HONG KONG AVIATION CLUB

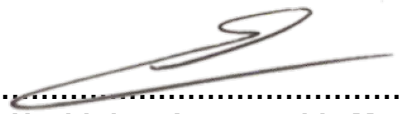
SMS Manual

Volume 1

Copy No. …….

Issued under authority of the Accountable Manager for and on behalf of

The Hong Kong Aviation Club



…….
(Giles Haybittle – Accountable Manager)

AL1: 26 November 2020

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Amendment Record No.	Amendment Date	Date Embodied	Signature
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Amendments

Future changes to the manual will adopt the following format:

- Manual overhaul or major changes will result in a change in the first digit of the version # **(X.1.1)**. These changes require immediate re-distribution of the Manual to all interested parties.
- Changes in a policy or procedure will result in changes in the second digit **(1.X.1).** These updates will result in the distribution of a summary of changes cover letter with a listing of revised pages and the revised pages themselves to all interested parties.
- Changes to the third digit **(1.1.X)** represent only minor changes or updates such as typographical or grammatical changes and do not require any re-issuance of the document.

This document was generated by The Hong Kong Aviation Club (HKAC). Distribution to any persons outside of The HKAC and its affiliates requires pre-approval from either the Accountable Manager or a GC member.
The SMS Manager of HKAC has the authority to maintain and update the contents of this manual as he/she sees fit.

Documentation

As part of the Safety Management System, The HKAC will maintain the most current versions of all relevant, and applicable national and international regulations applicable to the Safety Management System.

List of Effective Pages

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Distribution List

#1 – Accountable Manager

#2 – SMS Manager

#3 – General Manager

#4 – Club President

#5 – Engineering Manager

#6 – CAD

#7 – Operation Library Kai Tak

#8 – Operations Library Shek Kong

Section 1

1.0 Safety Policy

Excellence in safety is the basis for our club, and the foundation upon which we to achieve both internal and external party's satisfaction goals and regulatory requirements. Safety will always be Hong Kong Aviation Club (HKAC) highest priority and core value. Excellence in safety is achieved by actively pursuing continuous improvement through a culture that results in all members and staff accomplishing their work with an awareness for the importance of safety in all areas of the operation. HKAC has established a comprehensive Safety Management System within the framework of regulations, requirements and obligations set forth by the authorities that govern our club and operational practices.

Management Commitment

Through active planning, organization, allocation of required resources, and management of each function within our club, we will offer services that meet the highest standards of safety. Whilst fostering a strong safety culture, we will pursue continuous safety improvement and focusing on processes and procedures according to the principles of safety.

Members and Staff Participation

All members and staff will participate in our safety programmes. Members and staff are expected to make every effort to satisfy our club and safety expectations through a proactive identification and elimination of errors and risk affecting our operations. Members and staff are encouraged to report safety hazards, expose safety deficiencies and raise safety concerns with a just and open reporting culture. By providing feedback and cooperating in the planning of safety initiatives, continuous improvement will take place and success of our business will be achieved. HKAC promotes a non-punitive and just safety culture and will not take disciplinary action, against any members or staff who disclose and report any incident or occurrence involving safety in line with the non-punitive reporting policy.

Management Responsibilities

- Communicating the safety commitment to each and every club and staff member.
- Individually and collectively accepting accountability and responsibility for safety.
- Demonstrate a genuine commitment to safety through effective leadership and personal actions.
- Meet or exceed compliance with regulatory obligations, company standards and policies.
- Support a just culture environment where all our members, staff and contractors are encouraged to report errors, incidents and hazards.
- Proactively identify hazards and manage associated risks, including the integration of Human Factors.
- Ensuring that the necessary resources including human, financial, technical and others are properly allocated, in order to achieve the objectives as stated in this policy: thus providing the required support for safe and secure operations within HKAC.
- Developing continuous strategic plans and measurable objectives for achieving safety target.
- Continuously monitor, measure, report and improve management system outcomes and performance.

Signed: Giles Haybittle, Accountable Manager

1.1 Management Commitment & Responsibility

The HKAC is committed to ensure that this manual provides the intended guidance and outcomes for which it was written. In order to achieve this goal, measurable performance outcomes will be monitored in the form of Key Performance Targets and Indicators which will be written and monitored by the SMS Manager. This will highlight any failures or trends that need to be addressed in order to maintain safety risks As Low As Reasonably Practicable (ALARP).

The Management is committed to:

- Promote a safety culture amongst all staff and club members as part of the working and club flying environment
- Promote Hazard Reporting and the benefits to everyone, making the process to submit a report as smooth and easy as possible
- A timely response to any identified hazards creating and implementing mitigations to reduce the risk to ALARP
- A re-assessment of previously identified hazards to ensure mitigations are sufficient and whether additional measures are necessary
- Actively endeavour to improve the level of safety within the club that will include an annual review of the SMS Manual by the SMS Manager and the Safety Review Board

1.2 Safety Accountabilities

1.2.1 The Accountable Manager

- Accountability within the club/organisation as well as the final authority on all flying activities
- Work with the SMS Manager to develop and implement a suitable Safety Policy for the club
- Assist the SMS Manager and oversee the implementation of the Safety Management System
- Promote the Safety Management System
- Provide sufficient resources to support the Safety Management System

1.2.2 The SMS Manager

- Manage and implement the Safety Management System
- Process all safety information in a timely manner
- Be proactive in hazard identification and risk analysis activities
- Process Hazard, Incident & Accident reports and implement any corrective actions and recommendations accordingly
- Monitor and evaluate the results of corrective actions
- Organize safety training for all staff and suitable awareness for the club members
- Conduct a periodic review of the Safety Management System to ensure its effectiveness
- Complete safety investigations as necessary
- Develop relevant Safety Targets and Safety Performance Indicators
- Record safety data and complete trend analysis

