SAFETY MANAGEMENT SYSTEMS MANUAL

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Name: _____

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Each employee issued this SAFETY MANAGEMENT SYSTEMS MANUAL shall (1) upon request or (2) upon separation from the Concord Regional Airport, surrender this publication to the Airport Director or his/her authorized representative.

REVISION NUMBER	REVISION DATE	INSERTION DATE	REMARKS
ORIGINAL			Original
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1.0

AIRPORT SAFETY POLICY

The Concord Regional Airport has made it their policy to “Schedule with Safety”. The Aviation Director has issued a **Safety Policy Statement**, which outlines the airport’s commitment to safety. This letter is available to all employees from within this manual or upon request from the Safety Manager.

Also the safety objectives and goals for the Operations Division, Maintenance Division, and Other Divisions will be posted annually for employees to view.

The airport safety objectives and goals will be reviewed on an annual basis or when objectives have been achieved.

The safety policy will be reviewed on an annual basis.

MANAGEMENT COMMITMENT - Safety Policy Statement

At Concord Regional Airport safety is a core value of the airport, where the safety and health of each employee comes first. Personnel and equipment in the aviation industry are often exposed to many hazards. I acknowledge this fact and am personally committed to doing everything possible to eliminate injury and damage in our working environment. The ongoing process of Concord Regional Airport's Safety Management System is ultimately the responsibility of Concord Regional Airport Management. However, each and every employee shall cooperate with management to ensure implementation of this program.

The Safety Committee at Concord Regional Airport will continue to be proactive to identify risks that may pose injury to personnel, or damage to equipment. To keep these risks to a minimum we will continuously examine our operations on the airport and within its facilities. The management team will respond to incidents, conduct audits, communicate and document our findings, and constantly train all of our employees on safety policies.

I have appointed a Safety Committee at Concord Regional Airport which consists of twelve (12) people. They are: City Safety Manager or Designee, Aviation Supervisor Maintenance, Aviation Supervisor Operations, Customer Service Specialist, Senior Aviation Service Worker, Aviation Service Worker, Fire Department Representative, ATC Tower Representative, Non-Airport City Department Safety Representative, Airport Fuel Vendor, Airport Business Manager and two (2) Airport Tennant Representatives.

As Aviation Director, I carry the ultimate responsibility for the Safety Management System. I expect that every employee, contractor, and our customers to be active participants in our Safety Program. Everyone shall use safe practices in their everyday operations and report any discrepancies to his/her Manager. The Safety Committee will be held accountable for recommending and monitoring safer steps for the prevention of incidents and accidents. In addition, no employee will be disciplined for reporting a Safety hazard or incident through our "non-punitive" reporting system. Employees that report these hazards will be recognized and commended by the airport.

Richard K. Lewis

Aviation Director

1.1 PROCESS FOR SETTING GOALS

The Aviation Supervisor Maintenance and Aviation Supervisor Operations have established the following processes to set and measure goals for the Maintenance Division and the Operations Division.

The Maintenance Division performance goals are established through the review of Reliability Meeting issues, Maintenance Reports and Quality Audits. The SMS database is utilized to determine the frequency and severity and root causes.

The Quality Assurance Supervisor/Manager reports issues to the Aviation Director in a Quality Assurance Audit Summary at the end of each calendar year. This report summarizes the annual maintenance issues, Vendor Audits, Maintenance Inspection Reports and audits carried out on Concord Regional Airport Maintenance division. This information is used to measure established performance goals.

The Operations Division performance goals and objectives are established by review of; Accident/Incident reports, Flight and Flight line Irregularity Reports.

Goals and objectives will be reviewed annually for the purpose of evaluation and to set new goals.

2.0 MANUAL PURPOSE

This manual describes, or gives direction to, the systems and processes that have been established in accordance with **Title 14 of the Code of Federal Regulations (14 CFR) Part 139**, to ensure that Safety is built into every aspect of day-to-day operations of Concord Regional Airport. This includes: Airport Operations, Maintenance, Maintenance Training, Training, and Administration. In preparing this manual and all interfacing manuals **FAR 119.65 FAR 121.135, FAR 125, and FAR 135** were used as reference. **Title 49 USC, subtitle VII, part a, chapter 447, paragraphs 44701 and 44702, FAR Order 8740.10, HBAT 99-19, HBAT 00-08, HBAW 00-07, AC 150-5200-37,** were used as FAA Policy and Guidance.

All personnel are required to be knowledgeable of the content of this manual as it applies to their specific area of responsibility.

Other Manuals that are incorporated by reference include the following:

- **General Maintenance SOP**
- **Operations SOP**
- **Training SOP Operations/Maintenance**
- **Emergency Response Manual (Airport and Fire Department)**

2.1 MANUAL CONTROL

This manual was developed under the authority of the Aviation Director, Concord Regional Airport and staff.

The Safety Manager shall amend this manual as required to keep it relevant and current with the latest Federal Aviation Regulations.

3.0 GENERAL DESCRIPTION OF SAFETY MANAGEMENT SYSTEM

A Safety Management System (SMS) is a systematic, explicit and comprehensive process for the management of safety risks that integrates operations and technical systems with financial and human resource management, for all activities related to an air operator, airport or an approved maintenance organization's operating certificate.

A safety system is a business-like approach to safety. In common with all management systems, a Safety Management System provides goal setting, planning, and measuring performance. It concerns itself with organizational safety rather than the conventional health and safety at work concerns. An airport's SMS defines how it intends the management of aviation safety to be conducted as an integral part of business management activities.

A Safety Management System is woven into the fabric of an organization. It becomes a part of the culture; the way people do their jobs.

3.1 CONCORD REGIONAL AIRPORT SAFETY MANAGEMENT SYSTEM

Concord Regional Airport has developed and maintains a fully comprehensive Safety Management System (SMS) in accordance with **AC 150-5200-37** and **FAR 139**.

The Aviation Director has been appointed by The City Manager for the City of Concord, North Carolina as the "Accountable/Responsible Executive". As the Accountable/Responsible Executive, he accepts full responsibility for the airport Safety Management System and for ensuring that personnel adhere to the requirements of that System.

Concord Regional Airport has established an Airport Safety Program. This program is under the control of the Manager of Safety who reports directly to the Aviation Director. The program and the person administering it are independent of either the Maintenance Division or the Operations Division, thereby assuring autonomy.

This program is intended to ensure that the integrity of the Safety Management System remains intact by regular surveillance, review and audit of the system in accordance with Federal Regulations.

This program is documented in the volumes of the Concord Regional Airport Manuals.

4.0 QUALITY ASSURANCE AND SMS

Although Quality Assurance Programs (QA) and Safety Management Systems (SMS) are separate and distinct processes, they are also inseparable. For that reason, whenever the term SMS is used in this manual, it should be taken to mean; All safety components that are built into our processes and procedures and the methods used to verify compliance with these and regulations that are applicable to other airport operations and their functions.

Quality Assurance is a Pro-Active safety assessment that ensures process control and regulatory compliance through constant verification by audit and surveillance processes. Quality Assurance ensures a constant upgrading of systems based on the results of audits.

Safety Management facilitates continuous improvements in safety through a similar system of auditing processes and procedures to ensure correct application and relevancy.

4.1 Quality Assurance Programs

In order to be able to carry out meaningful audits of its processes and procedures, an airport must have documented those policies, procedures and standards for every aspect of the operation. Most of the procedures and standards that are used by Concord Regional Airport divisions are made mandatory by Federal Aviation Regulations. Others may be airport requirements. Whether they are City, FAR or airport requirements, in the interest of safety, it is essential for all employees to adhere strictly to these policies and procedures.

Audits will be conducted to confirm compliance with policies and procedures that are contained in the following publications:

- **Airport/City Audit Procedures**
- **Technical Advisory Bulletins**
- **Operational Memorandums and Bulletins**
- **Safety Management System Manual**

Guidelines have been developed for use by the Operations Division and the Maintenance Division. The Operations guidelines are found in the Operations SOP book located in the Aviation Supervisor Operations office. The Maintenance guidelines are found in the Maintenance SOP book located in the Aviation Supervisor Maintenance office.

These guidelines must be followed unless the employee has received approval from their immediate supervisor, to deviate from them.

Employees are encouraged to question why certain airport procedures have been established if they do not appear to make sense. All such queries will be taken into account as part of the on-going assessment and improvement program, which is an integral part of SMS.

