

**HY-VEE, INC.
AVIATION DEPARTMENT**

**OPERATIONS MANUAL &
SAFETY MANAGEMENT SYSTEM**

PART 91



Manual Prepared By:



**OPERATIONS MANUAL &
SAFETY MANAGEMENT SYSTEM**

Hy-Vee, Inc. Aviation Department

OPERATIONS MANUAL & SAFETY MANAGEMENT SYSTEM

It is the goal of the Aviation Department to provide for the best possible transportation for passengers on Hy-Vee aircraft. We strive to be proactive to prevent accidents and problems rather than react to them. Most things can be lost and recovered, life cannot, and therefore we many times have only one chance to make the right decision and have the correct operating procedures in place. The department will think proactively in three primary areas; Safety, Service, and Satisfaction.

Manual Revision: 1 **Dated:** 10/01/2015

Hy-Vee Aviation Department Operations Manual has been reviewed and accepted.

Chief Pilot: _____ **Date:** _____

Safety Manager: _____ **Date:** _____





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FLIGHT OPERATIONS MANUAL (FOM)

PREAMBLE

It is the goal of the Hy-Vee Aviation Department to provide for the best possible transportation for passengers on Hy-Vee aircraft. We strive to be proactive to prevent accidents and problems rather than react to them. Most things can be lost and recovered, life cannot. Therefore, we often have only one chance to make the right decision and have the correct operating procedures in place. The Department will think proactively in three primary areas: Safety, Service, and Satisfaction.

Safety is always stated as the primary concern in aviation. We seek to identify what is meant by making it the primary concern and what have traditionally been roadblocks to achieving safety goals. One of the most common problems encountered is the defensive posture people take when talking about making any change in regards to safety. It usually is expressed in the form of a question like; "Is the way we were doing it unsafe or wrong?" This may be a fair question, but it is counterproductive as it inherently leads to someone feeling the need to defend the old way. It is a question that only bogs down the creative process and true evaluation of safety. Instead it would be better and more proactive to always say, "Is the new way going to be safer or is there a safer way of doing things?" Our department will always ask ourselves and seek to find the answers to the question, "is there a safer way?" We will avoid the waste of time that is created from asking if the old way was safe or unsafe. Most issues and the answers to those issues cannot be answered in such a simplistic way, but many times determining the safest or safer way is easy to answer. Now the only question that remains is how to get to the point of being the safest possible flight operation. We will challenge ourselves daily in hopes of running the absolute safest operation possible, knowing that we can never achieve perfection and that the daily challenge is part of what makes us safer.

Proactive in safety means that we're looking for the future problem or mistake that could cost lives and trying to prevent these mistakes with the best possible policies. Reactive decision making, which requires us to have the problem first and then find a solution, is unacceptable when the result may be the loss of life. To better assist our Flight Department in understanding the difference between safe and unsafe actions, we have implemented a Safety Management System to help foster a proactive safety culture within our organization. The Safety Management System policies are an extension of this Flight Operations Manual, and can be found in Section D of this manual.

Service is also a primary focus of the department. Similar to the safety question we will not ask ourselves if our service is "good", but instead ask how it can be better or how it can be the very best. We will be proactive by thinking of ways to improve service rather than only worrying about mistakes when they are made and how not to make them again. This is important, but generally comes naturally, where proactive service improvements only happen with intent, hard work and planning. Thankfully, service mistakes and problems are not as serious as they are in safety since we're not talking about loss of life. It becomes obvious why Safety is always first in this regard, but service can always be improved and worked on none the less and is a part of our goal.

Satisfaction is included as a primary focus and ties the Safety and Service within our department together. Satisfaction from our customers (our passengers) comes from how they feel about the cost versus the value of what they are receiving from the aviation department. It is difficult for the average passenger to understand the costs versus safety benefits of many issues in aviation, but we as a department must proactively address these issues and explain them in order to ultimately be as safe as possible and ultimately keep a satisfied customer. We will also continually evaluate the needs and wants of our customers to determine if the service is meeting or exceeding their expectations and providing them with the satisfaction they deserve. Satisfaction for both the pilot and the passengers is the result of providing the best possible safety and service.

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ORGANIZATIONAL STRUCTURE

President Hy-Vee	Randy Edeker, President, Chairman, and CEO
Aviation Department Manager	Sheila Laing, Executive Vice President, Chief Customer Officer
Scheduler	Carleen Sipes
Chief Pilot	Kirk Shultice Oversees all aspects and personnel within the flight department Reports directly to Executive Vice President, Chief Customer Officer
Assistant Chief Pilot	Eric Tange SMS Safety Manager Reports directly to Chief Pilot
Director of Maintenance	William Sand Oversees and schedules maintenance on all aircraft Reports directly to Chief Pilot
Aircraft Database/ Technology Manager	Mark Lile Performs database and electronic chart updates on all aircraft Reports directly to Chief Pilot
Captain Jet	Kirk Shultice Eric Tange Mark Lile William Sand Kip Heaberlin Blake Jaschke
Co-Pilot Jet	Kirk Shultice Eric Tange Mark Lile William Sand Kip Heaberlin Blake Jaschke
Captain King-Air	Kirk Shultice Eric Tange Mark Lile William Sand Kip Heaberlin Blake Jaschke

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DUTIES AND RESPONSIBILITIES

1. SCHEDULER

Duties and Responsibilities

The Scheduler is responsible for maintaining the flight department schedule of trips. This involves communicating with passenger requests and relaying availability of the flight department to accomplish requested trips. In order to accomplish this task the Scheduler will ensure an aircraft is available, and that pilots are available to fly the trip and then advise the passengers. If the flight is outside of the Hy-Vee territory, or the person requesting the trip does not have the authority to schedule a flight, the Scheduler will advise them of who they need to get authorization from and what procedure must be followed.

The Scheduler will enter the trip information into the flight department schedule when the trip has been approved or confirmed. If the trip is available but permission is needed to schedule the trip, the trip will be listed as pending. It is many times necessary to communicate with the Chief Pilot or their designee in order to ensure all issues are addressed for the trip. The Chief Pilot or their designee will then take care of assigning the specific aircraft and pilots for the trip when they deem appropriate. Any changes to the trip within 24 hours should be made on the schedule and also be made by contacting the pilot on their cell phone. This information may be given to the Chief Pilot to relay, but it is not necessary or required, especially if time constraints make this impractical.

It is the responsibility of all passengers to notify the scheduler of their travel plans and needs. The Chief Pilot needs to have an accurate list of passengers for each flight. To accomplish this each passenger is expected to not show up for a flight at departure time unannounced and will notify the scheduler 24 hours in advance of the flight if they intend to fly on the trip. Likewise they will notify the Scheduler if they are listed on the trip and have decided not to be on the trip. It is critical to safety and FAA regulations to know the precise number of passengers in advance. It is also beneficial to service of the passengers to not have to wait for someone who is not going on the trip or to accidentally leave someone who was planning to go on the trip.

2. CHIEF PILOT

Duties and Responsibilities

The Chief Pilot is responsible for the day to day management of the Flight Department as well as flying company aircraft. The Chief Pilot will develop and implement procedures to meet the primary goals of the department. Oversight of operations with a goal to provide the safest flight operations possible, while also monitoring and evaluating the service and satisfaction in regards to all flight operations is the primary goal. When necessary the Chief Pilot will assist in the hiring of pilots, and hiring of contract pilots. The Chief Pilot will be the primary contact person for the Scheduler and work closely with the Scheduler with any question or concerns in regards to requested trips. Once a year the Chief Pilot will complete performance reviews with the pilots to summarize and emphasize how the pilot is doing at achieving the department's goals. The Chief Pilot will check and submit bills for accuracy and to ensure payment.

Supervisory Responsibilities

Director of Maintenance, Safety Manager, Captain Jet, Co-Pilot Jet, Captain King Air, Co-Pilot King Air, Scheduler

Operations Related Responsibilities:

- Preparing and submitting budget requirements for the Flight Department
- Assigning a person to assume operations duties when the Chief Pilot is unavailable
- Assigning aircraft and pilots for trips
- Planning, scheduling, and monitoring of maintenance on aircraft and aircraft logs in conjunction with the Director of Maintenance
- Maintaining pilot records to ensure they have current medicals and flight currency
- Working with Insurance Company to follow any requirements needed
- Acquiring and updating navigational equipment and charts for aircraft

3. ASSISTANT CHIEF PILOT

Duties and Responsibilities

The Assistant Chief Pilot position is in direct support to the Chief Pilot. The Assistant Chief Pilot will complete tasks as assigned by the Chief Pilot and will step in to oversee the day to day operations of the flight department in the absence of the Chief Pilot. Additional duties include assuming the role as Safety Manager.

Supervisory Responsibilities

Captain Jet, Co-Pilot Jet, Captain King Air, Co-Pilot King Air

4. SAFETY MANAGER

Duties and Responsibilities

The Safety Manager is responsible for the development, implementation, and continuous evaluation of the safety of flight operations for the company. This individual is also the primary point of contact for the department's Safety Management System. These responsibilities will be accomplished with supplemental training, and continuous critiquing of the companies policies, and standard operating procedures. The Safety Manager will be the primary contact person for the Pilots to address potential issues that may arise regarding safety within the flight department. Working with the pilots and the Chief Pilot, issues will be taken for consideration, evaluated, and potential solutions will be created. After approval by the Chief Pilot, these solutions will be implemented through updates to the Flight Operations Manual, the Standard Operating Procedures and/or the Safety Management System.

Supervisory Responsibilities

Captain Jet, Co-Pilot Jet, Captain King Air, Co-Pilot King Air

Operations Related Responsibilities:

- Preparing and submitting safety related concerns
- Creating and suggesting possible solutions
- Planning and conducting training sessions as necessary to implement changes or reinforce current information in the Operations Manual and Standard Operating Procedures
- Monitoring and dissemination of safety related information for the flight department

5. DIRECTOR OF MAINTENANCE

Duties and Responsibilities

The Director of Maintenance will coordinate both scheduled and unscheduled maintenance to be performed. In order to accomplish scheduled maintenance it will be necessary to plan as much as possible dates and times that the aircraft will be taken out of service. The DOM will advise and coordinate with the Chief Pilot to manage aircraft scheduling to best meet these goals. It will be the goal of the DOM to maintain the aircraft to the highest standard and not just the minimum standard prescribed by the FAA.

The DOM will monitor and determine when scheduled maintenance will be needed and what will need to be performed. During such events the DOM will monitor and supervise, as necessary, the mechanics doing the work. The DOM will also determine if that mechanic is qualified to do the work. In regards to unplanned issues or problems that arise during these maintenance events the DOM has the authority to approve such work as is necessary to maintain or return the aircraft to an airworthy status. If the issue is not relating to airworthiness, and it is in the company's best interest to address an item at that time, the DOM will contact the Chief Pilot for approval. If the Chief Pilot is not available, the DOM will contact the Flight Department Manager for approval.

Unscheduled maintenance will be needed whenever the aircraft has a problem that needs servicing before the next scheduled maintenance event. The DOM will also have the authority to authorize such work with the same restrictions given for scheduled maintenance. If the aircraft is away from Des Moines and repairs are needed, the DOM will coordinate with the pilots and the appropriate maintenance personnel to have the aircraft repaired.

The DOM will also coordinate with the Chief Pilot any crew requirements needed for test flights, or for moving aircraft to and from maintenance facilities. Per the company policy, the Citation Jets are required to have two pilots for such operations, and regardless of legality will be scheduled to provide these two pilots. Any change to this policy must be accepted by the Pilot, Chief Pilot, and Flight Department Manager.

6. AIRCRAFT DATABASE/TECHNOLOGY MANAGER

Duties and Responsibilities

The Aircraft Database/Technology Manager will be responsible for maintaining and updating aircraft systems which have a requirement for continuous updating of databases required for the safe operation of the aircraft. This position is critical to maintaining the navigation equipment on all modern aircraft for the flights to be operated safely. Because of the lengthy time requirements and the need to accomplish these tasks to ensure aircraft availability for flights, it is necessary to do this during time periods where the aircraft is

not going to be needed for several hours. This allows not only for the abnormally large amount of time needed to accomplish these tasks, but also allows extra time for any problems that are inherent in this kind of process.