1.2.3 Department Heads

Including Head of Training, Operations Manager, Aircraft Maintenance Manager, SMS Manager & Quality Manager

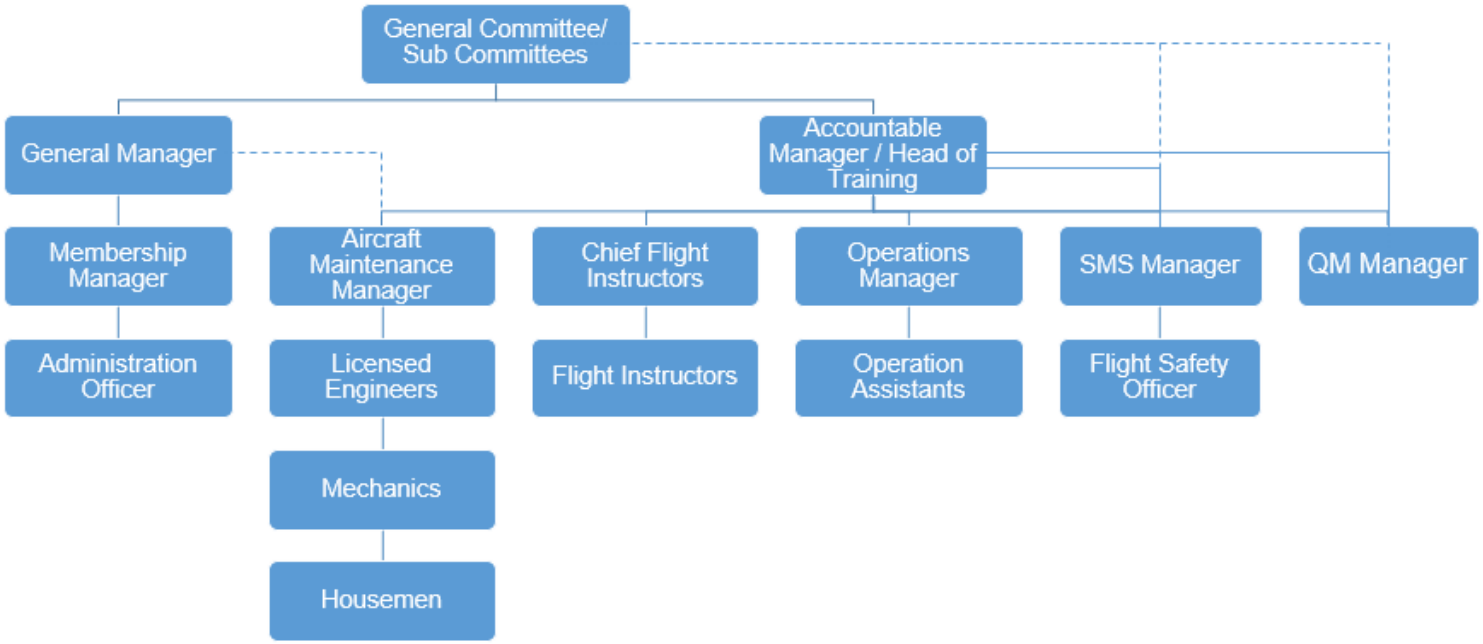
- Promote the Safety Management System
- Take responsibility for the functional and operational safety performance of the organisation
- Follow established safe working practices
- Conduct all operations with the highest possible regard for safety
- Report all hazards, irregularities, or anomalies in a timely manner
- Remain familiar with the clubs' Safety Management System
- Promote a positive safety culture
- Encourage hazard reporting throughout the HKAC

1.2.4 All Employees

- Remain compliant with all government and club safety policies and guidelines that relate to their day to day activities
- Conduct all operations with the highest possible regard for safety
- Report all hazards and anything with the potential to affect the safety of the club in a timely manner
- Remain familiar with the clubs' Safety Management System

1.3 Organogram

Note: Positions not linked vertically within this organogram are not indicative of relative seniority within the Company.



1.4 Hazard Reporting Policy

The Hong Kong Aviation Clubs primary goal is the identification of hazardous acts, or hazardous conditions that exist within, or may affect the club, staff, and members.

It has developed a hazard reporting system that encourages all employees and members to report any hazards that are identified without fear of reprisal.

It is the HKAC's policy that the person providing a safety related report will not be subject to punitive discipline, regardless of whether they were personally involved in the observation connected to the safety concern. The only cases where disciplinary action will be taken are when safety hazards reported are for illegal acts, acts of gross negligence, or a deliberate or willful disregard of regulations or procedures. The person filing the report has the right to remain anonymous but must understand that any investigation can be completed more efficiently when the investigator is able to ask questions which would enable deficiencies to be rectified in a more timely manner.

On occasion there may be a hazardous situation of low risk that is immediately addressed by operational personnel. In cases such as these, one of the personnel involved will complete a Hazard/Incident report that can be found in Appendix A as soon as practical. This will allow management to evaluate the corrective action to see if it is sufficient or whether further mitigations need to be developed and implemented.

1.5 Reporting Methods

Any safety related concerns or occurrences can be reported using any of the following methods:

- Direct face to face contact with the SMS Manager
- By phone to the SMS Manager (Connection can be completed through HKAC Operations)
- By email to the SMS Manager
- A completed Hazard Report delivered directly to the desk of the SMS Manager or one of the safety drop boxes
- Anonymously using a hazard report that is placed into one of the safety drop boxes

A hazard report will always be completed by either the person reporting or the SMS Manager with as much detail as possible.

The SMS Manager will as soon as possible start to investigate the safety related issue, develop, and implement mitigations and organise any awareness training as required.