To ensure regulatory compliance, and compliance with airport and customer procedures and requirements, Concord Regional Airport has developed and uses the following programs:

A. Maintenance Quality Assurance,

B. Airport Operations Quality Assurance,

C. Quality Assurance Program.

4.1 QUALITY ASSURANCE PROGRAMS (cont'd)

A. The **Maintenance Quality Assurance Program** is in accordance with City, Airport, and FAA regulations, policies and procedures, specifically FAR 139. Management of this program has been delegated by the Aviation Director to the Aviation Supervisor Maintenance. A description of this program can be found in the Airport Certification Manual under the Maintenance Section and the Maintenance SOP. Audit procedures and forms are located in these two publications. The program is based on scheduled and random audit and surveillance of functions of the Maintenance Operations. In accordance with **AC 150-5200-37**, and **FAR 139,** a portion of the audits will be carried out during scheduled maintenance performed at night, if applicable.

Vendor Quality/SMS audits will be carried out to ensure vendor compliance with the applicable regulations.

B. The **Operations Quality Assurance Program** has been established to ensure that Concord Regional Airport policies, procedures and standards, as they apply to the Airport Operations Area, are maintained. This is accomplished by scheduled and random audits, including surveillance of all aspects of airport operations.

- Audit of controlled publications and charts; maps and sectionals,
- Regular review and improvement of the procedures contained in the Operations SOP and Letters of Agreement,
- Audit of training records,
- Audit of airport employee workers compensation records with City Human Resources Department,
- Surveillance of employee duty times.

The Aviation Director has assigned the responsibility for the Operations Quality Assurance Program, to the Aviation Supervisor Operations.

The Operations Quality Assurance Program is contained in the Airport Certification Manual.

C. The **Airport Quality Assurance Program** has been established in accordance with **AC 150-5200-37**, and **FAR 139** and is separate and independent of the Maintenance or Operations Quality Assurance Program.

This program has been developed to ensure the continued integrity of the Concord Regional Airport Safety Management System. This will be accomplished by scheduled and random audits and surveillance of the SMS processes and records.

4.1 QUALITY ASSURANCE PROGRAMS (cont'd)

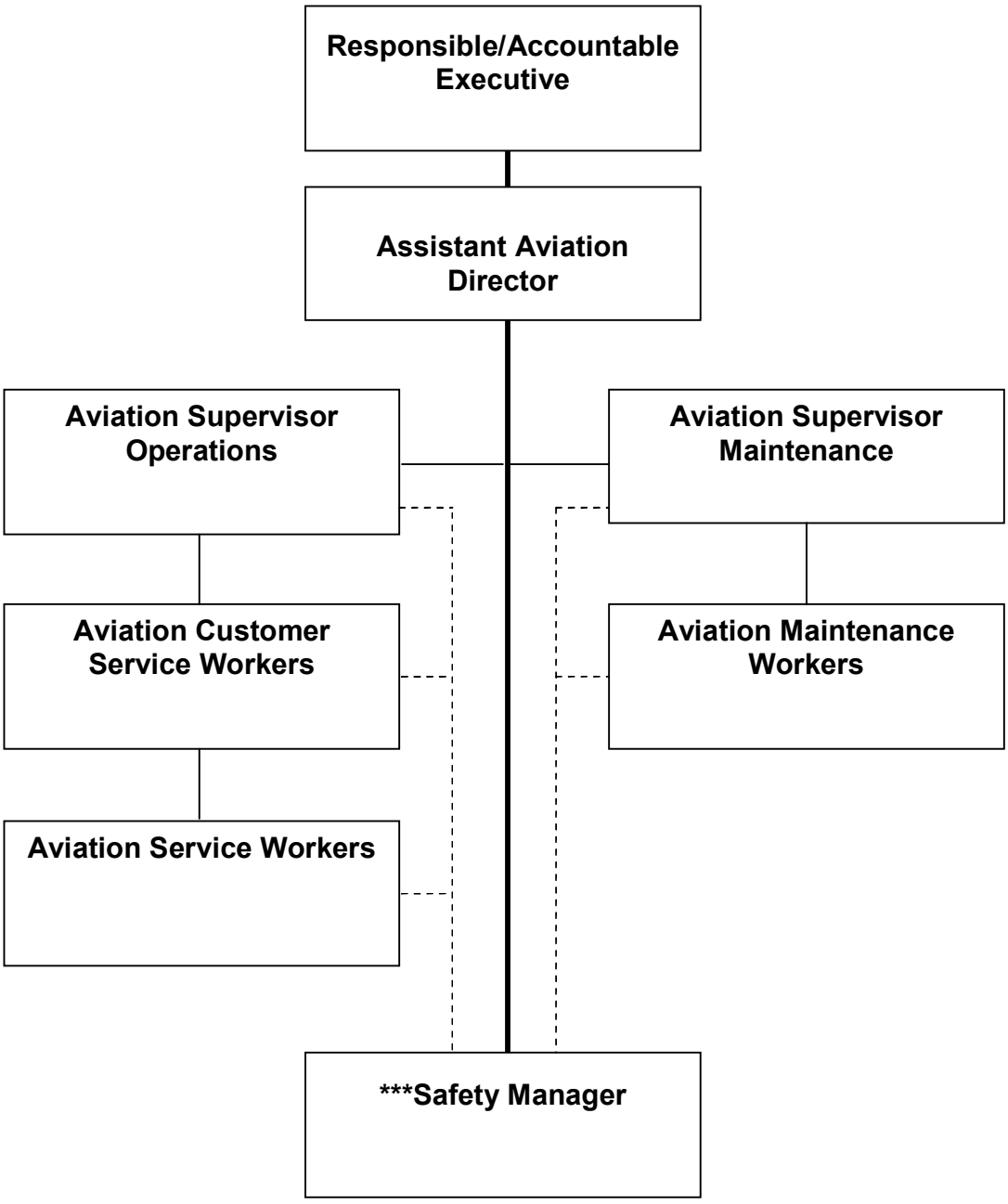
The audit will include, but not limited to:

- Accuracy and completeness of documentation of safety reports.
- Review of the corrective actions taken.
- Review of follow-up actions.
- Audit of controlled documents for currency.

Reporting to the Aviation Director, responsibility for this program is held by the Safety/Quality Assurance Manager.

A description of this program, including responsibilities, is found in this Manual and will become an appendix of the Airport Operations SOP/Manual.

5.0 SMS ORGANIZATION SAFETY CHART



NOTE: Solid lines indicate formal reporting. Dotted lines indicate informal or administrative communications.

*** The Assistant Aviation Director will accomplish the duties of the Safety Manager until such time as the position is filled.

5.1 INDIVIDUAL RESPONSIBILITIES RELATED TO SMS

A. ACCOUNTABLE EXECUTIVE (AVIATION DIRECTOR)

Reporting to the Assistant City Manager, the Accountable Executive has been appointed by the City Manager for the City of Concord, North Carolina. Within Concord Regional Airport, the Aviation Director is the Responsible/Accountable Executive.

The Aviation Director is responsible for the operations and activities of the airport, in accordance with **AC 150-5200-37, FAR 139** and **OSHA Regulations**, as applicable. In addition, the Aviation Director is responsible for:

- Establishing Safety performance goals and a means of measuring the attainment of those goals in accordance with current regulations.

- Ensure regular review of the SMS to determine its effectiveness in accordance with current regulations. This will be accomplished by the Manager of Quality Assurance.

B. SMS COMMITTEE CHAIRMAN

The Manager of Safety, who reports to the Aviation Director, chairs the SMS Committee.

The Chairman will **ensure** that the following SMS functions are carried out in accordance with **FAR's**, **City Policies**, **Airport Policies and Procedures**, which include:

- Coordinate the activities of the committee with other members.

- Establish and maintain a reporting system to ensure the timely collection of information related to hazards, incidents and accidents that may adversely affect safety.

- Establish and maintain a safety data system to monitor and analyze trends in hazards, incidents and accidents.

- Ensure SMS and deviation reports are entered into the database and an investigator is assigned to each file.

- Ensure personnel submitting reports are notified of the receipt of the report and are informed about the disposition of the report in accordance state law.

- Communicate to all airport personnel the results of the SMS investigations and all pertinent safety information.

- Keep and distribute minutes of committee meeting.

During periods where the SMS Committee Chairman (Manager of Safety) is absent, the Aviation Supervisor Operations shall ensure SMS reports are entered into the database and assigned an investigator as applicable. The Chairman will keep open lines of communications with the Aviation Director but will not bypass the Functional Managers (Aviation Supervisor, Maintenance, Aviation Supervisor, Operations) on any issue related to safety.

C. Aviation Supervisor Maintenance

The position of Aviation Supervisor, Maintenance has been appointed in accordance with City and Airport Policy and Procedures.