These people will be responsible for training other people to assist in these duties when they are not available to do it themselves. This is to include a current step-by-step written procedure for completion of the updates.

7. CAPTAIN - JET

Duties and Responsibilities

The Jet Captain is responsible for operating assigned company jet aircraft and ensuring that they are in an air-worthy condition prior to flight. The captain is directly responsible for the lives and wellbeing of passengers on Hy-Vee aircraft.

The Captain will ensure the aircraft are flown in compliance with Federal Aviation Regulations, aircraft limitations, flight manual procedures, and company policies and procedures. This includes explaining safety rules and requirements to passengers prior to the flight such as; proper use of seat belts and emergency equipment.

The Captain is responsible for preflight inspections and planning to ensure a safe and comfortable flight. This involves, but may not be limited to: Evaluating current and forecast weather conditions for departure, arrival and alternate points. Determining fuel requirements and possible fuel stop locations. It may also be necessary to consult aircraft performance charts to ensure that all necessary margins of safety prescribed by Federal Aviation Regulations and company policies exist. The Captain continually monitors and determines aircraft suitability for the flight and evaluating changes that may make it unsafe. The Captain will evaluate and decide what cleaning and stocking provisions need to be accomplished on the aircraft.

Supervisory Responsibilities

Second in Command Pilot, Line and Fueling Personnel, Maintenance Personnel when away from home.

Flight Responsibilities

- Preparing and filing flight plans
- Make any decisions necessary to start, delay, cancel, or alter the flight when operating conditions dictate
- Delegate to the first officer any duties necessary for the smooth, safe, and efficient operation of the flight
- Maintain a high level of proficiency in and technical knowledge of aircraft assigned
- Maintain and keep records to substantiate currency in aircraft assigned and all licenses, ratings and certificates related to duties as a flight crew member
- Attend flight training annually on the appropriate aircraft
- Attend any additional training required by the department (CPR, First Aid, Emergency procedures, etc.)
- Keep abreast of the latest developments in the business aviation field
- Provide air transportation for Hy-Vee and customers
- Contact flying services concerning any necessary aircraft support at destinations, and arranging ground transportation when requested to do so at the destination airport
- Responsible for company aircraft while away from home base, (Maintenance, Servicing, Cleaning, and Handling)
- Prepare and submit expense reports
- Assure all aircraft charts and databases are current
- Assist in any activities to enable the flight department to accomplish its goals
- Perform any other duties assigned by the Chief Pilot

8. CAPTAIN - KING AIR

Duties and Responsibilities

The Captain is responsible for operating assigned company aircraft and ensuring that they are in an air-worthy condition prior to flight. The captain is directly responsible for the lives and wellbeing of passengers on Hy-Vee aircraft.

The Captain will ensure the aircraft are flown in compliance with Federal Aviation Regulations, aircraft limitations, flight manual procedures, and company policies and procedures. This includes explaining safety rules and requirements to passengers prior to the flight such as; proper use of seat belts and emergency equipment.

Conduct preflight inspections and planning to ensure a safe and comfortable flight. This involves, but may not be limited to: Evaluating current and forecast weather conditions for departure, cruise, arrival and alternate points. Determining fuel requirements and possible fuel stop locations. Consulting aircraft performance charts to ensure that all necessary margins of safety prescribed by Federal Aviation Regulations and company policies exist. Monitoring and determining aircraft suitability for the flight and evaluating changes that may make it unsafe. Ensuring aircraft is clean and stocked with provisions.

Supervisory Responsibilities

Second in Command Pilot, Line and Fueling Personnel, Maintenance Personnel when away from home.

Flight Responsibilities

- Preparing and filing flight plans
- Make any decisions necessary to start, delay, cancel, or alter the flight when operating conditions dictate
- Delegate to the first officer any duties necessary for the smooth, safe, and efficient operation of the flight
- Maintain a high level of proficiency in and technical knowledge of aircraft assigned
- Maintain and keep records to substantiate currency in aircraft assigned and all licenses, ratings and certificates related to duties as a flight crew member
- Attend flight training annually on the appropriate aircraft
- Attend any additional training required by the department (CPR, First Aid, Emergency procedures, etc.)
- Keep abreast of the latest developments in the business aviation field
- Provide air transportation for Hy-Vee and customers
- Contact flying services concerning any necessary aircraft support at destinations, and arranging ground transportation when requested to do so at the destination airport
- Responsible for company aircraft while away from home base, (Maintenance, Servicing, Cleaning, and Handling)
- Prepare and submit expense reports

9. CO-PILOT - JET AND KING AIR

Duties and Responsibilities

Currently, because of minimum staffing within the department, we utilize Captains for Co-Pilot needs. This enables us to have the number of Captains we need to ensure service at times when Captains are not available during vacations, training, and sickness.

If we are still unable to cover the flight an alternate Co-Pilot may be designated by the Chief Pilot. The preference will be made for people who have a Type rating in our aircraft. He or she should also have an ATP Multi-Engine Type rating, and trained to the Hy-Vee Standard Operating Procedures. The Co-Pilot shall also meet the FAA currency requirements to act as second in command of Jet Aircraft.

The Co-Pilot working with the Captain will ensure the aircraft are flown in compliance with Federal Aviation Regulations, aircraft limitations, flight manual procedures, and company policies and procedures. When the Captains actions or plans are not clearly understood or do not seem to follow these rules, the Co-Pilot will initiate conversation necessary to ensure the Captain is going to accomplish these goals, or to help the Captain realize a possible mistake. The Captain in such cases will answer all of the Co-Pilots questions in a courteous and professional manner, until the Co-Pilot is assured and comfortable. If the Captain feels a lack of time to answer in a time critical situation, the Captain will make any necessary change to put the aircraft in a less time critical situation and allow for the conversation to take place without being a distraction to flight critical responsibilities. While on an approach this may require the Captain to abort the approach and fly to a less critical phase of flight, where a full briefing can be completed. It is the job of both the Captain and the Co-Pilot to ensure that the other flight crewmember is comfortable with all operations being conducted or planned.

The Co-Pilot is also responsible for explaining safety rules and requirements to passengers prior to the flight such as; proper use of seat belts and emergency equipment.

AIRCRAFT REQUIREMENTS

1. FLIGHT FOLLOWING REQUIREMENTS

Aircraft are to be on an IFR flight plan to provide the best margin of safety. It may at times be necessary to take off from an airport before getting the IFR clearance. This is acceptable, provided the pilot is familiar with the area, and the current weather will allow the pilot to activate the clearance in the air. It is at times also necessary and common practice to cancel an IFR flight plan in the air. This should again be done only areas where the pilot is familiar, and when the current weather allows for a normal VMC descent to the airport. Occasionally, on very short flights, and especially in remote areas, the pilot may feel it would be safer to not divert any attention, from flying the aircraft and looking for other traffic while trying to pick up an IFR clearance. In these cases the pilot may simply call another pilot and tell them what they are doing and at what time and place they should be on the ground. After landing the pilot will again call and tell them that they are on the ground. This simply gives some flight tracking capability where there would otherwise not be any because of the lack of a flight plan.

Aircraft flying in Class B or C airspace should always remain on a flight plan unless for safety reasons they need to cancel. Contact approaches allow a pilot to continue VMC from their present position to the airport without canceling the IFR flight plan. This is acceptable, but only in the interest of safety, such as to avoid going into thunderstorms. Please keep in mind that Contact Approaches require that the pilot is familiar with the area, and can navigate VMC from the present position to the airport without terrain/obstruction surveillance from the controller.

2. AIRPORT REQUIREMENTS

Aircraft will only go to airports with paved runways and taxiways and must be public use airports. The runways shall be no less than 3800 feet, unless specifically approved. Using the aircraft performance criteria and estimates, conditions at the airport shall allow the aircraft to complete an accelerate and stop maneuver. For the purposes of determining landing distance requirements, 15 percent will be added to the calculated landing distance. This is a minimum, and in some cases the crew will add more than 15 percent if they deem necessary.

Authorization to go to airports that do not meet these requirements may be obtained from the Chief Pilot on a case by case basis only. Permission to operate an individual trip to an airport that does not meet these requirements does not constitute future permission, but instead must be evaluated and approved each and every time.

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CREW REQUIREMENTS

1. AIRCRAFT CREW REQUIREMENTS

The Jet-Aircraft shall have two pilots. The second pilot should meet the requirements of a Jet-Captain or at the very least meet the requirements for hiring Contract Pilots. Jet aircraft may utilize one pilot for required maintenance flights and flights to and from maintenance facilities, but only as needed operationally. In some rare or extreme emergencies a single pilot may be used, but only if the Chief Pilot and Flight Department Manager have agreed that it is absolutely necessary.

The King-Air shall have two pilots. The second pilot should meet the requirements of a King- Air Captain or at the very least meet the requirements for hiring Contract Pilots. King-Air aircraft may utilize one pilot for required maintenance flights and flights to and from maintenance facilities, but only as needed operationally. In some rare or extreme emergencies a single pilot may be used, but only if the Chief Pilot and Flight Department Manager have agreed that it is absolutely necessary.

Blood Donations

Pilots shall not participate in any blood donations without permission, as this can severely reduce useful conciseness in emergency pressurization situations, and can cause unpredictable losses of pilot performance. Obviously in an emergency situation where the life of another is in jeopardy a pilot can make a donation, but the pilot shall then notify the Chief Pilot and be removed from service for a minimum of 48 hours.

2. CONTRACT PILOTS

It is common knowledge in aviation from a safety stand point that using Contract Pilots results in an overall decrease in safety. Many flight departments avoid the safety concerns by staffing enough pilots to ensure that Contract Pilots will not be needed. Because of current minimum staffing, Contract Pilots are needed to provide service to our passengers when a pilot is on vacation, training, or sick.

In acknowledgement of these facts we will attempt to utilize pilots that are most current and familiar with our airplanes and company standard operating procedures as a part of an overall risk management strategy. Because safety is of primary concern the minimum requirements for Contract Pilots is to be followed.

Minimum Qualifications for Contract Pilots

- Valid Commercial or Airline Transport pilots license
- Training and experience in cockpit resource management in similar aircraft such as a jet
- Federal Aviation Regulations regarding currency requirements met for acting as Second in Command in jet aircraft

3. PILOT APPEARANCE AND UNIFORM GUIDELINES

Pilots may not have facial hair that may interfere with the safe use of the oxygen masks. The oxygen masks must be able to form a pressure seal with no leaks between the skin and the mask.

Pilots are provided with uniforms. The uniform is to be worn at all times in public areas or terminals. They do not need to be worn in the lounge. While on real estate trips, the pilots are expected to wear a similar outfit that does not have Hy-Vee logos.

Pilots are responsible for the upkeep and cleaning of their uniforms. They are also responsible to see that the uniforms are presentable and replaced (at company expense) if they become worn.

4. PILOT DUTY TIME

We utilize Federal Aviation Regulations, Part 135, as the guideline for commercial pilot's duty time requirements. As much as possible the work requirements of the flight crews will be evenly distributed to keep the pilots as rested as possible, and to avoid the decreased performance and safety associated as pilots work more hours. This also includes weekends and a rotation will be used as much as possible to keep the schedule balanced. Flight operations will be planned in such a way as to remain within these limitations. On the rare instance that unplanned weather or changes cause us to deviate from these rules, it will be carefully considered and decided if the flight should be cancelled or changed.

The following summary gives the limitations involved with these duty time rules that we experience:

The total time at work is **not to be scheduled for more than 14 hours**. This includes the one hour before scheduled departure of the flight, for normal prepping of the airplane for the flight and 30 minutes after the flight for post flight duties. This time may be exceeded for unplanned weather or mechanical delays, but the Chief Pilot must be notified if this occurs and approve the extra work time.

Scheduled **flying time is not to exceed 8 hours** within a work period.

The rest period between flights will be no less than 8 hours and preferably no less than 10 hours. This may be waived only upon request by the pilot and after being approved by the Chief Pilot. Pilots may reset their duty times when away from home by completing a minimum 8 hour rest at a hotel. This must also be approved by the Chief Pilot.