Section 2

2.0 Safety Risk Management

Following the guidelines laid out by the CAD, ICAO and OSHA the HKAC has appointed appropriate personnel to form a Safety Review Board that will hold Safety Risk Management meetings in order to review identifiable hazards which the clubs employees and members may be subjected to as a result of the operations carried out each year. These hazards will be evaluated using the Safety Risk Management (SRM) process described in this section and will be completed once a year or as change dictates.

This process shall be applicable to the following operations:

- Flight operations – pleasure flying & instruction
- Dispatch – office Personnel
- Maintenance and inspection
- Ground handling and servicing

2.1 Safety Review Board (SRB)

The Hong Kong Aviation Clubs Safety Review Board is responsible for the oversight of safety at the club and will convene every 6 months as a minimum to review the Safety Action Group (SAG) meeting minutes along with any other safety related issues.

Safety Review Board meetings will include:

- Accountable Manager - (Chairman) will chair the meeting and have final say on risk assessment, and risk acceptance
- SMS Manager - (Safety Review Board Facilitator) will facilitate the meeting and keep parties on task
- Chief Flight Instructor (At least one or both) - (Board Member) will actively participate in each step of the safety risk management process by providing expert input and suggest courses of action
- Aircraft Maintenance Manager - (Board Member) will actively participate in each step of the safety risk management process by providing expert input and suggest courses of action
- Quality Manager – (Board Member) will actively participate in each step of the safety risk management process by providing expert input and suggest courses of action
- GC Member – (Board Member) will actively participate in each step of the safety risk management process by providing expert input and suggest courses of action

2.1.1 Safety Review Board Roles & Responsibilities

The SRB will meet every 6 months to review the following:

- SAG meeting minutes
- Staff training
- Safety Risk Management - A review of all operational assessments
- Hazard Reports and any subsequent mitigations
- Recent Accident/Incident investigations
- Any internal or external audits and associated findings
- The SMS Manual
- The ERP
- Management of Change

2.2 Safety Action Group (SAG)

The Hong Kong Aviation Club will form two separate Safety Action Groups that are divided between Operations and Engineering. They will receive direction from the Safety Review Board and will be made up as follows:

- Chief Flight Instructor (At least 1)/Aircraft Maintenance Manager - (Chairman) will chair their own department meeting.
- Group members – At least two members from the associated department (Operations/Engineering) will complete the team
- SMS Manager - (SAG Secretary & Facilitator) will document the minutes of the meeting to be archived.

2.2.1 Safety Action Group Roles & Responsibilities

The SAG will meet once per quarter to review the following:

- Oversight of safety within the department
- Promotion of hazard reporting and comprehensive analysis
- Implementation of corrective actions and mitigations
- Management of Change process is completed as necessary
- Performance Indicators
- Training and promotion within the department

2.3 Safety Risk Management Process

Safety risk management encompasses the assessment and mitigation of safety risks. The objective of safety risk management is to assess the risks associated with identified hazards and develop and implement effective and appropriate mitigations. Safety risk management is therefore a key component of the safety management process.

Safety risks are conceptually assessed using the risk matrix shown in Figure 1. below where conclusions will be made considering the probability and severity of the potential outcome. The resultant number will be colour coded into three categories:

- Red – Intolerable
  - Unacceptable under any circumstances and mitigation is required
- Yellow – Tolerable
  - Acceptable provided appropriate mitigation strategies are implemented by the organisation.
- Green – Acceptable
  - An assessment should still be made to see if there are any mitigations that can be implemented to reduce the risk even further

Figure 1.

Risk probability	Risk severity				
	Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent 5	5A	5B	5C	5D	5E
Occasional 4	4A	4B	4C	4D	4E
Remote 3	3A	3B	3C	3D	3E
Improbable 2	2A	2B	2C	2D	2E
Extremely improbable 1	1A	1B	1C	1D	1E

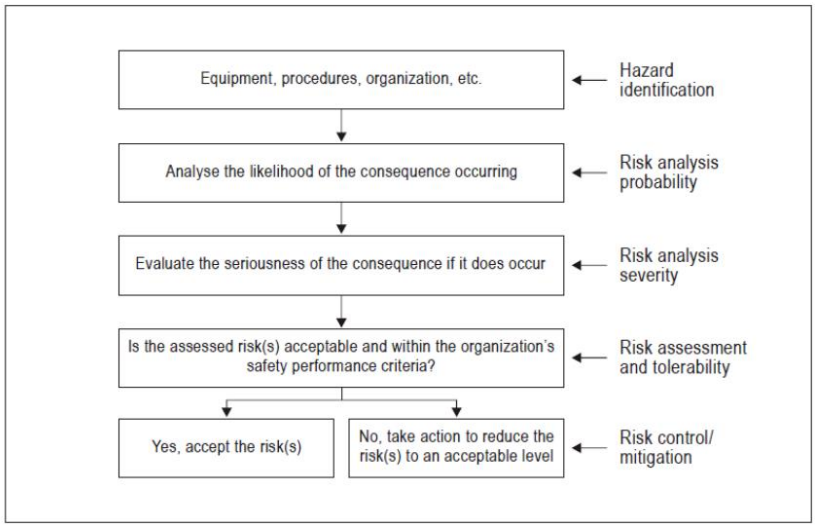
Severity of occurrences		
Aviation definition	Meaning	Value
Catastrophic	➢Equipment destroyed ➢Multiple deaths	A
Hazardous	➢Survivable Accident ➢Serious injury ➢Major equipment damage	B
Major	➢Serious incident ➢Injury to persons	C
Minor	➢Minor incident ➢Use of emergency procedures ➢Minor Equipment damage	D
Negligible	➢Little consequences	E

Probability of occurrence		
Qualitative definition	Meaning	Value
Frequent	Likely to occur many times *(has occurred frequently)*	5
Occasional	Likely to occur some times *(has occurred infrequently)*	4
Remote	Unlikely, but possible to occur *(has occurred rarely)*	3
Improbable	Very unlikely to occur *(not known to have occurred)*	2
Extremely improbable	Almost inconceivable that the event will occur	1

The Safety Risk Management Process will be run for the primary operations that are completed by the club such as flight training and flight reviews using the form shown in Appendix B. The documentation will be kept on file by the SMS Manager for reference and will be reviewed annually by the SRB. During this review the mitigations will be discussed to see whether there is anything to be added or removed. Any alterations will be formalised as an amendment and awareness training will be given to the relevant parties as necessary.