The Aviation Supervisor, Maintenance meets the experience requirements of Airport/City Policy, Procedures and FAR regulations.

Reporting to the Assistant Aviation Director, the Aviation Supervisor, Maintenance shall manage the activities of Maintenance Operations in accordance with policies set forth in the Airport Maintenance SOP. Shall in accordance with this manual, and Operations SOP, control the Safety Management System for Maintenance Operations. When findings resulting from a Quality Assurance Audit or Safety Management System Report are reported to him , he shall in accordance with airport procedures :

- Determine what, if any, corrective actions are required and carry out those actions;

- Keep a record of any determination made and the reason for it;

- Communicate any determination regarding a corrective action to the person managing the SMS for the Maintenance Division and Quality Assurance Manager;

- Notify the Accountable Executive (Aviation Director) of any systemic deficiencies and of the corrective action, and

- Maintain open lines of communication with the Aviation Supervisor Operations on all matters concerning Aviation and Ground Safety;

- Evaluate all safety related correspondence and forward pertinent information to the SMS Committee Chairman for distribution.

D. QUALITY ASSURANCE MANAGER

In accordance with City/Airport Policy and FARs, the Aviation Director has assigned management of the Airport Quality Assurance Program to the Safety Manager/Quality Assurance Manager. The Safety Manager/Quality Assurance Manager meets the requirements of the above policies and regulations.

In accordance with these regulations, delegation includes the responsibility for management of the SMS segment that is applicable to the Airport Maintenance functions and Operations functions.

Reporting to the Aviation Director, the Quality Assurance Manager, in addition to his responsibilities, shall participate as an active member of the SMS Committee and ensure that the requirements of Quality Assurance are met. These include but are not limited to:

- Identify hazards and carry out risk management analysis of those hazards;

- Investigate, analyze and identify the cause or probable cause of all hazards, incidents, and accidents identified under the SMS;

- Monitor and evaluate the results of corrective actions with respect to hazards, incidents, accidents and audit findings;

- Monitor the concerns of the civil aviation industry in respect of safety and their perceived effect on the airport and its divisions;

- Will, in accordance with this manual, report to the Aviation Director, the hazards, incidents and accidents identified under the SMS, and

- Will maintain open lines of communication with the Operations Supervisor and Maintenance Supervisor regarding SMS issues related to both departments.

These requirements are identified under the SMS Committee Responsibilities that are described below.

E. AVIATION SUPERVISOR OPERATIONS

Reporting to the Assistant Aviation Director, the Aviation Supervisor Operations is the appointed Operations Manager of the Concord Regional Airport, in accordance with applicable regulations and local policies and procedures. The Aviation Supervisor Operations shall manage the activities of the Airport in accordance with the Airport Certification Manual and all appropriate SOPs. In addition to these responsibilities, the Aviation Supervisor Operations is responsible for the control of the Safety Management System as it applies to Airport Operations. When an audit finding resulting from the SMS or Operations Quality Assurance Program is reported to him/her: they shall;

- Determine what, if any, corrective actions are required and carry out those actions;
- Keep a record of any determination made and the reason for it;
- Communicate the corrective action taken to the Safety Manager;
- Notify the Aviation Director of any systemic deficiency and the corrective action taken;
- Maintain open lines of communications with the Aviation Supervisor Maintenance regarding SMS issues related to the Maintenance Division;
- Evaluate all safety related correspondence and forward pertinent safety information to the SMS Committee Chairman for distribution;

F. SENIOR AVIATION SERVICE WORKER

In accordance with these SMS procedures, the Aviation Supervisor Operations shall assign responsibility for the management of the Flight Line Operations Quality Assurance Program, to the Senior Aviation Service Worker. Included in this assignment are the following responsibilities relating to management of the SMS for the Operations Division, in accordance with this manual, Airport Certification Manual, the Senior Aviation Service Worker shall work with the Aviation Supervisor Operations to:

- Conduct a hazard identification and risk management analysis of the operation of the Airport Flight Line;

- Investigate, analyze and identify the probable root cause and contributory causes of all incidents, accidents, and safety deficiencies identified by the program;

- Monitor and evaluate the results of corrective actions with respect to hazards, incidents, accidents and audit findings;

- Monitor aviation industry safety concerns that could affect the Flight Line Operations;

- Participate in the activities of the SMS Committee and ensure that the requirements of Federal Aviation Regulations are met; and

- Will maintain open lines of communication with the Safety Manager/Quality Assurance Manager on SMS issues related to the Maintenance and Operations Divisions.

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These requirements are identified under the responsibilities of the Safety Committee listed below. Will also report , in accordance with this Manual and Operations SOP, the hazards, incidents and accidents identified under the SMS to the Aviation Supervisor Operations .

G. SAFETY MANAGER

Reporting to the Aviation Director, the Safety Manager, in addition to being the Chairman of the Safety Committee, is responsible for:

- Federal Aviation Regulatory and Occupational Health and Safety issues in the airport areas of operation;

- Investigating, analyzing and identifying the cause or probable cause of all hazards, incidents or accidents, relateing to Aviation and Occupational Health and Safety, identified by the SMS process.

- Administration and continuous improvement of the Airport Safety Program;

- Administration and coordination of continuous improvement of the Airport Emergency Response Plan with the Fire Department;

- Details on these programs can be found in the following, controlled documents:

    - Safety Management System Manual; and
    - Airport Emergency Response Plan Manual.

As a member of the SMS Committee, the Safety Manager will maintain open lines of communications with all division heads on issues related to OSHA and Aviation Safety.

H. COWORKERS SAFETY GROUP

Concord Regional Airport has assigned OSHA and Aviation Safety responsibilities to personnel in all divisions.

Reporting to the Safety Manager, the Coworker Safety Group is responsible for conducting quality audits of Safety Equipment and conditions at their location that could be hazardous to employees. Unsafe conditions and equipment must be brought to the immediate attention of the division manager who will ensure that appropriate corrective action is taken.

All such action is documented and forwarded by the Group to the Safety Manager. The Safety Manager will review the information to ensure that appropriate action was taken, and may make further recommendations to the Director for improved policies, procedures or equipment etc.

6.0 TRAINING

In accordance, **FAR 139.303**, the Aviation Supervisor Operations and the Aviation Supervisor Maintenance and all persons directly connected to the airport SMS will receive and shall successfully complete a safety related, initial training course that includes the following subjects:

a. **Maintenance and Aviation Safety philosophy;**
b. **Human Factors;**
c. **Accident Prevention;**
d. **The responsibilities of safety personnel;**
e. **Risk Management;**
f. **Accident/Incident reporting; and**
g. **Incident investigation.**

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"Initial" and "Recurrent" training on policies and procedures of the airport SMS that are contained in this manual and manuals incorporated by reference, shall also be provided to all personnel assigned safety related duties.

The Safety Manager/Training Manager will determine the content and frequency of recurrent training.

7.0 SMS COMPONENTS

The Concord Regional Airport SMS is all inclusive and incorporates the following major components:

- An Operations Quality Assurance Program;
- A Maintenance Quality Assurance Program;
- An Occupational Health and Safety Program (including Aviation OSHA) from City Safety;
- A program of confidential, and anonymous Employee Safety Reporting;
- An SMS Committee; and
- An Airport Emergency Response Plan.

Built into the major components that are listed above are sub-components that are in accordance with **FAR 139.**

- A safety Policy on which the system is based.
- A process for setting goals for improvement of Aviation Safety and for measuring the attainment of those goals.
- A process for identifying Hazards to Aviation Safety and for evaluating and managing the associated risk.
- A process for ensuring that personnel are trained and competent to perform their duties.
- A process for internal, non-punitive, reporting and analyzing of hazards, incidents and accidents and, for taking corrective actions to prevent their recurrence.
- A document containing all Safety Management System processes and a process for making personnel aware of their responsibilities with respect to them.
- A process for conducting periodic reviews or audits of the Safety Management System and reviews or audits for cause and corrective action of safety concerns, incidents or accidents.
- Any additional requirements for the Safety Management System that are prescribed under the Code of Federal Regulations.

8.0 THE SMS COMMITTEE AND HOW THE SYSTEM WORKS

Maintained by the SMS Committee, the SMS program is based on pro-active and reactive processes.

Pro-active by means of:

- Audits;
- Policy and Procedure Assessment; and
- Hazard Identification.

Reactive by means of reports based on:

- Hazard Identification;
- Accident/Incident Reports;
- Database Assessment and Review; and
- Risk Analysis.