One 24 hour period of rest is required within every 7 day period.

5. PILOT TRAINING

Pilots will attend training for the aircraft currently being flown. Training will be accomplished as to ensure the pilots meet the requirements of the Insurance company and Federal Aviation Rules applicable to the aircraft. This is generally a minimum of once every 12 months in the Jet and once every 24 months in the King Air. Every attempt should be made to rotate training events in the different aircraft and to attend training events with different crewmembers. Training events will be scheduled at the same time as maintenance events on the aircraft when possible and convenient. This will allow the pilots to be gone with less affect on the availability of the aircraft and crews for better service to our passengers.

Pilot development training will be incorporated and in addition to the minimum training requirements when possible and desired by the Chief Pilot. Pilot development training includes any training that will enhance the pilot's knowledge and experience in regards to normal or emergency flight that is not provided in the minimum course requirements required by the FAA. Every attempt will be made to complete this type of training during other required training events and will be approved and scheduled by the Chief

Pilot. Some examples of common development training include; High Altitude Chamber Training, Crew Resource Management Training, International Procedures/RVSM, Medical/CPR, Survival Training, Aviation Specific Customer Service Training, Aircraft Upset and Recovery Training.

6. EXTENDED DURATION FLIGHTS

Planned fuel stops for extended flights will commonly be made if the flight is longer than three hours. Obviously operationally we may need to make a fuel stop for even shorter flights, but the maximum leg segment is ideally not to exceed three hours. This gives the pilots and passengers the opportunity to use restrooms. It also encourages a better margin of safety by allowing the aircraft to take off with less weight or land with more than minimum fuel. On occasion we may have the opportunity to extend this range, but it should only be done if the passengers would like to go non-stop. It is also important that they be told that if they change their mind and need to stop instead of going non-stop to just let the flight crew know and they will stop. Some passengers never wish to make a non-stop if it involves going past three hours. Please do not repeatedly ask people if they would like to do an extended non-stop flight if you know they do not like to do this type of flight.

7. SCHEDULING FLIGHTS (CARLEEN SIPES: 515-559-5774)

All airplanes will be booked by passengers through the West Des Moines office. Carleen Sipes will maintain the aircraft schedule via Connect. Her number is **515-559-5774**. Carleen will determine availability and handle all requests. Pilots are required to check the schedule for flight assignments and information. Changes made within 24 hours of the scheduled departure time will also require that either the Chief Pilot or the Scheduler call the pilot assigned to the trip. Should a passenger ask or request a flight directly from the pilot, pilots are urged to listen to the request and help accommodate the passengers and take down the information and relay it to Carleen to give her as much advance notice as possible, but pilots should always remind passengers, to please call Carleen Sipes to confirm and request the flight as this is required by the company. This will prevent any accidental double booking of an airplane and will also ensure that company policy regarding the use of the aircraft has been followed and maintained.

All Staff members requesting use of an aircraft should have prior approval from the Vice President to whom they report. Authorization for one trip does not necessarily constitute approval for all such trips in the future. The only exceptions to this are the regularly scheduled pick-ups for Staff meetings and Store Directors meetings.

Any aircraft going outside of the Hy-Vee territory must have prior approval by the Chairman, CEO, and President.

Any use of Charter aircraft must first be approved by the Chairman, CEO, and the President. If they are unavailable, a member of the Executive Committee may authorize the use of a Charter. There are no other exceptions to this rule.

No aircraft shall be scheduled with more than three Executive Committee members on the same aircraft. The Chairman, CEO and President should not be scheduled on the same aircraft at one time.

Company aircraft shall not be used for; charity, organ transfers, politicians or any non-business purpose.

8. OVERNIGHT TRIPS

Pilots will not stay overnight on trips outside of the Hy-Vee territory unless specifically told to stay overnight for some special reason. The trips will always be scheduled to assume the pilots are not staying overnight, so that the schedule shows the availability of the aircraft. Within two days of a scheduled flight, if the aircraft is not needed for other flights, the pilots may at their choosing decide to stay. In some cases it will be better for the aircraft to return home and come back to pick up passengers. Many times departures from places outside of the Hy-Vee area will require the aircraft to arrive the afternoon before and will then require a one night stay. This is preferable, especially if there is any chance of weather the next day and getting the aircraft there the night before makes for a safer and better service for the passengers. All sorts of exceptions both directions will come up regarding the decision to stay over or to leave the day before or to even postpone, these exceptions will be evaluated and decided jointly with the Chief Pilot and the Pilots operating the aircraft. **If the aircraft cannot be put in a hangar it shall be locked.**

9. DEPARTURE TIMES

The departure time is requested by the passengers and is for the actual time the aircraft enters the air. This means the passengers should arrive at the FBO (usually Elliott's in Des Moines), so that they are ready to walk out to the airplane 15 minutes ahead of time. This is important in consideration of on time arrival requirements and the schedules of people traveling with you. As a passenger you should contact the pilots via cell phone, if possible, should the departure time change. It is very important to tell the pilots or the scheduler of any changes as soon as practical to maintain the best possible service. **Again, if a change is made within 24 hours of the departure time, the pilots for that trip should also be notified by calling them on their cell phones.**

Changes To Itineraries After 5 pm For The Next Day

If a change is needed, the passenger making the change should call the Chief Pilot on their cell phone. If the Chief Pilot doesn't answer, please leave a message on their cell phone voice mail. You may also call the pilot flying you the next day to let them know directly if you are unable to contact the Chief Pilot. If the passenger is unsure of who is flying them and are unable to contact the Chief Pilot, calling any one of the pilots will suffice, and they will assume the responsibility of making sure the right people are notified of any changes.

Notification of time changes are extremely important when the airplane or crew is scheduled to do other flights that could be affected by the change. If the passenger is unsure it is safest to call and check on any problems that may be generated by changing the times. Passengers should assume the aircraft may be utilized by other people on the same day, and changes to departure times may affect those other flights. Please be kind to your co-workers in this regard and try to be as accurate as possible in regards to departure times. This allows the company to provide the best possible service to the most possible people without accidental degradations of service to individual passengers.

With only a few exceptions such as; bad weather days and airports requiring reservations (**O'HARE INTERNATIONAL**), the pilots will be ready to go and no notification of a time change is necessary, if the passenger decides to show up as much as **30 minutes early or two hours late**. Passengers may of course as a matter of courtesy call the pilot and notify them of any change inside of this time frame and it is many times greatly appreciated. Please keep in mind that operationally it may at times be required for the aircraft to service more than one group on a given day, and this may affect other people or yourself.

Adding or removing passenger totals or baggage should be communicated in the same manner as time changes and to the same person, as if the passengers were making a schedule change. It again depends on how quickly the pilots need to get the information to plan the trip appropriately. The airplanes

are restricted to a maximum total weight that they can operate at, and while this number is not usually a factor for our average trip (4 passengers in our home area), it can become a factor on long trips or larger passenger loads.

10. AIRCRAFT FUELING

Most of the time with more than four passengers, the pilots will put less fuel in the airplane to keep the aircraft under the maximum weights while having plenty of fuel to reach the destinations. It is normal and common for aircraft to have anywhere from one hour, up to two hours of fuel reserve when landing. Sometimes a reduction in passenger load may give the pilots the opportunity to add more fuel at home and buy less fuel on the road. This is many times preferred as the fuel can usually be purchased at home cheaper than anywhere else. Pilots will often not buy as much fuel at home as they could have just because they are worried more passengers will show up than scheduled and put the aircraft overweight. In this situation the pilot then would need to have fuel removed from the aircraft, and would not only delay the passengers but also cost the company extra money. We seek to have the most accurate information as possible to maintain the lowest costs as possible without compromising safety and provide the best possible service. It is also important to have accurate passenger lists as the company maintains records of who is flying on the aircraft.

Aircraft will not be fueled while passengers are on board. Some aircraft do not require prist additive in the jet fuel. If the aircraft does not require prist and the vendor does not have pre-mixed fuel or does not have automated prist injection, the prist can be left out in the interest of protecting the aircraft surfaces from potential damage. This rarely happens in our operations so microbial growth should never be a problem.

11. MAINTENANCE OF AIRCRAFT

If the aircraft should need service that is not scheduled the pilots will call the Director of Maintenance to arrange the service. The Director of Maintenance working with the pilots and the Chief Pilot will arrange for qualified repair personnel to get the aircraft fixed.

Anytime the aircraft has been worked on by maintenance personnel the pilot will use the FlightSafety expanded checklist from the beginning (preflight) to the (after engine start) to ensure nothing is missed as this is not a normal flight. All items will be checked as if the aircraft is on the first flight of the day even though it may not be the first flight.

12. GROUND TRANSPORTATION

Pilots are responsible for arranging ground transportation if the passenger requests this from the flight department. If ground transportation is needed it will be indicated on the schedule. They will usually indicate that they will use a pool car (PC), rental car (RC) or be picked up (PU). If possible pool cars will be started before aircraft arrival. Rental cars will be set up the day before and to the extent possible will already have all paperwork finished and ready. Pilots will use their credit card for paying for rental cars, as this is a function of the flight department and will be expensed through the flight department. It is sometimes impossible for the paperwork to be completed ahead of time because the rental car company will not allow this at some locations. When this happens the person driving the car for that day will use their information for renting the car, but the pilots will use their credit card for paying for the car. We will decline the extra insurance coverage's because the companies insurance will cover the car.

Please be aware that depending on the pilots for directions to the store is risky. Pilots rarely know the directions to a particular store. They especially won't know if the only information available is the store name, such as Cedar Rapids #2. If possible call the Store Director, and they can help in this regard.

Pool Cars

As a general rule of thumb passengers are asked to please refuel the cars if they get below 1/2 of a tank. Occasionally this won't happen because of time constraints of the passenger, but hopefully the cars will never get below 1/4 of a tank this way and cause the next passenger to be late because they need to stop and buy fuel to get where they are going. Keeping the tank filled this way also allows the pilots to have the car started ahead of time without worrying about running out of gas. It can also help cars that are sitting a lot (like our pool cars) from getting water condensation in the tank.

If you should have a **problem with the pool car** during your day, please call the pilots flying you and let them know. They may be able to arrange another car or help for you. It also lets the pilots know of ongoing issues with the car that may need to be looked at and repaired. Be aware that pool cars that have sat for a while will commonly have brake noise associated with rust that forms over an extended period of time. Pilots are encouraged to always ask the passengers returning with pool cars if they have returned the keys. This prevents people from accidentally not returning them for the next person. Locking the doors is generally unnecessary if you're not leaving something in the car; it also allows someone to shut off your lights if you leave them on.

WEATHER REQUIREMENTS

Pilots will generally not be expected to take off if the visibility at the departure airport is not suitable for a return landing. This does not however preclude the pilots from making a decision to take off if the pilots feel they can adequately see the runway and that in the event of an emergency an alternate airport exists for safely landing the airplane.

Pilots will not initiate flights to destinations inside the Hy-Vee territory when the destination weather is below minimums for the approach. Instead the pilots will remain at the departure airport until the weather improves above minimums. When the weather is something like ground based fog and the conditions are improving rapidly, the pilots may leave if in their experience the weather will easily be above minimums by the time of their arrival and they have a suitable alternate. Suitable alternates will not only meet legal requirements, but will also be practical for our type of operations. We will lean heavily on not leaving until the weather at the destination is suitable for executing a successful approach and landing.

Pilots will not depart for an airport unless the weather is at least 1000 feet or 3 miles visibility if a circling approach will be utilized. This does not preclude the pilots from executing a circling approach to minimums if needed when arriving at the airport. Pilots are encouraged to use the next higher category minimums on circling approaches, which means using the Category C minimums, to provide a higher safety margin. This will better allow for unusual wind patterns (like direct tailwinds on base) that may be encountered and a higher margin of error and increased safety during the maneuver. This is not to be misconstrued as a requirement or reason to go faster than the normal airspeed, of 140kts or less, for the circling maneuver. The normal slower speed for the maneuver can and should be utilized to give the maximum margin of safety.

Downwind takeoffs are acceptable as long as the limitations of the aircraft are not exceeded and the runway length and conditions allow for the (accelerate and stop) maneuver. Downwind takeoffs should only be utilized when it is the opinion of the crew that it is safer to do so and gives a larger margin of safety then taking off the other direction.

