s) in aviation safety. The training course(s) should include the following information.
    - 3.4.10.4.1.1 Safety Management System Course or equivalent.
    - 3.4.10.4.1.2 Risk management.
    - 3.4.10.4.1.3 Incident/accident prevention and investigation.
    - 3.4.10.4.1.4 Human factors.
    - 3.4.10.4.1.5 Additional training as assigned by Assistant Director / Airport Operations.
- 3.4.11 Safety Specialist:
- 3.4.11.1 Reports to Safety Management System Manager.
  - 3.4.11.2 Responsibilities and Authorities:
    - 3.4.11.2.1 Works with the Wildlife, Manager, to provide direction and resources for all SAAS safety programs.

3.4.11.2.2 Conducts timely and comprehensive investigations of all accidents and safety incidents. Prepares factual reports to appropriate divisions summarizing the circumstances and root causes of the accident or incident, and then follows up with recommended corrective and preventative action to be taken by the division.

3.4.11.2.3 Develops and administers safety education programs, and communicates safety information and trends to employees and management on a regular basis.

3.4.11.2.4 Processes safety reports that were received through the safety reporting systems, which are the Voluntary Safety Report, and/or Safety Hotline.

3.4.11.2.5 Conduct inspections and audits as scheduled and per procedures outlined in this manual. Solicits and processes all safety improvement suggestions for the SAAS.

3.4.11.2.6 Enter safety reports into the safety database used to monitor and analyze trends.

3.4.11.2.7 Works with other SAAS divisions, customers, vendors, contractors, and the FAA regarding safety issues.

3.4.11.2.8 Provides and/or facilitates training to appropriate personnel in all the safety programs per the SMS Manual and SMS Plan.

3.4.11.2.9 Monitors industry safety concerns that may impact SAAS operations.

3.4.11.2.10 May attend safety conferences and industry meetings (e.g., FAA INFO Share) to ensure the safety programs remain current.

3.4.11.2.11 Provides assistance to the SMS Manager in all aspects of creating and promoting a safe work environment.

3.4.11.2.12 Prepares input to the annual Safety Division budget, training plan and evaluation schedules.

3.4.11.2.13 Performs other related duties as assigned.

#### 3.4.11.3 Qualifications:

3.4.11.3.1 Bachelor Degree preferred or Associate's Degree or two years of college from an accredited college or university with preferably course work in Engineering, or Safety.

3.4.11.3.2 Two (2) year of experience in the safety field.

3.4.11.3.3 Excellent skills in presentation and communication, both oral and written. Strong analytical and problem solving skills. Ability to interact, communicate and collaborate with all levels of staff and management.

3.4.11.3.4 Valid Class "C" Texas Driver's License.

3.4.11.3.5 Experience using Microsoft Office programs. Skills must include operating a computer, printer, facsimile, telephone, cell phone, copy machine, and various computer software packages.

#### 3.4.11.4 Training:

3.4.11.4.1 Must attend, or have attended, a training course(s) in aviation safety. The training course(s) should include the following information.

3.4.11.4.1.1 Safety Management System Course or equivalent.

3.4.11.4.1.2 Safety data collection and analysis.

3.4.11.4.1.3 Risk management.

3.4.11.4.1.4 Incident/accident prevention and investigation.

3.4.11.4.1.5 Human factors.

3.4.11.4.1.6 Additional training as assigned by Safety Management System Manager.

#### 3.4.12 SMS Internal Auditor

3.4.12.1 Reports to Safety Management System Manager

3.4.12.2 Responsibilities and Authorities:

3.4.12.2.1 Prepare and perform planned, special, and follow-up evaluations for Facilities Maintenance, ARFF, Parking and Ground Transportation, Planning and Development, Stinson Airport, Safety, and

Airport Operations divisions according to the policies and procedures identified in the SMS Procedures manual and divisional publications.

3.4.12.2.2 Inform the SMS Manager, of necessary modification of evaluation plans as appropriate to meet the changing environment of audits/evaluations.

3.4.12.2.3 Provide guidance to process owners regarding findings or concerns.

3.4.12.2.4 Monitor the development and implementation of corrective action plans and comprehensive fixes.

3.4.12.2.5 Communicate trends, concerns, or suggestions to the SMS Manager.

3.4.12.2.6 Act as lead evaluator and assist evaluators during Scheduled, Special, or Follow-up evaluations.

3.4.12.2.7 Perform scheduled and unscheduled inspections of the different divisions records to determined conformity with established COSA and Aviation Department procedures and compliance with all relevant regulatory agencies.

3.4.12.2.8 Report discrepancies to SMS Manager.

3.4.12.2.9 Perform audits on the ramp and at stations to assure compliance with all transportation regulations policies and procedures.

3.4.12.2.10 Coordinate and conduct safety audits and job hazard analysis. Issue corrective actions to divisions and implement health and safety improvements in workplace.

3.4.12.2.11 Attend industry Safety/OSHA seminars.

3.4.12.2.12 Prepare the quarterly safety newsletter.

3.4.12.2.13 Perform safety investigations as required.

3.4.12.2.14 Perform other duties as assigned

#### 3.4.12.3 Qualifications:

3.4.12.3.1 Bachelor Degree preferred or equivalent experience; high-school graduate mandatory.

3.4.12.3.2 One year experience in Airline Ground, Maintenance, or Flight Operations with knowledge of safety standards, safe operating or equivalent experience.

3.4.12.3.3 Knowledgeable of Federal Aviation Regulations.

3.4.12.3.4 Excellent presentation skills and/or communication skills, both oral and written. Strong analytical and problem solving skills. Ability to interact, communicate and collaborate with all levels of staff and management.

3.4.12.3.5 Ability to effectively and accurately perform and manage assignments to meet performance goals within established deadlines in a time sensitive environment. Ability to manage multiple tasks simultaneously and meet deadlines.

3.4.12.3.6 Valid Texas Driver's License.

3.4.12.3.7 Experience using Microsoft Office programs. Skills must include operating a computer, printer, facsimile, telephone, cell phone, copy machine, and various computer software packages

#### 3.4.12.4 Training:

3.4.12.4.1 Must attend, or have attended, a training course(s) in aviation safety. The training course(s) should include the following information:

3.4.12.4.1.1 Safety Management System Course or equivalent

3.4.12.4.1.2 Safety data collection and analysis

3.4.12.4.1.3 Risk Management

3.4.12.4.1.4 Human factors

3.4.12.4.1.5 Internal Auditor

3.4.12.4.1.6 Additional training as assigned by Safety Management System Manager.

#### 3.4.13 Safety Division Training Reporting:

3.4.13.1 Formal Training Report Form (SMS FM 03):

3.4.13.1.1 Purpose:

3.4.13.1.1.1 The Formal Training Report (Ref. Figure 3-5) is used to document initial and any additional training. Instructions for completing the report follow the example of the form.

3.4.13.1.2 Availability:

3.4.13.1.2.1 This form is available online at the Safety Division SharePoint site.

3.4.13.1.3 Disposition:

3.4.13.1.3.1 This form is to be filled out by the SMS Manager and kept on file as a matter of record as long as the individual is employed with the COSA.

3.4.13.1.3.2 The Formal Training Report (SMS FM 03) will be placed in Safety personnel records following the completion of all formal training.

3.4.13.2 On the Job Training (OJT) (Form SMS FM 04):

3.4.13.2.1 Purpose:

3.4.13.2.1.1 OJT training will be documented by the person certifying proficiency and knowledge using the OJT Training Report Form (Ref Figure 3-6). Instructions for completing the report follow the example of the form.

3.4.13.2.2 Availability:

3.4.13.2.2.1 This form is available online at the Safety Division SharePoint site.

3.4.13.2.3 Disposition:

3.4.13.2.3.1 This form is to be filled out by the SMS Manager and kept on file as a matter of record as long as the individual is employed with the COSA.

3.4.13.2.3.2 The OJT Training Report (SMS FM 04) will be placed in Safety personnel records following the completion of all formal training.



Table 3-1 – Instruction for completing the Safety Division Training Record (SMS FM 03)

Instructions for filling out the Safety Division Training Record form SMS FM 03:		
Block	Title	Complete Form by Entering:
1	Employee Name:	Enter the employee's full name.
2	Date Hired:	Enter the employee's original date of hire
3	Employee Number:	Enter the COSA issued employee number
4	Name of Supervisor	Enter the name of the employee's supervisor
5	Supervisor Employee Number	Enter the COSA issued employee number
6	Airport	Check the appropriate box for where you work
7	<b>Course Taken:</b>	
7A	Name of Course	Enter the name of the course take as it appears in course catalogue or on the certificate
7B	Date Completed	Enter the date course completed as indicated on the certificate
7C	Company Giving Course	Enter the name of the company sponsoring the course
7D	Instructor's Name	Enter the name of the instructor teaching the course, if more than one instructor enter the name of the person that signed the completion certificate
7E	Pass/Fail	Enter "Pass" if completed the course or "Failed" if course was not completed
8	Remarks/Comments:	Any relevant information entered here should be directed to the appropriate training course using the Course Title/Instructor.

Figure 3-7 – Safety OJT Record (SMS FM 04)

	<b>SAFETY OJT RECORD</b>		
	1. EMPLOYEE NAME:	2. DATE HIRED:	3. EMPLOYEE NUMBER:
4. NAME OF SUPERVISOR:	5. SUPERVISOR EMPLOYEE NUMBER:	6. AIRPORT: <input type="checkbox"/> SSF <input type="checkbox"/> SAT	
7. TASK / EVALUATION PERFORMED / WORK ACCOMPLISHED			
8. RECOMMENDATIONS:			
9. PRINT NAME OF TRAINER:	10. SIGNATURE	11. EMPLOYEE NUMBER:	12. DATE SIGNED:

SMS FM 04  
JUL 2009

Table 3-2 – Instruction for completing the Safety OJT Record (SMS FM 04)

Instructions for filling out the Safety OJT Form SMS FM 04		
Block	Title	Complete Form by Entering:
1	<b>Employee Name:</b>	Enter the full name of the employee completing the OJT.
2	<b>Date Hired:</b>	Enter the employee's original date of hire.
3	<b>Employee Number:</b>	Enter the COSA issued employee number
4	<b>Name of Supervisor</b>	Enter the name of the employee's supervisor
5	<b>Supervisor Employee Number</b>	Enter the COSA issued employee number
6	<b>Airport</b>	Check the appropriate box for where you work
7	<b>Task/Evaluation Performed or Work Accomplished:</b>	Enter a complete and accurate description and/or title of the Task/Evaluation/Work completed and a brief synopsis of how work was accomplished.
8	<b>Recommendations / Comments:</b>	Enter Evaluator/Trainers recommendations or comments.
9	<b>Print Name of Evaluator or Trainer:</b>	Print the First and Last name of the Evaluator/Trainer responsible for administering the OJT.
10	<b>Signature:</b>	Sign the form as to the accuracy of the Evaluation/Training.
11	<b>Employee Number:</b>	Enter the Evaluator/Trainer's COSA issued employee number.
12	<b>Date Signed:</b>	Enter the date signed by the Evaluator/Trainer.

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## Chapter 4

# Safety Management System Program

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## Chapter 4

### Safety Management System Program

#### 4.0 Overview of San Antonio Aviation System Safety Management Program:

##### 4.1 General :

- 4.1.1 The SAAS will use a Safety Management System (SMS) approach to manage safety risk by:
  - 4.1.1.1 Ensuring SMS attributes are integrated throughout the day-to-day operation, which are: responsibility and authority, procedures, controls, process measurement, and interfaces.
  - 4.1.1.2 Implementing and maintaining an information and action feedback cycle to ensure continuous improvement.
- 4.1.2 The Safety Management Organization plays a key role in helping the SAAS develop and maintain a structured management system to control safety risk. Each Division is ultimately responsible to manage safety risk within its respective area; however, the Safety Management Organization assists management in making decisions to mitigate hazards and manage risks to an acceptable level.
- 4.1.3 The SAAS's Safety Management Organization supports the implementation of SMS principles by:
  - 4.1.3.1 Overseeing the collection and analysis of safety data.
  - 4.1.3.2 Working with management to identify hazards and determine the associated risks.
  - 4.1.3.3 Guiding management in developing and implementing intervention strategies to mitigate risks.
  - 4.1.3.4 Tracking and evaluating the effectiveness of the interventions.
  - 4.1.3.5 Promoting safety awareness among all employee groups, tenants, and contractors.
- 4.1.4 The SAAS will comply with, and wherever possible, exceed regulatory requirements and standards to effectively manage safety risk within the day-to-day operation.
- 4.1.5 SAAS Safety Management Plan:
  - 4.1.5.1 Each year this plan will be updated for the purpose of helping management effectively manage safety risk in all areas of the operation.
  - 4.1.5.2 SMS Committee will identify safety objectives and safety performance targets, and update the SMS plan to meet those objectives and targets for the upcoming year as part of the safety management plan
  - 4.1.5.3 Senior management will provide resources essential to implement and support the safety management plan.
  - 4.1.5.4 The update to the plan will be completed prior to the beginning of each calendar year.
  - 4.1.5.5 The SMSMG, will lead the Executive SMS Steering Committee in updating the safety management plan. Refer to Section 4.5 in this chapter for specific procedures regarding the development of the safety management plan.
- 4.1.6 Safety Management Programs, Organization of Manual Content:
  - 4.1.6.1 The policies and procedures for the programs managed by the Safety Division are contained in Chapter 4 and Chapter 6. Inner-office policies and procedures and safety database procedures are contained in the Safety Division Operating Instructions.
  - 4.1.6.2 The SMSMG has the authority to revise the division's Operating Instructions. These instructions will not be published as a controlled manual, but will be maintained in the Safety Division's electronic files as well as division hard copy files maintained by the Safety Specialist.
- 4.1.7 Internal Evaluation Program, Organization of Manual Content:
  - 4.1.7.1 The policies and procedures for the programs managed by the Safety Division are contained in Chapter 5.

#### 4.2 Responsibilities and Authorities:

4.2.1 The Safety Management System Manager has the authority to modify the processes in this chapter and is responsible for its quality.

4.2.2 Responsibilities and authorities for this process are represented in paragraph 3.4 of this manual.

### 4.3 Procedures:

4.3.1 Safety Management System Elements:

4.3.1.1 The SAAS has organized the Safety Management function around four essential pillars.

4.3.1.1.1 Safety Policy.

4.3.1.1.2 Safety Risk Management.

4.3.1.1.3 Safety Assurance.

4.3.1.1.4 Safety Promotion.

4.3.1.2 Figure 4-1 provides an overview of the SAAS's Safety Management System program organized according to these four pillars.

### 4.4 Confidential Reporting Systems:

4.4.1 General :

4.4.1.1 San Antonio Airport System values the feedback of all employees and has established confidential reporting systems to encourage employees to freely and anonymously communicate safety concerns and be involved in the problem-solving process. The Safety Division is responsible for processing and tracking the safety concerns generated through the SAAS's confidential reporting systems.

4.4.1.2 SAAS has established the following methods for employees to communicate concerns.

4.4.1.2.1 Safety Reports:

4.4.1.2.1.1 Voluntary Safety Report (VSR), (SMS FM 02) - used to report safety hazards, and suggestions for improvement.

4.4.1.2.2 Safety Hotline - can be used to immediately report a safety hazard or concern or can be used to anonymously report safety hazards or concerns.



#### **WARNING**

**Any hazardous situation or equipment must be immediately placarded or removed from service until the hazardous situation is corrected.**

4.4.1.3 Employees should refer to Chapter 1 of this manual for specific instructions on how to submit a Voluntary Safety Report or how use to use the Safety Hotline.

4.4.1.4 This chapter provides additional policies and procedures regarding the SAAS's confidential reporting systems, including the processing and final outcome of each report.

4.4.1.5 The SMSMG is the sponsor of the safety reports (SMS FM 02) and is authorized to revise them. These forms, once entered into the database, will be kept until the next safety committee meeting, and then will be shredded.

4.4.1.6 Employees may suggest revisions to the forms by submitting their comments to the SMSM using the VSR form.

4.4.1.7 Reporting Form Numbering System:

4.4.1.7.1 The Safety Division will number and track all reports using the following system for the Voluntary Safety Report (VSR) form block 12A.