8.1 SMS COMMITTEE PURPOSE

The purpose of the Committee is two fold:

- To advise as to the policies and procedures of the Airport Safety Management System in accordance with **FAR 139** and **AC 150-5200-37.**

- To advise as to the policies and procedures of the US Occupations Health and Safety Regulations, and the Aviation Occupational Health and Safety Regulations, in accordance the US Department of Transportation, and US Department of Labor Regulations.

NOTE: ***In case of duplication requirements between the US Labor Regulations and the US Aviation (FAA) Regulations, the more stringent will be applied.***

8.2 SMS COMMITTEE RESPONSIBILITIES

- The committee will review the timely collection of information related to hazards, incident and accidents that may adversely affect safety;

- Review reported hazards and carry out an analysis of those hazards;

- Investigate, analyze and identify the cause or probable cause of all hazards, incidents and accidents identified under the Safety Management System;

- Monitor and analyze trends in hazards, incidents and accidents;

- Monitor and evaluate the results of corrective actions with respect to hazards, incidents and accidents and report findings to the Aviation Director;

- Monitor the concerns of the civil aviation industry in respect of safety and their perceived effect on the Maintenance and Operations Divisions;

- Determine the adequacy of the training provided to the person responsible for Maintenance, Operations and other personnel who are assigned duties related to the Safety Management System;

- Report to the Aviation Supervisor Maintenance and Aviation Supervisor Operations, the hazards, incidents and accidents identified under the Safety Management System or as a result of a Quality Assurance audit of the Maintenance Division, Operations Division or the Safety Management System .

8.3 SMS COMMITTEE MEMBERS

Chairman	**-**	**Safety Manager/Training Manager**
Member	**-**	**City Safety Manager**
Member	**-**	**Maintenance Supervisor**
Member	**-**	**Operations Supervisor**
Member	**-**	**Customer Service Specialist**
Member	**-**	**Senior Aviation Service Worker**
Member	**-**	**Fire Department Representative**
Member	**-**	**ATC Tower Representative**
Member	**-**	**City Department Non-Aviation Rep**
Member	**-**	**Airport Tennant Representative**
Member	**-**	**Airport Tennant Representative**
Member	**-**	**Airport Business Manager**

Members of the SMS Committee are responsible for: monitoring risk assessment, accident/incident investigation and determining the root cause of all safety concerns, accidents, incidents, unscheduled events and non-conformances that relate to their area of expertise.

The Committee will review the follow-up of all corrective actions that are implemented by the Aviation Supervisor Maintenance or Aviation Supervisor Operations.

The Committee Chairman is responsible for: "Filtering" reports to the responsible Committee member and ensuring complete documentation of all safety related issues. In addition, the Chairman will ensure that a secure database of all safety related issues is maintained indefinitely.

8.4 COMMITTEE MEETINGS

The Committee will meet at a minimum of six (6) times per year, at pre-scheduled dates, determined by the Chairman of the SMS Committee. The Chairman will present all raised safety concerns, incident or accident reports, audit reports, pilot reports, employee reports, relevant deviation reports and any system enhancement recommendations that may have been received.

Using the **SMS Process Flow Chart** (Figure 1 below), the committee members address all safety concerns that are directed to them.

The Committee will review all actions taken resulting from auditing and establish a follow-up schedule.

They will review relevant pilot reports and deviation reports to ensure adequate action has been taken to mitigate recurrence of the event.

Using the historic database, the Committee will look for trends that identify systemic problems.

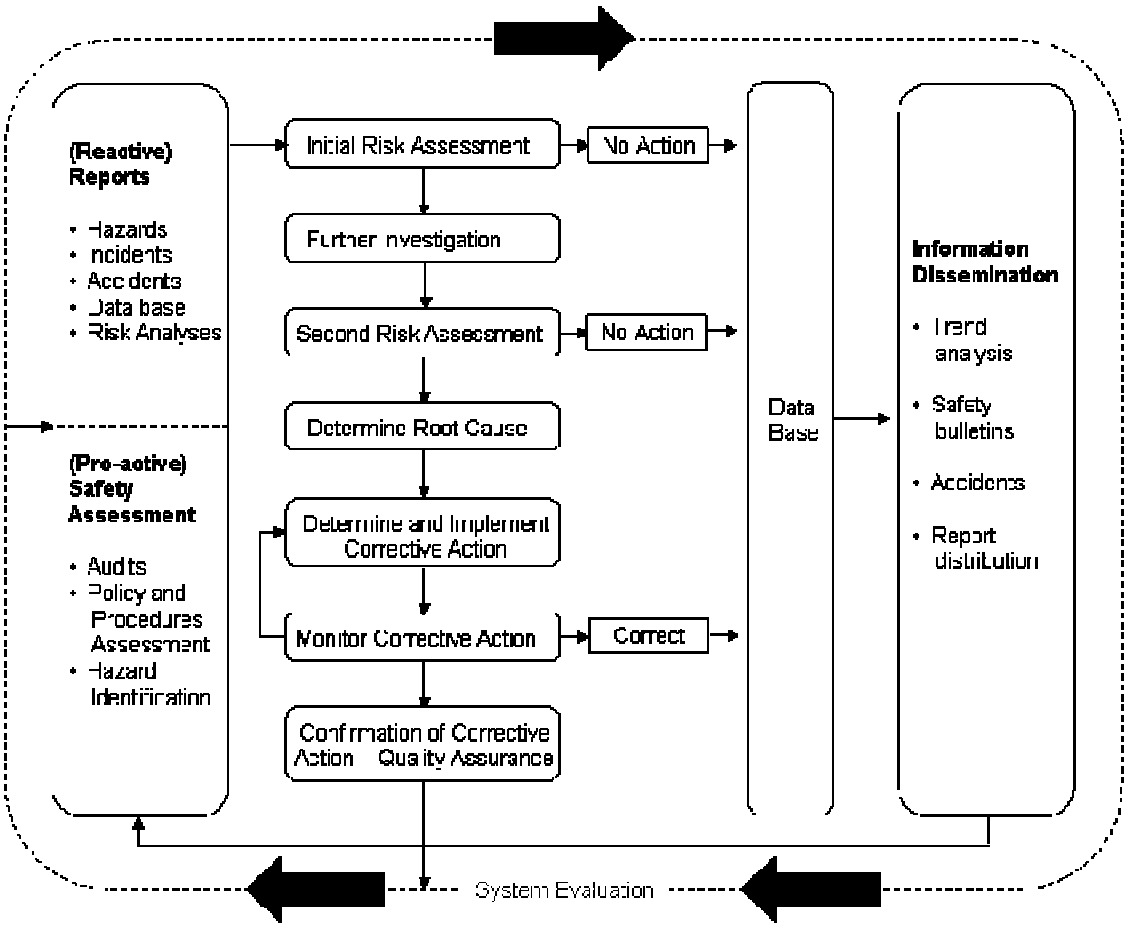
System enhancement recommendations will be reviewed and forwarded to the appropriate head if the Committee concurs with recommendations.

The Chairman will ensure documentation and strict control of all documentation of safety related issues and the ongoing monitoring of corrective actions.

NOTE: The Aviation Supervisor Maintenance or Aviation Supervisor Operations, as applicable, holds responsibility for determining and implementing corrective actions after consulting with the Aviation Director.

The dotted line that surrounds the SMS Flow Chart is named "System Evaluation", and represents the independent audit of the SMS that is carried out under the Quality Assurance Program.

9.0 SMS PROCESS FLOW CHART



10.0 EMPLOYEE REPORTING

All employees are responsible for reporting observed hazards, incidents or accidents to their supervisor or the Safety Manager. This will ensure that all events receive the appropriate investigation in order to:

- Identify the underlying initial contributing factor(s) that caused the event (root cause), and identify the action required to minimize the chance of recurrence;
- Satisfy any regulatory requirement for reporting and investigating as per the Code of Federal Aviation Regulations;
- Provide a factual record of the circumstances of the event or hazard to allow others to learn from the situation; and

- Categorize the underlying causes and establish the appropriate remedial and continuous improvement action.

All reports are treated as strictly confidential. The reporter may remain anonymous if they choose. However, in case more information is required, it is preferred that the reporter identify themselves. In all cases, employees will receive feedback on what, if any, action was taken or planned. Employees who choose to remain anonymous will receive feedback by means of a general notification in memo form or through other communiqué systems.

