Royal Aero Club Records
Racing and Rally Association

Safety Management System

SMS Manual

Issue 2.1 – March 2019

CHANGE LOG

Version	Change/Removed/Added	DATE
1.0	Initial Issue	July 2017
2.0	Major re-write after SMS 1.0 Review – See Management of Change 25 February 2018 (hard copy only)	March 2018
2.1	Change: Appendix D – Risk Register - Reviewed Minor editorial to align with Ops Manual template Removed: Appendix E – Safety Procedures moved to Ops Manual Part B – Standard Operating Procedures Added: Standard Press Release to the Emergency Response Plan Template at Appendix B Appendix E – Safety Report Processing Guide	March 2019

Notes:

Discrepancies. Where there is a discrepancy, between the 3R's Rules, Operations Manual and this SMS, the more restrictive source will apply and the Safety Manager should be made aware of the difference at safety@royalaeroclubrrra.co.uk

Wording: The use of "shall" and "must" implies that the aspect concerned is mandatory, the use of "should" implies a non-mandatory recommendation, "may" indicates what is permitted and "will" indicates what is going to happen. Words of masculine gender should be taken as including the feminine gender unless the context indicates otherwise.

Note to Auditors. To obtain a broader understanding of Handicapped Air Racing it is recommended to review the latest edition of the 3Rs Air Racing Handbook (Operations Manual Part D Section 2).

1 INTRODUCTION

1.1 What is a Safety Management System

A Safety Management System (SMS) is an organised approach to managing safety. It sets out the 3Rs's structure, identifies the accountabilities and responsibilities of key staff members, and documents the policies and procedures to manage safety effectively.

An effective SMS allows the hazards and risks that could affect the 3Rs's activities to be identified, assessed and prioritised so that appropriate mitigation procedures can be put in place to reduce the risks to as low as reasonably practicable (ALARP), and subsequently monitor the effectiveness of those procedures. It will also enable a clearly documented audit trail for the resolution of unacceptable risks that might arise, and decisions that have been made with regard to operations; ensuring corporate knowledge is retained between generations of membership.

A risk may be described as ALARP if you have taken all reasonable action to mitigate the risk and the cost (in terms of time, effort and money) of taking further action would be 'grossly disproportionate' to any further reduction in the level of risk. Reducing the risk to ALARP does not mean that the risk has been eliminated, as some level of risk still remains; however, the 3Rs has accepted that remaining level of risk.

1.2 Key Elements of the Safety Management System?

The Safety Management System is set out in a 'stand alone' document (this SMS Manual). This document is available to all members and they are required to acquaint themselves with it. The 3Rs SMS consists of the following key elements:

1.2.1 Safety Policy and Objectives

- Management commitment and responsibility: The Safety Policy
- Safety accountabilities and responsibilities
- Appointment of key staff members
- Emergency response planning
- SMS documentation: How documentation produced by the system is created, stored, and destroyed.

1.2.2 Safety Risk Management

Safety Risk Management can be split into three areas:

- Hazard identification: the process by which potential hazards are identified (Primarily via YOUR Reports)
- Risk Assessment and Mitigation: the risk of those hazards is assessed, both in terms of severity and likelihood of occurrence, and where necessary, mitigating actions are identified and enacted to reduce the risk to an acceptable level, and

- Safety Investigation: the process of internal investigation of occurrences to establish causes leading to events and identifying underlying hazards or trends so as to avoid future such occurrences.

1.2.3 Safety Assurance

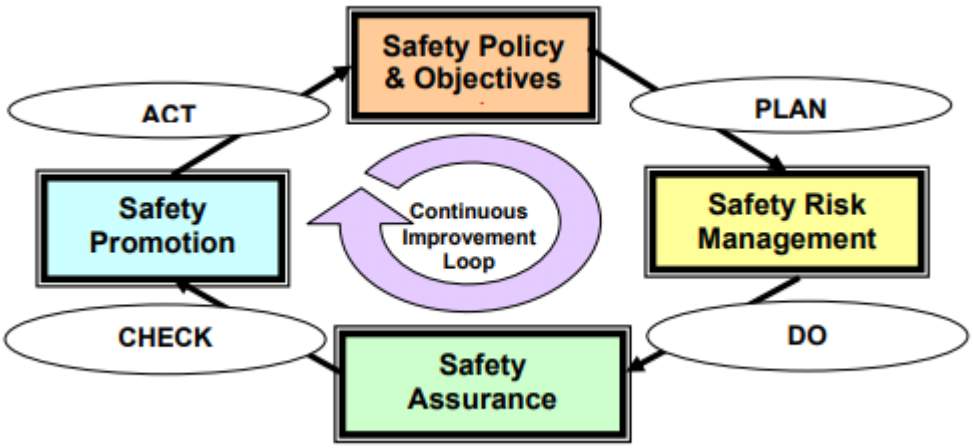
The three aspects of safety assurance are:

- Safety performance monitoring, measurement and review: the process of periodic audit and review
- The management of change: monitoring any potential changes to the operation and subjecting that change to the hazard identification and risk assessment process, and
- Continuous improvement of the safety system: periodic review to ensure continuous improvement

1.2.4 Safety Promotion

- Training: a training briefing will be provided to all officials and competitors. More detailed training can be provided where appropriate.
- Communication: details of all incidents, hazard identification and risk assessment, together with reasons for any decisions, and any other safety critical information will be promulgated to all officers and members.

1.2.5 **Continuous Improvement.** The key elements of the SMS described above can be seen as a continuous improvement loop as follows:



2 SAFETY POLICY AND OBJECTIVES

Handicapped air racing is an exciting sport that, with the full knowledge and sanction of the CAA, allows pilots to fly their aircraft in ways they would not normally encounter in General Aviation.

Safety considerations will always take precedence over other aspects of the Association's business, and the Association is fully committed to a process of continuous review of, and improvement to, its methods of management and operation.

As the Chairman and Accountable Officer of the Royal Aero Club Records Racing and Rally Association, it is my responsibility to ensure the safety of all our races and events.

I will ensure that adequate resources and training are provided to manage safety effectively.

We encourage all our members and supporters to report safety events or potential hazards however insignificant they may consider them at the time.

We have an open reporting culture that encourages free and frank reporting through a Just Culture.

We strive to:

- Achieve an accident and incident free environment at our events
- Create an effective safety management system and to continually improve it.
- Fully comply with the statutory national and international regulations that apply to us.

These are our objectives and they are for the benefit of the club, its members and its supporters. To this end, the Officers and Members of the Royal Aero Club Records Racing and Rally Association have a shared responsibility to achieve these objectives.

Safety is everyone's responsibility.