Crosswind landings exceeding the aircrafts maximum demonstrated crosswind component should be avoided. This does not exclude them completely, but encourages pilots to not go to destinations where it is expected to be necessary for the conditions at the time of arrival. It does not preclude the pilot from executing such a maneuver if after getting to the destination the forecast wind is different than forecast and the crosswind component is over the demonstrated wind, but it is completely acceptable and sometimes preferred to not land and go to an alternate destination.

Deicing, Winter Operations, and Bad Weather

It will always be preferred to hangar an aircraft rather than deice the aircraft. Not only is it usually less expensive, but is also less likely to cause service delays to our passengers. If there is any possibility of icing while the aircraft is waiting for passengers the aircraft will be put in a hangar. If a hangar is unavailable, then deicing is the only alternative. It may be necessary to change where the aircraft will be sitting if a hangar is not available and no deicing equipment is available.

Thunderstorms and extreme wind are also to be treated like potential icing problems. If in doubt don't leave it out. The company would much rather pay the occasional hangar fee that turns out to be not needed, than to have a major loss or damage to the aircraft.

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EMERGENCY ACTION PLAN

It is company policy in general that only authorized company personal will talk to the media about anything the media may want to ask. Pilots are never authorized in this respect. In the event it is related to the aviation department all questions will be referred to the media relations person at the corporate office.

In the event of an emergency in relation to the flight department, the Chief Pilot will be notified as soon as practical. The Chief Pilot will use the normal chain of command to notify corporate officers (see Confidential Phone List). It may be necessary in time critical situations to keep moving up the chain of command until someone can be reached. The flight department is unique in that we have many private and confidential numbers that others do not have, so it shouldn't be a problem finding someone to notify. After getting a hold of someone and explaining the situation, let them take over and decide what needs to be done and who will take care of these things.

Specific rules and regulations requiring the pilot to notify the NTSB or other agencies will still need to be adhered to, but will be supervised by the Chief Pilot.

1. CRISIS EVENTS

The following events may result in a crisis situation and require use of this Emergency Response Plan:

- Aviation accident/Serious incident
- Disaster in the premises: Fire, explosion, pollution, flood
- Loss of the working resource: workshop, offices, hangar, aircraft
- Impacts of a disaster within the vicinity of the establishment
- Climatic event: snow, storm, flood, lightning
- Natural disaster: earthquake, volcanic eruption
- Food poisoning, epidemic
- Death, suicide at the workplace
- Multiple victims connected to a disaster, illness or contagion
- Accident to the public transportation of the personnel
- Social movements: strike, blocking of the accesses
- Internal or external threat: Attack, bomb alert, sabotage, terrorism,
- Loss of energy: electricity, gas
- Loss of communication means: internet, landlines or mobile telephones
- Major media event
- Accident during missions: business trip, abroad

2. DEFINITIONS

Accident. An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which:

- a person is fatally or seriously injured as a result of:
 - a. being in the aircraft, or
 - b. direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or except when injuries are from natural causes, self-inflicted or inflicted

- by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or
- the aircraft sustains damage or structural failure:
 - a. which adversely affects the structural strength, performance of flight characteristics of the aircraft and
 - b. would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or for damage limited to propellers, wing tips, antennas, tires, brakes, fairings, small dents or puncture holes in the aircraft skin; or
 - the aircraft is missing or is completely inaccessible.

Incident: An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Serious Incident: An incident involving circumstances indicating that an accident nearly occurred.

Serious Injury: Any injury which is sustained by a person in an accident and which:

- requires hospitalisation for more than 48 hours, commencing within seven days from the date the injury was received; or
- results in a fracture of any bone (except simple fractures of fingers, toes or nose); or
- involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or
- involves injury to any internal organ, or
- involves second- or third-degree burns or any burns affecting more than 5% of the body surface; or
- involves verified exposure to infectious substances or injurious radiation.

Fatal Injury: An injury resulting in death within 30 days of the date of the accident.

3. REACTION TO AN EMERGENCY CALL

Whenever the Company is made aware of an accident or incident, the person or department that receives the alert must endeavour to establish the following information points:

- Date and time of the call.
- Name and contact details of the informant.
- Establish the authenticity of the call (where possible).
- In the event that the call is made anonymously, try and obtain information concerning the other party and their position. (where possible, try to record the conversation and listen to background noise).
- Initiate the alert process both in-house and externally.

The Chief Pilot will maintain a list of emergency numbers. The direct contact details for the members on the Emergency Numbers list must be readily accessible and up to date.

4. COMMUNICATION

In responding to an emergency situation, all or part of the organization's personnel may be affected by the event, depending on the size of the company. Senior management must make a concerted effort, by whatever means appropriate, to inform all personnel regarding the event.

The organization's policies, such as a ban on disclosing any information outside of the organization, and the policy for dealing with the media should be reinforced. Additionally, there should be a prohibition

placed on personnel to prevent them attending at the accident/location unless required to do so within the scope of their duties.

Volunteers from within the organization's personnel may be sought to assist in dealing with families and friends of the victims. In such circumstances it is important to anticipate this type of request and to have launched a request for volunteers during the normal activities of the organization. Additionally, it is important that the organization has in place a list of specialists such as psychologists and counsellors who may be contacted to tender professional assistance to the victim's relatives, employees and volunteers as appropriate.

In the situation where a major event has occurred, it is essential that the organization implements a detailed communication plan under the guidance by the Public Affairs department or, where such a department is not in place, a lawyer appointed by the organization for that purpose. Once an emergency call has been received and the Senior Management has been informed, an initial press release should be disseminated in an attempt to prevent the saturation of lines of communication. Press releases should not contain the name(s) of the persons involved in the accident/incident unless they have been definitively established. Additionally, the names of senior or departmental managers should not be released unless authorized. The Flight Department will rely on the internal Hy-Vee Public Affairs department to prepare and disseminate a press release.

5. CRISIS REPORTING

The individual(s) involved in the crisis event will complete Appendix A - Flight Department Safety Report within 24-hours of the crisis occurring. Every Flight Department person involved in the crisis will complete their own FDSR. This will help establish a clearer picture as to how the crisis occurred, and the surrounding details of the environment that contributed to the crisis occurring.

Once the FDSR is completed, either hand a printed copy or send a scanned email copy to the Safety Manager. The Safety Manager will then provide the completed FDSR's to the Chief Pilot who will then use these forms to assist in further investigation of the crisis event.

Once the investigation of the crisis event is complete, the FDSR forms will be filed for a period of no shorter than 2 years.

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STANDARD OPERATING PROCEDURES (SOP)

NON-AIRCRAFT SPECIFIC SOP

1. DEFINITIONS

PF - Pilot Flying. The pilot responsible for controlling the flight of the aircraft.

PNF - Pilot Not Flying. The pilot who is not controlling the flight of the aircraft.

PIC - Pilot-in-Command. The pilot responsible for the operation and safety of an aircraft during flight time. This will be the pilot flying unless the pilot flying does not have an appropriate type rating for the aircraft being flown.

2. CHECKLISTS

Flight crews shall use a challenge-response method to execute all checklists except in high volume areas where the climb check may be done silently and finished by saying out loud "climb check complete". After the PF initiates the checklist, the PNF challenges by reading each checklist item aloud. The PF may complete the item or direct the PNF to complete it, then states the response after verifying its completion. Both pilots shall actively monitor completion of each checklist item. Any doubt about an item's status must be resolved before continuing the checklist. After the completion of each checklist, the PNF states " ___ checklist is complete." This action promotes crew situational awareness and prompts the PF to continue to the next checklist, if appropriate. Effective checklists are pertinent and concise. Flight crews should use them as they are written: verbatim, smartly, and professionally. The Bold indicates items that are read by the PNF. If this item is also completed by the PNF at that time the PNF will also respond to the challenge with the appropriate response. This helps facilitate the flow patterns and allows the PF to focus their attention to the task of flying or taxiing and keeps one person looking outside at all times.

OMISSION OF CHECKLISTS

While the PF is responsible for initiating checklists, the PNF should ask the PF whether a checklist should be started if, in his opinion, a checklist is overlooked. As an expression of good flight deck management, such prompting is appropriate for any flight situation: normal/abnormal, training, or check rides. The after takeoff-climb check may be performed by the PNF (silently) in high volume areas and should be announced when completed, "Climb Check Complete" to make the PF aware that the check has been completed.

CHALLENGE/NO RESPONSE

The PNF shall call out any observed flight path deviations as listed in the "Callouts, Actions and Briefs" section of these SOPs, appropriate to the phase of flight, as well as any condition he considers pertinent to safety of flight. The PF shall respond immediately to any such callout. Lack of a PIC response may indicate distraction or, in the worst case, pilot incapacitation. To ensure safe operation in any case, the PNF shall follow these steps:

- A. The PNF calls out an observed deviation or condition (e.g. "altitude"). If the PF does not positively respond by oral communication or action, then
- B. The PNF shall issue a second challenge that is loud and clear, along with a corrective action (e.g. "level off"). If the PF still does not respond after the second challenge, to ensure safety of the aircraft

- C. The PNF shall announce that he is assuming control, and take the necessary actions to return the aircraft to a safe flight condition.

3. ABNORMAL/EMERGENCY PROCEDURES

Any crewmember observing an abnormal or emergency condition shall positively announce it. The PIC shall designate a pilot flying (PF), who assumes primary responsibility for positional awareness and safe operation of the aircraft. The pilot not flying (PNF) should read checklists and perform any appropriate tasks, with the PF monitoring. Following these designations, the PIC shall call for the appropriate checklist. When reading an abnormal or emergency checklist the PNF shall state both the challenge and the response for each item. The PF completes the item or directs that the PNF complete it, then re-states the response after verifying its completion, as in normal checklist completion. However, the PF shall not perform any tasks that might compromise his primary responsibility for safe operation of the aircraft, regardless of whether he uses the autopilot or flies manually. Both pilots must be able to respond to certain emergency situations requiring immediate corrective action without reference to a checklist. Those elements of an emergency procedure requiring action without reference to a checklist are called memory or recall items. Pilots shall accomplish those items from memory, and then verify their completion using the appropriate emergency checklist. All other abnormal and emergency procedures shall be accomplished by referring to the appropriate printed checklist.

When a checklist procedure calls for the movement or manipulation of controls or switches critical to safety of flight (e.g., throttles, engine fire switches, fire bottle discharge switches), the pilot performing the action shall obtain verification from the other pilot that he is moving the correct control or switch prior to initiating the action.

Any checklist action pertaining to a specific control, switch, or equipment that is duplicated in the cockpit is read to include its relative position and the action required (e.g., "Left Throttle-Off; Left Boost Pump-Normal").

TIME CRITICAL SITUATIONS

When the aircraft, passengers and/ or crew are in jeopardy, remember three things.

- **FLY THE AIRCRAFT**
- **ANALYZE THE SITUATION**
- **TAKE APPROPRIATE ACTION**

ABORTED TAKEOFFS

The aborted takeoff procedure is a preplanned and prebriefed maneuver; both crewmembers must be aware of and prebriefed on the types of malfunctions that mandate an abort. Either crewmember may call for an abort. The PF normally commands and executes the takeoff abort for directional control problems or catastrophic malfunctions. Any indication of the following malfunctions prior to V1 is cause for an abort:

- Loss of Directional Control
- Engine Failure
- Engine Fire
- Thrust Attenuator deployment

In addition to the above, the PF can execute an abort prior to 80 KIAS for any observed abnormality. If possible, the crewmember observing the abnormality should call out the specific malfunction. When the PNF calls an abort, the PF announces "Abort" or "Continue" and executes the appropriate procedure.

CRITICAL MALFUNCTION IN FLIGHT

In flight, the observing crew member positively announces a malfunction. As time permits, the other crewmember makes every effort to confirm/identify the malfunction before initiating any emergency action. If the PNF is the first to observe any indication of a critical failure he announces it and simultaneously identifies the malfunction to the PF by pointing to the indicator/annunciator. After verifying the malfunction, the PF announces his decision and commands accomplishment of any checklist memory items. The PF monitors the PNF during the accomplishment of those tasks assigned to him.