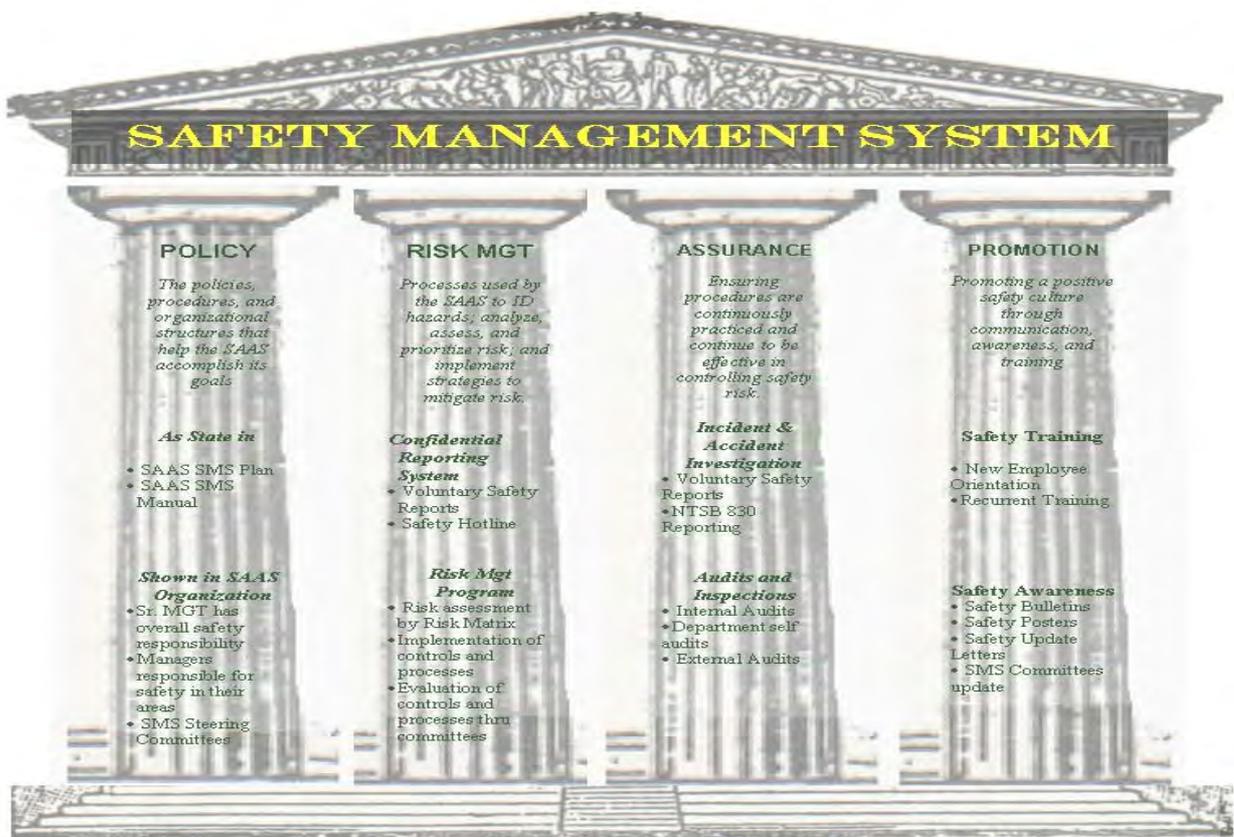
4.4.1.7.1.1 The letter "V" will be followed by the last two digits of the year and specific number assigned to each report (i.e., V09-0001 is an VSR report submitted in 2009 and assigned the number "0001".) Each report will be assigned a number based on the consecutive order it was received.

4.4.1.7.1.2 The last component of the tracking number will include a letter that identifies the type of employee that submitted the report or the category marked on the Employee Safety Feedback Form.

- 4.4.1.7.1.2.1 A – Airport Administration
- 4.4.1.7.1.2.2 F – Airport Facilities.
- 4.4.1.7.1.2.3 M – Airport Maintenance.
- 4.4.1.7.1.2.4 P – Airport Police.
- 4.4.1.7.1.2.5 O – Airport Operations
- 4.4.1.7.1.2.6 E – Airline Employee.
- 4.4.1.7.1.2.7 Z – Other.
- 4.4.1.7.1.2.8 Numbers can be added after the last component of the report number to indicate that more than one report was filed by different employee for the same event from the same division (same date / time / location) – O1, O2 etc.

4.4.1.7.1.3 Example of a full tracking number: V09-0001-A (a VSR report submitted by an employee of Airport Operation) or V09-0001-A2 (a VSR report submitted by more than one employee of Airport Operations for the same event).

Figure 4-1 SAAS Safety Management System



#### 4.4.2 Responsibilities and Authorities:

- 4.4.2.1 The SMSMG has the authority to modify the processes in this chapter and is responsible for its quality.
- 4.4.2.2 Responsibilities and authorities for this process are represented in paragraph 3.4 of this manual.
- 4.4.2.3 The members of the Safety Divisions have the authority to process all safety reports.

#### 4.4.3 Procedure :

##### 4.4.3.1 Initial Processing of All Safety Reports:

4.4.3.1.1 Once the Safety Division (SD) receives a safety report of any kind (VSR), the SD will:

4.4.3.1.1.1 Stamp the date the report was received on the top front of the form next to the Safety logo.

4.4.3.1.1.2 Assign an identification number to the report per procedures outlined in the introduction portion of paragraph 4.4 in this chapter.

4.4.3.1.1.3 Enter the report into the safety database per procedures outlined in the Safety Division Operating Instructions.

4.4.3.1.1.4 Provide the employee who submitted the report with a confirmation of receipt form within five business days of receipt of the report.

4.4.3.1.1.5 Forward a copy of the report to the SMSMG.

4.4.3.1.2 The SMSMG will initial and date the cover sheet and review the report. The SMSMG or designee will conduct an investigation to determine the validity of the report and to gain additional information concerning the report's subject matter. The SMSMG or designee will document relevant information and investigation conclusions on the report form.

4.4.3.1.3 The SMSMG or designee will assign a risk code using the Risk Assessment Code Matrix and risk assessment policies and procedures identified in this chapter. The SMSMG will write the risk code on the form and provide a copy of the form to the SS so that the SS can enter the information into the safety database.

#### **NOTE**

The Event Review Committee will determine the validity of the VSR reports and assign a risk code to each report.

4.4.3.1.4 Once the SMSMG or designee completes the initial investigation and the report is determined to be valid, the SMSMG or designee will identify all associated contributing factors and forward a copy of the report along with a corrective action response letter generated through the safety database (when applicable) to the responsible division manager.

4.4.3.1.5 The responsible division manager will review the report and provide a written response to the SMSMG or designee via the corrective action response letter within 10 business days of receiving the report. The response will include plans for a corrective action or the corrective action taken to address all concerns and contributing factors. If additional time is needed to respond, the responsible division manager will contact the SMSMG or SMSMG's designee to discuss and establish a new, agreed upon, deadline.

##### 4.4.3.2 Final Processing of Voluntary Safety Report Form (VSR):

4.4.3.2.1 Once the SMSMG receives the VSR Form with the documented corrective action accomplished by the division manager, the SMSMG will provide the appropriate committee with the following information.

4.4.3.2.1.1 Copy of the VSR Form.

4.4.3.2.1.2 Safety Division's investigation results (if appropriate).

4.4.3.2.1.3 Recommendations for corrective/preventive action (if appropriate).

4.4.3.2.2 Each committee will:

4.4.3.2.2.1 Review the corrective action taken, or suggested, by the responsible division manager and determine if it was appropriate.

- 4.4.3.2.2 The committee will make any revisions as necessary to finalize the corrective action plan.
- 4.4.3.2.3 Identify a target date for completion of the corrective action (if appropriate).
- 4.4.3.2.4 Document their review of the corrective action and the completion date on the VSR form and return the form to the SMSMG within 10 business days of committee meeting.
- 4.4.3.2.3 Communicating Results to Employees:
  - 4.4.3.2.3.1 The SMSMG will then advise the submitter, if identified, of the results of the investigation. The SD will notify the submitter via e-mail or by using a memo format created from the safety database.
  - 4.4.3.2.3.2 All communications will come from the Safety Database in the form of a letter signed by the appropriate committee members. A submitter will only receive a reply if the submitter has requested a reply to his/her report.
  - 4.4.3.2.3.3 When communicating important safety information derived from VSR form to employees at large, the SMSMG may choose to use several different methods of communication. These methods may include the (Safety Publication for SAAS) Employee Hotline E-Newsletter, daily briefings, and safety bulletins.
- 4.4.3.2.4 Tracking Reports and Maintaining Records:
  - 4.4.3.2.4.1 The SD is responsible for tracking and updating the status of each open VSR, and will track the status of each report in the safety database.
  - 4.4.3.2.4.2 The SD will maintain electronic files of all VSRs in the safety database indefinitely to assist the Safety Division in conducting trend analysis.
- 4.4.3.3 Safety Hotline:
  - 4.4.3.3.1 Policies:
    - 4.4.3.3.1.1 The SAAS has established a Safety Hotline for employees to make an immediate notification of a safety concern or anonymously report hazards or safety concerns. Employees must complete and submit a VSR within five days of placing the phone call if the report is not submitted anonymously.
    - 4.4.3.3.1.2 Refer to Chapter 1 for procedures on using the SAAS Safety Hotline.
  - 4.4.3.3.2 Procedures for Processing Safety Hotline Reports:
    - 4.4.3.3.2.1 Each weekday morning, the SMSMG or designee will call the voicemail box of the Safety Hotline to check for messages. The SMSMG may delegate this responsibility in the following order.
      - 4.4.3.3.2.1.1 Safety Specialist
      - 4.4.3.3.2.1.2 Manager, Wildlife
      - 4.4.3.3.2.1.3 Safety Auditor
    - 4.4.3.3.2.2 The person checking the Safety Hotline will copy messages onto a VSR Form. The report will then be processed in the same manner as a VSR (processing procedures for these reports are included in this chapter. If the report is submitted anonymously, the Report Receipt Form will not be used.
  - 4.4.3.3.3 Control Procedures for Safety Hotline Reports:
    - 4.4.3.3.3.1 The SD will document each message received using the Safety Hotline Monthly Log Form (SMS FM 05) contained in the safety database. The SMSMG will assign an evaluator to complete the following actions every quarter to ensure the Safety Hotline is consistently monitored.
      - 4.4.3.3.3.1.1 Review the Safety Hotline Monthly Log Form to determine if calls are being documented.

4.4.3.3.3.1.2 Call the Safety Hotline to leave a message instructing the person checking the hotline to call him back.

4.4.3.3.3.2 Database procedures for completing the Safety Hotline Monthly Log form Figure 4-2 are contained in the Safety Division Operating Instructions.

4.4.3.3.4 Safety Hotline Log Form (SMS FM 05) will be kept to ensure that the safety hotline is being checked each weekday.

## 4.5 Audits :

### 4.5.1 General :

4.5.1.1 SAAS has implemented an Internal Evaluation Program (IEP) using the FAA Advisory Circular 120-59A as a guide to proactively identify hazards and safety risk within the operation.

4.5.1.1.1 The Safety Division administers the Internal Evaluation Program to provide independent evaluations of division processes. Policies and procedures for the IEP are presented in Chapter 5 of this manual.

4.5.1.1.2 If regulatory non-compliance is discovered while conducting an audit, inspection, or evaluation, the Safety Management System Manager or designee will fill out a report and have the procedures / processes fixed immediately.

### 4.5.2 Responsibilities and Authorities:

4.5.2.1 Each division manager is responsible for:

4.5.2.1.1 Scheduling and conducting self-audits of safety-related functions within his/her respective area of responsibility using a standardized audit tool or checklist.

4.5.2.1.2 Address any deficiencies found during an audit in a timely manner.

4.5.2.1.3 Document the division's policies and procedures regarding self-audits in the division's operating manual.

4.5.2.1.4 Maintain audit records for 3 years.

4.5.2.2 The Safety Management System Manager has the authority to review audit findings and corrective action resulting from a division's self-audit, an evaluation conducted under the IEP, or any third-party safety-related audit.

### 4.5.3 Procedures:

4.5.3.1 Division Self-Audits:

4.5.3.1.1 Refer to each division's operating manual for procedures regarding self-audits.

4.5.3.2 External Evaluations:

4.5.3.2.1 The external evaluation process is an independent analysis of policies and procedures conducted annually by an independent external source that provides a method for documenting and communicating, corrections and/or corrective actions, documented department policies and procedures, and non-compliances with Federal Aviation Regulations. The process is also designed to ensure Regulatory Compliance and System Safety attributes are developed within COSA and Aviation Division policies and procedures.

Figure 4-2 – SMS FM 05 – Safety Hotline Log

		<b>SAFETY HOTLINE LOG</b>							
		1. MONTH OF LOG:		2. CERTIFICATION: All information on this log is true and correct as of the date the log was closed out and signed.					
3. PRINT NAME:			4. SIGNATURE		5. DATE SIGNED:				
6. DATE	7. HOTLINE CHECKED VIA						8. INITIALS	9. Tracking Number	10. Brief Description of Message
	PHONE		E-Mail		FAX				
	NO	YES	NO	YES	NO	YES			
1 <sup>st</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2 <sup>nd</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3 <sup>rd</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
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11 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
13 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
14 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
15 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
16 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
17 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
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19 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
20 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
21 <sup>st</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
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24 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
25 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
26 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
27 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
28 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
29 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
30 <sup>th</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
31 <sup>st</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

SMS FM 05  
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Table 4-1 Instructions for Completing SMS FM 05

Block Number	Title	Instructions
1	Month of Log / Year	Enter the Month and Year for which the Log is being created (e.g. January)
2	Certification	Certification Statement
3	Print Name	Print Name of person who is certifying the information on the form is correct and accurate at the close-out at the end of the month.
4	Signature	Signature of person whose name is entered in Block 3
5	Date Signed	Enter the date this form was signed
6	Day	This block has 31 lines for entry for each day of the month (When the month only has 28, 29 or 30 day in the month – in the next line enter the " Last Line Entry")
7	Hotline Checked VIA Phone – No / Yes E-Mail – No / Yes Fax – No / Yes	This block is used to show what Hotline was checked for safety reports that may have been left on the Hotline: Check the appropriate box for each.
8	Initials	Place your initials in this block – this will allow the audit team to determine who accomplished the check for that particular day
9	Tracking Number	Enter a tracking number in this block for the report that was taken via the phone, e-mail, or fax. The tracking number is from the Safety Database
10	Brief Description of Message	Enter description of the Message – then fill out the appropriate Safety Report Form.

- 4.5.3.2.1.1 The SMSMG will locate an external vendor to perform annual IEP evaluations.
- 4.5.3.2.1.2 The SMSMG will schedule the evaluation with the external vendor.
- 4.5.3.2.1.3 The SMSMG will receive the evaluation report directly from the vendor.
- 4.5.3.2.1.4 The SMSMG will distribute the External Evaluation Report to top management.
- 4.5.3.2.1.5 The SMSMG will brief the Aviation Director and the Assistant Director – Airport Operations, how the Safety Division plans to address/correct the findings of the external vendor.

#### 4.6 SMS Committees:

##### 4.6.1 Executive SMS Steering Committee:

###### 4.6.1.1 General:

###### 4.6.1.1.1 The Executive SMS Steering Committee is to:

4.6.1.1.1.1 Review corrective actions implemented by SMS Committee in response to hazards identified through the safety reporting system, division self-audits, internal and external audits, and incident and accident investigations.