Tim Wassell
Chairman & Accountable Manager
RRRA

March 2019

3 SAFETY ORGANIZATION

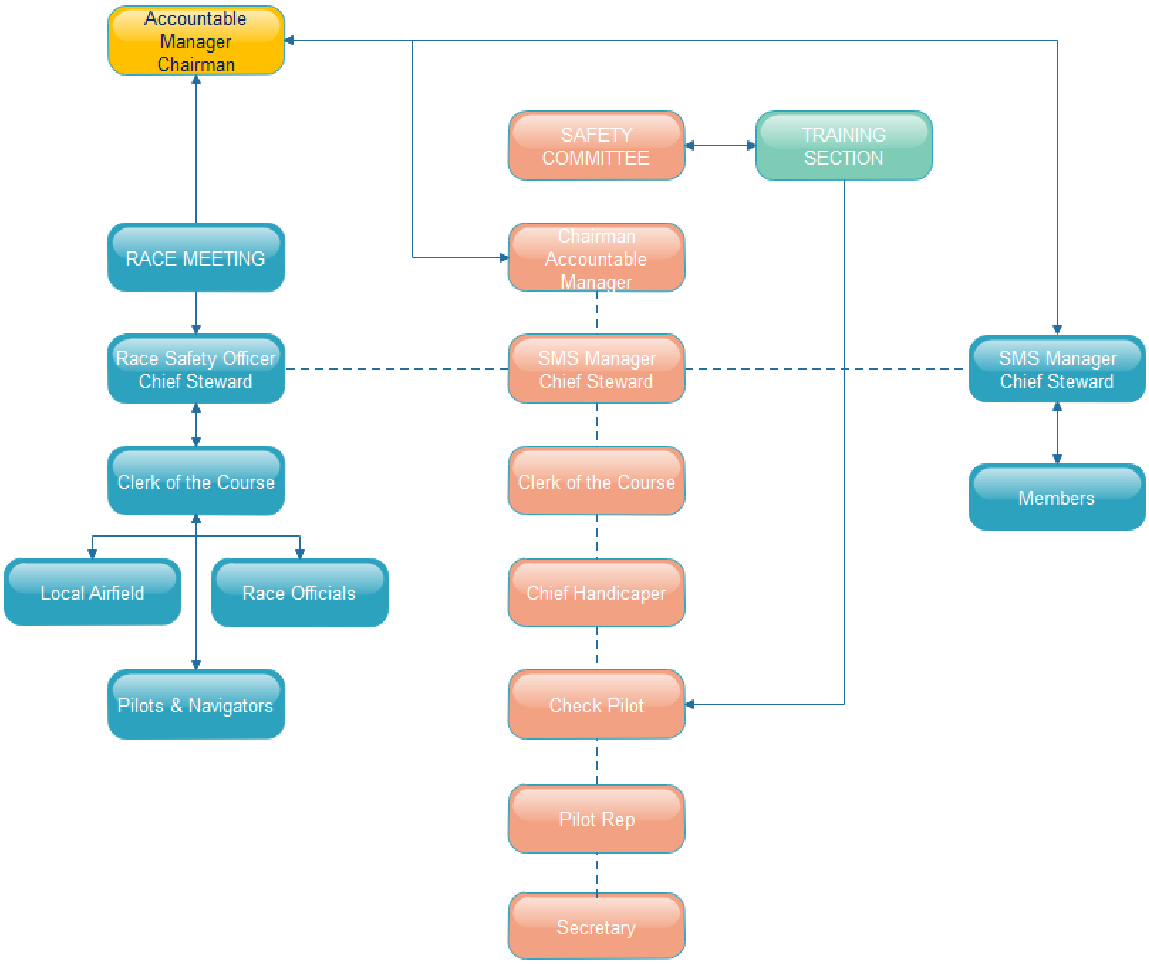
3.1 Scope

To achieve safety objectives during periods of operations the 3Rs consider the following:

- Safety of race pilots and navigators (active)
- Safety of race officials (active)
- Safety of the host airfield (active)
- Safety of general public not controlled by 3Rs or the host airfield (passive)

We have set up a safety organization with clearly defined responsibilities to ensure those who are active in our operation are involved and those who are passive are fully considered.

3.2 Accountabilities and Responsibilities



3.2.1 Accountable Manager

The Accountable Manager shall be the Chairman of the Association, as elected by the Committee. The Accountable Manager shall have the ultimate accountability for safety.

3.2.2 Safety Manager

The Safety Manager is appointed by the Accountable Manager. Unless there are extenuating circumstances, the Safety Manager shall normally be the Chief Steward as elected by the membership.

The Safety Manager shall act as a focal point and be responsible for the development, maintenance and promotion of an effective safety management system. The safety manager shall report directly to the accountable manager.

The safety manager shall carry out the following functions:

- Manage the SMS implementation plan on behalf of the accountable manager;
- Facilitate the risk management process that should include hazard identification, risk assessment and risk mitigation;
- Monitor corrective actions to ensure their accomplishment;
- Provide periodic reports on safety;
- Maintain safety management documentation;
- Ensure that there is safety management training available and that it meets acceptable standards;
- Provide advice on safety matters;
- Initiate and participate in occurrence / accident investigations;
- Collate, understand and disseminate information from other similar organizations and the regulator.
- When required, form a SMS Sub-Committee of advisors to assist with the development of the SMS and procedures in line with industry best practice.

3.2.3 Race Safety Officer

The Race Safety Officer (RSO) shall be the Chief Steward, or in their absence from a race meeting, the appointed senior Steward for the race. They shall be the officer delegated with responsibility for safety during any race that is organised under the auspices of the 3Rs, in accordance with the 3Rs Operations Manual.

3.2.4 Safety Committee

The Safety Committee (SC) is a high-level committee that considers strategic safety functions. The Accountable Manager should be actively involved in the SC and shall chair the meeting.

The SC shall meet not less than twice a year; firstly, prior to the first race meeting once all venues have been confirmed, and secondly after the final

race of the season with a view to reporting to the main Committee at the autumn meeting. Other meetings may be convened if circumstances dictate.

The SC shall comprise:

- Accountable Manager (Chair)
- Safety Manager / Chief Steward
- Clerk of the Course
- Chief Handicapper
- Check Pilot
- Pilot Representative
- The Aviation Secretary, if available, to take minutes.

The SC monitors:

- Safety performance against the safety policy and objectives;
- Effectiveness of the SMS;
- Effectiveness of the safety oversight of host airfields;
- Corrective or mitigating actions are being taken in a timely manner;
- Reviewing the Risk Register;
- Reviewing progress against SPIs;
- Giving strategic direction to Safety Action Groups;
- Ensuring that appropriate resources are allocated to achieve safety performance.

3.2.5 Safety Action Groups

A Safety Action Group (SAG) may be established as an ad-hoc group to assist or act on behalf of the Safety Committee.

A SAG might be convened to review, for example, an occurrence/safety report, or the safety case for a particular course/venue.

The SAG shall be chaired by the Safety Manager, or in his absence during a race event, the designated Race Safety Officer. Other members shall be appointed as appropriate for the task, and should include at least one race pilot, one other Safety Committee member, and representatives from any external organizations relevant to the SAG (eg, airfield safety manager, ATSU, emergency services, ground support team).

The SAG oversees and reviews:

- Operational effectiveness of the safety risk management processes;
- Appropriate resolution and mitigation to identified risks;
- Assesses the impact of Operational changes on Safety;

The Chair will present each safety report individually for discussion. If a number of reports have been received relating to one topic, then they will all be considered together.

Occurrences, potential occurrences, hazards and other items reported on will be subject to a risk assessment, which will ideally have been carried out by the appropriate SAG member prior to the meeting. If the risk assessment has not been carried out prior to the meeting, a risk assessment will be carried out at the meeting if necessary, or afterwards if the process is likely to take too long. If the risk has previously been assessed, it shall be re-assessed to include the new report. The result of the risk assessment will be recorded on the rear of the report (Appendix C.1)

If there is a disagreement about what action should be taken, a majority vote will be accepted. If there is no majority, the options will be presented to the Chairman who will determine the course of action. In the event that the Chairman is not present at the meeting, the SMS Manager will ask him for his decision at the earliest opportunity.