The flow chart shown in Figure 2. can be used as a reference when applying this process to applicable parts of the operation.

Figure 2.



2.4 Audit Program

Audit	Auditor	Frequency
SMS & Manual Review (Appendix G)	12 Months	SRB
ERP Manual Review	12 Months	SRB
Internal Audit (Operations Manual – Section 3)	6 Months	SMS
Internal Audit Review	6 Months	SRB

Section 3

3.0 Safety Assurance

The Hong Kong Aviation Club incorporates Internal Auditing and the collation of Key Performance Indicators to ensure that the SMS is operating according to expectations and requirements. The internal processes as well as the operating environment are monitored to detect changes or deviations that may introduce emerging safety risks or the degradation of existing risk controls. Such changes or deviations will then be addressed together with the safety risk management process.

The findings from industry accidents and incidents will also be assessed to identify whether the same contributing factors exist or have the potential to occur within the HKAC.

Safety assurance is achieved using continual analysis and employs three main processes that are detailed in this section. By paying close attention to the data that is generated it allows the HKAC to ensure that performance criteria is met and necessary action is implemented if systemic deficiencies are highlighted.

3.1 Reactive Process

Reactive means a response to an event such as an accident or incident where the SMS Manager will be in charge of conducting an investigation to identify the root cause and to determine what club policies or procedures if any, were insufficient in preventing such an occurrence. While the element of 'Human Error' will always exist, it is the goal of the SMS to provide enough mitigations to form a 'safety net' and reduce the severity or likelihood of such an occurrence. The investigation will commence using the assumption that all elements of the 'safety net' are insufficient until proven otherwise.

The SMS Manager will use the form as shown in Appendix C to conduct the investigation as follows:

- Gather as much information connected with the accident/incident as possible
- Interview any personnel either connected with the accident/incident or who the SMS Manager deems necessary to identify all the contributing factors
- Reconstruction of events
- Recommendations

Timelines and follow up actions

- A preliminary analysis will be completed and submitted to a recorded member of the SRB within 30 days from the date of the accident/incident.
- Upon receipt of the analysis the SRB will meet at their earliest convenience to discuss and implement any initial measures that are deemed necessary
    - As many SRB meetings will be held as is necessary to address any potential shortfalls in the clubs policies and procedures
- The SMS Manager will complete a full analysis within 90 days of the accident/incident or as soon as possible
- Any mitigations or procedural changes created as a response to the occurrence will be implemented as soon as practical, information disseminated and training organised as applicable

3.2 Proactive Process

Unlike reactive, there is more than one process that can be followed in terms of being proactive when identifying potential safety risks in the workplace.

3.2.1 Hazard Reporting

As detailed in 1.4 and 1.5 of this manual, the HKAC encourages all staff and members to report any hazardous acts or hazardous conditions that exist within, or may affect the club, staff and members.

It is the SMS Manager's responsibility to process any reports that are received in a timely manner. In order to establish a clear picture of events the author of the report (where a name is stated) will be contacted to verify the details and allow the SMS Manager to ask questions and ensure nothing has been missed.

3.2.2 Just Culture

It is the Hong Kong Aviation Club's policy to promote a strong Just Culture throughout the staff and members to aid in creating a safer environment for everyone. Just culture is defined as a non-punitive environment in which to conduct social and flying activities based on appropriate behaviour.

The HKAC accepts that human error exists and safety can be improved following an unsafe act or occurrence by disseminating the information and learning from the error. It also recognises that accidents and incidents may be as a result of a culture that has not adopted safety as its prime consideration.

A successful Just Culture provides an atmosphere of trust in which people are encouraged to provide essential safety-related information through the hazard reporting system and promotes a safe way of thinking, a resistance to complacency, a questioning attitude and encourages personal accountability and self-regulation by the HKAC in safety matters.

Actions that are found to be unintentional and not as a result of intentional violations will not be subject to disciplinary action.

In order to determine whether or not disciplinary action is appropriate there are clear boundaries between acceptable and unacceptable behavior illustrated in Appendix D This chart also acts as a guide to the levels of culpability and will be referenced when deciding on the appropriate course of action.

3.2.3 Auditing

Internal

Auditing is an efficient way to confirm that the HKAC is complying with club policies and procedures. Section 3 of the Operations Manual details the clubs internal audit schedule and will be completed by the SMS Manager or by a member of staff that is deemed competent by the SMS Manager. Upon audit completion and acceptance of the findings, any corrective actions should be implemented in a timely fashion.

External

The Hong Kong Aviation club will employ the services of an Industry professional to conduct an evaluation on a biennial basis. They will be tasked to identify any shortfalls in compliance and make any recommendations for the club to consider.

3.2.4 Safety Performance Indicators (SPI)

SPI's are used to compliment the auditing schedule, are assessed monthly by the SMS Manager and can be found in Appendix H. Current targets will be agreed by the Safety Review Board and then actioned by the SMS Manager.