4.6.1.1.1.2 Review Quarterly trend reports.

- 4.6.1.1.1.3 Approve recommendations made by the SMS Committee that will increase the safety culture of SAAS
- 4.6.1.1.1.4 Evaluate the SMS plan.
- 4.6.1.1.1.5 Encourage interfaces between SAAS and SAAS customers
- 4.6.1.1.2 The Executive Committee will meet:
  - 4.6.1.1.2.1 January and June of each year for the first two years, starting in Jan 2010.
  - 4.6.1.1.2.2 In 2012, the committee will meet once a quarter (JAN, APR, JUL and SEP).
- 4.6.1.2 Responsibilities and Authorities:
  - 4.6.1.2.1 The Aviation Director or designee will chair the committee.
  - 4.6.1.2.2 The Safety Management System Manager will schedule meeting, develop the agenda, and record the minutes.
  - 4.6.1.2.3 The following individuals will participate in the committee.
    - 4.6.1.2.3.1 Executive Team:
      - 4.6.1.2.3.1.1 Assistant Director – Operations.
      - 4.6.1.2.3.1.2 Assistant Director – Facilities Management and Construction.
      - 4.6.1.2.3.1.3 Assistant Director – Finance and Administration.
    - 4.6.1.2.3.2 Management:
      - 4.6.1.2.3.2.1 Airport Operations Manager.
      - 4.6.1.2.3.2.2 Facilities Manager.
      - 4.6.1.2.3.2.3 Fiscal Operations Manager.
      - 4.6.1.2.3.2.4 Planning & Development Manager.
      - 4.6.1.2.3.2.5 Properties Manager
      - 4.6.1.2.3.2.6 Stinson Airport Manager.
    - 4.6.1.2.3.3 Outside Agencies:
      - 4.6.1.2.3.3.1 Airline Representative
      - 4.6.1.2.3.3.2 FAA Representative – local FSDO
      - 4.6.1.2.3.3.3 Tenant Representative – HEB Safety.
    - 4.6.1.2.3.4 Briefer's:
      - 4.6.1.2.3.4.1 Safety Management System Manager.
- 4.6.1.3 Procedure:
  - 4.6.1.3.1 Introduction:
    - 4.6.1.3.1.1 The SMSMG will develop and distribute the meeting agenda at least five business days before the scheduled meeting date. Only items on the agenda will be discussed during each meeting.
    - 4.6.1.3.1.2 Agenda items will not be closed until any assigned actions are complete. The chairperson will assign follow up actions along with completion dates.
    - 4.6.1.3.1.3 The chairperson will approve meeting minutes and the SMSMG will distribute them via e-mail to each committee member no later than two weeks after the meeting. The SMSMG will also send the meeting minutes to the Safety Specialist, who will post them on the SAAS Intranet.
    - 4.6.1.3.1.4 The SMSMG or designee will monitor the progress of the agreed upon actions. The chairperson will be briefed on the status of the agreed upon actions as the deadlines for completion expire.
  - 4.6.1.3.2 Reviewing Corrective Actions:

- 4.6.1.3.2.1 The committee will review corrective actions implemented to address safety problems or concerns.
- 4.6.1.3.3 Reviewing Safety Trend Reports:
- 4.6.1.3.3.1 The committee will review a quarterly safety trend report provided by the SMSMG. This report includes:
- 4.6.1.3.3.1.1 All open reports submitted by employees (Voluntary Safety Report).
  - 4.6.1.3.3.1.2 Incident/accident reports.
  - 4.6.1.3.3.1.3 OSHA reportable accidents/injuries.
  - 4.6.1.3.3.1.4 Items related to the Company's compliance with OSHA regulations.
  - 4.6.1.3.3.1.5 Voluntary self-disclosures reported during the previous quarter (if applicable).
  - 4.6.1.3.3.1.6 Letters of Inquiry from the FAA (if applicable).
- 4.6.1.3.3.2 The committee will use the safety trend data to review the effectiveness of SAAS's safety program(s) and suggest improvements when necessary. This will be one method of process measurement for safety program(s).
- 4.6.1.3.4 Senior Management Briefing :
- 4.6.1.3.4.1 Should the Director require additional information beyond the data contained in the quarterly report, the Director will ask the SMSMG to provide the additional information
- 4.6.1.3.5 Developing and Evaluating the San Antonio Airport System Safety Management Plan:
- 4.6.1.3.5.1 The Committee will develop a safety management plan for the upcoming year during the last quarter of the calendar year.
- 4.6.1.3.5.2 Two weeks prior to the meeting, the SMSMG will provide the Committee with:
- 4.6.1.3.5.2.1 The previous year's safety management plan
  - 4.6.1.3.5.2.2 Trend analysis information based on data gathered over the past year from the various reporting systems, Internal Evaluation findings, and any external audits/findings (FAA, etc).
  - 4.6.1.3.5.2.3 A draft safety management plan for the upcoming year.
- 4.6.1.3.5.3 All Committee members will review the data to identify:
- 4.6.1.3.5.3.1 Areas where safety risks have increased.
  - 4.6.1.3.5.3.2 Areas where safety risks have decreased.
  - 4.6.1.3.5.3.3 Changes within the organization that require additional review to determine if safety risk has been affected (e.g. reduction in workforce).
- 4.6.1.3.5.4 One week prior to the scheduled meeting, the Committee members will provide the SMSMG with any recommended changes to the draft safety management plan. The SMSMG will review and incorporate recommended changes and present the updated draft safety management plan at the scheduled meeting.
- 4.6.1.3.5.5 The Committee will discuss and finalize the safety management plan as part of the regularly scheduled quarterly meeting. The SMSMG will submit the plan to the Aviation Director for signature prior to October 1 of the upcoming year. (COSA USES FISCAL YEAR)
- 4.6.1.3.6 Committee Records:
- 4.6.1.3.6.1 The SMSMG will maintain an electronic copy of the committee records for 10 years.
  - 4.6.1.3.6.2 The committee records will be destroyed after 3 years.

## 4.6.2 Safety Management System Review Committee (SMSRC):

### 4.6.2.1 Policies:

#### 4.6.2.1.1 The (SMSRC) consists of:

4.6.2.1.1.1 Voting Members – Safety Management System Manager; Airport Operations Manager; Facilities Manager; Stinson Airport; Manager Property and Business Development Manager; and the Airfield Maintenance Manager.

4.6.2.1.1.2 Non-Voting Members – Are managers from other divisions that will be invited to attend the meeting as the safety reports dictate.

4.6.2.1.1.3 Each voting and non-voting member will have a designated alternate to attend the SMSRC meetings in his absence.

4.6.2.1.1.4 The committees will meet at least once a month, or as necessary, to review and analyze Safety Reports.

### 4.6.2.2 SMSRC Procedures for reviewing Safety Reports:

4.6.2.2.1 An agenda will be prepared and distributed to the SMSRC members at the beginning of the meeting.

4.6.2.2.2 The SMSRC will review each report that is listed on the agenda.

4.6.2.2.3 The SMSRC members will rate any hazards identified in the report according to likelihood and severity using the risk management procedures documented in this manual. An identified risk level (High, Medium, or Low) will then be assigned to the report. The risk level will be recorded on the agenda.

4.6.2.2.4 The SMSRC members will discuss whether the event identifies a systemic problem or a one-time occurrence.

4.6.2.2.5 The SMSRC members will try to determine the root cause(s) of the event by interviewing personnel, reviewing paperwork, or conducting inspections/investigations related to the event.

4.6.2.2.6 If necessary, the SMSRC will then issue recommendations or corrective actions to resolve the problem and prevent reoccurrence. All recommendations or corrective actions should be reached through the consensus of the committee voting members.

4.6.2.2.7 Items may be carried over to subsequent SMSRC meetings if more time is necessary to gather information or to reach consensus regarding corrective action. The item will be noted as being open in the minutes of the meeting.

4.6.2.2.8 Once the committee has issued recommendations or corrective action, or has determined that no action is necessary, it will indicate that the item is closed in the minutes of the meeting.

4.6.2.3 Once all open or new reports have been discussed and consensus on any action to be taken has been reached, or if the scheduled meeting time has expired, the committee will schedule the next meeting and adjourn.

4.6.2.4 The SD will publish and distribute meeting minutes quarterly.

### 4.6.2.5 Communicating Results to Employees:

4.6.2.5.1 Safety-related information from the Safety Report will be communicated back to SAAS employees by at least one of the following methods.

4.6.2.5.1.1 The SD will send a response (if requested), in the form of a letter or memo that will include any corrective action taken and the date that the report was closed. The SD will place the letter in an envelope and forward it to the employee's mailbox at the airport.

4.6.2.5.1.2 The SD will send e-mail notification to appropriate divisions when the status of a report moves to "closed."

4.6.2.5.1.3 A newsletter or safety bulletin will include the de-identified textual description of selected safety reports and the corrective action(s) that resulted from the report.

4.6.2.5.1.4 Urgent safety-related issues that are reported through the Safety Report may be communicated to the employees by a Safety bulletin.

4.6.2.5.2 The SMSM may choose to not distribute some reports for confidentiality reasons

Figure 4-3 – Risk Management Flow

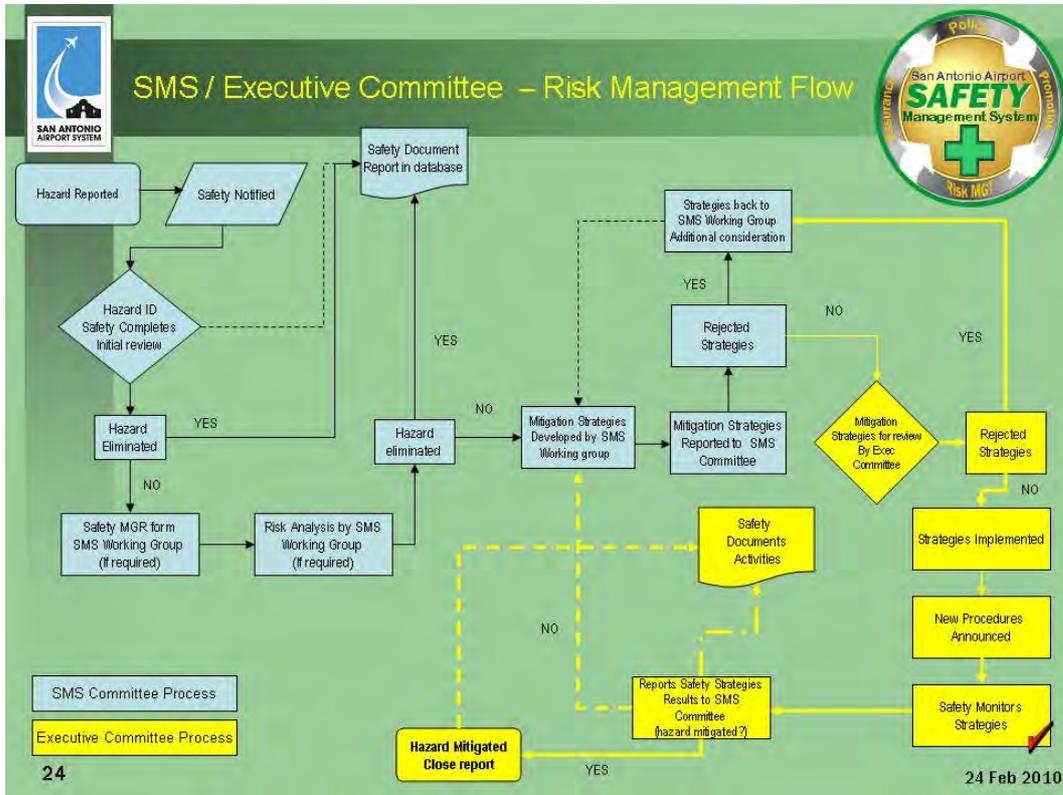
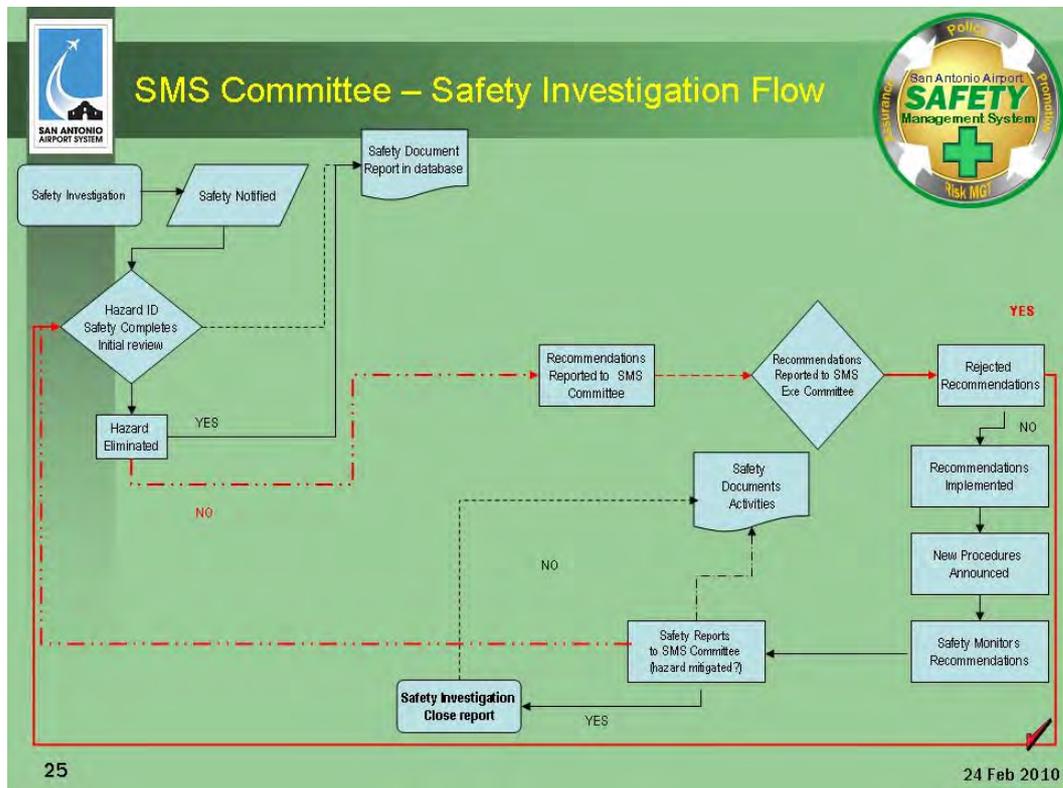


Figure 4-4 – Risk Management Flow – Safety Investigation Flow



## 4.7 Ground Handling Incident, Accident Reporting, and Investigation:



**WARNING** In the event of an aircraft accident (i.e., bomb threat, hijacking, aircraft missing, etc.), employees should immediately access the Emergency Response Quick Guide(ERQG) and implement procedures based on the type of emergency. Each person should have a copy of this ERQG next to their phone.

### 4.7.1 General:

4.7.1.1 This section addresses procedures for managing minor ground handling incidents and accidents that involve SAAS facilities, personnel, and Aircraft. For major incidents and accidents that must be reported to the NTSB and require implementation of the Airport Emergency Plan, refer to the policies and procedures documented in the SAAS Emergency Response Manual.

4.7.1.2 All ground handling incidents and accidents involving SAAS property must be reported, tracked, and properly investigated. Employees who fail to report a ground handling incident or accident may receive disciplinary action up to, and including, termination.

4.7.1.3 The facts discovered during any investigation will not be used to apportion blame or to facilitate disciplinary action, except in cases of criminal misconduct, an intentional disregard for safety, or a violation of the COSA's drug and alcohol policy.

4.7.1.4 The SAAS reserves the right to require drug and/or alcohol testing following any ground handling incident or accident. Refer to the COSA Anti-Drug and Alcohol Misuse Prevention Program Manual for post-accident testing procedures.

4.7.1.5 Ground handling incidents or accidents involving property other than SAAS, ground equipment, or facilities is not subject to the policies and procedures contained in this section unless SAAS employees are involved in the occurrence.

4.7.1.6 Additional policies and procedures for reporting and investigating employee injuries may apply. Refer to Chapter 6 Section 6.1 also check into the COSA requirements within this manual for additional information.

4.7.1.7 If a potential violation of a regulation is discovered during an investigation, refer to the paragraph 5.3 in of this manual for further instructions.

### 4.7.2 Responsibilities and Authorities :

4.7.2.1 The SMSM or designee has the responsibility and authority to modify these procedures and ensure compliance.

4.7.2.2 The Safety Specialist has the responsibility to coordinate these procedures.

4.7.2.3 The Airport Operations Supervisor (AOS) has the responsibility to initiate this process in coordination with the Safety Management System Manager.