After the meeting, the SMS manager will, if appropriate, advise the relevant officials of the actions that have been agreed upon. There may be a requirement for a new procedure, or amendment to an existing one.

In order to ensure that the actions decided upon are carried out, the SMS manager will record the following details for each item:

<table>
<tr><td>SMS Item No.</td><td></td><td rowspan="2">Status
[OPEN / CLOSED]</td></tr>
<tr><td>Occurrence</td><td></td></tr>
<tr><td>Remedial Action Taken</td><td></td><td rowspan="2">Current Risk Rating:
Severity: [1-5]
Likelihood: [1-5]</td></tr>
<tr><td>Root Cause</td><td></td></tr>
<tr><td>Categorisation</td><td>[eg, Pilot Error / Mechanical / ATC / Procedure / Airprox / Infringement]</td><td rowspan="2">Revised Risk:
Severity: [1-5]
Likelihood: [1-5]</td></tr>
<tr><td>Actions Required</td><td></td></tr>
</table>

The SMS Manager will carry out follow up work and confirm the action has been completed. The whole process will be completed when the required change has been carried out, (should one be needed), and he has filled in on the Record Log the date that the change is made or incorporated and the Report closed. The Record Log and Minutes will be available at every meeting.

It may be required from time to time that action taken by the SAG will need to be reviewed. This may be due to a new report on a previously resolved item or as agreed follow up action.

3.3 Emergency Response Planning

An Emergency Response Plan (ERP) should be established that provides the actions to be taken by the 3Rs or individuals in an emergency. The emergency response plan should be integrated into the SMS and reflect the size, nature and complexity of the activities performed by the 3Rs.

Where organizations, such as aerodromes, are subject to other ERP requirements these should be adhered to and may be cross referred to. In many cases there will be a need for liaison with other relevant parties to agree coordination of emergency response arrangements and testing of the plan.

The ERP should ensure:

- An orderly and efficient transition from normal to emergency operations;
- Designation of emergency authority and responsibilities;
- Authorisation by key personnel for actions contained in the plan;
- Coordination with other organizations;
- Safe continuation of operations or return to normal operations as soon as practicable.

The ERP should set out the responsibilities, roles and actions for the various agencies and personnel involved in dealing with emergencies. It may include checklists and contact details and the ERP should be regularly reviewed and tested. Key personnel should have easy access to the ERP at all times.

As many of the details regarding agencies and personnel and their actions-on will change from race venue to venue, the ERP must be tailored to each event. Whilst the core procedures for the 3Rs and officers may be contained in a master document, at minimum an annex detailing the names and contact details of nominated persons, host airfield staff/ATCU, local agencies, emergency services and hospitals, and any event-specific procedures/agreed between such entities during planning shall be produced. A hard copy of this interface document shall be provided to the host airfield and all race officials assigned with emergency responsibilities. At least one hard copy of the entire ERP shall be located in the race Office.

3.4 Documentation Control

All aspects of the SMS should be clearly documented in order to keep an accurate record of why decisions were made, why actions were taken and why any changes were implemented. Documentation shall be controlled and in a suitable format so that it can be clearly understood by everyone in the 3Rs, any third party organizations and the CAA.

The documentation produced by the SMS includes:

- SMS Manual;
- Emergency Response Plan;
- Risk Register;
- Safety reports, Hazard Assessment Forms;

- Audit log;
- Meeting minutes;
- Risk assessments

The Safety Manager shall securely keep Safety Reports. All other documentation should be available to association members on the intranet, and to external organizations on request.

4 SAFETY RISK MANAGEMENT

The safety risk management process starts with identifying the hazards affecting the safety of the 3Rs and then assessing the risks associated with the hazards in terms of likelihood (what is the likelihood of the risk happening?) and severity (if the risk occurs how bad will it be?). Once the level of risk is identified, appropriate remedial action or mitigation measures can be implemented to reduce the level of risk to as low as reasonably practicable. The implemented mitigation measures should then be monitored to ensure that they have had the desired effect.

4.1 Hazard Identification

Hazards already identified by the 3Rs are at the Risk Register at Appendix D and Standard Operating Procedures to mitigate them are in the Operations Manual (Part B)

4.2 Reporting

Hazards not already identified should be reported on a Safety Report Form, found at Appendix C and available at each race meeting, and either the Safety Committee, or Safety Action Group, will carry out a risk assessment as described in the next paragraph and the details recorded on the rear of the Safety Report. The report should be given to the Safety Manager as soon as possible and can also be emailed to safety@royalaeroclubrrra.co.uk

4.3 Risk Assessment and Mitigation

The 3R's shall adopt a 5 step model for risk assessment and mitigation:

- Identify the hazards
- Decide who might be harmed and how
- Evaluate the risks and decide on precautions
- Record our findings
- Review and update periodically or following a safety incident report.

To assist with objectively undertaking step 3, the 3R's will adopt the following scoring model.

When a Risk is identified it will have consequences if realised. The severity of those consequences will be assessed and given a numerical value, as in Table 1.

SEVERITY OF CONSEQUENCES		
Aviation definition	**Meaning**	**Value**
Catastrophic	Results in an accident, death or equipment destroyed	5
Hazardous	Serious injury or major equipment damage	4
Major	Serious incident or injury	3
Minor	Results in a minor incident	2
Negligible	Nuisance of little consequence	1

Table 1. Severity of Consequences

When there will be a likelihood of a risk happening this will be assessed and given a numerical value, as in Table 2 below.

LIKELIHOOD OF OCCURRENCE		
Qualitative definition	**Meaning**	**Value**
Frequent	Likely to occur many times (has occurred frequently)	5
Occasional	Likely to occur sometimes (has occurred infrequently)	4
Remote	Unlikely to occur but possible (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

Table 2. Likelihood of Occurrence

The Risk Likelihood and Risk Severity are read into Table 3 below and the risk acceptability is assessed.

- UNACCEPTABLE: The risk is unacceptable and major mitigation measures are required to reduce the level of risk to as low as reasonably practicable.
- REVIEW: The level of risk is of concern and mitigation measures are required to reduce the level of risk to as low as reasonably practicable. Where further risk reduction/mitigation is not practical or viable, the risk may be accepted, provided that the risk is understood and has the endorsement of the Accountable Manager.

	Risk Severity				
Risk Likelihood	Catastrophic 5	Hazardous 4	Major 3	Minor 2	Negligible 1
Frequent 5	Unacceptable	Unacceptable	Unacceptable	Review	Review
Occasional 4	Unacceptable	Unacceptable	Review	Review	Review
Remote 3	Unacceptable	Review	Review	Review	Acceptable
Improbable 2	Review	Review	Review	Acceptable	Acceptable
Extremely improbable 1	Review	Acceptable	Acceptable	Acceptable	Acceptable

Table 3. Calculated Risk.

4.3.1 **Mitigation.** Once the mitigation has been considered, the likelihood is reassessed and the risk recalculated (the severity will never change). The risk should be brought down to Acceptable but if this is not achievable, the Accountable Manager must endorse the measures in place.