NON-CRITICAL MALFUNCTIONS IN FLIGHT

Procedures for recognizing and verifying a non-critical malfunction or impending malfunction are the same as those for time critical situations: use positive oral and graphic communication to identify and direct the proper response. Time, however, is not as critical and allows a more deliberate response to the malfunction. Always use the appropriate checklist to accomplish the corrective action.

4. RADIO TUNING AND COMMUNICATION

The PNF has primary responsibility for nav/comm radio tuning, identification, and communications. Before tuning the PF's radios, he should announce the NAVAID to be set. In tuning the primary NAVAID, the PNF should coordinate with the PF to ensure proper selection sequencing with the autopilot mode. This is especially important when transitioning from radar vectors to direct or on course clearance. The PNF will always check the autopilot mode to ensure that the NAV function is properly selected. After tuning and identifying the PF's NAVAID, the PNF should announce "(Facility) tuned and identified." In tuning the VH radios for ATC communication, the PNF should place the newly assigned frequency in the head not in use (i.e., preselected) at the time of receipt. After contact on the new frequency, the PNF retains the previously assigned frequency for a reasonable time period. If the PF should decide to tune radios or change the FMS the Autopilot should be engaged and autopilot modes announced. This is not necessary if the autopilot was already on and the modes were already announced previously. This would most commonly happen in enroute cruise flight.

5. ALTITUDE ASSIGNMENT

The PNF normally sets the assigned altitude in the altitude alerter while orally repeating the altitude. The PNF continues to look at the altitude alerter until the PF confirms the altitude is correctly set by saying "I see 11 thousand"

6. PRE-DEPARTURE and/or TAKEOFF BRIEFINGS

The PIC shall conduct a pre-departure briefing prior to each flight to address expected time enroute, weather, weather delays, safety considerations, and operational issues. Pre-departure briefings should include all crewmembers to enhance team building and set the tone for the flight. As much as possible this should be completed before passengers have arrived. The briefing may be formal or informal, but should include some standard items. This is also an opportunity to brief any takeoff or departure deviations from the SOP due to weather or runway conditions. All checklists' up to the BEFORE START checklist should be complete at this time. If done properly and there are no changes this will allow for the PF to respond to the Takeoff briefing as "completed or standard" during the reading of the checklist. If something has changed or was missed earlier, it can then be added and done at that time if necessary.

The following can be used as a guide to completing this brief:

- Aircraft (501 's, deferred items, inspection status)
- Weather (hazards, turbulence, possible alternatives)
- Airports (field conditions, notams, FBO's, alternate airport for emergency return if not the takeoff runway)
- Route (SID's, STAR's, filed route)
- Extra (catering, special request items, stock, ground transportation)
- Aborted Takeoff SOP (if you have never briefed this person before)

Within our company a Standard Takeoff Briefing may be used as long as the following conditions are met;

- Runway is 5000 Feet or longer.
- Runway is free of any moisture.
- The departure procedure has a standard climb gradient.
- Daytime, VMC conditions.
- All items on the airplane are functioning correctly.

For the purpose of clarity and uniformity a Standard Takeoff Briefing within our company is as follows;

- We will abort a takeoff for the following;
- Any Master Caution or Warning
- Any loss of directional control
- Any unknown cause of sounds, smells, or physical sensations by the crew
- Any intrusion to the runway

7. ADVISING OF AIRCRAFT CONFIGURATION CHANGE

If the PF is about to make an aircraft control or configuration change, he alerts the PNF to the forthcoming change (e.g., gear, speed brake, and flap selections). If time permits, he also announces any abrupt flight path changes so there is always mutual understanding of the intended flight path. On approach, no configuration changes are to be made below 500 feet AGL.

8. TRANSITIONING FROM INSTRUMENT TO VISUAL CONDITIONS

If visual meteorological conditions (VMC) are encountered during an instrument approach the PNF normally continues to make callouts for the instrument approach being conducted. However, the PF may request a changeover to visual traffic pattern callouts.

9. OPERATIONS IN NIGHT VMC OR WHEN IMC MIGHT BE ENCOUNTERED

Crews will conduct a full briefing for an instrument approach (when available) as a backup before accomplishing a visual approach during night VMC or whenever IMC might be encountered. It may also be desirable and prudent at unfamiliar airports and high volume airports where an instrument approach may be utilized for sequencing.

10. PRE-TAXI BRIEFING

In an effort in eliminating runway incursions, crews will conduct a pre-taxi briefing that includes the aircraft position on the airfield, the cleared taxi routing, hold short points, and any other considerations, prior to departing the parking location. The PF will not begin the taxi if there is any question about the taxi instructions. If the crew is unfamiliar with the taxi route or instructions, then a progressive taxi will be requested (and no checklist items will be accomplished until the aircraft is brought to a full stop. If a "hold short" clearance is given, the PF will verbally repeat the clearance prior to arriving at the hold short point. The normal position of the aircraft to hold short will be at least 10-20 feet prior to the hold short line, and maybe even greater during poor surface traction and visibility.

11. FLIGHT MANAGEMENT SYSTEM (FMS)/FLIGHT DIRECTOR (FD) PROGRAMMING OR CHANGES

On the ground, both crew will confirm the proper routing programmed in the FMS. In flight, the PF will request the PNF to program changes in the FMS or FD when required. The PNF will announce when the changes are entered, and both crew will confirm the changes. The PF may make the changes, if as noted in radio communications and tuning section of the SOPs, the autopilot is engaged and modes announced.

12. HEADING "BUG" DURING TAKEOFF

Both crew will have the heading bug set on the departure runway heading, and must confirm the runway heading against the aircraft heading on both systems prior to departure. At a minimum, the PF heading bug must remain on the runway heading until at a safe altitude to turn.

13. TAKEOFF POWER

Getting takeoff power will be accomplished from a "standing start" whenever the calculated runway necessary is more than 50% of the total runway. Example; if the runway distance needed for takeoff is 2500 feet and the runway is less than 5000 feet. This may be omitted if in the opinion of both pilots the takeoff would be safer by not doing a "standing start" because of runway conditions. Takeoff power should also be set to at least target NI or better before releasing the brakes in these situations to eliminate using more runway than necessary and giving the PF less distractions during the takeoff roll. If a "rolling technique" is utilized the target power should be set in a minimal time (should never be later than 80kts).

14. STANDARD PERFORMANCE PARAMETERS

Use the following parameters unless a trip is time critical, ATC request for sequencing, weather or turbulence, terrain avoidance, or fuel is critical:

When climbing in non-radar environment the aircraft pitch should be reduced after reaching minimum safe altitude. This will allow for the best possible "see and avoid" aircraft collision avoidance techniques. It may also be wise to make a shallow bank to give even better vision. When climbing in a congested area the altitude assignments and increases tend to be smaller. The flight profile from Teteboro may look something like this for example; Initial altitude 2000, then a climb to 5000, then a climb to 8000, then a climb to 14000 and this may continue for some time. It is, except for the examples above, more desirable to climb at faster speeds (250KIAS until the climb rate is down to 1000 fpm). This allows the slower jet, like most corporate aircraft, to maintain a better speed and flow with the larger and faster airplanes. This

also decreases the amount of deck angle and perceived changes by the passengers and gives controllers in high volume areas a little more time to work in your next altitude assignment. Keep in mind the higher speed can only be maintained if you are not operating under the Class B airspace. While taking off from the non-primary airport in a Class B airspace you need to plan to stay within the 200 knots IAS limitation of the FAR's which is anytime you are operating below the Class B airspace. This will require a much reduced power setting then maximum, so that you can go slow and not have climb rates in excess of 2000 fpm. Climb rates in excess of 2000 fpm many times will cause errors within the ATC radar system and will require the controller to continually ask what altitude you are at, or more likely they will just make you level off at the next altitude until the computer system catches up and tells them your altitude. This problem is many times ignored in low traffic volume, but is not ignored in hi-volume traffic areas. Do your passengers, the controllers, and yourself a favor in these areas by staying within the 200kts, keeping the climb rate below 2000fpm, and once in Class B airspace accelerating to 250kts to more easily flow with other more common airliner traffic. When executing a noise abatement departure, staying below 200kts and 2000 fpm will also allow us to easily stay within the noise limits and provide a known procedure to follow.

15. CLEARANCE TO MAKE A VISUAL APPROACH

When cleared "for the visual approach" the altitude select window shall be set to 1500 feet above the airport elevation. The PF may wait to descend until the normal decent point or such time that they wish, but should not descend without first selecting the altitude. Likewise the altitude may be selected when first receiving the clearance even though the PF does not yet intend to descend. It should be thought of as a "pilots discretion decent to 1500 feet AGL" with a pilots discretion decent to the runway.

COMMONLY USED CALLOUTS AND ACTIONS

PF

PNF

After being cleared for Takeoff:

CALL: Line-up check

ACTION: Read the line-up check

ACTION: Complete line-up items

On Takeoff Roll:

ACTION: Throttles are advanced to target
N1

CALL: Takeoff power set
CALL: Airspeed alive
CALL: 80 Knots crosscheck
CALL: V1 Rotate

ACTION: Move hand from throttle to yoke
Rotate to 10 degrees for takeoff

After achieving positive rate of climb (visually or VSI is positive and Altimeter is increasing):

CALL: Positive rate, Gear up

ACTION: Gear Up

CALL: Gear up, Lights out
CALL: 400 feet

ACTION: Flaps Up
Engine Sync
Yaw Damp

PF

PNF

After achieving safe altitude and when workload permits:

ACTION: Complete Climb Checklist
(silently until announcing Complete)

Anytime during climb when airplane goes through an altitude that is 1000 feet from assigned altitude:

CALL: 1000 feet to go

ACTION: Check Altitude Mode Armed

Altitude deviation exceeding 100 feet:

CALL: Altitude

CALL: Correcting

Course Deviation in excess of One Half Dot:

CALL: Course

CALL: Correcting

Heading Deviation in excess of 10 Degrees:

CALL: Heading

CALL: Correcting

PF

PNF

Approaching Flight Level 180:

CALL: Flight Level 180 check

ACTION: Complete Flight Level 180 check

Descending through Flight Level 180:

CALL: Descent check

ACTION: Complete Descent check

After receiving ATIS information and determining type of approach:

ACTION: Review Airport Information and approach as necessary to ensure situational awareness (May be silent or spoken aloud)

- Field Elevation
- Appropriate minimum sector altitude(s)
- Inbound leg to FAF, procedure turn direction and altitude
- Final approach course heading and intercept altitude
- Timing required
- DH/MDA
- MAP (non-precision)
- VDP
- Special procedures (DME step-down, arc, etc.)
- Type of approach lights in use (and radio keying procedures, if required)
- Missed approach procedures
- Runway information/conditions

PF

PNF

ACTION: Brief the following from the briefing strip:

- Approach to be executed
- Minimum safe altitude
- Navaid and Frequency
- Approach courses to be used
- FAF altitude
- Approach speed
- DH/MDA

NOTE: If the weather at the airport is less than 600 feet or has less than 2 miles of visibility, then the altitude to which you can descend below DH with the approach lights in sight must be briefed.

- VDP
- Field elevation
- Missed approach procedures
- Intentions

NOTE: Accomplish as many checklist items as possible. The approach checklist must be completed prior to the initial approach fix.