### 4.7.3 Procedure :

#### 4.7.3.1 Initial Response to Ground Handling Accident/Incident:

4.7.3.1.1 Employees/contractors must immediately report all ground handling accidents or incidents involving SAAS equipment, facilities, or employee injury to the Airport Manager/Supervisor of the affected airport. The Airport Manager/Supervisor will use the following information to determine the SAAS's response.

4.7.3.1.1.1 If an incident or accident involving an aircraft takes place while the aircraft is fully or partially under the control of ground personnel, but before the flight crewmembers have boarded the aircraft, local management will implement procedures contained in this section.

4.7.3.1.1.2 If an incident or accident occurs after the flight crewmembers have boarded the aircraft with the intention of flight, local management will implement the SAAS's airport emergency plan.

4.7.3.1.2 Once local management has determined the event occurred under full or partial control of the ground personnel, they will immediately notify.

Need to work on these procedures, once I have a better understanding of the proper plan

- 4.7.3.1.2.1 Airport Operations Supervisors (AOS).
  - 4.7.3.1.2.2 Airline Station manager if aircraft is damaged or suspected to be damaged.
  - 4.7.3.1.2.3 Senior manager in charge of the appropriate Airport.
  - 4.7.3.1.3 Command Center must notify Airline personnel in the event of an incident or accident involving damage to an aircraft in accordance with the AEP.
  - 4.7.3.1.4 The Airline or contract supervisor/manager in charge at the location of the accident/incident will perform the following actions.
    - 4.7.3.1.4.1 Take care of immediate emergency situations relative to personnel, equipment, aircraft, or facilities.
    - 4.7.3.1.4.2 Secure the accident site.
  - 4.7.3.2 Investigation of Ground Handling Accident/Incident:
    - 4.7.3.2.1 The most senior management personnel for the operation involved in the accident/incident (or designee) must conduct an investigation to determine the cause and to ensure that all required paperwork is completed. A manager from any division involved in the accident/incident should be an active participant in the investigation.
    - 4.7.3.2.2 The most senior management personnel for the operation involved in the accident/incident (or designee) must complete a Safety Accident Investigation Report (Reference Figure 4-5).
- NOTE**
- The affected Airline Safety Division may assume control and responsibility of the investigation at any time.
- 4.7.3.2.3 When the accident investigation form is completed, all documents and photographs must be emailed, faxed, or mailed to the SMSMG.
  - 4.7.3.2.4 The manager or supervisor of the airline or contract employee(s) directly involved in an accident or incident will:
    - 4.7.3.2.4.1 Suspend or reassign the employee(s) to duties that do not involve Company aircraft until completion of the investigation.
  - 4.7.3.2.5 The manager or supervisor for COSA or contract employee(s) directly involved in an accident or incident will:
    - 4.7.3.2.5.1 Refer to the COSA's Anti-Drug and Alcohol Misuse Prevention Program Manual and follow appropriate procedures for drug testing IAW COSA AD 4.79A (See Appendix ??)
  - 4.7.3.3 Incident and Accident Record Management:
    - 4.7.3.3.1 The Maintenance division must accumulate all cost documents relating to the repair and forward them to the SMSMG. This must be done as soon as possible, but no later than 30 days from the date of the repair.
    - 4.7.3.3.2 All accident/incident reports will be maintained for five years.
  - 4.7.3.4 Safety Accident Investigation Report (SMS FM 06) – Reference Figure 4-5:
    - 4.7.3.4.1 This form is utilized to obtain the facts pertaining to an incident or accident.
    - 4.7.3.4.2 Instruction to complete SMS FM 06 - Reference Table 4-2.
    - 4.7.3.4.3 Availability:
      - 4.7.3.4.3.1 This form can be found on the Safety SharePoint site divisional forms site.
    - 4.7.3.4.4 Disposition:
      - 4.7.3.4.4.1 This form will be completed by the most senior company management personnel involved in the operation.
      - 4.7.3.4.4.2 The form will be sent electronically to the Safety Division, or faxed to the Safety Division fax number, 210-207-9805.

Figure 4-5 – Safety Accident Investigation Report (SMS FM 06)

		<b>SAFETY ACCIDENT INVESTIGATION REPORT</b>							
		ASTERISK ITEMS FILLED OUT BY THE SAFETY DEPARTMENT:							
* REFERENCE ACCIDENT REPORT ID:		* RECORD NUMBER:		* DATE CLOSED:					
* NAME OF PERSON WHO ENTER DATA:		* DATE RECEIVED:		* DATE ENTERED:					
DATE OF ACCIDENT:	APPROX TIME OF ACCIDENT (USE 24 HR CLOCK)	VENDOR/COMPANY:	STATION ID: <input type="checkbox"/> SAT <input type="checkbox"/> SSF	DATE OF INVESTIGATION:					
EMPLOYEE NAME:	EMPLOYEE NUMBER:	AIRLINE INVOLVED: <input type="checkbox"/> NO <input type="checkbox"/> YES - Name:		ACFT TYPE / REGISTRATION:					
NAME OF INVESTIGATOR:	INVESTIGATOR SIGNATURE:	INVESTIGATOR ID #:	PHONE #:	DATE SIGNED:					
<b>INSTRUCTIONS:</b> 1. Complete entire form after notification 2. Check only one item per section unless otherwise stated 3. Completing supervisor and manager must sign the report 4. Attach written statements from witnesses, employees, and other concerned 5. Attach photos, diagrams and all other information 6. Distribution of Copies Original - Manager, SMS Copy - Manager, Airport Operations Copy - _____ Copy - _____ Copy - _____ Copy - _____									
1. DEPARTMENT INVOLVED: <input type="checkbox"/> Ramp <input type="checkbox"/> Contract Fueling <input type="checkbox"/> ACFT MX <input type="checkbox"/> Contract Ground <input type="checkbox"/> Facilities MX <input type="checkbox"/> Airport Operations <input type="checkbox"/> Other Other Comments:									
2. POSITION OF EMPLOYEE RESPONSIBILITY: <input type="checkbox"/> Ramp Agent <input type="checkbox"/> ACFT Mechanic <input type="checkbox"/> Contract <input type="checkbox"/> COSA Employee <input type="checkbox"/> Other Other Comments:									
3. IS THIS THE EMPLOYEE'S REGULAR JOB: <input type="checkbox"/> YES <input type="checkbox"/> NO		4. IS EMPLOYEE CERTIFIED: <input type="checkbox"/> YES <input type="checkbox"/> NO		4A. IF YES TO #4 DATE LAST CERTIFIED:					
5. DOES SAAS OR THE COMPANY HAVE TRAINING MATERIAL TO PREVENT THIS TYPE OF ACCIDENT: <input type="checkbox"/> YES <input type="checkbox"/> NO				5A. IF YES TO #5 - DID EMPLOYEE RECEIVE THIS TRAINING: <input type="checkbox"/> NO <input type="checkbox"/> YES DATE OF TRAINING:					
6. TIME IN PRESENT POSITION: <input type="checkbox"/> 0 - 3 Months <input type="checkbox"/> 4 - 6 Months <input type="checkbox"/> 7 - 11 Months <input type="checkbox"/> 1 - 2 Years <input type="checkbox"/> 3 - 5 Years <input type="checkbox"/> Over 5 Years			7. HOURS WORKED PRIOR TO ACCIDENT: <input type="checkbox"/> 0 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> 11 or more		8. NUMBER OF PREVIOUS ACCIDENTS: <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 or more				
9. LIGHTING CONDITIONS: <input type="checkbox"/> Daylight - Bright <input type="checkbox"/> Daylight - Cloudy <input type="checkbox"/> Night - Artificial Light <input type="checkbox"/> Night - No light			10. WEATHER CONDITIONS: <input type="checkbox"/> Clear <input type="checkbox"/> Raining <input type="checkbox"/> Foggy <input type="checkbox"/> Windy <input type="checkbox"/> Snowing <input type="checkbox"/> Ice Storm <input type="checkbox"/> Other Other comments:						
11. SURFACE CONDITIONS: <input type="checkbox"/> Dry <input type="checkbox"/> Wet <input type="checkbox"/> Icy <input type="checkbox"/> Slippery <input type="checkbox"/> Other Comments:			12. WERE THERE ANY WITNESSES PRESENT: <input type="checkbox"/> NO <input type="checkbox"/> YES Name: _____ Phone # _____ Name: _____ Phone # _____						
13. EQUIPMENT INVOLVED BELONGS TO: <input type="checkbox"/> SAAS <input type="checkbox"/> Other Comments:			14. TYPE OF EQUIPMENT INVOLVED: <input type="checkbox"/> ACFT <input type="checkbox"/> TUG <input type="checkbox"/> Belt Loader <input type="checkbox"/> Fuel Truck <input type="checkbox"/> De-Ice Truck <input type="checkbox"/> K-Loader <input type="checkbox"/> Van or CTV <input type="checkbox"/> COSA Vehicle <input type="checkbox"/> Other Comments:						
15. IF A VEHICLE WAS INVOLVED WHAT WAS THE CAUSE (Tug, Beltloader, Fuel / De-Ice truck, K-loader, van or CTV, COSA Vehicle): <input type="checkbox"/> Failed to Set Brake <input type="checkbox"/> Failed to Put in Park <input type="checkbox"/> Unsafe Turning <input type="checkbox"/> Diverted Attention <input type="checkbox"/> Failed to Secure Pins or locks <input type="checkbox"/> Failed to properly chock wheels <input type="checkbox"/> Disregard of Signals <input type="checkbox"/> Mechanical Failure <input type="checkbox"/> Failed to adjust to Weather Conditions <input type="checkbox"/> Failed to properly secure cargo <input type="checkbox"/> Incorrect Signals <input type="checkbox"/> Speeding <input type="checkbox"/> Other <input type="checkbox"/> Failed to Turn off Engine <input type="checkbox"/> Lost of Control									
16. CAUSED BY OTHER THAN VEHICLE: <input type="checkbox"/> Person fell or pushed <input type="checkbox"/> Wind Blew Equipment <input type="checkbox"/> Jet Blast <input type="checkbox"/> Fire <input type="checkbox"/> Weather <input type="checkbox"/> Other Comments:									
17. WAS AN AIRCRAFT INVOLVED: <input type="checkbox"/> NO <input type="checkbox"/> YES Aircraft Tail Number -			18. PHASE OF FLIGHT: <input type="checkbox"/> Parked - location: <input type="checkbox"/> Push Back <input type="checkbox"/> Taxiing <input type="checkbox"/> Towing						
19. DID AN INJURY OCCUR: <input type="checkbox"/> NO <input type="checkbox"/> YES - complete the "RM FM 02" - Supervisor Report of Injury or Illness: <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> PASSENGERS: Name: _____ Name: _____</td> <td><input type="checkbox"/> SAAS EMPLOYEE: Name: _____ Name: _____</td> <td><input type="checkbox"/> CONTRACT EMPLOYEE: Name: _____ Name: _____</td> <td><input type="checkbox"/> AIRLINE EMPLOYEE: Name: _____ Name: _____</td> </tr> </table>						<input type="checkbox"/> PASSENGERS: Name: _____ Name: _____	<input type="checkbox"/> SAAS EMPLOYEE: Name: _____ Name: _____	<input type="checkbox"/> CONTRACT EMPLOYEE: Name: _____ Name: _____	<input type="checkbox"/> AIRLINE EMPLOYEE: Name: _____ Name: _____
<input type="checkbox"/> PASSENGERS: Name: _____ Name: _____	<input type="checkbox"/> SAAS EMPLOYEE: Name: _____ Name: _____	<input type="checkbox"/> CONTRACT EMPLOYEE: Name: _____ Name: _____	<input type="checkbox"/> AIRLINE EMPLOYEE: Name: _____ Name: _____						

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**Figure 4-5 – Safety Accident Investigation Report (SMS FM 06) continued**

*SMS FM 06 continued*

20. Description of the circumstances leading up to the event.



Table 4-2 – Instructions for completing SMS FM 06

Block Number	Title	Instructions
<b>Items marked with an asterisk will be filled out by the Safety Division</b>		
<i>Items with italicized will be completed by the investigator</i>		
<b>Item 1 through 20 will be completed by the investigator as appropriate</b>		
1	Division involved	Check the appropriated box, if other is checked add comments
2	Position of employee responsibility	Check the appropriated box, if other is checked add comments
3	Is this the employee's regular job	Check Yes – if this is the employee is regular job, other wise check No
4	Is employee certified	Is the employee certified to due his job – check yes or no
4A	If yes to # 4 date last certified	Enter date of last certification
4B	Certificate Number	Enter employee certificate number
5	Does SAAS or Company have training material to prevent this type of accident/incident	Check Yes – if there is training material available for review, other wise check NO
5A	If yes to # 5 – Did employee receive this training	Check appropriate box – if yes is checked, enter date of training also
6	Time in present position	Check the appropriate box – for the length of time employee has in their current position of employment
7	Hours worked prior to accident	Check the appropriate box – for the length of time employee was working prior to accident
8	Number of previous accident	Check the appropriate box – for the number of previous accidents the employee has been involved in
9	Lighting conditions	Check the appropriate box – self-explanatory
10	Weather conditions	Check the appropriate box – self-explanatory
11	Surface Conditions	Check the appropriate box – self-explanatory, if other is checked enter comments (short comment)
12	Were there any witnesses present	Check the appropriate box – if yes was checked enter the name and phone number of the witnesses (if necessary use additional paper)
13	Equipment involved belongs to	Check the appropriate box – self-explanatory, if other is checked, enter comments (enter name of owner of equipment)
14	Type of equipment involved	Check the appropriate box – self-explanatory, if other is checked, enter comments (enter name/type of equipment)
15	If a vehicle was involved what was the cause (Tug, Belt-loader, Fuel / De-ice Truck, K-Loader, Van or CTV)	Check the appropriate box – self-explanatory
16	Caused by other than vehicle	Check the appropriate box – self-explanatory, if other is checked, enter comments (as to what caused accident or incident)
17	Was an Aircraft involved No / Yes ACFT Tail Number	Check the appropriate box – self-explanatory, if Yes is checked, enter Aircraft tail number
18	Phase of flight	Check the appropriate box – self-explanatory
19	Did an injury occur	Check the appropriate box – self-explanatory, if Yes is checked, enter the additional required information and complete SMS FM 07 Supervisor Injury Investigation Report
20	Description of the circumstances leading up to the event	Give a detailed account of the circumstances leading up to the event and explanation of the event

## **4.8 Safety Risk Management:**

4.8.1 General: (Reference Matrix – Figure 4-7)

4.8.2 Introduction:

4.8.2.1 The safety risk management process is designed to proactively and/or reactively assure that risk is identified, evaluated, documented, eliminated, or controlled within the process' defined risk parameters. A set of Safety Risk Assessment Worksheets (SMS FM 07, 07-1 AND 07-2 (Reference Figure 4-11 & 4-12)) are available to provide SAAS personnel with the guidance necessary to adhere to the defined risk parameters. The principles of risk management are to accept risk only when necessary and when the benefits outweigh the costs, make risk decisions, and integrate risk management into planning at all levels within SAAS. The safety risk management process includes, but is not limited to, the following steps:

4.8.2.1.1 Identify current and/or potential hazard scenarios to equipment, property, and personnel.

4.8.2.1.2 Assess the severity and likelihood that consequences will occur.

4.8.2.1.3 Monitor acceptable risk determined to be within the Department's safety performance criteria.

4.8.2.1.4 Mitigate unacceptable risk to a level that is acceptable.

4.8.2.1.5 Evaluate the effectiveness of measures implemented to mitigate risk.

4.8.2.2 Scope:

4.8.2.2.1 Risk management is applicable to all divisions within the SAAS organizational structure.

4.8.2.2.2 Risk assessment is initiated when the need to utilize the risk management process is identified

4.8.2.2.3 Risk assessment applies special technical managerial skills to the identification and control of hazards throughout the life cycle of a project, program, and/or an activity