If the level of risk falls into the unacceptable or review categories, mitigation measures will be required to reduce the risk to a level as low as reasonably practicable (ALARP).

Mitigation measures are actions or changes, such as changes to operating procedures, equipment or infrastructure, to reduce either/both the severity and/or the likelihood.

Generally, risk mitigation strategies fall into three categories:

- **Avoidance**: The operation or activity is cancelled or avoided because the safety risk exceeds the benefits of continuing the activity, thereby eliminating the risk entirely.
- **Reduction:** The frequency of the operation or activity is reduced or action is taken to reduce the magnitude of the consequences of the risk.
- **Segregation:** Action is taken to isolate the effects of the consequences of the risk or build in redundancy to protect against them.

4.4 Risk Register.

Any identified safety hazards, risk assessments and subsequent follow-up will be tracked using a Hazard Log and Risk Assessment (Appendix C) and recorded in the Risk Register (Appendix D). The Risk Register will include each identified hazard, the associated risk(s), results of the risk assessment taking into account any current mitigation measures in place, further risk mitigation measures if required and a re-assessment of the risk once the mitigation measures have been implemented, to assess whether or not they have achieved the desired outcome.

The Risk Register is a working document and will be reviewed at least twice a year at the planned biennial Safety Committee meetings, and any other time the committee meets, The Risk Register is an integral part of the 3Rs' SMS documentation.

4.5 Safety Investigations

By the nature of our operation incidents will occur. When these happen, they should be investigated to understand the root cause, and to allow lessons to be learnt as follows:

a) **Minor Incident** - Investigated by the Safety Action Group eg

- Failure to follow practice/race brief
- Collapse of roadside turning point in a field

b) **Serious or potentially serious Incident** – Investigated by the Safety Committee eg

- Near miss
- Collapse of turning point onto a road

c) **Air Accident** – Investigated by the Air Accident Investigation Branch

Whatever the incident there are some basic facts that should be established:

- What happened
- When it happened
- Where it happened
- How it happened
- Who was involved
- Why it happened

From these facts, it will then be possible to go on to establish the root cause, any lessons learnt, and the resultant corrective steps that need to be taken to prevent a recurrence. The purpose of the investigation is not to apportion blame as the 3Rs supports a "just culture".

4.5.1 Just Culture and Reporters Rights

THE LAW PROTECTS YOU
http://www.aviationreporting.eu/AviationReporting/Culture.aspx

- When reporting an occurrence you and any person mentioned in your report are protected from adverse consequences that may come from your report
- Your identity and the identity of anyone mentioned in your report will be protected as described in the paragraphs below
- Your report will not be used to blame you or any person mentioned in it though exceptions are willful misconduct and unacceptable behaviour (determined by the Safety Committee)

4.5.2 **Reporting Methods.** It is open to anyone to submit an incident report. Although it is natural to highlight shortcomings, there is also a need to recognise good behaviour, or acts, too and these should be reported as well. There are two types of incident reports:

- **Air Safety Report (ASR).** This is for an aircraft related incident that occurred or existed during a race, or practice, between engine start and shutdown**.**
- **Safety Report (SR).** This is for any incident outside of the scope of the ASR

Blank ASR and SR forms are available at Appendix C, at each race meeting and online at the 3Rs website (Members Area). If the incident took place during a race practice or race report must be hand delivered ASAP to the Race Safety Officer (Chief Steward) for investigation before the next race.

4.5.3 Safety Investigation Procedure:

The procedure is as follows:

- Incident reports cannot be submitted anonymously but confidentiality will be maintained wherever it is possible, given the size of the 3Rs and potential safety outcomes of an investigation.
- When an incident report is received by the RSO he will decide if it is minor or serious. The report will be de-identified and only essential officials will know the identity in order to provide data to assist with the investigation and will be reminded of their responsibility to maintain confidentiality. The completed original report will then be scanned, the electronic copy will be de-identified and placed in the 3Rs Intranet Incident Report folder for all to see and learn from. The original report is then placed permanently in the printed copy SMS held by the SMS Manager.
- If the incident is an air accident the RSO will complete the initial part of the ASR and the Air Accident Investigation Branch will carry out the investigation.

5 SAFETY ASSURANCE

Safety assurance monitors the safety performance of the 3Rs and the effectiveness of the SMS. This will ensure that the hazard identification, risk assessment and mitigation process is being followed effectively and that appropriate mitigation measures are being implemented and working as intended.

5.1 Safety Performance Monitoring and Measurement

Safety Performance Indicators (SPIs). The 3Rs has a number of SPIs against which safety performance can be assessed against across the season. The period which operational SPIs will be measured is from 0930 hrs on the first day of the season until 1400 hrs on the last day of the season; a period of approximately 5 months. Organization related SPIs will be monitored throughout the year. The SPIs are:

- Accidents
- Air Incidents
- Ground Incidents
- Mandatory Occurrence Reports (MOR)
- Emergency Response Plan Activation
- Safety Committee Meetings
- Safety Reports
- Safety Bulletins/Messages to members
- Procedure change resulting from Safety Reports
- Risk added to the Risk Register
- SMS Internal Audit
- SMS External Audit
- Procedure change resulting from audit
- Safety Survey

Monitored issues

- Deviation from practice or race brief
- Course infringements by non-race aircraft
- Loss of radio communication using 3Rs equipment
- Loss of radio communication using the airfield host's equipment
- Collapse of roadside turning point equipment onto the carriageway.

Recording. The results will be recorded using the form at Appendix A and will constitute part of the end of year report to the Accountable Officer.

5.2 Management of Change

The operation of the 3Rs is dynamic and changes will occasionally occur. When this happens the Management of Change form at Appendix C should be completed to help identify potential hazards and to assess the safety impact of any significant changes made. Changes include the introduction of new procedures, changes to rules, changes to key staff members, new equipment, changes to facilities at otherwise familiar venues, introduction of new aircraft, new courses, new contracted services. Are the existing procedures and documentation adequate or do they need to be amended? Have officials received adequate training? etc

Taking into account the ALARP principles, the aim of the change management process should be to determine that risks associated with the intended change will not have an impact on the 3Rs's future or current activities.

The change management process shall follow the same structured approach as the normal risk assessment process used by the 3Rs.

5.3 Continuous Improvement of the SMS

The SMS is an integral part of the 3Rs. It shall be dynamic rather than static and it shall continually seek to improve its safety performance. Continuous improvement should be achieved through:

- Proactive evaluation of day to day operations, facilities, equipment, documentation and procedures through safety audits and surveys;
- Evaluation of an individual's performance to verify the fulfilment of their safety responsibilities through safety audits and survey;
- Reactive evaluations in order to verify the effectiveness of the system for control and mitigation of risk e.g. incidents, accidents and investigations;
- Tracking organization changes to ensure that they are effective.
- Regular review of the 3Rs's safety performance and safety action plans.

6 SAFETY PROMOTION AND TRAINING

It is important that all members, whether officers, officials, participants or supporters, are fully aware of the SMS and any safety matters affecting the 3Rs. Relevant safety information shall also be distributed to other organizations that interface with the 3Rs.

6.1 Training

All members shall receive safety training as appropriate for their roles, responsibilities and type of participation within the 3Rs. In particular, all officers (committee members), officials (race ground support team), and air crew (pilots and navigators) should be trained and be competent to perform their duties. A record of all training will be held with the Aviation Secretary and also recorded in Safety Committee/Main Committee Minutes.