APPROACH SPECIFIC ITEMS

PF

PNF

After Level-Off on Intermediate Approach Segment:

ACTION: Select flaps approach

CALL: Flaps at approach

At Initial Convergence of Course Deviation Indicator:

CALL: Course alive and armed

CALL: Course alive and armed

When annunciator indicates localizer in NAV course is captured:

CALL: NAV captured

CALL: NAV captured

At initial downward movement of glideslope raw data indicator:

CALL: Glideslope alive and armed

CALL: Glideslope alive and armed

At one dot from glideslope intercept or 1 mile from FAF on a non-precision approach:

ACTION: Gear down

CALL: Before landing checklist

CALL: Three green

ACTION: Complete before landing checklist (except for full flaps)

PF

PNF

When annunciator indicates glideslope capture:

CALL: Glideslope captured

CALL: Glideslope captured

ACTION: Select flaps full

At outer marker or final fix:

CALL: Outer marker, or final fix

ACTION: Start timing if necessary

Visually crosscheck that both altimeters agree with crossing altitude

Set missed approach altitude in altitude alerter

Check PF & PNF instruments

Call FAF inbound on radio

CALL: Outer Marker or Final Fix

APPROACH DEVIATIONS DURING FINAL APPROACH SEGMENT

CALL: Vref + or - ____ knots
One dot: low, high, left, or right
Sink rate
(If over 1000 fpm within 500 ft agl)

CALL: Correcting

PF

PNF

At 500 feet above DH or MDA:

CALL: 500 ft to minimums, approach window

CALL: Continue

ACTION: Maintain approach window

NOTE: An approach window has the following parameters:

- Within one dot deflection, both LOC and GS
- 5 degrees of bearing on ADF approaches
- VSI less than 1000 fpm
- IAS within Vref +20 kts (no less than Vref)
- No flight instrument flags with the landing runway or visual references not in sight.
- Landing configuration, except for full flaps (circling or single engine approaches.)
- When within 500 ft above touchdown, the aircraft must be within the approach window. If the aircraft is not within the window, a missed approach must be executed.

At 100 feet above DH or MDA:

CALL: 100 feet to minimums

CALL: Continue

At DH with runway or approach lights insight:

CALL: Runway insight or Approach lights insight, continue to 100 ft AGL

CALL: I'm visual or Continue

ACTION: Land or Fly to 100 ft AGL

PF

PNF

At DH with NO runway or approach lights insight:

CALL: Missed approach

CALL: Missed approach

ACTION: Apply power
Activate go-around mode
Pitch to flight director bars
Flaps select approach

At positive rate of climb (VSI and Altimeter):

CALL: Positive rate, Gear up

ACTION: Gear Up

CALL: Heading and altitude for missed

At 400 feet AGL or higher:

CALL: 400 feet

ACTION: Flaps Up

After reaching 1500 feet AGL and when time permits:

ACTION: Complete Climb Checklist
(silently until announcing Complete)

SAFETY MANAGEMENT SYSTEM (SMS)

INTRODUCTION

This Safety Management System (SMS) is intended to be a systematic approach to managing safety including the necessary organizational structures, accountabilities, policies and procedures. It outlines the SMS in place at Hy-Vee, Inc. Aviation Department (herein referred as the "Organization"). Specific procedures for aircraft or ground emergencies are not intended to be included in this manual, and are part of the specific Aircraft Flight Manual, Emergency Checklists, or Emergency procedures either set in place by, or utilized by this company.

This is not intended to be a stand-alone manual, and should be read in conjunction with FAA AC 120-92a, AC 120-82, ICAO Doc 9859, and ICAO Annexes 6, 11, 13 & 14. This document was developed from the guidelines set forth by IS-BAO AMC 3.2 – Safety Management System.

Nothing contained in this manual is meant to supersede any standing regulation, order or recommendation issued by the FAA or ICAO ruling bodies. In the event a discrepancy is noted, the reader is advised to bring said discrepancy to the notice of the organization's SMS Safety Manager.

This SMS is a system to assure the safe operation of aircraft through effective management of safety risk. This system is designed to continuously improve safety by identifying hazards, collecting and analyzing data and continuously assessing safety risks. The SMS seeks to proactively contain or mitigate risks before they result in aviation accidents and incidents. It is a system that is commensurate with the organization's regulatory obligations and safety goals.

SMS is necessary for an aviation organization to identify hazards and manage safety risks encountered during the delivery of its products or services. An SMS includes key elements that are essential for hazard identification by ensuring that:

- the necessary information is available;
- the appropriate tools are available for the organization's use;
- the tools are appropriate to the task;
- the tools are commensurate with the needs and constraints of the organization; and
- decisions are made based on full consideration of the safety risk.

1. SMS FRAMEWORK

The framework includes four components and twelve elements, representing the minimum requirements for SMS implementation. Developed by ICAO (International Civil Aviation Organization), the four components of an SMS are:

- Safety Policy and Objectives;
- Safety Risk Management;
- Safety Assurance; and
- Safety Promotion.

Safety policies and objectives create the frame of reference for the SMS. The objective of the **safety risk management** component is to identify hazards, assess the related risks and develop appropriate mitigations in the context of the delivery of the organization's products or services. **Safety assurance** is accomplished through ongoing processes that monitor compliance with international standards and

national regulations. Furthermore, the safety assurance process provides confidence that the SMS is operating as designed and is effective. **Safety promotion** provides the necessary awareness and training.

The four components and twelve elements that comprise the ICAO SMS framework are as follows:

a. Safety Policy and Objectives

- 1) Management commitment and responsibility
- 2) Safety accountabilities
- 3) Appointment of key safety personnel
- 4) Coordination of emergency response planning
- 5) SMS documentation

b. Safety Risk Management

- 1) Hazard identification
- 2) Safety risk assessment and mitigation

c. Safety Assurance

- 1) Safety performance monitoring and measurement
- 2) The management of change
- 3) Continuous improvement of the SMS

d. Safety Promotion

- 1) Training and education
- 2) Safety communication

This organization's SMS weaves the above listed components and elements into its structure, but does not follow the ICAO framework verbatim. Again, the ICAO framework is meant to be used as a minimum requirement to developing an organization's SMS.

2. SAFETY ACCOUNTABILITY

Every employee of the company is accountable for safety. We cannot maintain a safe workplace unless we follow safe practices. We cannot address safety problems unless they are identified and reported. To that extent, everyone who works here from the Chief Pilot on down is accountable for maintaining a safe work environment in Hy-Vee operations. Guidelines and procedures for reporting of safety issues and maintaining general safety in our activities are addressed in this document.

Recommendations to improve safety will be given thorough consideration by the Safety Manager and other appropriate company managers. If deemed necessary, they will then be forwarded to the appropriate individual(s) for further review and implementation.

Our organization will give top priority to the identification and correction of unsafe conditions.

Our organization will take disciplinary action against any employee who willfully or repeatedly violates the rules, policies and procedures contained in this Safety Management System manual. This action may include remedial training, verbal or written reprimands and may ultimately result in termination of employment.

Our Safety Management System applies to the following company activities:

- Scheduled Flight Operations
- Un-scheduled Flight Operations

3. MANAGEMENT CHANGE

In the event of change of senior management personnel, the Safety Manager will brief the new manager on the Safety Management System.

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SMS SAFETY MANAGER

Hy-Vee Aviation Department has established the position of Safety Manager to monitor company activities from a safety standpoint, identify areas where corrective measures are needed to ensure continued safety, and recommend improvements. The name of the person currently assigned as Safety Manager appears in Section B - Flight Operations Manual.

1. SAFETY MANAGER QUALIFICATIONS

The Aviation Department Safety Manager will either be an appropriately certificated and rated pilot who is – or has been – trained, qualified and current in company aircraft, or an FAA certificated mechanic or aircraft dispatcher who is thoroughly knowledgeable as to all aspects of the company's operations. It is not necessary that a pilot be currently qualified in company aircraft.

2. AUTHORITY AND RESPONSIBILITY

The Safety Manager has the authority to:

- Within the limits of applicable regulations and the organization's approved training program, determine the schedule for evaluating the effectiveness of control measures used to ensure the safety of flight. These include, but are not limited to, enroute checks to evaluate Hy-Vee pilots' knowledge in the areas of safety
- Assist management in reviewing and updating safety rules, policies and procedures. Such reviews will be based on accident investigation findings, audit findings, and any reports of unsafe conditions
- Enforce use of the SMS FlightCan database data entry program on every flight
- Accept and address anonymous complaints and suggestions from employees
- Participate in safety training and
- Assist management in monitoring flight operations safety education and training
- Assist management in the revisions of the organization's operating manuals, checklists, and similar documents
- Require individuals involved to submit reports of any safety-related event
- Conduct an investigation of any aviation safety-related event
- Conduct safety inspections and internal audits of any aviation operation or facility
- Interface directly with top company management on safety issues within the aviation department

The Safety Manager is responsible for:

- Maintaining a reporting system for accidents, incidents and hazards to flight operations
- Obtaining and distributing safety information
- Conducting company safety inspections and internal audits using policies from this manual and data from the SMS FlightCan
- Developing and/or maintaining a pre-accident plan, and supervising its implementation when necessary
- Implementing and monitoring risk control measures
- Conducting accident and incident investigations
- Making regular reports to top management on activities associated with SMS, specifically including specific safety problems and measures taken to mitigate them
- Implementing suggestions from top management related to safety issues
- Taking measures as necessary to maintain continuity of the SMS – including discussing with the CEO, department managers, etc., the necessity of encouraging participation in the SMS

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SMS DATA COLLECTION

1. SMS FLIGHTCAN™

In order for an SMS to function, data collection must be implemented as an integral process to daily operations of the flight department. SMS FlightCan is the proprietary tool developed for Hy-Vee Aviation Department to collect data pertinent to safe, daily flight operations.

SMS FlightCan is NOT a Flight Risk Analysis Tool (FRAT). It is simply a data collection portal that also emphasizes the importance of being safety conscious prior to, and during, the next flight of the day. It is designed to maintain a certain level of checks and balances, while stressing the importance of maintaining a healthy safety culture while on the road.

2. FLIGHTCAN PROCEDURES

The SMS FlightCan is an online tool that is accessed on either a personal computer or iPad with internet connection. FlightCan can be accessed by entering the following URL address in a web browser:

<https://form.jotform.com/50525462550147>

An easier, and more secure method of accessing SMS FlightCan, is to log into your secure Client Portal on the FoxThree Aviation website and click the link from your own home page. The Safety Manager has the information on how to log into the Client Portal.

Prior to each flight of the day, the PIC is responsible for accessing the SMS FlightCan by entering the above link in their iPad web browser and completing the data collection form from beginning to end. Once all of the questions are answered, the PIC clicks "Submit" at the bottom, and the form is entered into the database and also emailed to the PIC and the Safety Manager for redundant record keeping.

The following information is gathered in the SMS FlightCan:

Section 1: Aircraft and Flight Plan collects information about the pilots aboard, aircraft being flown, airport information, and provides questions concerning certain safety aspects of the upcoming flight.

Section 2: Document Upload provides two hyperlinks to select files on the iPad to upload to the SMS FlightCan database. One link allows uploading of a Weather Briefing file and the second link allows uploading of a Weight & Balance file.

Section 3: Safety Reporting provides another avenue for the pilots to address any safety concerns and/or provide input about impending unsafe conditions to the Safety Manager.

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REPORTING OF ACCIDENTS, INCIDENTS AND HAZARDS

1. ACCIDENTS

All accidental damage to the organization's aircraft; injury to personnel or customers resulting from operations; or damage to non-owned property or injury to other personnel resulting from the organization's operations must be reported to the Safety Manager, who will in turn notify the appropriate company officials.

2. INCIDENTS

The organization's employees will report the following incidents:

- Any defect which adversely affects the handling characteristics or performance of the aircraft
- Failure of navigation or communications systems
- Loss of any external part of the aircraft
- Rejected takeoff
- Runway Incursion
- Landing on wrong runway or wrong airport
- Inadvertent engine shutdown
- Non-training in-flight engine shutdown or failure
- Door warning (in-flight)
- Significant fuel leak
- Fire, explosion, smoke, or toxic fumes in company aircraft or facilities
- Significant fueling error
- Insecure load, leakage or fumes from cargo
- Injury to any person while on or in company aircraft, vehicles, or facilities
- Any other on-the-job activity, incident, or condition that is hazardous, or could result in hazards leading to injury, property damage, liability, or unwarranted cost.

3. SAFETY REPORTS

Safety reports may be made several ways:

- Verbal report, in person or via telephone, to the Aviation Department Safety Manager. In the case of a verbal report, the Safety Manager will complete a Flight Department Safety Report form to document the issue.
- Written report, on a Flight Department Safety Report form, found in Appendix A of this manual.

It is important that Hy-Vee employees understand and believe that top management supports and encourages a non-punitive safety reporting program. We recognize that people make mistakes unintentionally. Identifying those mistakes and investigating their cause allows us to make changes that will reduce future risk.