### **4.8.3 Responsibilities and Authorities:**

4.8.3.1 Safety Management System Manager:

4.8.3.1.1 Revises and defines risk management procedures.

4.8.3.1.2 Ensures COSA personnel are trained on risk management procedures and policies.

4.8.3.2 Division Heads:

4.8.3.2.1 Responsible for being informed of, and maintaining compliance with, risk management procedures.

### **4.8.4 Procedures:**

4.8.4.1 The flow chart in Figure 4-6 outlines the company's risk management process.

4.8.4.2 System Identification:

4.8.4.2.1 Identify the system initiating the use of the risk management process. The risk management process may be initiated due to any one of the following reasons:

4.8.4.2.1.1 An incident or accident occurs.

4.8.4.2.1.2 Submission of a safety report.

4.8.4.2.1.3 Staffing reductions.

4.8.4.2.1.4 Senior Management changes.

4.8.4.2.1.5 Large Turnover in personnel.

4.8.4.2.1.6 FAA letters of investigation.

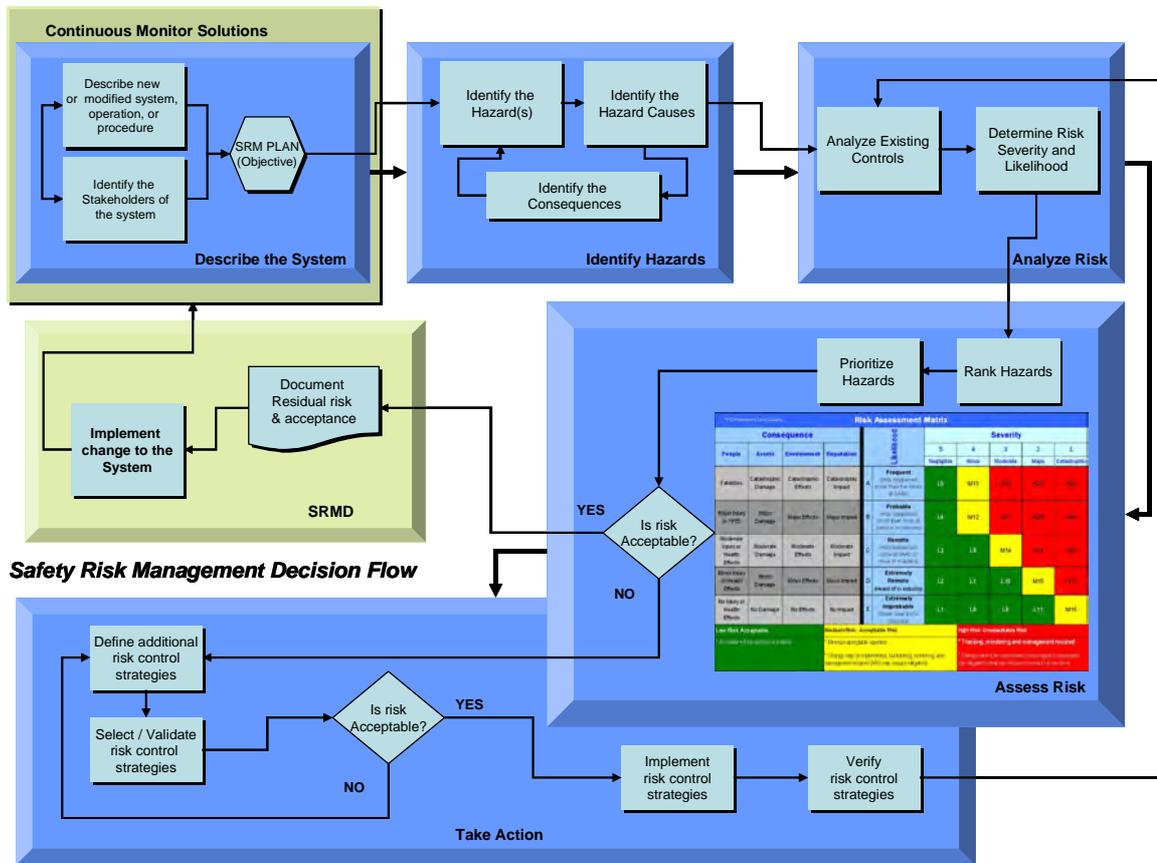
4.8.4.2.1.7 Voluntary Self Disclosures

4.8.4.2.1.8 Introduction of a new fleet type to SAAS

4.8.4.3 System Objective:

4.8.4.3.1 Identify the objective(s) (desired output) of the system under review. This may apply to an existing or newly developed system.

Figure 4-6 – Risk Management Process Overview



4.8.4.4 System Description:

4.8.4.4.1 Describe the interactions among personnel, tools, procedures, materials, equipment, facilities, and software operating in a specific environment to perform the system objective. The system description may identify some, or all of the following information

- 4.8.4.4.1.1 **WHO** is responsible for performing and/or overseeing the tasks and functions that contribute to the system objective (i.e. names, titles, etc.)?
- 4.8.4.4.1.2 **WHAT** is being accomplished and/or utilized to achieve the system objective (i.e. procedures, equipment, materials, etc.).
- 4.8.4.4.1.3 **WHEN** are tasks and resources required to be accomplished and utilized (i.e. phase of flight, time intervals, etc.).
- 4.8.4.4.1.4 **WHERE** are tasks and resources required to be accomplished and utilized (i.e. facilities, locations, etc.).
- 4.8.4.4.1.5 **WHY** does the system objective exist (regulations, operational needs, manufacturer data, etc.).

4.8.4.5 Hazard Identification:

4.8.4.5.1 SAAS identifies hazards through both reactive and proactive means. Hazards may include active failures and latent or unsafe conditions. The documented hazard should identify the condition as well as the resulting consequence to allow for proper risk analysis and assessment; this is also known as the hazard scenario. The following sources of information may be used to identify potential hazards.

- 4.8.4.5.1.1 Safety reports.
- 4.8.4.5.1.2 Observations.
- 4.8.4.5.1.3 Manual reviews.

- 4.8.4.5.1.4 Internal or external audits or inspections.
- 4.8.4.5.1.5 Reports from various safety programs or organizations (NASA, FAA etc.).
- 4.8.4.5.1.6 Workplace meetings (SMS Committee, Technical Work Groups etc.).

4.8.4.6 Risk Analysis and Risk Assessment :

4.8.4.6.1 Risk analysis is the process of determining the severity (what will happen) and likelihood (when it can happen) of consequences derived from the hazard identification process. Risk analysis should ultimately determine the level of risk associated with a hazard and should not be confused with risk assessment.

Figure 4-7 – SAAS Risk Matrix

Risk Assessment Matrix										
Likelihood		Consequence				Severity				
		People	Assets	Environment	Reputation	0	1	2	3	4
						Negligible	Minor	Moderate	Major	Catastrophic
4	Has happened more than five times at airport	Fatalities	Catastrophic Damage	Catastrophic Effects	Catastrophic Impact	H21	H22	H23	H24	H25
3	Has happened more than once at airport or industry	Major Injury or *PTD	Major Damage	Major Effects	Major Impact	M15	M16	M17	H19	H20
2	Has happened once at airport or once in industry	Moderate Injury or Health Effects	Moderate Damage	Moderate Effects	Moderate Impact	L9	L10	M13	M14	H18
1	Heard of in industry	Minor Injury or Health Effects	Minor Damage	Minor Effects	Minor Impact	L5	L6	L7	L8	M12
0	Never heard of in Industry	No Injury or Health Effects	No Damage	No Effects	No Impact	L1	L2	L3	L4	M11
Green Continuous Improvement Low Risk		Yellow = Control to ALARP - Medium Risk				Red = Tolerability to be endorsed by management - High Risk				
*PTD Permanent Total Disability										

4.8.4.6.2 Risk Assessment Matrix – **Likelihood** is based on a five point scale. It can also be referred to as probability.

- 4.8.4.6.2.1 *Extremely Improbable* – “Never heard of in Industry” – Very unlikely to occur (not known to have occurred) Value “0”.
- 4.8.4.6.2.2 *Improbable* – “Heard of in industry” – Unlikely to occur, but possible (has occurred rarely) Value “1”.
- 4.8.4.6.2.3 *Remote* – “Has happened once at airport or once in industry” – Likely to occur sometimes (has occurred) Value “2”.
- 4.8.4.6.2.4 *Occasional* – “Has happened more than once at airport or more than once in industry” – Likely to occur many times (has occurred infrequently) Value “3”.
- 4.8.4.6.2.5 *Frequent* – “Has happened more than five times at airport” – Likely to occur numerous times (has occurred frequently)

4.8.4.6.3 Risk Assessment Matrix – **Severity** of occurrence is based on a five point scale also.

- 4.8.4.6.3.1 *Negligible* – Little to no consequences.
- 4.8.4.6.3.2 *Minor* – Nuisance, insignificant.
- 4.8.4.6.3.3 *Moderate* – Reduction in safety margins, injury to person(s).

4.8.4.6.3.4 *Major* – A significant reduction in safety margins, serious injury to person(s), major equipment damage.

4.8.4.6.3.5 *Catastrophic* – Equipment / facilities destroyed fatality or multiple fatalities

**Figure 4-8 – Severity Definitions Chart Clarification**

Consequence		People	Assets	Environment	Reputation
<b>SEVERITY</b>	<b>0 = Negligible</b>	<ul style="list-style-type: none"> <li>No Injuries</li> </ul>	<ul style="list-style-type: none"> <li>No damage</li> <li>Minor Technical delay</li> </ul>	<ul style="list-style-type: none"> <li>No Impact</li> </ul>	<ul style="list-style-type: none"> <li>No loss of public confidence</li> </ul>
	<b>1 = Minor</b>	<ul style="list-style-type: none"> <li>First Aid Injury or</li> <li>No disability or lost time</li> </ul>	<ul style="list-style-type: none"> <li>Technical delay or</li> <li>Ground Equipments inoperable or</li> <li>ACFT Grounded causing Operator to incur relatively minimal costs</li> </ul>	<ul style="list-style-type: none"> <li>Release - Contained</li> </ul>	<ul style="list-style-type: none"> <li>May be lowered, but public finds situation acceptable</li> </ul>
	<b>2 = Moderate</b>	<ul style="list-style-type: none"> <li>Lost Time Injury or</li> <li>Passenger Injured (Broken Bones)</li> <li>No Disability</li> </ul>	<ul style="list-style-type: none"> <li>Technical delay or</li> <li>Ground Equipments inoperable or</li> <li>Ground Equipment damaged ACFT or</li> <li>ACFT Grounded causing Operator to incur substantial costs</li> </ul>	<ul style="list-style-type: none"> <li>Small (&lt; 50 Gallons) release - Uncontained</li> </ul>	<ul style="list-style-type: none"> <li>Significantly lowered w/high profile media coverage</li> </ul>
	<b>3 = Major</b>	<ul style="list-style-type: none"> <li>Disability or</li> <li>Severe Injuries</li> </ul>	<ul style="list-style-type: none"> <li>Major Technical delay or</li> <li>Ground Equipments inoperable or</li> <li>Ground Equipment caused major damage to ACFT causing delays to return ACFT to service or</li> <li>ACFT Grounded causing Operator to incur substantial costs</li> </ul>	<ul style="list-style-type: none"> <li>Moderate (&gt; 50 Gallons but &lt; 100 Gallons) release - Uncontained</li> </ul>	<ul style="list-style-type: none"> <li>Shaken to the point where significant numbers of the public will not fly on a particular aircraft or airline</li> </ul>
	<b>4 = Catastrophic</b>	<ul style="list-style-type: none"> <li>Fatal Injuries to personnel or passenger</li> <li>Public exposed to life threatening hazard</li> </ul>	<ul style="list-style-type: none"> <li>Loss of ACFT</li> <li>Loss of Equipment</li> </ul>	<ul style="list-style-type: none"> <li>Large (&gt; 100 Gallons) release - Uncontained</li> </ul>	<ul style="list-style-type: none"> <li>Shaken to the point where significant numbers of the public will not use SAT Airport</li> </ul>

4.8.4.6.4 Risk Levels seem **lower** when:

4.8.4.6.4.1 They are voluntarily accepted.

4.8.4.6.4.2 They have chronic consequences.

4.8.4.6.4.3 They are common and/or old.

4.8.4.6.4.4 They have uncertain consequences.

4.8.4.6.4.5 They have controllable technology.

- 4.8.4.6.5 Risk Levels seem **higher** when:
- 4.8.4.6.5.1 They are not voluntarily accepted.
  - 4.8.4.6.5.2 Consequences are catastrophic.
  - 4.8.4.6.5.3 They are new or unusual.
  - 4.8.4.6.5.4 They have a high potential for fatality.
  - 4.8.4.6.5.5 They have immediate consequences.
  - 4.8.4.6.5.6 They lack personal controllability.

**Figure 4-9 – Risk Classification Chart**

Risk Classification	
RED	High Risk – Unacceptable, requires action
Yellow	Medium Risk – May be acceptable with review by appropriate authority; requires tracking and probable action
Green	Low Risk – Acceptable without further action

4.8.4.7 Risk assessment is the process of consolidating risk into risk sets and prioritizing risks based upon the risk level determined during the analysis.

- 4.8.4.7.1 The four steps of risk assessment:
- 4.8.4.7.1.1 Sort
  - 4.8.4.7.1.2 Combine
  - 4.8.4.7.1.3 Prioritize
  - 4.8.4.7.1.4 Document

#### **4.8.5 Transfer, Eliminate, Accept, and Mitigate Risk:**

4.8.5.1 The decision making process must take place at a level within the SAAS that will allow effective action to be taken. The decision maker(s) must have the authority to allocate resources to reduce or eliminate the risk, and implement the appropriate controls.

4.8.5.2 Decide what action will be taken to deal with the risk. One of four options may be chosen. The acronym TEAM may be used to remember these four options.

- 4.8.5.2.1 Transfer - Management of the risk is not within the authority of the organization or individual that performed the risk analysis. The hazard and its associated level of risk will be communicated to the organization or individual that is responsible for, and has the authority to manage the risk.
- 4.8.5.2.2 Eliminate - A course of action is developed and implemented to remove the risk from the system.
- 4.8.5.2.3 Accept - The risk is acceptable. Accept risk only when necessary and when the benefits outweigh the costs.
- 4.8.5.2.4 Mitigate - Action is taken to reduce either the likelihood and/or severity of the risk to an acceptable level.

#### **4.8.6 Action Plan:**

4.8.6.1 Based on the decision to transfer, eliminate, accept, or mitigate the risk, develop an action plan to accommodate the action required. The following items should be considered when developing an action plan.

- 4.8.6.1.1 Design for minimum risk.
- 4.8.6.1.2 Incorporate safety devices.

- 4.8.6.1.3 Provide warning devices.
- 4.8.6.1.4 Develop procedures and training.
- 4.8.6.1.5 Establish accountability.
- 4.8.6.1.6 Establish time lines and completion dates.
- 4.8.6.1.7 Make implementation clear.
- 4.8.6.1.8 Provide support.

#### **4.8.7 Performance Assessment and Control Validation:**

4.8.7.1 Performance assessments are intended to measure the implementation of the action plan, when developed, and consists of performance descriptions, progress measurements, and performance thresholds.

- 4.8.7.1.1 Performance descriptions identify what was expected to be accomplished.
- 4.8.7.1.2 Progress measurements identify what has been accomplished.
- 4.8.7.1.3 Performance thresholds identify if accomplishment of the action plan was achieved.

4.8.7.2 Control validation is intended to measure the effectiveness of the action plan by continuing to track and evaluate the risk and determine if a new or modified plan is necessary. Once the action has been determined to be implemented and effective, the risk may then be closed.

#### **4.8.8 Modification:**

4.8.8.1 Once it is determined that a new action plan is necessary, either it did not work or it is not working, the risk management process should repeat itself beginning with hazard identification. This will be followed by risk analysis and assessment, decision-making, and validation of control. It is important to remember and document the reasons the plan did not work

**4.8.9 Documentation and Forms:** - The proper documentation of an SRA is an important part of conducting the assessment. Both the results of the assessment and the decision made when determining if safety assessments are required are document and kept on file for 5 years for the proposed change.