6.1.1 Initial Training

All new potential officials and participants shall receive initial SMS training during their induction. For pilots this will be covered in the Pilot Assessment Syllabus (Operations Manual Part D Section 1 and 2). The Safety Manager, as part of on-the-job training, must brief officials. No official shall be appointed to an unsupervised role until SMS training has been completed.

6.1.2 Refresher Training

All participants, officers and officials shall receive periodic continuation training to revise the SMS, in particular reporting procedures, and be updated on any changes to procedures and rules since their last briefing. These refresher training sessions shall be arranged on a yearly basis at the end or start of the season and be facilitated by the Safety Manager.

6.1.3 Syllabus

Training shall include: an overview of the SMS; the safety policy; reporting procedures; safety responsibilities and how individuals can contribute at all levels; human and organizational factors; error management and Just Culture.

Refresher sessions should include examples of salient recent Safety Reports, how they were investigated, and what the outcomes were.

6.2 Communication

Effective communication will ensure that all members are fully aware of the SMS including safety-critical information related to analysed hazards and assessed risks. All members should understand why particular actions are taken and why safety procedures are introduced or changed.

Regular meetings or briefings where information, actions and procedures are discussed may be used for the purpose of communication on safety matters.

Types of communication may include:

- Safety policies and procedures;
- Newsletters, safety bulletins and notices;

- Presentations/Briefings;
- Website and email;
- Informal meetings between members and the accountable manager or safety manager

Safety communication should:

- Ensure that all members are fully aware of the SMS and the 3Rs's safety culture;
- Disseminate safety critical information internally and externally;
- Explain why certain actions are taken;
- Explain why safety procedures/rules are introduced or changed;
- Compliment and enhance the 3Rs's safety culture;.

6.3 Feedback

The Safety Manager will initiate a membership-wide survey on an annual basis, to be completed by the end of the season in time for results to be presented to the Safety Committee at the end-of-year review.

The purpose of the survey is to determine the memberships' level of engagement and satisfaction with the safety culture of the 3Rs. The survey shall include questions related to perceived strengths and weakness of the SMS.

7 GLOSSARY OF TERMS

3Rs	Royal Aero Club Records Racing and Rally Association
AAIB	Aircraft Accident Investigation Branch
ASR	Air Safety Report
ATC	Air Traffic Control
CAA	Civil Aviation Authority
Check Pilot	Pilot approved to conduct Check Flights and Supervised Races
Chief Steward	SMS Manager/Race Safety Officer independent of Race Organisation
Class D	In simple terms - airspace controlled by an Air Traffic Controller where radio calls are instructions
Class G	In simple terms - Un-controlled airspace where radio calls made by the airfield radio operator are advisory
Clerk of the Course	Race Organiser and Race Director
JESSC	Joint Emergency Services Control Centre
MSD	Minimum Separation Distance
NOTAM	Notice to Airmen (Navigation and aeronautical warnings)
Race Supervisor	Pilot or Navigator approved to conduct Supervised Races
RNLI	Royal National Lifeboat Institute
RSO	Race Safety Officer (Chief Steward)
SC	Safety Committee
SMS	Safety Management System
SR	Safety Report

APPENDIX A.SAFETY PERFORMANCE INDICATORS

Year	

CAT	ITEM	TARGET	Performance by Race Weekend										
			Pre	1	2	3	4	5	6	7	8	Post	Total
ZA	Accidents	0	-									-	
ZA	Air Incidents	0	-									-	
ZA	Ground Incidents	0	-									-	
ZA	MORs	0	-									-	
ZA	ERP Activation	0	-									-	
SC	SC Meetings	2											
SC	Safety Reports (SR)	1/pp/yr											
SP	Safety Bulletins/Messages	3											
SI	Procedures changed due SR	>0											
SI	Risk added to RR	>0											
SI	SMS Internal Audit	1											
SI	SMS External Audit	1											
SI	Procedures changed due Audits	>0											
SI	Safety Survey	1											
	MONITORED ISSUES												
	Deviations from briefed procedure by pilots	0											
	Course infringements (Zombies)	0											
	Loss of comms	0											
	TP collapse/sabotage	0											

Key:

ZA: Zero Accident; SC: Safety Culture;
SP: Safety Promotion; SI: Safety Improvement

APPENDIX B. TEMPLATE EMERGENCY RESPONSE PLAN

(to be completed by Clerk of the Course for each race venue)

Race Venue: …… Date: …….

Contact Name	Position	Mobile/Telephone
	3Rs Clerk of the Course *	
	Airfield Manager *	
	ATC *	
	3Rs Accountable Manager (Chairman) *	
	3Rs Race Safety Officer (Chief Steward) *	
	Local Police	
	Local Hospital	
	Air Accident Investigation	01252 512299

Emergency Response Plan (ERP) Hard Copies. At least one hard copy of this completed ERP shall be located in the Race Office and given to those marked * above.

Airfield Operations and 3Rs Airfield Control. Races are undertaken at different airfields at the invitation of those organisations. The airfield will conduct normal operations for most of each weekend and this will include practice periods when racers will make requests to, and receive information , or instructions , from the local Air Traffic Control (ATC) whilst the Clerk of the Course will keep a radio watch. Control of the airfield will pass to the 3Rs for a limited period so that the race can take place. The airfield retains overall responsibility for the response to any emergency.

Emergency Declaration during 3Rs Control. On declaring an emergency, the Clerk of the Course will:

a. Make a call to the racers on the race frequency …….. :

"All Racers, this is Clerk of the Course. The race is cancelled because of an emergency. Remain in the race circuit and await further instructions."

b. Hand back control of the airfield to the local ATC, support the airfield and assist with control of race aircraft if requested. If necessary, this could result in aircraft being diverted to another airfield.

Media Embargo. All 3Rs members are to maintain a media embargo until the Chairman or Clerk of the Course has prepared a statement after establishing the initial facts, which will be made at a briefing location given in the Pre Practice/Race Brief. Members should request that their guests follow this policy.

Media Enquiries. All enquiries are to be forwarded to the Chairman or Clerk of the Course without giving any comment.

Standard Press Release. “The Royal Aero Club Records, Racing and Rally Association known as the “3R’s” deeply regrets to announce the loss of (…….[aircraft type]) operating from (…….[airfield]). The accident occurred at (……[local time]) at (……..[location]). The total number of crew and passengers on board was (…….[number]). The next of kin are being informed and the Air Accident Investigation Branch will investigate the accident.

Air Accident Investigation Branch (AAIB). In the event of an accident or serious incident the Accountable Officer or Race Safety Officer is to:

- Complete as much as possible of the front page of an Air Safety Report (ASR) Form SMS C.4
- Contact AAIB on 01252 512299 and give the information from the ASR
- If in any doubt as to what constitutes an accident or serious incident check the AAIB website https://www.gov.uk/government/organisations/air-accidents-investigation-branch

Venue Specific Procedures. List below and the Clerk of the Course will brief relevant information at the Practice and Race Briefing.