However, not all safety problems result from accidental errors. A pattern of individual negligence, blatant disregard for safety, or chronic failure to comply with applicable company procedures, policies, and regulations, may result in disciplinary action to preserve the overall safety of our activities.

All Hy-Vee Aviation Department employees are responsible for reducing risk by maintaining a safety-oriented attitude. This includes following our policies and procedures. If a procedure is flawed and may

lead to a safety problem, let us know. If you make a mistake and have the choice of covering it up, or reporting it to prevent someone else from making the same mistake, ***please*** report it to your supervisor or the Safety Manager.

4. CONFIDENTIAL REPORTING

If you are still concerned about reporting a safety concern, you may report the problem confidentially using a Flight Department Safety Report form, by omitting your name and/or other identifying data. Your report will only go to the Safety Manager, who is authorized to keep your report confidential. While confidential reports are acceptable – and appropriate in some cases – you should remember that the Safety Manager cannot go back to an anonymous reporter to request further details on the problem; this may interfere with resolution of the safety issue at hand.

5. EMERGENCY PREPAREDNESS AND RESPONSE

Procedures related to our organization's preparedness and response are contained in Section C - Standard Operating Procedures.

SAFETY PROMOTION AND TRAINING

1. SAFETY ORIENTATION

Safety Orientation will begin on the first day of initial employment or job transfer. Each pilot and aviation department employee will have access to a digital copy of this manual, through his or her supervisor, for review and future reference. Each pilot will be given a personal copy of safety rules, policies and procedures pertaining to his/her job.

Employees will be instructed that compliance with the rules, policies and procedures described in this manual and other applicable company policies is mandatory.

All training will be documented and records will be maintained by the Safety Manager and/or Training Manager, if applicable.

2. SAFETY PROMOTION

One objective of our organization's safety training is to promote the concept of the Safety Management System. The system depends, for its success, on all company personnel, from top to bottom, participating: Both from the standpoint of day-to-day safe work practices, and identifying, reporting, and resolution of safety problems in accordance with the SMS.

3. TRAINING EXPECTATIONS AND COMPETENCIES

As a result of SMS training, we expect that all department employees will –

- Acquire an understanding of the program, its purpose, and how to use it – in short, to become competent in practice and implementation of SMS policies and procedures.
- Understand that the key to success of the SMS is participation, open communication, and awareness of potential risks in the workplace and means to resolve them

4. JOB-SPECIFIC SAFETY TRAINING

PILOTS

- Basic Indoctrination Training for pilots, as specified in the organization's training policies, should include review of company safety procedures, policies, and publications, including this SMS manual.
- Recurrent Training
 - Review of company SMS policies and procedures
 - Review of applicable ground, flight, emergency/drills, etc. per the department's training policies for pilots

The following table is an example of SMS training that can be conducted for new staff members (induction training) and also provided as recurrent training. Hy-Vee Aviation Department may add to or remove training items based on their current needs.

Contents	Training Objectives
Safety Policy	Understand the main elements of the Safety Policy.
Organization, roles and responsibilities	Understand the organization, roles and responsibilities concerning the SMS. Everyone to know his or her own role in the SMS.
Safety Objectives	Understand the Company's safety objectives.
Emergency Response Planning (ERP) (reinforced through practical simulations)	Understand the various roles and responsibilities in the Company's ERP. Everyone to know his or her own role in the ERP.
Occurrence and hazards reporting	Know the means and procedures for reporting unsafe occurrences and hazards.
Continuous improvement of safety performance	Understand the principles of continuous improvement of safety performance.
Compliance Monitoring	Understand the basic principles of Compliance Monitoring.
Responsibility when contracting activities	Understand the Company's responsibilities when contracting activities. Everyone should know his or her own roles and responsibilities regarding this subject.

ACCIDENT/INCIDENT INVESTIGATION AND ANALYSIS

1. ACCIDENT/INCIDENT INVESTIGATION PROCEDURES

In the event of an aircraft accident, incident, or overdue aircraft, the Safety Manager will ensure that the FAA and NTSB are notified and will coordinate company participation in the FAA or NTSB investigation.

In addition to local, state and federal investigations, the organization will perform an internal investigation using policies and procedures from this manual, augmented by other applicable company manual material.

A company investigation will be conducted on any aircraft accident or incident, and selected non-aircraft-related incidents involving company personnel, injuries to company or other personnel, or property damage where the Safety Manager and Chief Pilot determine that such an investigation would be effective in mitigating future risk or loss. The Safety Manager will have access to any company records relevant to the accident and is authorized to interview any company personnel who might have knowledge of the accident or incident.

Any aircraft accident or selected incident investigation will include, but is not limited to the following activities. A file of appropriate data arising from the investigation will be maintained by the Safety Manager.

- Identify and interview witnesses
- Conditions as appropriate, to include, but not limited to, the following:
 - Weather
 - Time of day
 - Airport (or other) conditions, including runway conditions, lighting, etc...
 - Aircraft or equipment maintenance logs, if applicable
 - Aircraft flight records
 - Pilot records
 - Pilot flight-duty-rest times
 - Applicable Advisory Circulars or other data
 - Hazard reports
 - Investigative reports of Federal, State, Country and Municipal agencies
 - Medical Reports
 - Autopsy Reports
 - Wreckage Scene Photographs
 - Instrument Approach procedures charts
 - Reports of similar accidents involving similar aircraft
 - NTSB Safety Summaries and Recommendations
 - If available, recordings of all communications relevant to the accident flight
- Complete Accident Investigation Report
- Recommendations for corrective action, remediation of risk, procedural changes, etc.
- Need for additional or remedial training as applicable

Accident and selected investigation reports must be submitted to the Safety Manager within 72 hours of the occurrence and will be forwarded to the Chief Pilot.

2. ANALYSIS

Following an accident, incidents selected by the Safety Manager for analysis, or Flight Department Safety Reports that require action, the Safety Manager will convene a committee to analyze the event and:

- Identify areas where failure to comply with applicable rules, policies, or procedures caused or contributed to the event, if applicable
- Identify areas where risk of future, similar events could be reduced
- Assess the level of risk involved
- Develop, or propose, procedure or policy changes to reduce risk in future, similar situations
- Implement, or propose the changes for implementation to applicable flight department management
- Arrange for appropriate follow up and auditing

RECORDKEEPING

The Safety Manager will control and maintain pilot accident and incident records. Records will include:

- Company Aircraft Accident/Incident Reports
- Reports of other company accidents involving personnel injury or death, or property damage
- SMS FlightCan database files

Records will be maintained of operational safety issues brought to the attention of the Safety Manager, including:

- Date
- Local time in 24 hour format
- Location:
 - Airport, including specific location on the airport
 - Other specifically described location as applicable
- Description of threat to safety
- How the matter was resolved

Records will be kept on active file, by means of paper or digital storage, at Hy-Vee Aviation Department for a period of **two (2) years**, after which they may be moved to inactive storage or destroyed.

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SAFETY RULES, POLICIES AND PROCEDURES

The safety rules, policies and procedures have been prepared to protect Hy-Vee pilots during flight operations.

All Hy-Vee pilots will refer to adhere to the following as applicable:

- Federal Aviation Regulations that pertain to our operations
- Applicable portions of the Aeronautical Information Manual or equivalent publications (such as J-Aid)
- Aircraft Pilots Operating Handbooks, Airplane Flight Manuals, Quick Reference Handbooks, and similar publications
- Applicable Hy-Vee aircraft checklists and Standard Operating Procedures
- Hy-Vee Operations, Maintenance, and other applicable manuals, and associated Operations Specifications

Our organization will provide pilots and other employees with (or make available by means acceptable to the FAA) each of the following:

- Initial indoctrination and recurrent training in company safety policies and procedures, including the reporting procedures in this manual.
- Aircraft Pilots Operating Handbooks, Airplane Flight Manuals, Quick Reference Handbooks, and similar publications applicable to their assignments
- Hy-Vee aircraft checklists and Standard Operating Procedures applicable to their assignments
- Accident and Incident Avoidance guidance
- For non-pilot personnel, Hy-Vee Operations, Maintenance, and other applicable manuals, Operations Specifications, and other company publications as applicable to their assignments

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EMPLOYEE REPORTING AND FEEDBACK

The purpose of Appendix A - Flight Department Safety Report (FDSR) is to let responsible management personnel know of an employee's experience with a known safety event, whether it occurred through an error on the part of the employee, by some problem noted on the job, or for other reasons. This report focuses on items that concern safety and is the Hy-Vee Aviation Department's official form for reporting safety events.

1. GENERAL

No disciplinary action will be taken against a person submitting a report, as a result of the report's findings. However, individuals who chronically violate company policies and procedures will be subject to review and corrective action as appropriate. The reports can be submitted anonymously.

2. PROCEDURES

1. Employee completes Flight Department Safety Report form found in Appendix A.
2. Employee provides the completed FDSR to the Safety Manager.
3. If the employee submits a safety event via email, the Safety Manager will complete a FDSR form based on information from the email and attach a copy of the email to the report.
4. The Safety Manager will investigate the safety event and report to the Chief Pilot or other appropriate company manager with findings and suggested corrective actions.
5. The Safety Manager will forward a copy of the completed FDSR to the Chief Pilot for review.
6. In meetings with appropriate company managers and other personnel, the Safety Manager will develop a resolution to the issue and monitor its implementation.
7. When resolution has been achieved, the Safety Manager will report the results back to the initiator of the report (unless it was submitted anonymously). If the person submitting the report has requested confidentiality, the Safety Manager will honor that request.
8. Completed FDSRs will be kept on file by the Safety Manager and made available for review by company managers and the FAA as provided below.

3. ACTION TIMELINE ON FLIGHT DEPARTMENT SAFETY REPORTS

1. Flight Department Safety Reports will be reviewed and evaluated within two (2) working days by the Safety Manager.
2. If the issue has not been resolved within two weeks of receipt of the report, the employee initiating the report will be notified in writing of the current status of the report.

4. FLIGHT DEPARTMENT SAFETY REPORT FORM AVAILABILITY

Flight Department Safety Report forms (see Appendix A) will be made available to all employees through the Safety Manager. If the person submitting the report desires confidentiality, they may do so by not signing the form in the "Reporter(s)" section on the back. If the report is submitted anonymously, bear in mind that the Safety Manager cannot go back to an anonymous reporter to request further details on the problem, and this may interfere with resolution of the safety event.

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SAFETY ASSURANCE AND AUDITING

1. SAFETY PERFORMANCE MONITORING AND MEASUREMENT

The Safety Manager is responsible for developing and maintaining an ongoing program of safety monitoring, audits, analysis of data gathered by these processes, remedial action, and recordkeeping procedures.

As well as formal audits, the Safety Manager should encourage open conversation (in effect, continuous, informal monitoring) with any company employee who might have a safety concern – and take appropriate action.

2. INTERNAL AUDITS

The Safety Manager will conduct periodic audits of the Flight Operations Manual, Standard Operating Procedures and Safety Management System policies and procedures. Timeline for internal auditing is advisable to be performed **once a year** on a date assigned by the Safety Manager, but can be performed at an extended interval not to exceed two years, based on the safety culture of the flight department. General objectives of these audits include:

- Employee and management understanding of SMS objectives and reporting procedures.
- Compliance with existing company safety policies and procedures.
- Evaluation of a “safety oriented attitude” in the workforce.
- Analysis of audit and Flight Department Safety Report data to determine where change or improvement is needed.
- Analysis of SMS FlightCan data to ensure proper implementation of safety checks, flight planning, weight and balance calculations and weather briefings prior to each flight.