10.1 CONFIDENTIAL, ANONYMOUS, NON-PUNITIVE REPORTING

In accordance with **AC 150-5200-37**, Concord Regional Airport has a policy that ensures employees who report mishaps, risk exposures, safety hazards, incidents or accidents will not be subject to disciplinary action by the airport with few exceptions such as the following (which could create or worsen risk exposures):

- Premeditated or intentional acts of violence against people or damage to equipment/property;

- Actions or decisions involving material negligence which, in the airport's judgment, no reasonably prudent employee of relevant training and experience would take; or

- Failure to report safety incident or risk exposures as required by Concord Regional Airport's operating procedures and/or this policy.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. An employee's compliance with reporting requirements will be a factor to be weighed in Concord Regional Airport's decision-making in such circumstances.

Outside theses specific and rarely invoked exceptions, employees who make honest mistakes or misjudgments will not be subject to blame, provided that they report such incidents in a proper fashion.

10.2 HOW TO REPORT

Employees shall choose any method to report their concerns as long as it is a written report containing as much pertinent information as possible. However, employees are urged to use the SMS Report Form. This multi-purpose report is designed to meet all the SMS reporting requirements and eliminate the workload and confusion associated with multiple reports. When submitted, the SMS Report Form is automatically sent to the Safety Manager and either of the Supervisors or all three.

Alternative reporting options include e-mail to the Safety Manager, e-mail to the Supervisor, e-mail to the respective Division Safety Committee Member or fax to any of these safety representatives.

Verbal reports may be used to start the investigative process but must be followed up with a written report.

Reports should contain all the details fully describing the incident or conditions that present a hazard.

10.3 WHAT TO REPORT

In order not to over burden the reporting system or the employee with unnecessary paperwork, it is not required that all minor workplace hazards be addressed by means of the official reporting system. Common sense is the key to deciding what should or should not be reported. Some events or concerns are considered to be mandatory, while others are not. An unsafe practice or condition in the workplace may not require the filling out and submission of a report if:

- It is corrected immediately and was obviously caused by a “one off” event that was not the result of a system or procedural failure. An example of this would be;
- Someone neglecting to use the appropriate safety equipment although:
- The equipment was available;
- There was a policy in place that required its use;
- The appropriate training had been provided; and
- The person complied with the policy when reminded of his/her oversight.

HOWEVER, WHEN IN DOUBT, REPORT IT.

The airport also encourages employees to identify and report on any process or procedure that does not fulfill the specific written requirements of the job they are performing. The reporter is also encouraged to offer solutions for enhancement of the process or procedure.

The following list is not all-inclusive. It is intended to give the employee an understanding of what conditions to be vigilant of and what type of events requires mandatory reporting. Again, if any doubt exists as to whether or not something is reportable, report it:

- Any incident that requires a Service Difficulty Report (SDR) to be filed as per FAR 139. (NOTAMS)
- Reportable aviation occurrences as defined in the National Transportation Safety Board Aeronautical Information Manual Part 830 must be reported to the NTSB without delay.
- Any incident where the aircraft sustains damage requiring repair.
- Any air ground incident (accident) in which someone suffers injury or death.
- Any incident where the aircraft sustains damages or structural failure that adversely affects the structural strength, performance and/or flight characteristics.
- Suspected Hard landings observed by flight or ground personnel.
- Runway incursions.
- Excessive duty times by employees.
- Lack of adequate training and recurrent training.
- Poor communications between operational areas.
- Incorrect or inadequate procedures and failure to adhere to standard procedures.
- Lack of, or out of date, technical and flight publications or charts and plates.
- Inadequate tool and/or equipment control.
- OSHA/Aviation OSHA related concerns or events.

Other reports that are fed into the SMS for investigation, analysis and possible corrective action include the following:

- Relevant Deviation Reports.
- Finding and Non-Conformance Reports resulting from internal audit.

.

The Quality Assurance Auditors and Supervisors will supply these reports as appropriate.

Audit findings, including findings that result in Non-Conformance, will usually be addressed during the audit period. However, the finding and resulting corrective action must be supplied to the Committee Chairman. This will ensure that all system failures are captured and entered in the database for historical reference and future follow-up. (See, Audit Findings below).

10.4 REPORT PROCESSING

All reports are forwarded to the attention of the SMS Committee Chairman/Safety Manager.

Employee Safety Reports will be reviewed by the Chairman upon receipt to determine which direction the report should be channeled. This will be; the Aviation Supervisor Maintenance, the Aviation Supervisor Operations, or the Safety Manager, or a combination if the report has combined maintenance and operations implications.

Pilot Reports are forwarded by the customer service or operations division to the Chairman who will retain a copy and forward a copy to the Safety Manager for committee resolution.

Deviation Reports are forwarded by the operations division to the Chairman who will retain them for committee resolution.

Quality Assurance Findings are forwarded by the auditor and supervisors, to the Committee Chairman who will retain them for the committee.

With the exception of Quality Assurance Audit Findings which are described below, all reports will be addressed by the responsible person (Supervisor or Safety Manager) with the level of priority they determine as necessary.

The Quality Assurance Findings will be analyzed, with the reports and recommendations given to their “Functional Division Head” (Maintenance or Operations) for corrective action.

The Aviation Supervisor Maintenance or Aviation Supervisor Operations will take whatever action, or non action deemed necessary and report such action back to their committee member (Quality Assurance Manager or Safety Manager) and also up to the Assistant Aviation Director or Aviation Director.

The Aviation Supervisor Maintenance or Aviation Supervisor Operations will provide feedback on corrective actions to their respective divisions so that staff can see the results of their commitment to safety.

Audit Findings and Non-conformances are addressed at the time of the audit and as described in the applicable manuals (Maintenance SOP, Operation SOP, and ACM). Conclusions of the findings and non-conformances are tabled at the SMS Committee meetings. The Committee will ensure that a follow-up review of the corrective action taken.

All pertinent information from audit and non-conformance findings will be entered into the SMS database.

11.0 QUALITY ASSURANCE FINDINGS

Audit findings will be investigated by the Quality Assurance Auditor (internal or external), Supervisor, or Safety Manager as applicable, to the extent necessary to determine the root cause and any contributory factors.

The results of the investigation will be forwarded to the Aviation Supervisor Maintenance or Aviation Supervisor Operations as applicable.

The Aviation Supervisor Maintenance and Aviation Supervisor Operations will determine what, if any corrective action is required and take that action. This will be accomplished with pertinent division personnel. The Aviation Supervisor Maintenance and the Aviation Supervisor Operations will document all corrective action and non-action and include the following minimum information:

- Reference to the original audit finding and any relative information.
- The immediate or short-term corrective action that was taken.

- The long-term corrective action, taken or planned.
- A summary of the logic applied to arrive at the corrective action.
- If the decision was that no action was necessary; the reason for this decision.
- Details on any follow-up to corrective action that may be required and the scheduled date of that follow-up.
- Copies of this documentation will be forwarded to the Assistant Aviation Director or Safety Manager as applicable, who will ensure that it is recorded into the SMS database.

12.0 HAZARD IDENTIFICATION

The SMS committee shall gather information from a variety of sources to determine the existence of hazards. These information sources include:

1. Hazard/Incident/Accident Reports,
2. Minor injury reports,
3. Safety Inspection reports,
4. Industry data, (i.e. manufacturers and other operators)
5. Safety data recording systems, (SDRs, etc.)
6. Government reports,
7. Other relevant information, and
8. Committee reviews of:
    - Existing safety programs,
    - MSDS (Material Safety Data Sheets) for new products introduced into the airport or city, and
    - Airport and industry trends.

12.1 HAZARD IDENTIFICATION PROCESS

The SMS committee shall, at the scheduled meetings, review any information received from the sources above. The purpose of the review will be to identify specific hazards and the potential impact on airport operations and/or the health and safety of employees.

All hazards reported to, or identified by, the committee shall be documented in a database. The committee shall review information in the database to identify airport trends.

Hazards identified through this process shall be assessed using the risk management process in order to determine the most effective method to eliminate or mitigate the hazard.

Any hazard reported to, or identified by, a committee member that poses an immediate risk to airport operations or the health and safety of employees or airport equipment shall immediately be brought to the attention of the division supervisor. The risk shall be assessed and appropriate action taken. The committee member will report to the committee the circumstances of these occurrences.

13.0 RISK MANAGEMENT

13.1 DEFINITITIONS

Hazard: Anything that, given the right set of circumstances can cause injury to personnel and/or damage airport facilities, equipment or reputation.

Risk: Risk is measured in terms of severity and probability that an identified hazard will cause damage.

Probability: An expression of the likelihood a “hazard” could cause an occurrence.

Severity: The consequences that could arise from a “worst case scenario” for a particular hazard.

Mitigation: Measures taken to eliminate a hazard or reduce the probability or severity of a risk.