If deficiencies are highlighted or SPI targets are not achieved and/or alert levels are breached, the SRB will identify the root cause using the Hazard Reporting system in Appendix A and decide on an appropriate course of action. Any adjustment to the safety targets that is deemed necessary will not be actioned until the beginning of the following calendar year.

3.2.4.1 Alert Levels

A colour code to highlight the Club's performance to date is used to provide a visual indication throughout the year with a view to obtaining 100% of target by December. Action is only required prior to an annual review if a target is exceeded and a red tile is shown. In this case the SRB will convene and decide on the appropriate course of action.

- Amber – Zero to 33% of Target
- Blue – 34% to 66% of Target
- Green – 67% to 100% of Target
- Red – Exceeds Target

3.3 Predictive

3.3.1 Management of Change

Change due to expansion and contraction as well as changes to existing systems, equipment, policies, programs, services, and regulations are all possible causes of a change to the existing baseline safety risk mitigation processes, and the potential catalyst for new hazards. In any of these circumstances the Management of Change Process will be actioned by the SMS Manager and discussed within the SRB using Appendix E.

Led by the Safety Review Board, any hazards resulting from change will be systematically identified, and strategies to manage the consequential safety risks will be developed and implemented prior to their introduction. Subsequent evaluations will be made to ensure that the mitigations are sufficient and do not need any adjustment.

Sound management of safety risks associated with change is a critical part of our Safety Management System.

Section 4

4.0 Safety Promotion

Safety Promotion is a set of means, processes and procedures that are used to develop, sustain, and improve aviation safety through raising awareness and changing behaviours. The overall culture of the staff and members is key to the health and safety of the club and the HKAC is committed to providing regular training and education to help maintain health and safety at the forefront of everyone's mind at all times.

4.1 Training & Education

All members of staff connected with flying activities will receive SMS awareness training as part of their induction which will incorporate content that is relevant to their position within the organisation. It will also include hazard reporting and the HKAC Safety Policy which requires acknowledgement from the employee along with a commitment to adopt the club's safety culture. Upon completion of the training Appendix F will be signed by the employee and SMS Manager.

Annual refresher training will be given by the SMS Manager that will include identified hazards and mitigations that have been implemented. Additional training that covers but is not limited to first aid and actions in the event of a fire will be mentioned and also organised on an annual basis.

To ensure acknowledgement of the key ingredients to the Safety Management System a multiple-choice test paper will be given with a pass mark of 70%.

Club Members – All members will receive awareness training as part of their induction and encouraged to adopt the club's safety culture. The Safety Policy will be covered along with the different methods for completing and submitting a Hazard Report.

SMS Manager – A recognized SMS program course provider will conduct initial training for the SMS Manager. Recurrent training should be conducted every 36 months. Candidates for the SMS Manager position shall have aviation and/or safety experience sufficient to provide background knowledge for the position.

4.2 Safety Communication

The Hong Kong Aviation Club believes that communication is vital when it comes to safety critical information and incorporates several ways to disseminate pertinent information such as changes in policy, procedures, and newly discovered hazards, new techniques to avoid hazards or other safety related issues. Methods include posting on the safety notice board, Flight Crew Notice (FCN), e-mails to all staff, newsletters, or discussion in SRB meetings.

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Section 5

5.0 Emergency Response Plan

The Hong Kong Aviation Clubs Emergency Response Plan (ERP) has been written to provide a step by step procedure in the event of an accident, incident or overdue aircraft that helps to remove confusion in a heated situation. All details concerning the ERP can be found in the separate publication 'The ERP Manual'.

5.1 Training & Education

The ERP is included within the initial training program for all new employees. Additional more specific training will be given where the staff member is assigned a role within the Emergency Response Team (ERT).

The HKAC will perform at least one run through of the plan per year that may either be a live role play or a desk top reading involving as many members of staff as possible.

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Hazard/Incident Reporting Form | Report Number:

1. Name	2. Location	3. Date

4. **Nature of Report** (Please tick.)
☐ Hazard ☐ Incident

5. Description of the Hazard/ Incident

6. Proposed Solution

7. Mark all of the following that you believe to be contributing factors:

- ☐ Wind
- ☐ Rain
- ☐ Slippery Surface
- ☐ Tall Grass
- ☐ Unstable Ground
- ☐ Trip Hazard
- ☐ Heat
- ☐ Lack of training
- ☐ Non-compliance with established procedure
- ☐ Procedure does not exist
- ☐ New tool or equipment
- ☐ New or changed task
- ☐ Lack of planning
- ☐ Failed to communicate
- ☐ Equipment malfunction
- ☐ Physical Health
- ☐ Fatigue
- ☐ Peer pressure
- ☐ Personal unrelated problem
- ☐ Stress
- ☐ Lack of managerial support
- ☐ Insufficient staff
- ☐ Twisting, Bending, Kneeling
- ☐ Blameless error
- ☐ Negligent behaviour
- ☐ Others (Please specify.): _____

FOR OFFICE USE

8. Department Notification

- ☐ Management
- ☐ Operations
- ☐ Engineering
- ☐ CAD
- ☐ Manufacturer
- ☐ Others (Please specify.): _____

9. Solution	
10. By whom	**11. Implementation Date**

12. Follow Up Y/N	
Report Closed	
13. Name	**14. Date**

Safety Risk Management Process Form

1. Author	2. Date

3. Hazard	4. Initial Risk	5. Mitigation	6. Residual Risk

7. Mitigations Actioned by	8. Action Date

9. Mitigations Verified by	10. Date

Acceptance: to be completed by the Accountable Manager	
11. Acceptance Signature	12. Date