##### 4.8.9.1 Safety Risk Management Documentation (SRMD)

4.8.9.1.1 SRMD is a report that thoroughly describes the SRM process for a given proposed change and documents the evidence to support that the proposed change to the system is acceptable. SAAS will use SRMD document template, this template can be found on the SAAS SharePoint Site. See Figure 4-10

##### 4.8.9.1.2 The SRMD Contains as a minimum:

- 4.8.9.1.2.1 SRMD Title of SRA
- 4.8.9.1.2.2 Subject: and SRA Number
- 4.8.9.1.2.3 Compliance Statement
- 4.8.9.1.2.4 Purpose Paragraph
- 4.8.9.1.2.5 Location of SRA
- 4.8.9.1.2.6 Attendees (SRA PRINCIPAL STAKEHOLDER – OFFICE and NAMES)
- 4.8.9.1.2.7 Identified Hazard or Concern
- 4.8.9.1.2.8 Overall Assigned Risk Level
- 4.8.9.1.2.9 System Description
- 4.8.9.1.2.10 Overall Action Plan
- 4.8.9.1.2.11 Attached Copies of SRA works sheets SMS FM 07-1 and SMS FM 07-2 to document assigned task and completion of tasks.
- 4.8.9.1.2.12 Signature of Creator of the SRMD and approving official.

##### 4.8.9.1.3 Benefits of an SRMD are as follows:

- 4.8.9.1.3.1 Strengthens SRA skill
- 4.8.9.1.3.2 Encourages a safety culture

- 4.8.9.1.3.3 Establishes responsibility and accountability
- 4.8.9.1.3.4 Makes sharing of safety risk data more manageable
- 4.8.9.1.3.5 Ensures operational safety data are monitored to reduce hazards
- 4.8.9.2 Safety Risk Assessment Worksheets:
  - 4.8.9.2.1 The SRA worksheets are used to document identified hazards and documents an action plan.
  - 4.8.9.2.2 Availability:
    - 4.8.9.2.2.1 This form can be found on the Safety SharePoint site under the Safety Division forms section.
  - 4.8.9.2.3 Disposition:
    - 4.8.9.2.3.1 These forms will be completed by Division manager or Safety Division personnel.
    - 4.8.9.2.3.2 These forms will be filed with the Safety Division electronically or in hard copy.



1.4. LOCATION THE SRA WAS ACCOMPLISHED:

1.5. OVERVIEW:

1.6. SYSTEM DESCRIPTION:

1.7. IDENTIFIED HAZARD OR CONCERN:

1.8. OVERALL ASSIGNED RISK LEVEL:

1.9. OVERALL ACTION PLAN:

1.10. Remarks:

// SIGNED //

10

11

Dated:

SAN ANTONIO Airport System

12

Attachments:

**Approving Official for recommendations only.**

Approve all recommendations

Approve only recommendations (list recommendation number(s) \_\_\_\_\_ 13

Disapprove recommendations

14

15

Initials: \_\_\_\_\_ Date Signed: \_\_\_\_\_ 16

Table 4 – 3 Safety Risk Management Document (SRMD)

Item Number	Title	Instructions
<b>Item 1 through 16 will be completed by the SRA Owner as appropriate</b>		
1	<b>Safety Risk Management Document</b>	Enter the Title of the SRA
2	<b>From the Desk of:</b>	Enter the name of the SRA Owner
3	<b>Duty Title</b>	Enter the Duty Title of the SRA Owner
4	<b>Phone numbers</b>	Enter the phone numbers for each: Office Phone – Cell Phone – Office FAX
5	<b>Email Address</b>	Enter the email address of the SRA owner
6	<b>TO:</b>	Enter the name of each person that the SRA owner want to review this SRMD as a minimum SMS Manager and Appropriate Assistant Director (Note: the SMS Manager may take it to one of the Committee)
7	<b>Date:</b>	Enter Date that this SRMD is completed
8	<b>Subject</b>	Enter the SRA assigned number for the division in the following format: Year / Enter the current year "2010" SRA Number / Enter the numerical number of the SRA that has been completed in SRA owner Division. e.g. if this is the third one accomplished with in the division enter 003 Division Codes / as stated in paragraph 4.4.1.7.1.2 of this chapter
9	<b>Attendees</b>	Enter the required information as indicated at the top of each column, also you should have a sign in sheet for them to sign in on that will be attached to the SRMD.
Para - 1.4	<b>Location</b>	Enter the location where this SRA has taken place e.g. SAT or SSF and physical address of the meeting
Para - 1.5	<b>Overview</b>	Enter a short overview of the SRA
Para - 1.6	<b>System Description</b>	Enter a short explanation of the System that this SRA effects
Para - 1.7	<b>Identified hazard or Concern</b>	Enter a short explanation of the hazard or concern with reference to safety
Para - 1.8	<b>Overall assigned risk level</b>	Enter the overall assigned risk level for this SRA
Para - 1.9	<b>Overall Action Plan</b>	Enter the overall action plan that will be taken by the Aviation Department to correct this hazard
Para - 1.10	<b>Remarks:</b>	Enter any additional comments in the remarks section
10	<b>Signature element</b>	First Line of Signature element: Enter Name of person that will be signing this document Second Line of Signature element: Enter the Title of the person that will be signing
11	<b>Date Signed</b>	Enter the Date that this document will be signed
12	<b>Attachments:</b>	Enter all supporting documents as attachments
13	<b>Approving Official for SRA List recommendation number(s)</b>	Check the appropriate box Enter the recommendation number(s) for each recommendation that his approved, if the "Approve only recommendations" block is checked
14	<b>Enter Signature Element of the Approving Official</b>	First Line of Signature element: Enter Name of person that will be signing this document Second Line of Signature element: Enter the Title of the person that will be signing
15	<b>Initials</b>	Enter the Initials of the Approving officials
16	<b>Date Signed</b>	Enter the Date the approving official signed/initial this SRMD

Figure 4-11 – Safety Risk Assessment Worksheet – Sheet Number 1

 <p><b>SAN ANTONIO AIRPORT SYSTEM</b></p>	<b>SAFETY RISK ASSESSMENT WORKSHEET</b>			
	(Sheet – 1)			
	1. AIRPORT: <input type="checkbox"/> SSF <input type="checkbox"/> SAT	2. DEPARTMENT/DIVISION: Aviation /	3. NAME OF DEPARTMENT/DIVISION MANAGER:	4. DATE:
NOTE: A Risk Management worksheet (SMS FM 07-1) should be filled out for each Hazard or Concern identified during the process of assessing risk. Also a Risk Management Worksheet – Action Plan (SMS FM 07-2) should be filled out for each SMS FM 07-1 that is filled out				
5. IDENTIFY THE HAZARD OR CONCERN:		6. SAFETY RISK ASSESSMENT NUMBER: (Year/SRA Number/Office Code)		
<b>7. Describe the System:</b>				
a. Describe the system or operation that is being added or changed:				
b. Identify the Stakeholders:				
c. Identify criteria and plan for risk management effort:				
<b>8. Hazard Identification (What can go wrong):</b>				
a. Identify the Hazard Causes:				
b. Identify Consequence # 1:				
c. Identify Consequence # 2:				
<b>9. Risk Analysis and Assessment</b> (Use the Risk Matrix in the SMS Manual)		<b>10. Decision Making</b>		
		<input type="checkbox"/> Transfer <input type="checkbox"/> Eliminate <input type="checkbox"/> Accept <input type="checkbox"/> Mitigate		
		Action Plan		
	CONSEQUENCE			
	People	Assets	Environment	Reputation
a. Likelihood:	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4
b. Severity:	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4
c. Risk Level:	<input type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H	<input type="checkbox"/> L <input type="checkbox"/> M <input type="checkbox"/> H
d. Overall Risk Level: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High				
e. Prioritize:				
<b>11. Participants List</b>				
a.		k.		
b.		l.		
c.		m.		
d.		n.		
e.		o.		
f.		p.		
g.		q.		
h.		r.		
i.		s.		
j.		t.		

SMS FM 07-1  
JAN 2010

**Table 4-4 – Instructions for completing Risk Management Worksheet (SMS FM 07-1)**

Block Number	Title	Instructions
<p><b>NOTE: A Risk Management worksheet (SMS FM 07-1 and SMS FM 07-2) should be filled out for each Hazard or Concern identified during the process of assessing risk.</b></p>		
1	<b>Airport: SSF or SAT</b>	Check the appropriated box – SSF = Stinson ARPT / SAT = San Antonio International ARPT
2	<b>Department / Division</b>	Fill in the Division name that is filling out form
3	<b>Name of Division Manager</b>	Fill in the name of the division manager of the division that is in block # 3
4	<b>Date</b>	Enter Date the form was filled in
5	<b>Identify the Hazard or Concern</b>	Enter the Hazard found or safety concern item
6	<b>Safety Risk Assessment Number</b>	Enter Year (2010) - Enter the number that you have completed (0001), Enter office code per paragraph 4.4.1.7.1.2
7a	<b>Describe the system or operation that is being added or changed</b>	Enter a description of the system i.e. operation, equipment and/or procedures being added or changed. The description that is produced in this step defines the scope of the risk assessment
7b	<b>Identify the Stakeholders</b>	Enter the staff, employees, customers or tenants that may be affected by this possible change
7c	<b>Identify criteria and plan for risk management effort</b>	Enter the criteria and plan of action for the risk management effort
8	<b>Hazard Identification (What can go wrong)</b>	
8a	<b>Identify the Hazard Causes</b>	Enter the Hazard causes for the hazard listed in block # 5
8b	<b>Identify the Consequence # 1</b>	Enter the Consequence for the Hazard listed in block #5 if more than one fill in block 7c
8c	<b>Identify the Consequence # 2</b>	Enter the Second Consequence unveiled in this process if one was discovered
9	<b>Risk Analysis and Assessment (Use the Risk Matrix in the SMS Manual)</b>	
9a	<p><b>Likelihood</b></p> <p><input type="checkbox"/> 0 = Negligible    <input type="checkbox"/> 1 = Minor</p> <p><input type="checkbox"/> 2 = Moderate    <input type="checkbox"/> 3 = Major</p> <p><input type="checkbox"/> 4 = Catastrophic</p>	<p>Check the appropriate box – for each Consequence that applies for the Identify Hazard or Concern in item 5 (reference the Risk Matrix in this manual)&gt;</p> <p>0 = Never heard of in industry</p> <p>1 = Heard of in industry</p> <p>2 = Has happened once at airport or once in industry</p> <p>3 = Has happened more than once at airport or more than once in industry</p> <p>4 = Has happened more than five times at airport</p>
9b	<p><b>Severity</b></p> <p><input type="checkbox"/> 0 = Negligible    <input type="checkbox"/> 1 = Minor</p> <p><input type="checkbox"/> 2 = Moderate    <input type="checkbox"/> 3 = Major</p> <p><input type="checkbox"/> 4 = Catastrophic</p>	<p>Check the appropriate box – for each Consequence that applies for the Identify Hazard or Concern in item 5 (reference the Risk Matrix in this manual).</p>
9c	<p><b>Risk Level</b></p> <p><input type="checkbox"/> Low   <input type="checkbox"/> Medium   <input type="checkbox"/> High</p>	<p>Check the appropriate box – for each Consequence that applies for the Identify Hazard or Concern in item 5 (reference the Risk Matrix in this manual). You must enter numerical number also, e.g. L 10, check the low box and enter 10 on the line below.</p>
9d	<b>Overall Risk Level</b>	This assessed as the overall rating for the risk level, e.g. L 10
9e	<b>Prioritize</b>	List the Priority level for action to be taken based on the work sheet
10	<p><b>Decision Making</b></p> <p><input type="checkbox"/> Transfer   <input type="checkbox"/> Eliminate</p> <p><input type="checkbox"/> Accept   <input type="checkbox"/> Mitigate</p>	<p>Check the appropriate box – self-explanatory reference the Risk Management Process Overview Reference Figure 4-4 in the manual</p>
	<b>Action Plan</b>	Enter a short statement on what the action plan is that is to be taken to transfer, eliminate, accept or mitigate the risk
11	<b>Participant List (A thru T)</b>	Enter the names of all the participants that participated in the risk assessment of this Hazard

Figure 4-12– Safety Risk Assessment Worksheet – Sheet Number 2

 <p><b>SAN ANTONIO AIRPORT SYSTEM</b></p>	<p><b>SAFETY RISK ASSESSMENT WORKSHEET</b> (Sheet – 2)</p>			
	1. AIRPORT: <input type="checkbox"/> SSF <input type="checkbox"/> SAT	2. DEPARTMENT/DIVISION:	3. NAME OF DEPARTMENT/DIVISION MANAGER:	4. DATE:
	<p>NOTE: A Risk Management worksheet (SMS FM 07) should be filled out for each Hazard or Concern identified during the process of assessing risk. Also a Risk Management Worksheet – Action Plan (SMS FM 07-2) should be filled out for each SMS FM 07 is filled out</p>			
	5. IDENTIFY THE HAZARD OR CONCERN:		6. SAFETY RISK ASSESSMENT NUMBER FROM SRA work sheet 1: (Year/SRA Number/Office Code)     -     -	
<b>7. Action Plan:</b>				
a. Action Plan Steps	b. Milestone Date	c. Responsible Person	d. Completion Date	
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
<b>8. Performance Assessment</b>				
a. Performance Description:				
b. Progress Measurement: <input type="checkbox"/> Meeting expectations <input type="checkbox"/> Not meeting expectations				
c. Remarks:				
<b>9. Additional or Alternate Action</b>				

SMS FM 07-2  
JAN 2010

Table 4-5 – Instructions for completing Risk Management Worksheet (SMS FM 07-2)

Block Number	Title	Instructions
<b>NOTE: A Risk Management worksheet (SMS FM 07-1 and SMS FM 07-2) should be filled out for each Hazard or Concern identified during the process of assessing risk.</b>		
1	<b>Airport: SSF or SAT</b>	Check the appropriated box – SSF = Stinson ARPT / SAT = San Antonio International ARPT
2	<b>Department / Division</b>	Fill in the Division name that is filling out form
3	<b>Name of Division Manager</b>	Fill in the name of the division manager of the division that is in block # 3
4	<b>Date</b>	Enter Date the form was filled in
5	<b>Identify the Hazard or Concern</b>	Enter the Hazard found or safety concern item
6	<b>Safety Risk Assessment Number</b>	Enter the number from SRA Work Sheet 1 that correspondence with this worksheet.
7a	<b>Action Plan Steps</b>	Enter the steps to be taken in the action plan as stated on SMS FM 07-01
7b	<b>Milestone Date</b>	Enter the date for each milestone for each action plan steps
7c	<b>Responsible Person</b>	Enter the name of the person that is responsible to complete the action plan step
7d	<b>Completion Date</b>	Enter the date this step was completed
8	<b>Performance Assessment</b>	
8a	<b>Performance Description</b>	Enter the description as how the performance of the plan is going
8b	<b>Progress Measurement</b> <input type="checkbox"/> Meeting expectations <input type="checkbox"/> Not meeting expectations	Check the appropriated box
8c	<b>Remarks</b>	Enter remarks 7a through 7b
9	<b>Additional or Alternate Action</b>	Enter comments as to what additional or alternate action is needed

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## Chapter 5 Internal Evaluation Program

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## Chapter 5

### Internal Evaluation Program

#### 5.0 Internal Evaluation Program (IEP):

14CFR AC 120-59A (used as a guide)

#### 5.1 General:

5.1.1 The Internal Evaluation Program is a central part of the SAAS's Safety Management System (SMS). It provides the SAAS with an independent, systems-oriented evaluation process that focuses on:

- 5.1.1.1 Evaluating the SAAS's compliance with external regulatory requirements.
- 5.1.1.2 Identifying areas of nonconformance to internal policies and procedures.
- 5.1.1.3 Identifying opportunities to improve the SAAS's policies, procedures, and processes.
- 5.1.1.4 Evaluating corrective actions to ensure effectiveness and eliminate reoccurrences of non-compliance.

#### 5.2 Objectives:

5.2.1 The IEP has the following strategic objectives:

- 5.2.1.1 Determine if Safety Management System attributes are incorporated within divisional policies and procedures.
- 5.2.1.2 Evaluate the effectiveness of ongoing audit structures within Airport Operations and Ground Operations.
- 5.2.1.3 Coordinate disclosures of apparent violations with division managers.
- 5.2.1.4 Verify that divisions are tailored to current business operations and future plans.
- 5.2.1.5 Determine if the resources available to divisions are adequate for current business operations.
- 5.2.1.6 Ensure that technical issues receive the attention and support of senior management.