APPENDIX C. FORMS

C1. Hazard Log and Risk Assessment (RA)

C2. Not Used

C3. Not Used

C4. Air Safety Report

C5. Safety Report

C6. Management of Change

Forms are in the hardcopy SMS Manual and at the Safety page in the Members Area of the 3Rs website

APPENDIX D. RISK REGISTER

	Risk Severity				
Risk Likelihood	Catastrophic 5	Hazardous 4	Major 3	Minor 2	Negligible 1
Frequent 5	Unacceptable	Unacceptable	Unacceptable	Review	Review
Occasional 4	Unacceptable	Unacceptable	Review	Review	Review
Remote 3	Unacceptable	Review	Review	Review	Acceptable
Improbable 2	Review	Review	Review	Acceptable	Acceptable
Extremely improbable 1	Review	Acceptable	Acceptable	Acceptable	Acceptable

UNACCEPTABLE: The risk is unacceptable and major mitigation measures are required to reduce the level of risk to as low as reasonably practicable.

REVIEW: The level of risk is of concern and mitigation measures are required to reduce the level of risk to as low as reasonably practicable.

Where further risk reduction/mitigation is not practical or viable, the risk may be accepted, provided that the risk is understood and has the endorsement of the Accountable Manager.

ACCEPTABLE: Risk is considered acceptable but should be reviewed if it reoccurs.

D.1 GENERAL RISK REGISTER

Date of Review	November 2018	**Reviewed By**	**Name**	**Position (Experience)**
			Bob Ellis	Chief Steward (Ex-RAF and Commercial Pilot and ex Air Racer)
Next Review	November 2019	**Stakeholders Consulted**	2018 3Rs Committee	

New Standard Operating Procedures (SOPs) introduced in 2019 as an additional control measure to formalise standard practices that have been carried out for many years.

Hazard	Severity	Likelihood	Risk Rating	Control Measures	Severity	Likelihood	End Risk Rating
Pilot Inexperience.	5	4	20	1. All pilots must have a minimum of 100 hours as Pilot in Command (PIC) and: • If less than 500 PIC – 10 hours on type • If more than 500 PIC – 5 hours on type 2. Each pilot is required to undergo a thorough check flight with a Royal Aero Club RRRA approved check pilot.	5	1	5

				3. A new check flight is required if a pilot has not raced for three years, or if they have changed aircraft type or characteristics or been excluded from a race under Rule 111 (E) for being dangerous 4. A Check Pilot or Race Supervisor accompanies a new race pilot during their first practice and competitive race (s) until deemed safe to race.			
Aircraft Airworthiness.	5	3	15	1. Each race pilot must produce all the airworthiness documentation for the aircraft in which they are intending to race at each race venue.	5	1	5
Aircraft not suitably insured.	3	3	9	1. Each aircraft must be insured to the current minimum level as stated in the Royal Aero Club RRRA rules and regulations. This information is checked at each race venue.	3	1	3
Possible contact with propellers.	5	2	10	1. During practice and race periods, access to the aircraft parking area is limited to aircrew and any necessary marshals. Note: During other times, the rules of the individual airfield concerning access to the aircraft parking area are adhered to. 2. Each pilot makes a “clear prop” call before engine start, keeping a good lookout at all times for persons passing near his/her aircraft. 3. Post race - GPS collectors wear hi visibility vests and are briefed how to approach aircraft safely	5	1	5
Aircraft collision during taxiing.	4	3	12	1. During race sessions, the airfield is NOTAM’d as closed to all traffic other than aircraft taking part in the race.	4	1	4

				2. At all other times taxi operations are under the control of the local ATC unit. 3. Taxi procedures form an integral part of practice and race briefings, attendance of which is compulsory for all race pilots. 4. All race aircraft are in radio contact with each other on the main airfield frequency. Each aircraft makes a taxi call before moving, identifying the aircraft via its race number and stating their intentions. 5. Pilots ensure aircraft brakes are checked prior to aircraft moving. 6. Each pilot (and navigator, if on board) is required to keep a good look-out at all times. 7. Airfield fire service in attendance during all practice and race periods.			
Aircraft emergency whilst on the ground.	3	3	9	1. Each aircraft is pre-flighted as per the aircraft manufacturers instructions. 2. Each member of the race aircrafts' crew is familiar with the aircraft type in which they are flying and are fully aware of all emergency instructions. 3. Airfield fire service is in attendance at all times.	3	1	3

				4. Race marshals are in attendance to assist with any emergency. The majority of airfield race marshals are experienced pilots who have raced previously and are fully aware of the inherent danger posed by GA operations.			
Engine failure after take-off.	5	4	20	1. Pilot experienced in GA operations and fully conversant with the type of aircraft that he/she is operating. 2. Aircraft pre-flighted as per the manufacturer's instructions. 3. Aircraft power checks are completed in a safe location before take-off.	5	2	10
Mid-air collision.	5	4	20	1. Area NOTAM'd to alert other pilots of race activity. 2. Local ATC frequency monitored for aircraft attempting to join the traffic pattern for landing. All aircraft that call up on this frequency that are not race aircraft are warned that a race is in progress and that they should remain well clear of the area. Note: Should an aircraft that is not part of the race declare an emergency then the race would be abandoned. 3. All race pilots are experienced aviators. (see Pilot Experience above) 4. All race pilots have attended a thorough briefing session prior to the practice or race session.	5	2	10

				5. All aircraft fly a set course in a left-hand traffic pattern. 6. Set cloud base and visibility minima are strictly adhered to. Note: Details of these can be found in the 3Rs rules and regulations. 7. All aircrew keep a good look-out for other traffic at all times. 8. All aircraft monitor a pre-briefed race frequency for the duration of race; warning calls being made as required. 9. Overtaking aircraft have responsibility for ensuring the safety of any and all overtaking manoeuvres. 10. Pilots briefed and checked on carrying out a Loss of Visual procedure in the event of losing sight of the aircraft they are overtaking. 11. Aircraft are required to maintain height during turns. 12. Re-join procedures after the race are briefed prior to practice or race sessions.			
Contact with ground based obstacles.	5	3	15	1. Aircraft fly above 500ft AGL on a pre-briefed pressure setting, except over water where they maintain 500ft separation from any person, land, vessel or structure. 2. Each aircraft carries a 1:50,000 Ordnance Survey map (or equivalent) of the race course	5	1	5

				detailing all possible hazardous ground features. 3. All race courses are prepared in detail, avoiding wherever practicable, areas that could be hazardous to aircraft operation. 4. Dispensation is gained from the controlling authorities for aircraft to descend from a minimum of 500' AGL at a location known as Point Alpha to enable them to cross the finish line at NOT less than 75ft AGL. This is again checked prior to the race to ensure that there are no risks to aircraft. Note: The finish line is a line between two widely separated physical structures within the airfield perimeter notified to the pilots at the briefing 5. Aircraft race heights are measured by GPS and assessed after the race			
Aircrew incapacitation.	5	2	10	1. All aircrew are experienced in the conditions that are encountered during race events. (i.e. increased G-force, etc.) 2. All pilots have a current medical that is checked prior to them being allowed to race at each venue. 3. Navigators have to satisfy the pilot that they are fit to fly.	5	1	5