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Accident/ Incident Form

1. Author	2. Date

3. Date of Accident/ Incident	4. Location

5. Overview of the Event

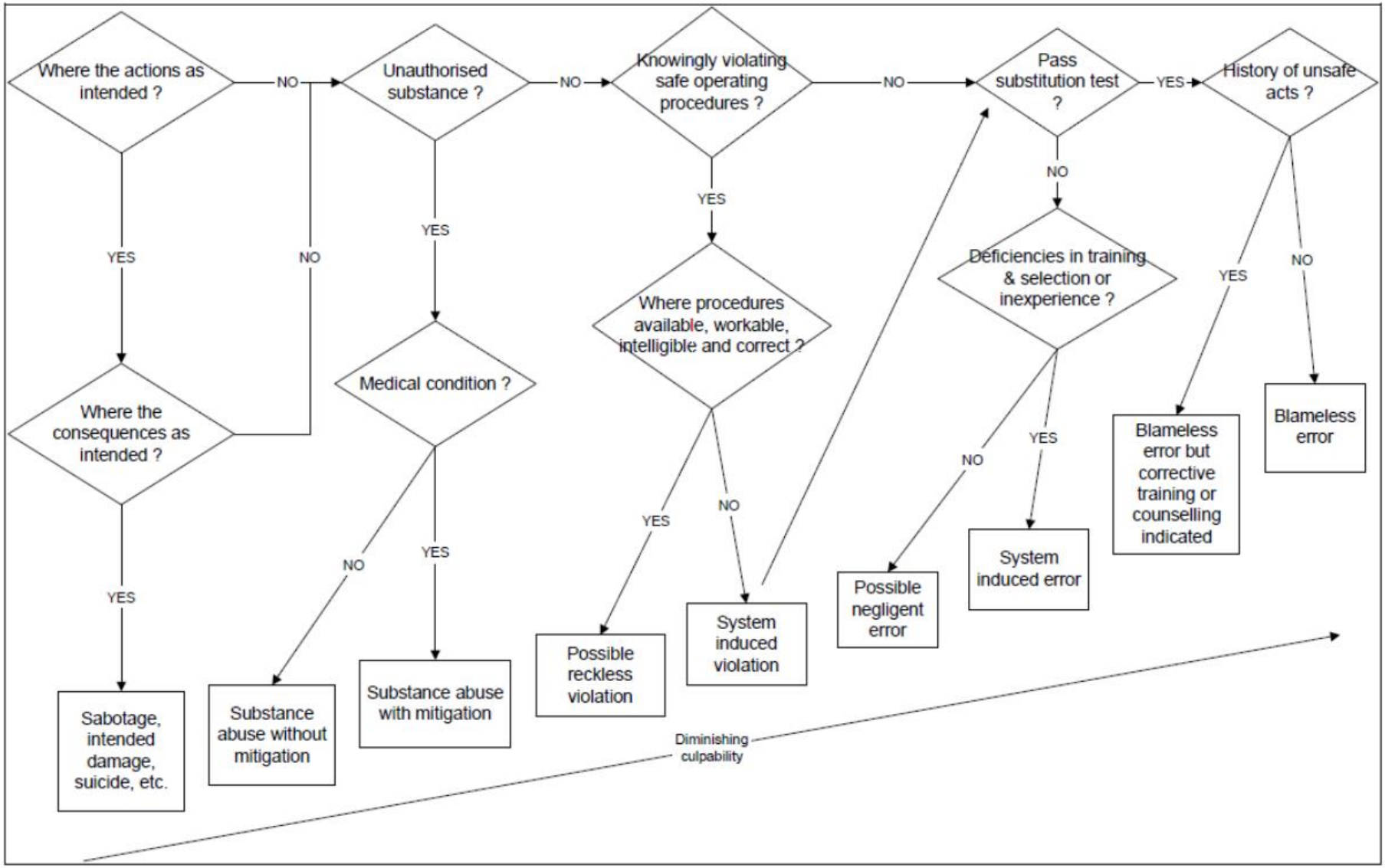
6. Possible Causes

7. Recommendations

8. Submitted to the SRB by	9. Submission Date

10. Name of Recipient	11. Receipt Date

Behaviour Assessment Form



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Management of Change

1. Initiator	No. / / 01 YYYY MM DD

2. **Title** – Assign title to the change

1

3. **Current Situation** – Description of the current situation to be changed

4. **Proposal** – Description of the proposed change

5. **Affected Persons** – Management, persons affected and sources of information	
Department/Source of Information	**Name**

6. Risk Identification & Assessment Matrix

Evaluate hazards according to the Hong Kong Aviation Club Risk Assessment procedure.

No.	Hazard	Possible consequences of Hazard	Risk Rating	Controls and Mitigation	ALARP	Residual Risk	Further Controls / Mitigation
1							
2							
3							

No.	Further Action	Commence date	Time Required	Finish Date	Complete
1					
2					
3					
4					

7. Conclusions:			
Check boxes that have been completed:			
☐ Current situation has been identified ☐ Description of the proposed change has been issued ☐ All Management, persons affected, and sources of information have been consulted ☐ Reasonable risks have been identified and assessed according to the HKAC procedures and the results are attached. ☐ A plan of action detailing steps to achieve the mitigation steps has been created			
Summery – description of the change case, risk assessments, and evidence to show that the plan of action was actioned and the residual risks are acceptable to the Accountable Manager.			
Name:		Date:	

8. Declaration: To be signed by the Accountable Manager			
I have reviewed this management of change and I am satisfied that it has been carried out according to the HKAC practice. ☐ I accept the residual risks of the proposed changes, and I approve the implementations as per this document. ☐ I do not approve the changes as outlined in this document and attach my concerns herein.			
Accountable position:			
Name:			
Signed:		Date:	

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SMS Training Form

1. Acknowledgement
I am signing to acknowledge the following: ➢ I have read and understood the club's *Safety Policy*; ➢ I have read and understood the different ways to report a safety issue; ➢ I agree to become an active part in promoting the club's *Safety Culture*.