#### 5.3 Scope:

5.3.1 Authorized personnel conduct evaluations in the areas listed below:

- 5.3.1.1 Records and Reporting systems
- 5.3.1.2 Maintenance Organization
- 5.3.1.3 Manual Management
- 5.3.1.4 SAAS Programs and Procedures
- 5.3.1.5 Operational Release
- 5.3.1.6 Maintenance Personnel Qualifications
- 5.3.1.7 Training Programs
- 5.3.1.8 Mechanics and Repairmen Certification
- 5.3.1.9 Maintenance Personnel
- 5.3.1.10 Other Programs (Safety Program)

#### 5.4 Evaluation Standards:

5.4.1 The authorized personnel will conduct evaluations using the following standards.

- 5.4.1.1 Federal regulations using the Safety Attribute Inspection data collection tool from the FAA's Air Transportation Oversight System where possible.
- 5.4.1.2 Internal SAAS procedures.

#### 5.5 IEP Data Management:

5.5.1 The IEP uses a database to create checklists and reports as well as to track the progress of ongoing evaluations and corrective actions. The IEP database generates all checklists and reports described in this section. The Safety

Operating Instructions (SOI) contains specific data entry procedures for creating and completing these checklists and reports.

5.5.1.1 The Safety Operating Instructions (SOI) will be maintained by the Safety Management System Manager as an uncontrolled manual within the Safety division, and will be used strictly by Safety Division personnel for guidance when accessing the division database.

## 5.6 Responsibilities and Authorities:

5.6.1 The SMSMG has the authority to modify this process and is responsible for its quality.

5.6.2 Responsibilities and authorities for this process are presented in Chapter 3 of this manual.

5.6.3 Procedures for Developing the Master IEP Schedule.

5.6.3.1 The Master Schedule is developed to allow for planned, periodic review of the different divisions within SAAS. Because of the dynamic nature of this program, the Master Schedule will remain flexible to allow for special, or follow-up evaluations as needed.

5.6.3.2 The SMSMG or designee will lead division personnel in developing the schedule for the upcoming year during the last month of each calendar year, and will consider the following factors:

5.6.3.2.1 Previous evaluation findings

5.6.3.2.2 FAA surveillance and inspection findings

5.6.3.2.3 Industry identified trends or problem areas

5.6.3.2.4 Areas of emphasis identified by the Airport Director, Assistant Directors or SMSMG.

5.6.3.2.5 Requests or concerns raised by Aviation Department and divisions within the department

5.6.3.2.6 Trends identified through the Safety Program

5.6.3.2.7 Trends identified through data collected from all Safety Inputs

5.6.3.2.8 Unaccomplished evaluations from the previous year

5.6.3.2.9 Follow-up evaluations, special evaluations, and scheduled training, etc.

5.6.3.3 Scheduling priorities are determined on a case-by-case basis.

## 5.7 Procedures for Conducting Planned Evaluations:

5.7.1 The lead evaluator (LE) will initiate the evaluation process by completing the IEP Evaluation Preparation Form (EPF) prior to the scheduled evaluation.

5.7.1.1 Planning Phase:

5.7.1.1.1 The LE will guide the team in accomplishing the following tasks and documenting information on the Evaluation Preparation Form (SMS FM 17) (Reference Figure 5-1).

5.7.1.1.1.1 Review previous evaluations for any finding, if there are, document them in the remarks section of the Evaluation Preparation Form (SMS FM 17).

5.7.1.1.1.2 Develop the Evaluation Notification letter, which includes:

5.7.1.1.1.2.1 Facility requirements.

5.7.1.1.1.2.2 Names of evaluation team members.

5.7.1.1.1.2.3 Evaluation agenda and tentative schedules.

5.7.1.1.1.2.4 Safety concerns.

5.7.1.1.1.2.5 Confidentiality agreements or union contract issues, if applicable.

5.7.1.1.2 The LE will send an Evaluation Notification letter via e-mail to the division manager scheduled for an evaluation (minimum of 5 business days.)

5.7.1.1.2.1 Upon receipt of the Evaluation Notification, the division manager will contact the LE via E-mail to confirm receipt and to resolve any scheduling issues.

Figure 5-1 – SMS FM 17 – IEP Evaluation Preparation)

IEP Evaluation Preparation			
		1. To:	2. Airport: <input type="checkbox"/> SSF <input type="checkbox"/> SAT
4. Evaluation Number: IEP-2010-0000		5. Evaluation Scheduled Date:	
7. Name of Lead Evaluator:		8. Name of Asst Evaluator:	
6. IEP Group/Division: <input type="checkbox"/> Airport OPS <input type="checkbox"/> Parking Garages <input type="checkbox"/> Facilities <input type="checkbox"/> Facilities MX <input type="checkbox"/> ARFF <input type="checkbox"/> P & D <input type="checkbox"/> Finance <input type="checkbox"/> Environmental <input type="checkbox"/> Airfield MX <input type="checkbox"/> Building MX <input type="checkbox"/> Airport Police <input type="checkbox"/> Security <input type="checkbox"/> Properties <input type="checkbox"/> Fiscal Planning <input type="checkbox"/> Communications <input type="checkbox"/> IT			
9. Enter Evaluation Type:			
<input type="checkbox"/> SAI	Number:	Title:	
<input type="checkbox"/> EPI	Number:	Title:	
<input type="checkbox"/> Special	Number:	Title:	
<input type="checkbox"/> Follow-up	Evaluation Number:		
10. Process Owners			
10A. Name:	10B. Division	10C. e-mail address	10D. Phone Number:
			(000) 000 - 0000
			(000) 000 - 0000
			(000) 000 - 0000
			(000) 000 - 0000
11. Initial notification sent to process owner(s) this date:			
12. Remarks:			
13. Signature Elements:			
Name of Lead Evaluator:	Lead Evaluator Signature:	Employee Number:	Date Signed:
Name of SMS Manager:	SMS Manager Signature:	Employee Number:	Date Signed:

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**Table 5 – 1 - IEP Evaluation Preparation Form Instructions – SMS FM 17:**

Block	Title	Lead Evaluator (or Designee) Complete Form by Entering:
1	Evaluation Number	Enter number assigned by the IEP Data Base
2	Airport	Select the Appropriate box
3	Date Scheduled	Date when the forms is being filled out
4	Evaluation Number	IEP represent the office, 2010 represent the year the report was conducted; 0001 represent the numerical sequence of the report being conducted.
5	Evaluation Schedule date	Enter the date evaluation is scheduled to begin
6	IEP Group / Division	Check the applicable box for the IEP group performing the evaluation
7	Name of Lead Evaluator	Enter the name of the Lead evaluator for this audit
8	Name of Assistant Evaluator	Enter the name of the assistant evaluator for this audit
9	Evaluation Type	Check the applicable box for: SAI – 1. Enter the number of the applicable ATOS System / Sub system / Element as provided by the ATOS chart e.g., <b>1.1.1</b> 2. Enter the title, e.g. <b>Aircraft Airworthiness</b> EPI – 1 Enter the number of the applicable ATOS System / Sub system/Element as provided by the ATOS chart, e.g. <b>1.1.1</b> 2. Enter the title, e.g. <b>Aircraft Airworthiness</b> Special – 1. Enter the Department 2. Enter the title Follow-Up evaluation – Enter the Evaluation number
10	Process Owner(s)	
10A	Name	Enter the name of the process owner
10B	Division	Enter the division
10C	Email address	Enter the email address
10D	Phone Number	Enter the current phone number of the Process Owner
11	Initial Notification	Enter the date the initial notification was sent to the process owner
12	Remarks	Enter any remarks
13	Signature of all parties involved	
	Name of Lead Evaluator	Enter the name of the Lead Evaluator completing this form
	Signature	Lead Evaluator will sign once printed
	Employee Number	Enter the employee number of the Lead Evaluator
	Date Signed	Enter the date signed
	Name of SMS Manager	Enter the name of the SMS Manager
	Signature	SMS Manager will sign once printed
	Employee Number	Enter the employee number of the SMS Manager
	Date Signed	Enter the date signed

5.7.1.1.3 The LE will complete the Preparation/Planning Review portion of the EPF (SMS FM 17) to make sure all necessary preparation/planning steps have been accomplished.

5.7.1.1.4 The LE will prepare an agenda for review by the Safety Management System Manager.

5.7.1.2 Opening Meeting:

- 5.7.1.2.1 The LE will open the meeting by reviewing the Agenda.
- 5.7.1.3 Conducting the Evaluation:
  - 5.7.1.3.1 The evaluator will use the evaluation checklist produced from the IEP database or use SMS GAP analysis / audit tool in Appendix – A to document:
    - 5.7.1.3.1.1 The evaluation trail, the path the evaluator took during the evaluation.
    - 5.7.1.3.1.2 Exactly what was found as nonconforming (findings), and what requirements were not met.
    - 5.7.1.3.1.3 The objective evidence, documented in such a manner that the finding could be reproduced. This will allow appropriate action to be taken.
  - 5.7.1.3.2 While conducting the evaluation, the LE will monitor the performance of the evaluation team to ensure team members.
    - 5.7.1.3.2.1 Perform assignments as described in the evaluation agenda.
    - 5.7.1.3.2.2 Collect, analyze, and verify information and evidence through:
      - 5.7.1.3.2.2.1 Interviews of personnel.
      - 5.7.1.3.2.2.2 Observations of activities and surrounding work environment.
      - 5.7.1.3.2.2.3 Review of policies, procedures, plans, objectives, standards, regulations, drawings, specifications, contracts, records, data summaries, analyses, performance indicators, reports, feedback records, databases, and other relevant information from internal or external sources.
    - 5.7.1.3.2.3 Collect both Audit and Objective evidence.
      - 5.7.1.3.2.3.1 Audit Evidence - data found in records, statements of fact, or other information that is relevant to the evaluation criteria and verifiable. Audit evidence can be qualitative or quantitative.
      - 5.7.1.3.2.3.2 Objective Evidence - data that supports the existence or verity (quality of being true or in accordance with fact or reality) of the standard. Objective evidence may be obtained through observation, measurement, test, or other means.
  - 5.7.1.3.3 If necessary, the LE will identify discrepancies with the team's performance to ensure the evaluation procedures are followed.
- 5.7.1.4 Conducting Evaluation Meetings:
  - 5.7.1.4.1 The LE will organize team members to discuss possible findings and modify the evaluation as needed.
    - 5.7.1.4.1.1 The LE monitors the progress of the evaluation and may adjust the evaluation agenda.
    - 5.7.1.4.1.2 The team discusses evaluation findings and observations and minor trends may be discovered.
      - 5.7.1.4.1.2.1 Evaluators will review audit evidence.
      - 5.7.1.4.1.2.2 Evaluators will discuss potential findings to determine if they are just and accurate.
  - 5.7.1.4.2 The LE will hold daily wrap up meetings with the division manager to:
    - 5.7.1.4.2.1 Review findings and observations.
    - 5.7.1.4.2.2 Monitor relations between the evaluation team and the division.
    - 5.7.1.4.2.3 Monitor evaluation progress by reviewing the evaluation agenda to verify the evaluation team is on time.
    - 5.7.1.4.2.4 Make any necessary adjustments to the schedule.
    - 5.7.1.4.2.5 Address any questions or concerns.
- 5.7.1.5 Documenting Findings and Concerns:

- 5.7.1.5.1 General Documentation Procedures:
  - 5.7.1.5.1.1 State what non-conforming issue has been found (pertinent information, location, document, form, quantity, etc.) and explain why it is considered a finding. Evaluators will provide detailed audit evidence that supports the finding and not dwell on the finding type.
  - 5.7.1.5.1.2 Reference and quote the requirement from the standard and/or procedure.
    - 5.7.1.5.1.2.1 Make copies of any evidence if possible.
- 5.7.1.5.2 Classifying Evaluation Findings:
  - 5.7.1.5.2.1 Evaluators will classify all findings within the three categories of Major, Minor, and Concern. Evaluators will use the following procedures to classify a finding.
    - 5.7.1.5.2.1.1 Review definitions of Major, Minor, and Concern.
    - 5.7.1.5.2.1.2 Based on the definitions, assess all evidence supporting the finding.
- 5.7.1.6 Closing the Meeting:
  - 5.7.1.6.1 The LE chairs the Closing Meeting and will use the Agenda to guide the meeting discussion. Attendees will include:
    - 5.7.1.6.1.1 The evaluation team.
    - 5.7.1.6.1.2 Evaluated division managers and/or process owners or designees.
    - 5.7.1.6.1.3 Representatives of the evaluated divisions as determined by the division manager and/or process owner.
  - 5.7.1.6.2 The LE will document attendance of the meeting in the minutes of the meeting.
- 5.7.1.7 Writing the Evaluation Report:
  - 5.7.1.7.1 The LE will refer to the Safety Division Operating Instructions and follow the instructions on generating the evaluation report within the IEP database.
  - 5.7.1.7.2 Process Evaluation and Action Request (PEAR) forms (SMS FM 18), (Reference Figure 5-2) are attached to the report with an identified time frame for the manager, and/or process owner to respond (minimum of 10 business days.)
    - 5.7.1.7.2.1 The PEAR form is used to document and communicate a nonconformance to an evaluation standard and to monitor and track corrective actions and/or corrections.
    - 5.7.1.7.2.2 Evaluators will:
      - 5.7.1.7.2.2.1 Complete the upper portion of the Process Evaluation and Action Request (PEAR) form for each finding and attach the PEAR forms to the evaluation report.
      - 5.7.1.7.2.2.2 Avoid suggesting corrective actions when completing the form.
      - 5.7.1.7.2.2.3 Explain what requirements were violated and how the audited activity failed to conform to the requirements.
      - 5.7.1.7.2.2.4 Include all appropriate audit and objective evidence.
      - 5.7.1.7.2.2.5 Document the nonconformity in a way that the problem can be recreated by the process owner.