Aircraft emergency whilst airborne	5	4	20	1. Airfield fire service is in attendance at all times. 2. Emergency procedures are briefed prior to practice and race sessions. 3. Diversion airfields are briefed to all aircrew prior to practice and race sessions. Each pilot is responsible for ensuring that he has sufficient fuel to divert if necessary. 4. Local ATC unit and 3Rs Clerk of the Course monitor the race radio frequency at all times during the race. 5. The centre of the course is kept free of all aircraft so that it can be used as a hold for aircraft with minor emergencies that preclude racing but do not require immediate landing. 6. Should an aircraft require immediate landing the race would be abandoned to facilitate the safe landing of the aircraft.	5	2	10
Aircraft collision during non-standard landing. *Note: At most race venues*	5	3	15	1. Dispensation is given by controlling authority for a non-standard landing. 2. Details of the dispensation and how it will be operated are briefed during the race briefing. Attendance for race aircrew is compulsory.	5	2	10

stream landing is normal				3. No aircraft is allowed to land, without declaring an emergency, until the race has been declared over by the Clerk of the Course. 4. Aircraft fly the standard traffic pattern making the standard radio calls as necessary. 5. Following aircraft is responsible for ensuring safe separation from the preceding aircraft. 6. If insufficient separation, aircraft initiates a go-around. 7. Pilot has to demonstrate on the Check Flight the ability to land on the left or right of the runway centreline. 8. Aircraft vacate the active runway as directed at the race briefing.			
Loss of Communication Clerk of the Course	2	3	6	The Clerk of the Course has a spare radio	2	2	4
Loss of Communication	2	3	6	If the aircraft is equipped with a 2nd radio this is not an issue however most race aircraft are not so in the event of a radio failure they will follow the Loss	2	3	6

Race Aircraft				of Comms failure procedure as outlined in the Practice and Race Briefing. Normally this will be to proceed into the centre of the course and commence a hold and, if fitted, set the Transponder to 7600 (Radio Failure). Once the race finish time has elapsed the aircraft will return to the airfield and land after the last race aircraft has landed.			
Rushed Sunday operations if runway change from Saturday	5	4	20	Race briefings, practice race and race timings on Sunday have been re-scheduled to ensure that racers and officials have sufficient time to prepare for each event and unplanned events	5	2	10

D.2 ALDERNEY RISK REGISTER

Date of Review	August 2018	**Reviewed By**	**Name**	**Position (Experience)**
			Tim Wassell	3Rs Chairman/Accountable Officer, experienced Race Official and ex Air Racer
			Mark Turner	Chief Handicapper and experienced ex Air Racer
			Bob Ellis	Chief Steward (Ex-RAF and Commercial Pilot and ex Air Racer)
Next Review	August 2019	**Stakeholders Consulted**	2018 3Rs Committee, Director of Civil Aviation Bailiwick of Guernsey and Alderney Airfield	

In addition to the Risk Assessments below please refer to the Operations Manual Part B (Standard Operating Procedures) Section 2 (Venue Specific) to locate the additional Alderney SOPs

No	Hazard	Before Control			Consequence	Control No	Control Measures	After Control		
		Severity	Likelihood	Risk Rating				Severity	Likelihood	Risk Rating
1	Runway Incursion	5	4	20	Disruption to airfield Possible damage to airfield & aircraft or other items on airfield Possible injury or loss of life	1	Issue of NOTAM ensures clearly defined periods during which the airfield is closed or effectively closed. Practices or Races may take place without affecting routine operations	5	4	20
						2	Unambiguous procedure followed by Race Organising Crew and Alderney airfield to signal the handover of airfield and airspace, and its subsequent CLOSURE (see Ops Manual Part B Section C Venue Specific SOPs)			

						3	At the end of the race or other NOTAM period Unambiguous procedure followed by Race Organising Crew and Alderney airfield to signal the handover of airfield and airspace, and its subsequent RE-OPENING (See Procedure 4)			
						4	At all other times the airfield is live and the normal airfield controls must be observed. All access to the airfield and all airfield movements to be via the tower			
						5	Race HQ to be held off airfield removing extraneous people, 3rd parties and spectators from airfield. Removes CAP403 requirement for minimum distances from spectators.			
2	Airfield Incursion	5	5	25	Disruption to airfield Possible damage to airfield & aircraft or other items on airfield Possible injury or loss of life	1	All other persons not qualified or directly involved in the race to be kept away from the active parts of the airfield behind a suitable fence. Access to the airfield by all personnel to be controlled y 3Rs personnel wit suitable supervision by qualified persons at all times if airside. Removes CAP403 requirement for minimum distances from spectators.	5	2	10
3	Overwater Operation	5	4	20	Possible loss of communications to race aircraft In case of ditching potential for injury and loss of life to Race Crew and Rescue Crew	1	CoC to brief and remind racers of additional dangers of operating over water.	5	2	10
						2	Pilots to perform through pre-flight checks before all flights			
						3	All aircrew to wear life jackets during over water operations			
						4	Each member of aircrew to be familiar with ditching procedures paying particular attention to specific features of their own race aircraft			
						5	All aircraft to have sufficient fue for diversion to alternate airfield noting specific issues with local airfield.			
						6	Local authorities to be notified of race and practice periods - Police, Fire, Coastguard, Harbourmaster, etc. 3Rs to defer to local authorities procedures in case of a major incident.			

4	Local wind anomalies	4	2	8	Possible loss of control to race aircraft causing accident, resulting in injury/death to Race Crew or 3rd Party, and/or damage to property	1	CoC to brief and remind racers of additional dangers of operating near an island and its sometimes anomalous winds.	4	1	4
5	Loss of control during Race Aircrew disorientation at very tight turns (Casquettes Airfield)	5	3	15	Possible loss of control to race aircraft causing accident, resulting in injury/death to Race Crew or 3rd Party, and/or damage to property	1	CoC to brief regarding the extended period that aircrew will be exposed to G-force in	5	1	5
						2	CoC to brief additional risk of aircraft in close proximity in race and practice due to extended turn and shortness of lap during all briefings			
6	Loss of Communications	2	3	6	Race crew continue race and land normally or follow LoC procedures.	1	Loss of communication procedure to be briefed and provide in supplementary regulations	2	3	6
7	Significant wind or Weather change across weekend	5	4	20	Rushed operations if runway change results in disruption and increase likelihood of accident	1	Weather to be assessed on Saturday morning to ascertain if runway change likely.	5	2	10
						2	Ensure host airfield is aware of requirement and define period and procedure to be followed in case of a Sunday practice (communicated as part of normal racing			
						3	CoC to brief airfield and race pilots on procedure should it be			
						4	CoC to inform airfield and pilots on Saturday afternoon post-brief if runway change			
8	Local wildlife Hazard, Presence of livestock, wildlife conservation	5	3	15	Possible collision with birds causing Race Aircraft damage, possibly resulting in accident, injury/death to Race Crew or 3rd party, and/or damage to Property Race Aircraft causes distress to animal resulting in injury/death of animal, possibly resulting in accident, injury/death to Race Crew or 3rd party, and/or damage to Property	1	Birdstrike hazard at run into airfield and airfield. CoC to brief hazard and ensure race	5	1	5
						2	Livestock and wildlife conservation areas around course. CoC to brief hazard and disruption potential that race aircraft can cause. Race pilots to observe minimum height restrictions. Race course amended to remain largely away from land.			
9	Mixed commercial and race aircraft	4	3	12	Normal operation at Alderney - no issues	1	CoC to ensure pilots thoroughly briefed on airfield operations	4	1	4
						2	Close host airfield for duration of practice and race			
						3	CoC to brief that outside closed periods race pilots are to operate within the normal			
						4	Ensure 3Rs and race crew are clearly defined by hi-vis clothing at all times airside. 3Rs			