2. Name	3. Signature	4. Date

5. SMS Manager Signature	6. Date

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SMS GAP ANALYSIS CHECKLIST

Aspects to be analysed or question to be answered	*Answer*	*Evidence / Remarks*
Component 1 – SAFETY POLICIES AND OBJECTIVES		
Element 1.1 – Management commitment and responsibility		
Is there a safety policy in place?	☐ Yes ☐ No ☐ Partial	
Does the safety policy reflect senior management's commitment regarding safety management?	☐ Yes ☐ No ☐ Partial	
Is the safety policy appropriate to the size, nature and complexity of the Organisation?	☐ Yes ☐ No ☐ Partial	
Is the safety policy relevant to aviation safety?	☐ Yes ☐ No ☐ Partial	
Is the safety policy signed by the accountable executive?	☐ Yes ☐ No ☐ Partial	
Is the safety policy communicated, with visible endorsement, throughout the Organisation?	☐ Yes ☐ No ☐ Partial	
Is the safety policy periodically reviewed to ensure it remains relevant and appropriate to the Organisation?	☐ Yes ☐ No ☐ Partial	

Element 1.2 – Safety accountabilities		
Has Organisation identified an accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the Organisation, for the implementation and maintenance of the SMS?	☐ Yes ☐ No ☐ Partial	
Does the accountable executive have full control of the financial and human resources required for the operations authorised to be conducted under the operations certificate?	☐ Yes ☐ No ☐ Partial	
Does the Accountable Executive have final authority over all aviation activities of his/her Organisation?	☐ Yes ☐ No ☐ Partial	

Has Organisation identified and documented the safety accountabilities of management as well as operational personnel, with respect to the SMS?	☐ Yes ☐ No ☐ Partial	
Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?	☐ Yes ☐ No ☐ Partial	
Is the safety committee chaired by the accountable executive or by an appropriately assigned deputy, duly substantiated in the SMS manual?	☐ Yes ☐ No ☐ Partial	
Does the safety committee include relevant operational or departmental heads as applicable?	☐ Yes ☐ No ☐ Partial	
Are there safety action groups that work in conjunction with the safety committee?	☐ Yes ☐ No ☐ Partial	

Element 1.3 – Appointment of key safety personnel		
Has the Organisation appointed a qualified person to manage and oversee the day-to-day operation of the SMS?	☐ Yes ☐ No ☐ Partial	
Does the qualified person have direct access or reporting to the accountable executive concerning the implementation and operation of the SMS?	☐ Yes ☐ No ☐ Partial	
Does the manager responsible for administering the SMS hold other responsibilities that may conflict or impair his/her role as SMS manager?	☐ Yes ☐ No ☐ Partial	
Is the SMS manager's position a senior management position not lower than or subservient to other operational or production positions	☐ Yes ☐ No ☐ Partial	

Element 1.4 – Coordination of emergency response planning		
Does the Organisation have an emergency response/contingency plan appropriate to the size, nature and complexity of the Organisation?	☐ Yes ☐ No ☐ Partial	
Does the emergency/contingency plan address all possible or likely emergency/crisis scenarios relating to the Organisation's aviation product or service deliveries?	☐ Yes ☐ No ☐ Partial	
Does the Emergency Response Plan (ERP) include procedures for the continuing safe production, delivery or support of its aviation products or services during such emergencies or contingencies?	☐ Yes ☐ No ☐ Partial	

Is there a plan and record for drills or exercises with respect to the ERP?	☐ Yes ☐ No ☐ Partial	
Does the ERP address the necessary coordination of its emergency response/contingency procedures with the emergency/response contingency procedures of other Organisations where applicable?	☐ Yes ☐ No ☐ Partial	
Does the Organisation have a process to distribute and communicate the ERP to all relevant personnel, including relevant external Organisations?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?	☐ Yes ☐ No ☐ Partial	

Element 1.5 – SMS documentation		
Is there a top-level SMS summary or exposition document which is approved by the accountable manager and accepted by the CAD?	☐ Yes ☐ No ☐ Partial	
Does the SMS documentation address the Organisation's SMS and its associated components and elements?	☐ Yes ☐ No ☐ Partial	
Is the Organisation SMS framework in alignment with CAD/the regulatory SMS framework?	☐ Yes ☐ No ☐ Partial	
Does the Organisation maintain a record of relevant supporting documentation pertinent to the implementation and operation of the SMS?	☐ Yes ☐ No ☐ Partial	
Does the Organisation have an SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?	☐ Yes ☐ No ☐ Partial	
Does the SMS implementation plan address the coordination between the service provider's SMS and the SMS of external Organisations where applicable?	☐ Yes ☐ No ☐ Partial	
Is the SMS implementation plan endorsed by the accountable executive?	☐ Yes ☐ No ☐ Partial	

Component 2 –SAFETY RISK MANAGEMENT		
Element 2.1 – Hazard identification		
Is there a process for voluntary hazards/threats reporting by all employees?	☐ Yes ☐ No ☐ Partial	
Is the voluntary hazard/threats reporting simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider?	☐ Yes ☐ No ☐ Partial	
Does the Organisation safety date collection and processing system include procedures for incident/accident reporting by operational or production personnel?	☐ Yes ☐ No ☐ Partial	
Is incident/accident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider?	☐ Yes ☐ No ☐ Partial	
Does the Organisation have procedures for investigation of all reported incidents/accidents?	☐ Yes ☐ No ☐ Partial	
Are there procedures to ensure that hazards/threats identified or uncovered during incident/accident investigation processes are appropriately accounted for and integrated into the Organisation's hazard collection and risk mitigation procedure?	☐ Yes ☐ No ☐ Partial	
Are there procedures to review hazards/threats from relevant industry reports for follow-up actions or risk evaluation where applicable?	☐ Yes ☐ No ☐ Partial	