Risk Tolerance: Risk tolerance is the amount of risk Concord Regional Airport is willing to accept.

Risk Management: Risk management is the process of identifying risk, assessing their implications, deciding on a course of action, and evaluating the results.

13.2 RISK MANAGEMENT POLICY

Concord Regional Airport will identify and analyze hazards and determine the most effective preventive measures the airport can use to eliminate or mitigate the risk the hazard poses to the airport.

13.3 HAZARD IDENTIFICATION

Concord Regional Airport shall use three methods to identify hazards: process analysis, trend analysis and reports from personnel.

Process Analysis:

Individual steps of a process are detailed and analyzed by management and employees involved to determine the existence of hazards and identify possible preventive measures to put in place to mitigate potential side effects of these hazards.

Trend Analysis:

The SMS committee and management personnel will review and compare safety records to determine if repetitive, isolated incidents are indicative of an unrecognized hazard. When hazards are identified, they will be analyzed to determine the most efficient preventive measure available to mitigate the effects of the hazard.

Personnel Reports:

Employees are to report hazards using the monthly inspection forms or the airport Hazard/Incident/Accident report. Management will investigate report and identify and implement any required preventive measures.

13.4 RISK ASSESSMENT

All identified hazards will be reviewed and assigned to either the corrective action program or be subjected to risk analysis. The corrective action program will be used when a hazard has a straightforward and affordable solution, which must be complied with due to either regulatory or operational requirements. All other hazards shall be subjected to a risk assessment. This assessment will be assigned to a supervisor and may involve the responsible division supervisor. Each assessment will be reviewed at committee meetings. The risk statement tab of the Incident Report Database form is used to document the process.

The risk assessment process is broken down into five steps:

Step 1: Determine a Severity rating.

The assessor will determine the severity of the consequences a hazard presents in a reasonable worst-case scenario. The assessor shall rate the severity against the various criteria of the assessment form and assign a High, Medium or Low rating to each criterion. The assessor then shall assign an overall rating to the hazard based upon the different criteria and his knowledge and experience.

The Severity Ratings are:

- Catastrophic
- Critical
- Major
- Minor
- Negligible

Step 2: Determine a Likelihood rating.

The likelihood that a hazard will cause an incident is calculated by assessing the effectiveness of any existing preventive measures already in place. The assessor shall list the preventive measures on the form and rate these against the following criteria:

1. Justified
   Considering the resources required to implement the preventive measure: are the benefits justifiable?

2. Address the Issue
   Is the preventive measure addressing the hazard it is designed to prevent?

3. Sufficient
   Does the preventive measure have sufficient capacity to deal with the issue it is designed to prevent?

4. Reliable
   Is the preventive measure adhered to? Can it be trusted to be effective? Are there any conditions where it may not be effective?

5. Assigned
   Is there someone responsible to ensure the preventive measure is used? Can they follow-up and modify the system to strengthen the preventive measure if required?

6. Specific Instructions
   Are there specific instructions for the preventive measure? Do these effectively describe proper procedures for the functions and operations of the preventive measures?

7. Communicated, Trained, Documented
   Are the preventive measures described in company publications and documentation? Are these continuously verified to ensure they remain current, clear and effective? Are personnel trained on how to use the preventive measures?

8. Tested, Practical
   Have the preventive measures been tried in practice? Are they practical?

The assessor must assess all eight criteria. If any criteria is weak or missing, the effectiveness of the preventive measure will be reduced. The effectiveness rating for preventive measures is:

1. Extremely Unlikely - highly unlikely to occur due to very effective and robust prevention systems
2. Unlikely - reduced chances of occurrence due to good prevention systems
3. Likely - could occur due to deficiencies in the prevention systems
4. Extremely likely - likely to occur due to inadequate prevention systems
5. Certain - very likely to occur due to absent prevention systems

When there are more than one preventive measure, an overall rating of the various preventive measures is assigned.

Step 3: Determine the Exposure Level

The exposure level is determined using the knowledge of current airport practices, policies and procedures. Past experience and knowledge of future operations is used to assign an exposure level. The exposure levels are:

1. Never - Occurs once every two or three years
2. Hardly Ever - Occurs once per year
3. Often - Occurs once or more per month
4. Very Often - Occurs once or more per week
5. Continuously - Occurs once or more per day

Step 4: Assign a risk priority rating to the hazard.

The Incident Report Database calculates the risk priority rating of a hazard. The Severity Rating, the Likelihood Rating and the Exposure Level are entered into the database on the Risk Statement Tab. The database then automatically calculates a risk priority rating.

The calculations made are as follows:

Variables

1. Severity
   a. Catastrophic (110);
   b. Critical (100);
   c. Major (65);
   d. Minor (15);
   e. Negligible (10).

2. Likelihood
   a. Extremely Unlikely (0);
   b. Unlikely (20);
   c. Likely (70);
   d. Extremely Likely (90);
   e. Certain (110).

3. Exposure
   a. Never (0);
   b. Hardly Ever (.5);
   c. Often (1);
   d. Very Often (1.1);
   e. Continuously (1.4).

Equations

1. Risk = Likelihood + Severity
2. Risk Analysis = (Risk * Exposure)
3. Risk Relative = Risk Analysis / 3.08 (Note: result is rounded to nearest whole number)
4. Risk Zone = (Risk Analysis) = <104 (Low); <145 (Medium); >145 (High)
5. Relative Calculated Risk = Risk Zone

Example:
Exposure = Very Often = 1, Likelihood = Likely = 70, Severity = Major = 65

- Risk = Likelihood (70) + Severity (65) = 135
- Risk Analysis = Risk (135) * Exposure (1.1) = 148.5

- Risk Relative = Risk Analysis (148.5) / 3.08 = 48
- Risk Zone = (Risk Analysis) = “High”
- Relative Calculated Risk = Risk Zone (High)

(The source of this formula is The Medallion Foundation of Alaska.)

The risk priority rating is used as guidance to assign priorities to ensure mitigating or rectifying action is taken. The following levels will be used when setting the priorities.

Rating Level	Priority
75-100	Improvement is a high priority: Act immediately.
50-75	Improvement is priority: Act this year.
40-50	Issue is important. Continue to monitor, improve as needed.
25-40	Improvement is not a priority. Review opportunity next year budget.
Less than 25	Improvement is not a priority.

Step 5: Assess Potential Preventive Measures

Identify other potential preventive measures the airport could use to help reduce the severity of the consequences or the likelihood of occurrence.

The assessor shall assess the effectiveness of these potential measures and assign an effectiveness rating to the measure. Then plot the likelihood rating with the consequences rating and exposure level to determine the risk priority rating of the hazard with new preventive measures.

13.5 RISK MANAGEMENT

The responsible supervisor will be provided with the risk assessment form. The supervisor will review the risk rating for the hazard and any potential preventive measure and determine the best approach for the airport to follow to either eliminate or mitigate the hazard.

13.6 MONITOR RESULTS

Decisions taken by supervisors to eliminate or reduce a risk shall be disseminated to all employees affected. An implementation plan will be developed and carried out. The SMS committee will monitor the implementation to ensure completion of the process.

Monitoring will ensure the following four things occur:

- **A responsible person is assigned:**
  Somebody will be assigned the responsibility to implement the mitigating process. This person will require the authority to perform his duties.

- **A due date is set:**
  A date by which the mitigating process is to be implemented .

- **The mitigating process:**

The responsible person will have the choice of eliminating, mitigating, monitoring or transferring the hazardous condition. They shall document the course of action chosen and provide substantiation for this choice. The substantiation is not required if the recommended course of action is chosen.

Complex mitigating action can be broken into implementation targets. This will allow the responsible person to delegate portions of the mitigation action and provides them a tool to monitor progress.

Once the mitigating process is completed the responsible person will document the action taken and enter the date completed in the Date completed field of the database.

- **A review date is set:**
  The SMS committee shall review the effectiveness of any mitigating process implemented to ensure the process is both effective and cost efficient. Individual members of the committee may be tasked to review the process and report to the committee on the effectiveness of the process.

  The committee will also review any items determined to require budgetary considerations before the next business year's budget is developed. This review will be to prioritize the items that should be considered in the budget plan and present these to the Aviation Director.

13.7 DOCUMENTATION

All hazards subjected to the risk analysis process will be documented on the Risk Assessment form (Appendix A).

Items generated by the SMS system will be assigned a tracking number matching the SMS file number of the generating item.

If the form is completed electronically, it should be saved in PDF format to prevent the file from being inadvertently modified if opened for review. Completed reports shall be kept in the appropriate file folder of the Safety Database directory.