Figure 5-2 – SMS FM 18 – PEAR Form

<b>Process Evaluation &amp; Action Request (PEAR)</b>			
 <p><b>SAN ANTONIO AIRPORT SYSTEM</b></p>	1. To (Division manager or Process Owner's Name):		2. Airport: <input type="checkbox"/> SSF <input type="checkbox"/> SAT
	3. Date:		
	4. Evaluation Number: IEP- -	5. PEAR Number: PEAR- -	6. IEP Group: <input type="checkbox"/> Airport OPS <input type="checkbox"/> Parking Garages <input type="checkbox"/> Facilities <input type="checkbox"/> Facilities MX <input type="checkbox"/> ARFF <input type="checkbox"/> P & D <input type="checkbox"/> Finance <input type="checkbox"/> Environmental <input type="checkbox"/> Airfield MX <input type="checkbox"/> Building MX <input type="checkbox"/> Airport Police <input type="checkbox"/> Security <input type="checkbox"/> Properties <input type="checkbox"/> Fiscal Planning <input type="checkbox"/> Communications <input type="checkbox"/> IT
7. Name of Lead Evaluator:		8. Name of Asst Evaluator:	
9. Findings: (Major Deviation: None Compliance / Minor Deviation: Complying with minor deviation / Concern: issues that need to be addressed)			
<input type="checkbox"/> Major Deviation <input type="checkbox"/> Minor Deviation <input type="checkbox"/> Concern <input type="checkbox"/> Follow-up		Requirement or Standards Document: _____ Reference (Chapter & Paragraph / Clause): _____ <b>Statement of Requirements:</b> (Site specific requirement per Requirement or Standards Document):	
Date Response Due	<b>Observations:</b> (Describe the cause, and the details such as non-compliance, frequency etc):		
10. PEAR Finding by Lead Evaluator (Print Name):	10A. Lead Evaluator Signature:	10B. Employee Number:	10C. Date Signed:
11. PEAR Approved by SMS Manager (Print Name):	11A. SMS Manager Signature:	11B. Employee Number:	11C. Date Signed:
12. PEAR Accepted by Division Manager (Print Name):	12A. Division Manager Signature:	12B. Employee Number:	12C. Date Signed:
13. Corrective / Preventive Action: (Add attachments if necessary)			
Agreed Completion date:	<input type="checkbox"/> <b>Corrective Action</b> (Describe steps to correct the immediate problem):		
Agreed Completion date:	<input type="checkbox"/> <b>Preventive Action</b> (Describe steps taken to stop from recurring or to fix root cause of the problem):		
14. Action Approved by Division Manager (Print Name):	14A. Division Manager Signature:	14B. Employee Number:	14C. Date Signed:
15. Agrees with Action Lead Evaluator (Print Name):	15A. Lead Evaluator Signature:	15B. Employee Number:	15C. Date Signed:
16. Action Approved by SMS Manager (Print Name):	16A. SMS Manager Signature:	16B. Employee Number:	16C. Date Signed:
17. Notes: (Enter any extension dates and pertinent comments):			
18. Corrective / Preventive action implementation and effectiveness verified and PEAR closed by SMS Manager effective:			
19. PEAR closed by SMS Manager (Print Name):	19A. SMS Manager Signature:	19B. Employee Number:	19C. Date Signed:

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**Table 5-2 – Instructions to fill out SMS FM 18 – PEAR Form**

Block Number	Title	Instructions
1	To (Division Manager or Process Owner Name)	Enter the name of the Division Manager or Process owner
2	Airport <input type="checkbox"/> SSF <input type="checkbox"/> SAT	Select the appropriate airport for which the audit is being accomplished
3	Date	Enter the date of the evaluation
4	Evaluation Number	Enter the Evaluation number IEP-10-NNNN (IEP-10-0001 – IEP 10 = year of the evaluation – 0001 is the consecutive number based on the number of the last report that was accomplished in 2010.
5	PEAR Number	Enter the PEAR number “PEAR-10-NNNN” (PEAR-10-0001 – PEAR 10 = year of the evaluation – 0001 is the consecutive number based on the number of the last report that was accomplished in 2010.
6	IEP GROUP: <input type="checkbox"/> Airport OPS <input type="checkbox"/> Parking Garages <input type="checkbox"/> Facilities <input type="checkbox"/> Facilities MX <input type="checkbox"/> ARFF <input type="checkbox"/> P & D <input type="checkbox"/> Finance <input type="checkbox"/> Environmental <input type="checkbox"/> Airfield MX <input type="checkbox"/> Building MX <input type="checkbox"/> Airport Police <input type="checkbox"/> Security <input type="checkbox"/> Properties <input type="checkbox"/> Fiscal Planning <input type="checkbox"/> Communications <input type="checkbox"/> IT	Check the appropriate box – for the division that is being audited
7	Name of Lead evaluator	Enter the name of the Lead evaluator
8	Name of Asst	Enter the name of the Assistant evaluator
9	Findings: (Major Deviation: None Compliance / Minor Deviation: Complying with minor deviation / Concern: issues that need to be addressed)	
	<input type="checkbox"/> Major Deviation <input type="checkbox"/> Minor Deviation <input type="checkbox"/> Concern <input type="checkbox"/> Follow-up	Check the Appropriated box base on your knowledge of the importance of your findings
	Requirement of Standard Documents	Enter the Requirement or Standard Document number or nomenclature
	Reference (Chapter and Paragraph / Clause)	Enter the Reference the Chapter and Paragraph / clause from within the Requirement or Standard Document
	Statement of Requirements:	Enter the specific requirement per the appropriate document as to what is to be accomplished or complied with
	Date Response Due	Enter the date that was agreed to have response back to Safety/IEP
	Observations:	Enter the your observations which should describe the cause and the details such as non-compliance frequency, etc
10	PEAR Finding by Lead Evaluator	Print the name of the Lead Evaluator
10A	Lead Evaluator Signature	The Lead Evaluator will sign the form
10B	Employee Number	Enter the Employee number of the Lead Evaluator
10C	Date Signed	Enter the Date the Lead Evaluator Signed this form
11	PEAR Approved by SMS Manager	Print the name of the SMS Manager
11A	SMS Manager Signature	The SMS Manager will sign the form after reviewing
11B	Employee Number	Enter the SMS Manager employee number
11C	Date Signed	Enter the Date the SMS Manager Signed this form
12	PEAR Accepted by Division Manager	Print the name of the SMS Manager

Block Number	Title	Instructions
12A	Division Manager Signature	The Division Manager will sign the form after reviewing
12B	Employee Number	Enter the Division Manager employee number
12C	Date Signed	Enter the Date the Division Manager Signed this form
13	Corrective / Preventive Action	
	Agreed Completion date	Enter the date that was agreed to have corrective action completed by
	Corrective Action	Describe the steps to correct the observations as stated in Block 10 above.
	Agreed Completion date	Enter the date that was agreed to have preventive action completed by
14	Action Approved by Division Manager	Enter the medical treatment received (e.g. stitches, x-rays, medication cast, etc.) This information is needed for OSHA.
14A	Division Manager Signature	Division Manager will sign PEAR form once he has agreed to the corrective action
14B	Employee Number	Enter the division manager employee number
14C	Date Signed	Enter the date the Division Manager signed this form
15	Agrees with Action Lead Evaluator	Enter the name of the doctor who is providing treatment
15A	Lead Evaluator Signature	Lead Evaluator will sign PEAR form one he has agreed to the corrective action submitted by the division manager
15B	Employee Number	Enter the Lead Evaluator employee number
15C	Date Signed	Enter the date the Lead Evaluator signed this form
16	Action Approved by SMS Manager	Enter the name of the SMS manager
16A	SMS Manager Signature	SMS Manager will sign PEAR form once he has agreed to the corrective action submitted by the SMS Manager
16B	Employee Number	Enter the SMS Manager employee number
16C	Date Signed	Enter the date the SMS Manager signed this form
17	Notes (Enter any extension dates and pertinent comments)	Enter any notes that are important to the process
18	Corrective / Preventive action implementation and effectiveness verified and PEAR Closed by:	The SMS Manager will verified the accuracy of the implementation and effectiveness of the PEAR document and if in agreement close the report by entering a date here
19	PEAR closed by Name of SMS Manager	Enter the name of the SMS manager
19A	SMS Manager Signature	SMS Manager will sign PEAR form once he has agreed to close the PEAR
19B	Employee Number	Enter the SMS Manager employee number
19C	Date Signed	Enter the date the SMS Manager signed this form

#### 5.7.1.8 Management Review and Evaluation Report Distribution:

5.7.1.8.1 The LE will distribute the report to the evaluation team members and SMSMG for review.

5.7.1.8.2 If the report is rejected by the SMSMG, the LE and possibly division managers or process owners are contacted for further clarification. The report will be revised and resubmitted to the SMSMG, and IEP for final approval.

5.7.1.8.3 Once the SMSMG, approves the report, it will be distributed to process owners or division managers.

#### 5.7.1.9 Developing Corrective Action Plans:

5.7.1.9.1 Division Manager or Process Owner's Response to Corrective Action Request:

5.7.1.9.1.1 The team issued, pre-defined and agreed upon time frame in the evaluation report for the process owner to review and respond to the corrective action requests identified in the PEAR form(s) (minimum of 10 business days.)

5.7.1.9.1.2 The division manager or process owner will submit the PEAR form(s) to the LE once the corrective action section of the PEAR form(s) is complete, If additional time is needed, the division manager or process owner will contact the LE to discuss and identify a revised completion date.

#### 5.7.1.10 IEP Response to Corrective Action Plans:

5.7.1.10.1 Once the LE receives the completed PEAR forms from the process owner, he will assign them to the evaluation team to review. Evaluators will consider the following guidelines when reviewing corrective action plans:

5.7.1.10.1.1 A corrective action should eliminate the cause of the nonconformity, and should identify and change the source of the problem to prevent reoccurrence.

5.7.1.10.1.2 A corrective action is typically performed when the problem has an assignable cause that is economically feasible to research, or is required by regulations to be analyzed and fixed.

5.7.1.10.1.3 The nonconformance could be resolved with a correction, not a corrective action. For example, a single document found out of control can be resolved with a correction.

5.7.1.10.1.4 If the evaluator determines the corrective action plan is incomplete or inadequate, he will contact the process owner to discuss the plan. If the evaluator and process owner cannot agree on a corrective action plan, the evaluator will provide a copy of the PEAR form to the SMS Manager to review.

5.7.1.10.1.5 If the SMSMG and IEP LE determine the corrective action plan is inadequate, the LE will return the PEAR form to the process owner for rework.

5.7.1.10.1.6 If the SMSMG and IEP LE determine the corrective action plan is adequate, the LE will work with the process owner to establish completion dates for corrections and/or corrective actions.

5.7.1.10.2 The Corrective Action Phase (CAP) Flow Chart depicts the steps followed in developing CAPs (Reference Figure 5-3).

#### 5.7.1.11 Follow-up Evaluation:

5.7.1.11.1 The follow-up evaluation is the final phase of the evaluation cycle and will be performed by Safety Division personnel to ensure the corrections and corrective actions are implemented and effective.

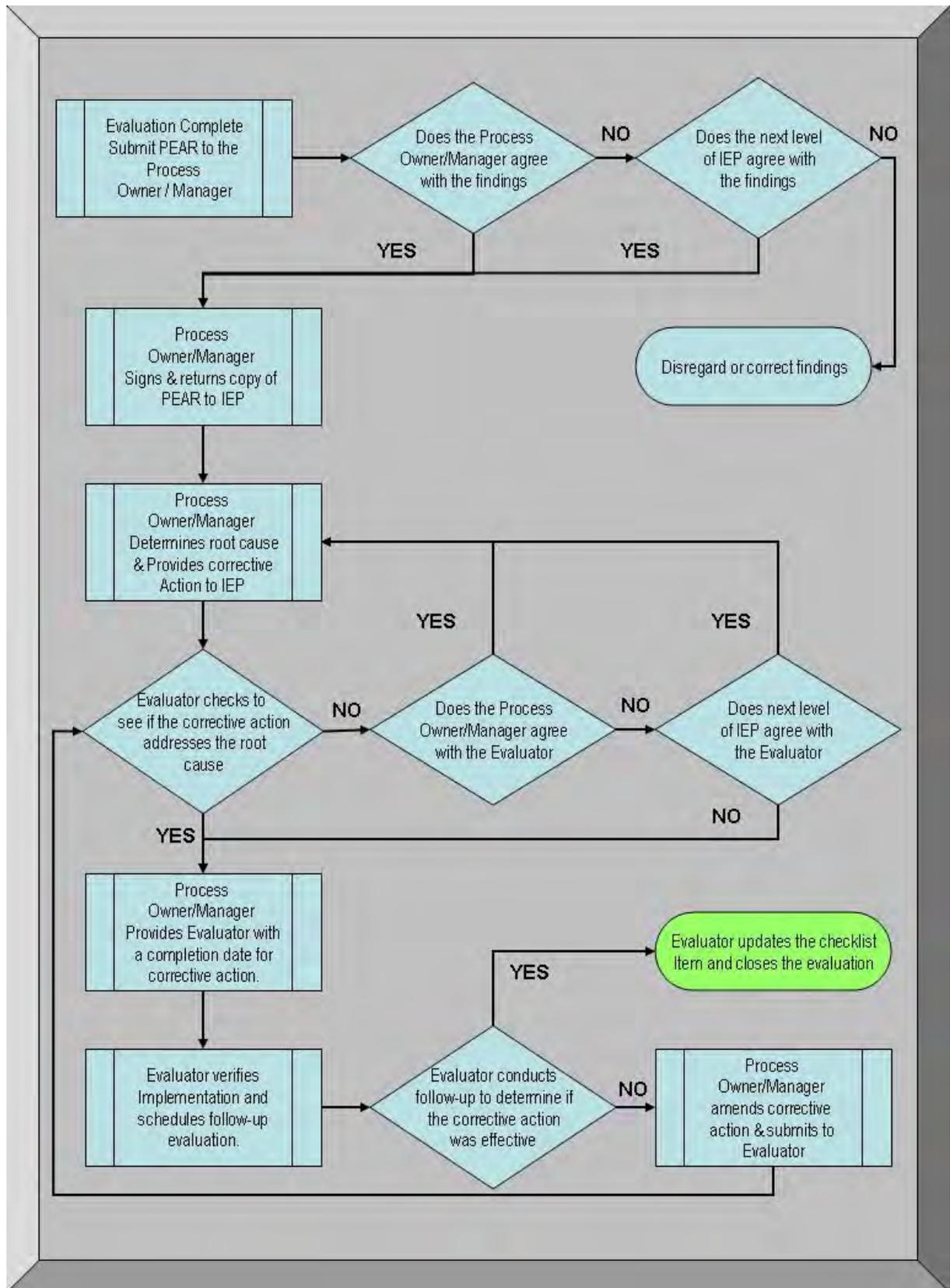
5.7.1.11.2 The LE will identify a date for the follow-up evaluation as soon as practical and document this in the IEP database. Ideally, the LE will try to schedule the follow-up evaluation no later than 30 days after the completion date for the corrections or corrective actions. Due to the dynamic nature of the Safety Division, the scheduling of follow-up evaluations may need to be adjusted.

5.7.1.11.3 The LE may decide to notify the process owner of the follow-up evaluation date or may conduct the evaluation unannounced.

5.7.1.11.4 The LE will ensure the follow-up evaluation objective is achieved by verifying that the corrections or corrective actions implemented by the division manager or process owner addressed the findings documented in the initial evaluation.

5.7.1.11.4.1 Once the LE determines that corrective action plans have been effectively implemented, he will update the IEP database.

Figure 5-3 – IEP Corrective Action Phase Flow Chart



## 5.8 Special Evaluations:

5.8.1.1 The SMSMG and IEP has the responsibility and authority to initiate special evaluations when safety concerns are identified or organizational priorities are shifted. Authorized personnel will consider the following factors when determining whether a special evaluation is needed:

5.8.1.2 FAA concerns:

5.8.1.2.1 Top management priorities or concerns

5.8.1.2.2 Middle management request

5.8.1.2.3 Industry identified trends

5.8.1.2.4 Apparent violations of regulations

5.8.1.2.5 Trends identified through the Company's

5.8.1.2.5.1 Voluntary Safety Report

5.8.1.2.5.2 Confidential Reporting System

5.8.1.2.5.3 Accident / Incident investigations

5.8.1.3 Special evaluations will generally be unannounced and may take precedence over planned evaluations. Special evaluations will be performed utilizing the same methods and procedures as described in this manual.

5.8.1.4 The LE is responsible for scheduling special evaluations and will amend the Master Schedule to include special evaluations as necessary.

## 5.9 Communications and Reports:

5.9.1.1 The SMSMG and IEP are responsible to brief the Assistant Aviation Director Operations quarterly, or as requested, regarding the following IEP issues.

5.9.1.1.1 Results of comprehensive evaluations

5.9.1.1.2 Results of special evaluations

5.9.1.1.3 Systemic trends identified through ongoing evaluations

5.9.1.1.4 Status of follow-up actions taken in response to evaluation findings

5.9.1.1.5 Staffing, training, equipment, software and resource needs

5.9.1.1.6 Evaluation schedule

5.9.1.1.7 Any other information deemed pertinent

5.9.1.1.8 Quarters are based on a calendar year

## 5.10 Program Evaluation:

5.10.1 Every year the SMSMG will locate and schedule an independent, external vendor to perform an IEP evaluation.

5.10.1.1 The SMSMG will receive the evaluation report directly from the vendor and distribute it to top management.

5.10.1.2 All authorized personnel will review the report to determine time lines for responding to noted deficiencies/findings.

5.10.1.3 The SMSMG will document findings and identify who is responsible to correct the deficiency.

5.10.1.4 The SMSMG must respond to the Assistant Aviation Director Operations and SMS Executive Committee concerning noted deficiencies/findings within agreed upon time lines.

**5.11 Forms A. Evaluation Preparation Checklist (SPM FM 10) 1) Purpose a. IEP evaluators use this form to guide them while preparing for an evaluation ((Ref. Figure 5-2)). Refer to the Records Management Section 5.3 of this chapter for information regarding record retention**

5.11.1

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