Element 2.2 – Safety risk assessment and mitigation		
Is there a documented hazard identification and risk mitigation (HIRM) procedure involving the use of objective risk analysis tools?	☐ Yes ☐ No ☐ Partial	
Is the risk assessment reports approved by departmental managers or at a higher level where appropriate?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for periodic review of existing risk mitigation records?	☐ Yes ☐ No ☐ Partial	
Is there a procedure to account for mitigation actions whenever unacceptable risk levels are identified?	☐ Yes ☐ No ☐ Partial	
Is there a procedure to prioritise identified hazards for risk mitigation actions?	☐ Yes ☐ No ☐ Partial	

Is there a programme for systematic and progressive review of all aviation safety-related operations, processes, facilities and equipment subject to the HIRM process as identified by the Organisation?	☐ Yes ☐ No ☐ Partial	

Component 3 –SAFETY ASSURANCE		
Element 3.1 – Safety performance monitoring and measurement		
Are there identified safety performance indicators for measuring and monitoring the safety performance of the Organisation's aviation activities?	☐ Yes ☐ No ☐ Partial	
Are the safety performance indicators relevant to the Organisation's safety policy as well as management's high-level safety objectives / goals?	☐ Yes ☐ No ☐ Partial	
Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?	☐ Yes ☐ No ☐ Partial	
Is the setting of alert levels or out-of-control criteria based on objective safety metrics principles?	☐ Yes ☐ No ☐ Partial	
Do the safety performance indicators include quantitative monitoring of high-consequence safety outcomes (e.g. accident and serious incident rates) as well as lower-consequence events (e.g. rate of non-compliance, deviations)?	☐ Yes ☐ No ☐ Partial	
Are safety performance indicators and their associated performance settings developed in consultation with, and subject to, CAD's agreement?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for corrective or follow-up action to be taken when targets are not achieved and alert levels are exceeded/ breached?	☐ Yes ☐ No ☐ Partial	
Are the safety performance indicators periodically reviewed?	☐ Yes ☐ No ☐ Partial	

Element 3.2 – The management of change		
Is there a procedure for review of relevant existing aviation safety-related facilities and equipment (including HIRM records) whenever there are pertinent changes to those facilities or equipment?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for review of relevant existing aviation safety-related operations and processes (including any HIRM records) whenever there are pertinent changes to those operations or processes?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for review of new aviation safety-related operations and processes for hazards/risks before they are commissioned?	☐ Yes ☐ No ☐ Partial	
Is there a procedure for review of relevant existing facilities, equipment, operations or processes (including HIRM records) whenever there are pertinent changes external to the Organisation such as regulatory/industry standards, best practices or technology?	☐ Yes ☐ No ☐ Partial	

Element 3.3 – Continuous improvement of the SMS		
Is there a procedure for periodic internal audit/assessment of the SMS?	☐ Yes ☐ No ☐ Partial	
Is there a current internal SMS audit/assessment plan?	☐ Yes ☐ No ☐ Partial	
Does the SMS audit plan include the sampling of completed/existing safety risk assessments?	☐ Yes ☐ No ☐ Partial	
Does the SMS audit plan include the sampling of safety performance indicators for data currency and their target/alert settings performance?	☐ Yes ☐ No ☐ Partial	
Does the SMS audit plan cover the SMS interface with subcontractors or customers where applicable?	☐ Yes ☐ No ☐ Partial	
Is there a process for SMS audit/assessment reports to be submitted or highlighted for the accountable manager's attention where appropriate?	☐ Yes ☐ No ☐ Partial	

Component 4 – SAFETY PROMOTION		
Element 4.1 – Training and education		
Is there a programme to provide SMS training/familiarisation to personnel involved in the implementation or operation of the SMS?	☐ Yes ☐ No ☐ Partial	
Has the accountable executive undergone appropriate SMS familiarisation, briefing or training?	☐ Yes ☐ No ☐ Partial	
Are personnel involved in conducting risk mitigation provided with appropriate risk management training or familiarisation?	☐ Yes ☐ No ☐ Partial	
Is there evidence of Organisation-wide SMS education or awareness efforts?	☐ Yes ☐ No ☐ Partial	

Element 4.2 – Safety communication		
Are the Organisation SMS manual and related guidance material accessible or disseminated to all relevant personnel?	☐ Yes ☐ No ☐ Partial	
Is there evidence of a safety (SMS) publication, circular or channel for communicating safety (SMS) matters to employees?	☐ Yes ☐ No ☐ Partial	
Does the Organisation participate in sharing safety information with relevant external industry product and service providers or Organisations, including the relevant aviation regulatory Organisations?	☐ Yes ☐ No ☐ Partial	

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HKAC Safety Performance Targets and Indicators 2020

Performance Indicator	Targets	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Hazard Reports	≥ 5												
Number of Accidents	0												
Number of Incidents	0												
No. of Workplace Injuries	0												
Maintenance-Avoidable MOR Case [*by Engineering*]	≤ 2												
No. of level 2 findings from either Internal or HKCAD audits	≤ 2												

Alert Levels:

Month													
#	Zero to 33% of target	#	34% to 66% of target	#	67% to 100% of target	#	Exceeds Target

Note: The above colour coding is to highlight the Club's performance to date and provides a visual indication throughout the year with a view to obtaining 100% of target by December. Action is only required prior to an annual review if a target is exceeded and a red tile is shown. In this case the SRB will convene and decide on the appropriate course of action.

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