						5	Race HQ to be held off airfield removing extraneous people, 3rd parties and spectators from airfield. Removes CAP403 requirement for minimum distances from spectators.			
10	Race operations near controlled airspace and/or prohibited airspace/nuclear facility	2	3	6	Race aircraft enters adjacent airspace that is controlled for the safety of air traffic (Guernsey, Jersey, Alderney is closed) or Prohibited airspace (Nuclear facility at La Hague, Flamanville) causes disruption at each facility	1	Pilots to be briefed on proximity of airspace where disruption can occur and of consequences (individual fines, loss of license, loss of race license, sanctions to 3Rs club) - La Hague - 10 miles east of eastern most turn point TP2 - Guernsey airfield CTR - 17 miles south of Casquetes - Sark RA boundary - 15 miles south of Casquetes - Jersey Airfield CTR boundary - 28 miles south of Alderney Airfield - Flamanville RA boundary - 13 miles suth east of TP1 Racers to be briefed about how to recognise they are off course and heading for mainland or different island. Key indicators are excessive time over water and not towards casquetts, or excessive time over water and towards a significant amount of land. The course is almost entirely around the island so very easy to navigate. Excessive time expected over water off course is 3-5 minutes for most racers at their race speed.	2	1	2
	Split management of race - start at airfield finish at harbour	4	4	16	Confusion caused by non-standard final lap and finish. Results in; excessive time to recover racers, increased potential for incident due to confusion at critical part of race, resulting in injury/death of animal, possibly resulting in accident, injury/death to Race Crew or 3rd party, and/or damage to Property	1	To align with the requirements of Alderney Airfield Manager (and remove the need for a 6' fence and manned control points on the airfield) the Race HQ and Race finish moved away from airfield (also removing CAP403 distance requirement for those locations). This split race approach will require 2 teams of race officials, the airfield team and the harbor team. The teams will brief on Saturday and Sunday mornings, as well as a de-brief on Saturday evening to asses the effectiveness of the procedures. See Procedure 5 for details.	4	3	12
12	Finish at Bray/Harbour wall. High ground near run in to finish.	3	3	9	No consequence to airfield. Airfield closed to all other traffic durign race periods.	1	Handicapper to ensure race TPs keep aircraft away from high ground as much as possible.	3	1	3

						2	CoC to brief procedures for descent to the line with specific mention of high ground. Each turnpoint will be used to give a progressive descent for the descent to line procedures. Racers will be allowed to descend not below; • TP1 – 500 ft • TP2 – 400 ft • TP3 – 300 ft • TP4 – 200 ft • Finish – 100 ft CoC will brief that racers should expect surface vessels across the harbour and that they must respect air law even with the exemptions. Risk Assessment and course notes to be circulated to Harbour Master & Coastguard/RNLI.			
						3	Race HQ and Race finish moved away from airfield removing CAP403 distance requirement for those locations. Spectators closest locations with aircraft lower than race height; - Bray Harbour - 660 meters - Harbour Wall - control distance spectators can travel along the wall giving 750 meters - Fort Albert 300+ meters - Saye Beach - 200+ meters - other locations aircraft will be higher or TPs will be effectively inaccessible			

APPENDIX E. SAFETY REPORT PROCESSING GUIDE

This guide is to allow a new SMS Manager not familiar with processing Air Safety Reports (ASR) and Safety Reports (SR) to take a submitted report through to it being posted in the Members Area of the 3Rs website.

E.1. Receive ASR/SR – email (MS Word/PDF/Photo) /hard copy

E.2 Enter the report headline into the SMS Records Log 20YY(Spreadsheet) and note the reference number eg 13/2018

E.3 "To Do" tab of the SMS Records Log - enter today's date and the headline (the "days since logged" will go red after 14 days to remind you to take action.

E.4 Is the report in MS Word?

If No go to E.5

If yes:

E.4.1 Open and "Save As" in folder "3Rs Safety Management System/Current Version/SMS X/Original Safety Reports NOT De-Identified/Year" as "N-20YY-ASR/SR-TITLE (use "-" as spaces – using a normal space causes internet file name issues)"

E.4.2 Part B – Complete as much as you can in black

E.4.3 Part C – Complete in blue (temporary) Use Table 3 in SMS Chapter 4 to assess Risk Assessment values and make your suggestion in Bold and font size 12

E.4.4. "Save". Then "Save As" and change folder to "Safety Repots De-ID/Year" and use the same file name as in E.4.1

E.4.5 Part A - Remove:

Name and Email

In "Narrative/Detail" unsure no names (delete) or race numbers (change to unique letter starting from A)

"Save"

Go to E.6

E.5 Received by PDF/Photo – Either:

E.5.1 Type out in a blank MS Word Report Form then proceed as E.4.1 or

E.5.1.1 Save pdf/image in folder “3Rs Safety Management System/Current Version/SMS X/Original Safety Reports NOT De-Identified/Year” as “N-20YY-ASR/SR-TITLE – PART A (use “-“ as spaces – using a normal space causes internet file name issues)”

E.5.2 Print pdf/image of Page 1. Use a pen and cover:

Name and Email

In “Narrative/Detail” unsure no names (delete) or race numbers (change to unique letter starting from A)

E.5.3 Scan/photograph the de-identified report and “Save” - change folder to “Safety Repots De-ID/Year” and name “N-20YY-ASR/SR-TITLE – PART A (use “-“ as spaces – using a normal space causes internet file name issues)”

E.5.4 Open a blank ASR/SR in MS Word and “Save As” in folder “3Rs Safety Management System/Current Version/SMS X/Original Safety Reports NOT De-Identified/Year” as “N-20YY-ASR/SR-TITLE-PARTS-BtoD (use “-“ as spaces – using a normal space causes internet file name issues)”

E.5.5 Part B – Complete as much as you can in black

E.5.6 Part C – Complete in blue (temporary) Use Table 3 in SMS Chapter 4 to assess Risk Assessment values and make your suggestion in Bold and font size 12

E.5.7 “Save”. Then “Save As” and change folder to “Safety Repots De-ID/Year” and use the same file name as in E.5.4

E.6 Process De-Identified ASR/SR

E.6.1 Decide if the report can be processed by a Safety Action Group (3.2.5) or the full Safety Committee (3.2.4).

E.6.2 Arrange a Meeting and distribute the de-identified ASR/SR which contains your proposals at Part C with the agenda.

E.6.3 After the meeting amend Part C if required and complete Part D in black and save as in E4.1 or E.5.4 – Accountable Manager to sign at earliest convenience.

E.6.4 Action Part C and give feedback to person who submitted the report.

E.6.5 Is the ASR/SR closed (Nil follow up actions in Part D)?

Yes – got to E.7

No – Review the report at the time stated in Part D but usually this will be the End of Season Safety Committee Meeting.

E.7. ASR/SR Closed

E.7.1 Save the De-Identified Report as a PDF and either upload to the 3Rs website “Members Area>Safety>Safety Report Feedback” or arrange with a Committee Member to do so

E.7.2 Complete SMS Log (spreadsheet) and select “Closed” in the final column