Audit Procedures

The following audit procedures will be used when performing Internal Audits of the Hy-Vee Aviation Department operations:

- 1) Safety manger will perform the initial audit by using the Internal Audit Form (Appendix B) and any other resources as needed, such as SMS reports, company manuals, etc.
- 2) Go through the Internal Audit Form per the instructions on Page 1 of the form and review all the items in depth. Some items will require reference to other documents, and some items may need to be verified by other means.
- 3) Mark P if the item passes the question with no issues. If there is a relevant safety or compliance issue, mark F for finding. Mark NA if the item does not apply to the current department operations. It is expected that the Safety Manager will record additional notes on blank paper, which will then become a permanent attachment to the audit report.
- 4) Once the preliminary audit is complete, a meeting will be scheduled to discuss the audit results and complete it. This meeting must be attended by the Safety Manager, Chief Pilot, and any other applicable flight department personnel.
- 5) During the meeting, the Safety Manager will review every item on the audit list. The purpose of reviewing every item is to ensure that all managers have an opportunity to identify a possible event, even if the preliminary audit indicated a Pass.

- 6) For any items with findings, the Safety Manager will collaborate with the flight department to develop a solution to any outstanding safety hazards or regulatory non-compliance issues.
- 7) The Safety Manager will take notes of the discussion as it occurs during this meeting, which will describe any actions taken or recommendations for follow-up.
- 8) If any issues are not able to be resolved during this audit meeting, the Safety Manager will perform follow-up tasks as needed to remedy the issue. The Safety Manager will coordinate with flight department management to develop these remedies.
- 9) If required, the audit meeting may be re-convened to discuss the results of the follow-up action, or otherwise the Safety Manager may complete the report with no additional meetings.
- 10) Once all outstanding issues have been addressed, the Safety Manager will record on the audit form a summary of all corrective actions taken. If more detail is required, attach an expanded explanation on additional sheets.
- 11) Copies of the completed audit form (without the attached notes and other documents) will be distributed to all flight department managers. It will be the responsibility of the Chief Pilot to bring the audit results to top-level company management in accordance with SMS requirements.
- 12) The original audit form and all attachments will be filed by the Safety Manager for future reference.

Follow up

In addition to the audit topics above, two other areas will require periodic system assessment as part of the SMS audit process:

- Follow up on effectiveness of, and compliance with, general SMS procedures, employee familiarity with the process, and “fixes” for safety issues implemented as part of the SMS process. These audits may result in modification of the “fixes” to improve effectiveness and/or compliance, to reduce wasted time and motion if elements of the “fix” are not having a positive effect on safety, etc.
- Follow up on continued use of Hy-Vee, Inc.’s SMS, including understanding of it and proper application by line employees and managers. This may identify a need for formal or informal recurrent training, or modification of the initial SMS training.

3. EXTERNAL AUDITS

External auditing is typically reserved for larger flight departments that run charter operations, and therefore will not be part of Hy-Vee SMS policies and procedures.

4. MANAGEMENT REVIEW

The Safety Manager will periodically review results of SMS activities with department managers and applicable company top-level management. These reviews will specifically include:

- Safety issues and associated risk levels identified since the previous meeting
- Corrective/mitigation actions taken
- Results of follow up on previous issues
- Request for input from managers

Frequency of these reviews will be determined by the Safety Manager on the basis of number and urgency of issues.

5. SMS AUDIT RECORDKEEPING PROCEDURES

Audit and other records will be maintained by the Safety Manager. These records will consist of the following:

- Safety Reports, segregated as to new, in process, and completed
- Records of formal audits on the Internal Audit Form
- Records of informal audits (conversations with employees) that give rise to remedial or corrective action, policy or procedure changes, etc.
- Records of internal audits conducted by department heads
- Records of immediate action taken as a result of audit findings – individual counseling, meetings, management conferences, Voluntary Self Disclosures, etc.
- Records of long-term action taken as a result of audit findings – changes in company procedures and policies, revision of company manuals, etc.
- Summaries of Management Reviews

Records will be kept on active file, by means of paper or digital storage, at Hy-Vee Aviation Department for a period of **five (5) years** after which they may be moved to inactive storage or destroyed.

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APPENDIX A – FLIGHT DEPARTMENT SAFETY REPORT

REPORT No. ____

CLASSIFICATION:		<input type="checkbox"/> FLIGHT	<input type="checkbox"/> NON-FLIGHT		
IDENTIFICATION OF THE AIRCRAFT					
Make	Model	Tail Number	Serial Number	Total Time	Other
CIRCUMSTANCES					
<u>Date:</u>		<u>Location:</u>		<u>Remarks:</u>	
SELECT THE CATEGORIES CONCERNED					
<u>Flight Phase:</u> <input type="checkbox"/> Towing <input type="checkbox"/> Pre-flight Inspection <input type="checkbox"/> Refuelling <input type="checkbox"/> Start-up <input type="checkbox"/> Taxiing <input type="checkbox"/> Take-off <input type="checkbox"/> Climb		<input type="checkbox"/> Cruise <input type="checkbox"/> Descent <input type="checkbox"/> Final Approach <input type="checkbox"/> Landing <input type="checkbox"/> Engine shutdown <input type="checkbox"/> Post-flight insp.		<u>Flight Conditions:</u> <input type="checkbox"/> VFR <input type="checkbox"/> IFR <input type="checkbox"/> VMC <input type="checkbox"/> IMC <input type="checkbox"/> Mountain <input type="checkbox"/> Over water <input type="checkbox"/> Day <input type="checkbox"/> Night <input type="checkbox"/> Icing <input type="checkbox"/> Storm	
<u>Other:</u> <input type="checkbox"/> Non-Flight Related Safety Event <input type="checkbox"/> Crisis Event Resulting in Injury or Death		<u>Mission Type:</u> <input type="checkbox"/> Training <input type="checkbox"/> Ferrying <input type="checkbox"/> Transport of passengers <input type="checkbox"/> Inspection flight <input type="checkbox"/> Aerial work <input type="checkbox"/> Night flight <input type="checkbox"/> Night flight with NVG <input type="checkbox"/> Emergency proc. training			
DESCRIPTION OF THE SAFETY or CRISIS EVENT					
Explain how the event occurred, why it occurred and why it did or did not result in an accident or crisis:					

APPENDIX A – FLIGHT DEPARTMENT SAFETY REPORT (CONT'D)

FLIGHT CONDITIONS RELATING TO SAFETY or CRISIS EVENT	
Only complete if event occurred during flight:	
Actions taken to manage the event	
Proposals to prevent the event from reoccurring	
FEEDBACK TO THE REPORTER	
SIGNATURES	
<u>Event Reporter(s):</u>	<u>Safety Manager:</u>

APPENDIX B - INTERNAL AUDIT FORM

Auditor Name and Title:	Date:
<p>Audit Items. For each item in the checklist:</p> <ul style="list-style-type: none"> Audit the item, making notes as needed on each item, or on a separate sheet of paper. If on a separate sheet of paper, reference the item letter and number (ex: A1). For each item, place a P for Pass, F for Finding, and NA for not applicable. Mark the <input type="checkbox"/> next to each item with an "X" or "✓" Answer Yes or No for items A through G. Add comments as needed. Use additional paper if needed. 	
A. FLIGHT OPERATIONS	P/F/NA
<input type="checkbox"/> 1. Does the company effectively exercise and maintain operational control over all persons operating aircraft and handling the aircraft on behalf of the company?	
<input type="checkbox"/> 2. Are all company charts current?	
<input type="checkbox"/> 3. Are the names listed in the Organizational Structure portion of the FOM current and accurate?	
<input type="checkbox"/> 4. Does the Duties and Responsibilities section of the FOM accurately reflect the current way the department operates?	
<input type="checkbox"/> 5. Have any new department positions or duties and responsibilities been added, removed, or changed?	
<input type="checkbox"/> 6. Have any operational issues or SMS findings indicated a need to revise the Flight Following Requirements section of the FOM?	
<input type="checkbox"/> 7. Have any operational issues or SMS findings indicated a need to revise the Airport Requirements section of the FOM?	
<input type="checkbox"/> 8. Have any operational issues or SMS findings indicated a need to revise the Aircraft Crew Requirements section of the FOM?	
<input type="checkbox"/> 9. Have any operational issues or SMS findings indicated a need to revise the Contract Pilots section of the FOM?	
<input type="checkbox"/> 10. Has the SMS identified any pilot duty time issues?	

Auditor Name and Title:		Date:
A. FLIGHT OPERATIONS (CONT'D)		P/F/ NA
<input type="checkbox"/>	11. Are all pilot training records up to date?	
<input type="checkbox"/>	12. Does every pilot file contain copies of the pilot's certificates, medical, FCC license, passport, or any other required documents?	
<input type="checkbox"/>	13. Have any pilot qualification or training regulations changed, and have those requirements been addressed in the FOM?	
<input type="checkbox"/>	14. Has the department implemented any new technologies that would require additional pilot training?	
<input type="checkbox"/>	15. Has the SMS identified any safety issues related to pilot training?	
<input type="checkbox"/>	16. Has the SMS identified any issues where flight scheduling has conflicted with pilot currency, pilot rest, other regulatory requirements, or safety requirements?	
<input type="checkbox"/>	17. Has the SMS identified any safety issues related to itinerary changes, passenger manifest changes, or payload changes?	
<input type="checkbox"/>	18. Has the SMS identified any safety issues related to extended range flights or reserve fuel issues?	
<input type="checkbox"/>	19. Has the SMS identified any safety or other operational issues related to obtaining maintenance while away from base?	
B. WEATHER		P/F/ NA
<input type="checkbox"/>	1. Has the SMS identified any safety issues related to flight planning into airports with weather near or below minimums?	
<input type="checkbox"/>	2. Have any flights been required to divert to an alternate airport due to weather either below minimums or other unsuitable weather conditions?	
<input type="checkbox"/>	3. Have any crews performed a missed approach due to the inability to land?	
<input type="checkbox"/>	4. Has the SMS identified any safety issues related to departing in ground icing conditions?	

Auditor Name and Title:		Date:
B. WEATHER (CONT'D)		P/F/NA
<input type="checkbox"/>	5. Has the SMS identified any safety issues related to flight planning into airports with weather near or below minimums?	
<input type="checkbox"/>	6. Have any flights been required to divert to an alternate airport due to weather either below minimums or other unsuitable weather conditions?	
<input type="checkbox"/>	7. Have any crews performed a missed approach due to the inability to land?	
<input type="checkbox"/>	8. Has the SMS identified any safety issues related to departing in ground icing conditions?	
<input type="checkbox"/>	9. Has the SMS identified any safety issues related to in-flight icing conditions?	
<input type="checkbox"/>	10. Has the SMS identified any events related to runway contamination for either takeoff or landing?	
<input type="checkbox"/>	11. Has the SMS identified any events related to thunderstorms or convective weather on departure, enroute, or arrival?	
<input type="checkbox"/>	12. Has the SMS identified any safety issues related to windshear events?	
C. STANDARD OPERATING PROCEDURES		P/F/NA
<input type="checkbox"/>	1. Has the SMS identified any safety issues related to the design or proper use of aircraft checklists?	
<input type="checkbox"/>	2. Have all in-flight emergencies been properly reviewed and appropriate action taken?	
<input type="checkbox"/>	3. Have any in-flight emergencies occurred that were not reported through the proper SMS method?	
<input type="checkbox"/>	4. Has the SMS identified any reports or pilot altitude deviations or lateral navigation errors?	
<input type="checkbox"/>	5. Has the SMS identified any events related to the design of aircraft standard operating procedures?	

Auditor Name and Title:		Date:
C. STANDARD OPERATING PROCEDURES (CONT'D)		P/F/ NA
<input type="checkbox"/>	6. Has the SMS identified any events related to crew compliance with aircraft standard operating procedures?	
D. AIRCRAFT MAINTENANCE		P/F/ NA
<input type="checkbox"/>	1. Does the company effectively monitor all contact persons performing, supervising, and managing maintenance on all aircraft?	
<input type="checkbox"/>	2. Does the maintenance provider have the applicable ratings necessary to perform the appropriate maintenance functions on the aircraft? (i.e. repair station certificate, qualified A&P/IA mechanics)	
<input type="checkbox"/>	3. Has the SMS identified any safety events related to poor or sub-standard maintenance practices being performed?	
<input type="checkbox"/>	4. Has the SMS identified any safety events related to maintenance being performed by unqualified aircraft mechanics or repair stations?	
<input type="checkbox"/>	5. Does the facility performing maintenance contain adequate safety equipment (first aid, eye wash, fire extinguisher, hazardous materials containment)?	

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