Integrated Risk Assessment forms completed on paper will be scanned and a copy will be kept in the appropriate file folder of the Safety Database directory. The hard copy will be kept by the Safety Manager and will be accessible to the SMS committee and members of the airport management.

14.0 INVESTIGATION PROCESS

All incidents and accidents will be investigated to identify the root cause of the occurrence. Hazards that do not show obvious solutions shall also be investigated. The following are components of an investigation.

- Reference Material:

Identify and review all documentation pertinent to the occurrence. The investigator must be familiar with policy and procedures as well as regulations that may have an impact on the occurrence. Examples of reference material are:

- Regulations
- Customer Requirements
- Airport policies and procedures
- Maintenance/Operations SOPs, etc.

- Interview Personnel Involved:
  Personnel involved in an occurrence and witnesses to the occurrence need to be interviewed to find out what happened. The purpose of the interview will be to identify issues that contributed to the occurrence. The results of the interview must be documented.

- On Site Investigation:
  On occasion it may be necessary to attend the site of the occurrence to see if there are environmental conditions that may have contributed to the occurrence. Pictures may be used to document the existence of these conditions.

- Document Extent of Damage:
  Pictures of damage caused by an occurrence shall be taken and provided to the SMS committee for review and to support the database file. The financial impact of the occurrence shall also be estimated.

- Document Extent of Injuries:
  If personnel are injured as a result of the occurrence, the extent of the injuries as well as the impact on the personnel involved shall be documented. All injuries requiring medical attention shall also be reported to the City HR and Safety Departments for required reports to be filed.

Once an investigation is completed, the investigator shall document the investigation. The investigator shall summarize what happened, identify root causes and provide suggestions for corrective action. The investigation shall be recorded into the database.

The results of safety investigations shall not be used to apportion blame. If management feels disciplinary action is required, a duplicate investigation will not be required.

15.0 DOCUMENTATION AND RECORDS RETENTION

All documents and records developed for the SMS Program will be retained in accordance with North Carolina General Statutes 121 and 132.

16.0 SMS AUDIT AND ASSESSMENT

The Safety Management System described in this manual will receive constant monitoring and review by Concord Regional Airport's Quality Assurance Program. In addition, management may complete

an audit of the SMS initially within 6 months of commencement of the program and annually, thereafter.

All audit findings and assessments will be documented on the appropriate checklist and findings of the audit forwarded to the Safety Manager and Aviation Director.

The Supervisory Staff with the assistance of the Safety Manager will implement corrections and changes to the SMS as directed by the Aviation Director.

VI. APPENDICES

Appendix A-Risk Assessment Forms
Appendix B-Data Collection Program

VII Other Forms

Appendix A

INTEGRATED RISK ASSESSMENT FORM

Date: _____ SMS File Number: _____

Description of Hazard:

Assessors: _____

Evaluation of Consequences

Step 1			Consequence Rating
1	Could there be non-compliance with regulations, policies, guidelines or other commitments?	H: Prosecutions and/or major fines M: "Tickets", violations of policies, guidelines, etc. L: No	
2	What could the impact be on the health and safety of employees, contractors and others involved in our operations?	H: May cause lost time injury or illness M: May cause minor injury or illness L: Little or no effect on health and safety	
3	What damage could be caused to company equipment or facilities?	H: May cause serious damage or destruction M: May cause minor damage L: Little or no damage	
4	What would be the environmental damage caused by this hazard?	H: Permanent Harm or irreversible damage M: Threatened harm or recoverable damage L: Insignificant damage or short term effects	
5	What is the impact on the company's image? (Would MAEI have difficulty with customers, attracting new employees, ability to do business, etc?)	H: Could lead to significant opposition M: Concerns expressed by customer, employees etc. L: Little or no impact	
6	What is the impact on costs?	H: Greater than $50,000 M: Greater than $20,000 L: Less than $20,000	

Overall rating for consequences (use your judgement based upon the above evaluations)

◉ Catastrophic ○ Critical ○ Major ○ Minor ○ Negligible

Evaluation of Exposure

Rate the exposure level; based upon your knowledge of past experiences and future company operations. Rate how often the company is exposed to the hazard under evaluation.

○ Never	○ Hardly Ever	○ Often	◉ Very Often	○ Continuously
Occurs once every two to three years	Occurs once per year	Occurs once per month	Occurs once or more per week	Occurs once or more per day

Appendix A (Continued)

INTEGRATED RISK ASSESSMENT FORM

SMS File Number: 0

Evaluation of Likelihood

Rate Prevention Systems

List Existing Prevention Systems

Determine the likelihood a hazard may cause an incident based upon the effectiveness of the prevention systems.

○ Extremely Unlikely ○ Unlikely ◉ Likely ○ Extremely Likely ○ Certain

highly unlikely to occur due to very effective and robust prevention systems	reduced chances of occurrence due to good prevention systems	could occur due to deficiencies in the prevention systems	likely to occur due to inadequate prevention systems.	very likely to occur due to absent prevention systems

Risk Relative = 64

Improvement is a priority: Act this year

2 of 2

Appendix B

1. Using the SMS Database

The database is a run time version of FileMaker Pro. A copy of the program is not required to open and use the database. The file resides on the safety disk partition of the server and is accessible only to management, Quality Assurance Manager, and the Manager of Safety.

Accessing the program is through a virtual machine. Logging into the database is limited to a selected number of persons at a time due to a run time limitation. The virtual machine, however, allows multiple persons to access the system where the database is located. If someone is already logged into the database, it will be possible to see who is working on the database. The virtual machine where the database is located is accessible over the Internet, allowing remote users to access the full functionality of the database.

There are two types of accounts created on the database. The Investigator type of account has full access to all the functions of the database but cannot delete a file. Most users have this type of account. The Manager type of account has full access including the ability to delete a file. Only the Manager of Quality Assurance, Manager of Safety, and Director of Aviation will have this type of access. Since file numbers cannot be re-used once issued, files will not be deleted. If a file is entered in error, the statement Entered in Error will be placed in the summary block on the first tab.

2. Entering Data

Off the home page, clicking the Incident Reporter button will bring up the Incident Reporter database.

This report form is divided into 9 tabs. The following persons complete the tabs progressively.

- Incident Tab
  The Incident Tab is used to open the report. The Manager of Safety completes this tab for all safety and SMS items reported through the reporting system. The Manager of Safety, and Quality Assurance Manager may also use this tab to document audit findings that need to be entered and tracked.

  When a file is received through the SMS reporting process, the Manager of Safety will reply to the reporter to indicate the report has been received and entered in the database. The reply will indicate the SMS file number and who has been assigned to investigate.

Entering Data (cont'd)

Files will be processed through either the Corrective Action Program or through the Risk Analysis.

If Risk Analysis is chosen, the risk analysis process from the SMS manual must be followed.

- Details Tab The investigator completes the Details Tab. More information on the reported incident can be added on this tab. The text in this box should be de-identified.

- Risk Statement Tab The investigator will enter a risk into the text box and then assess the severity, exposure and likelihood of the risk. The tab calculates a weighted score for the risk used to prioritize response. Every hazard listed in the SMS database is to receive a risk assessment. For most hazards, the Risk Statement Tab will be sufficient to fully assess the risk presented by the hazard. If the calculated weighted score for the risk is determined to be High, the hazard must be subjected to a full Risk Assessment as per the process in the SMS manual .

- Investigation Notes Tab The investigator uses the Investigation Notes to document the status of the investigation. A due date for the investigation is entered and the Director of safety will monitor these due dates to ensure progress is made in the investigation.

The Investigation Notes shall include information acquired in the investigation and list reference material identified as part of the investigation. The notes shall also include a copy of the incident report that generated the file.

- Proposed Action Tab he investigator will complete the Proposed Action Box and enter the name of the director that is responsible to ensure corrective action. A due date will also be entered for the corrective action. The investigator in conjunction with the responsible director shall set this due date.

Proposed actions are suggestions by the investigator for corrective action to address the root cause(s) identified in the investigation. Whenever possible, options should be provided to the responsible director.

- Action Taken Tab
  The responsible director uses the Action Taken Tab to document the action taken to address the safety issue identified in the root cause. A drop down box allows four general classifications for the action and the responsible director documents the rectification of the hazard in the Action Taken box.

- Implementation Targets Tab
  The Responsible Director may use the Implementation Targets to identify steps required and who is responsible when corrective action required is a complex process that requires

multiple steps. This is the preferred location to document immediate action taken to correct a hazard. (Short Term Action)

Once all the implementation targets are complete and the action is completed, the date is entered in the Action Taken Date Completed box.

- Follow-Up Tab
  A follow-up review, if applicable, will be scheduled to ensure the corrective action has been complied with and is effective.

  The investigator of a file shall schedule a follow-up review once corrective action has been completed. Completed follow-ups will be reported to the committee for inclusion as part of meeting minutes.

  A follow-up report will be used to ensure the follow-ups are completed as scheduled.

- Photo Tab
  The photos tab at the end provides an opportunity to add up to 6 pictures to help show the problems reported.

3. Multiple Cause Factor/Multiple Division Responsibilities

Some incidents may require involvement by multiple investigators. When this occurs, each investigator shall document his contributions to the investigation. Each entry into the database should be identified by the name of the investigator that made the entry. When this occurs, the suggestions in the proposed action should be a consensus of the investigators involved.

Some investigators will reveal multiple root causes that fall under the responsibilities of more than one supervisor. When this occurs, the directors involved should each document their actions in the action and implementation target tabs. The supervisors should cooperate to share the available tabs. Each entry in the database should be identified at the end of the entry by name of the supervisor that made the entry.

4. Integrity of the Data

No person may change the text entered by another person in the database. If an error or omission is identified, the person that made the discovery may add a comment at the end of the text and shall identify himself by adding his name to the comment.

A file report shall be saved in PDF format at each stage when the investigation is completed, the corrective action is completed and a follow-up review is completed. The most current report shall be saved in the appropriate folder of the Safety Database directory.

5. Time Limitations

The following guidelines shall be used to determine due dates for the following phases of a file's progression.

- Investigation Due date
  Shall be scheduled one(1) calendar week from the date the file is entered into the database.

- Implementation Due Date
  Shall be scheduled to ensure corrective action is taken without delay. The following items need to be considered.
    - Risk Rating of the issue
    - Budgetary requirements
    - Purchasing lead times
    - Training requirements
    - Manpower requirements
    - Any other issues that may affect implementation

- Follow-up due dates
  Corrective action should be scheduled to allow time for implementation. Follow-up due dates can be as much as a full year from the action-completed date to allow for seasonal issues to be reviewed when they would be applicable.

  Responsible directors may provide extensions to due dates for extenuating circumstances. When this occurs, the reason for extension and the original due date must be documented on the appropriate tab. The new due date will be entered into the due date box. The committee will review any extension to a file to ensure this process is not abused.

6. Reports

The report button brings up a page where trend and summary reports may be found.

The committee will use summary reports to monitor files and the progress of investigations and rectification action. The reports are:

Action Completed Report	Displays files that had action completed within a date range. (i.e.: last meeting date to current meeting date)

Open Safety Reports	Has all files currently under investigation or pending rectification
Resolution Due Dates	Has all files pending rectification action
Investigation Due dates	Has all files pending Investigation action
Report by risk rating	List files by risk rating
Upcoming follow-up reviews	List any files scheduled for follow-up within the next 31 days

The committee and directors shall use Trend Reports to review past occurrences to determine seem to be developing. When a trend is identified, it will be assigned an SMS file number and be investigated and be investigated and acted upon as if it were reported through the SMS reporting system.

7. Reference Material

Copies of Emails, investigation material, photos and reports associated with a file shall be kept in a file folder identified by the SMS file number in the Safety Database director of the Safety Drive on the company server. This information shall be available for review of the file as necessary.

FORMS

FORM TITLE	FORM NUMBER
City Accident /Incident Report	SMS Concord NC Accident/Injury/Illness/Exposure Report and Investigation Report
CRA Accident/Incident Form	SMS Airport Accident/Incident Form
CRA Post Accident Investigation	SMS Post Accident Investigation Form
CRA Equipment/Vehicle	SMS CRA Equipment/Vehicle Post Accident Investigation Form

CONCORD
NORTH CAROLINA
a city meeting the future...

Accident / Injury / Illness / Exposure Report and Investigation

Instructions: This form is to be completed on all accidents that involve personal injury, infectious exposure, or property damage. Please print or type. Fill in all blanks. Write N/A if a blank does not apply to this accident/injury/illness/exposure. When completed, return this form to the Safety & Health Officer within two (2) working days from date of incident.

To be completed by Co-Worker immediately following the incident:

Date of Accident: _____ Time of Accident: _____ ☐ AM ☐PM

Date Reported to Supervisor: _____ Name of Supervisor: _____

Location of Incident:

Co-Worker Name: _____ Social Security Number: _____ Sex: _____

Department: _____ Birth date: _____ Home Phone: _____

Home Address:

Co-Worker's brief description of Incident:

Exposure to Infectious Disease

Name of person to whom exposed: _____

Age of person to whom exposed: _____ Sex of person to whom exposed: ☐ Male / ☐ Female

Home address of person to whom exposed: _____

Suspected or Confirmed Disease: _____

Type of incident (auto accident, trauma, arrest, etc.): _____

Person transported to: _____ Transported by: _____

What was co-worker exposed to: ☐ Blood / ☐Tears / ☐ Feces / ☐ Urine / ☐Saliva / ☐ Vomit / ☐ Sputum / ☐ Sweat / ☐ Other

What part of body was exposed: ☐ Right / ☐ Left _____

Describe any open cuts, sores, rashes, etc. that became exposed:

Did co-worker receive medical attention?

☐ No medical attention necessary ☐Co-worker declined medical attention

☐ Medical attention received:

Co-Worker Signature:

Concord Regional Airport

Accident/Incident Report

Date of Accident/Incident: _____

Location of Accident/Incident: _____

Employees Involved: E1. _____ E2. _____ E3. _____

Civilians Involved: C1. _____ C2. _____ C3. _____

Was Police/Fire Called? _____ Case Number: _____

Was Anyone Involved Injured? _____ Who Was Injured? 1. _____ 2. _____ 3. _____ 4. _____

Type of Injury(s): _____ Was Medical Treatment Needed? _____

Treated Where? _____ Transported How? _____

Treatment Rendered? _____

_____

Weather Conditions at Time of Accident/ Incident? _____

CRA Equip./Vehicle(s) Involved: 1. _____ 2. _____ 3. _____

Civilian Equip. / Vehicle(s) Involved Yr. _____ Make _____ Mod. _____ Tag # _____ Color _____

Aircraft Involved: Yr. _____ Mk. _____ Md. _____ S/N _____ N-Number _____

Aircraft Owner(s): _____ Phone Number: _____

Aircraft Owner(s) Address: _____

Date and time E1 was drug tested: _____ @ _____ Sent Where?_____

Date and time E2 was drug tested: _____ @ _____ Sent Where? _____

Describe Accident/Incident: _____

_____

_____

_____

_____

_____

_____

_____

Post Accident Investigation Form

Date Of Accident: _____

Location of Accident: _____

CRA Employee's Involved: _____

_____ _____

Was Police/Fire Called? _____ Case Number: _____

Was Anyone Injured? _____ Who Was Injured? _____

_____ _____

Was Treatment Needed? _____ Treated Where? _____

What Type Treatment Was Rendered? _____

_____

CRA Equipment/Vehicle(s) Involved: _____

_____ _____

Was CRA Equipment/Vehicle Damaged? _____

Was CRA Equipment/Vehicle Faulty? _____

If So, How? _____

Was Employee Aware Of Problem With Equipment/Vehicle? _____

If So, Who Authorized Use of Equipment/Vehicle? _____

Was Equipment/Vehicle Post Accident Form Completed? _____

Were Any Aircraft or Other Vehicles Involved? _____

Owner(s) _____ Make: _____

Model: _____ Year: _____

N-Number: _____

Equipment/Vehicle Post Accident Investigation Form

Date Equipment/Vehicle Inspected: _____

Equipment/Vehicle Number: _____ Type: _____

Was Post Accident P.M. Sheet Completed? _____

Damage Done to Equipment/Vehicle: _____

_____

_____

_____

_____

Was Damage Done Prior To or Caused By Accident? _____

If Prior To, Was Damage/Problem Reported? _____

Who Reported The Prior Damage/Problem? _____

Was Equipment/Vehicle Out of Service @ time of Accident? _____

If So, Who Took Equipment/Vehicle Out of Service? _____

How Long Had Equipment/Vehicle Been Out of Service? _____

Was Equipment/Vehicle Taken Out of Service Due To Accident? _____

Are Copies of Past Six (6) Months Maintenance Logs Attached? _____

Are Copies of Past Six (6) Months P.M. Sheets Attached? _____

Who Pulled Prior Maintenance Logs and P.M. Sheets? _____

Post Accident Form Completed By: _____