NATIONAL HEADQUARTERS CIVIL AIR PATROL

CAP REGULATION 160-1

1 NOVEMBER 2019
CORRECTED COPY
Safety

CIVIL AIR PATROL SAFETY PROGRAM

This regulation prescribes the Civil Air Patrol (CAP) Safety Risk Management (RM) Program. Commanders are responsible for compliance with the procedures outlined in this regulation. This regulation is applicable to all CAP members. As appended by other regulations, operating instructions and pamphlets, it is the National Commander's intent that the language, structure and philosophies of the Safety Management System (SMS) and the practice of RM outlined herein apply to all.

SUMMARY OF CHANGES.

This document replaces CAPR 62-1, *Civil Air Patrol Safety Responsibilities and Procedures*. It is an entirely new publication and should be reviewed in its entirety. All references to Operational Risk Management (ORM) have been removed and replaced with the term Risk Management (RM) to emphasize the importance of the RM process in all aspects of CAP, not just in Operations.

Chapter 1 - Program Overview

> **NOTE**: Chapter 1 provides an informative overview of the CAP Safety Program and CAP Safety Management System. Members are encouraged to read Chapter 1 to better understand the purpose, vision and structure of the CAP Safety Program, realizing there are no specific compliance elements in Chapter 1. Regulatory requirements begin in Chapter 2.

1.1. Purpose. The purpose of the CAP Safety Program is to protect CAP members from death and injury while minimizing loss and damage to property. CAP's mishap prevention efforts will be organized around a vibrant Safety Management System (SMS).

1.1.1. This regulation outlines the CAP SMS approach to safety and risk management (RM), patterned after and adapted from the Air Force SMS and other industry best practices.

1.1.2. This chapter outlines the philosophy behind the CAP SMS and the components of the SMS. A thorough understanding of the purpose, components, and processes outlined in this regulation is vital to the success of the CAP Safety Program and vision. Refer to subsequent chapters of this regulation for specific guidance on the implementation of the CAP SMS.

1.2. Safety Vision.   The vision of the CAP Safety Program is to be a recognized national leader in safety RM, committed to proactive mishap prevention and protection of our members as they pursue their missions for the United States Air Force (USAF) and their communities, and participate in all CAP activities. Accordingly, CAP is committed to the following:

1.2.1. Risk Management. Recognizing that there is always an element of risk in our missions, activities and daily lives, RM is an on-going process used in the planning and execution of all CAP missions and activities, in groups and as individuals.

1.2.2. Continuous Improvement**.** As new programs and missions emerge, and existing missions and activities change, CAP is committed to the management of those changes through on-going risk assessments and the development of controls to mitigate those risks. Included in this effort is the on-going assessment of the effectiveness of existing risk controls.

1.2.3. Education and Training. The CAP Safety Program will provide members with education and training on the theory and practice of RM so that every member possesses the competence and confidence to employ RM in every pursuit. To the maximum extent possible training is standardized at a national level then tailored to local activity and mission needs. The intent is to enable decentralized and personal use of standardized RM practices regardless of the nature of the event or the personnel involved.

1.2.4. Core Competency. The goal of the CAP Safety Program is for each and every member of Civil Air Patrol, as well as the organization itself, to embrace and practice RM as a core competency of Civil Air Patrol.

1.3. Safety Management System (SMS).   The CAP SMS approach to safety reflects an organizational commitment to use RM in the development, planning, execution, and assessment of all CAP missions and activities.   All mishap prevention and safety initiatives at the national, region, wing, group, squadron, and flight levels should be in the context of, or in support of, one or more of the four pillars of the CAP SMS, as depicted in Figure 1.1.   Requirements for the implementation of the four pillars are outlined in detail in chapters 2 through 5 of this regulation.
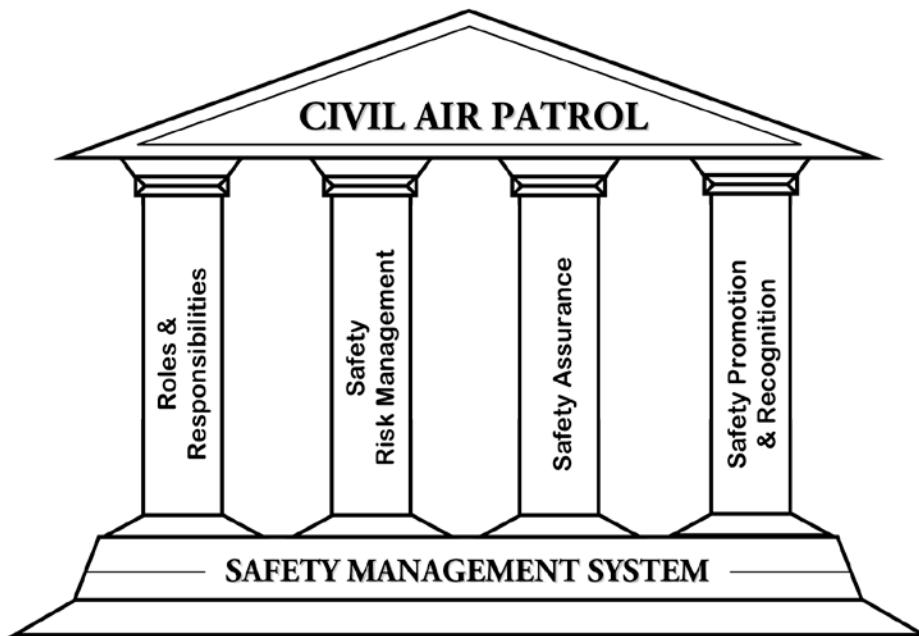
Figure 1.1 – Safety Management System

1.4. Safety Management System Pillars. The CAP SMS uses four pillars as the structure for its mishap prevention program as listed below.

1.4.1. Pillar 1 - Roles and Responsibilities. Every member of CAP will have defined roles in support of and implementation of the CAP SMS.

1.4.1.1. Active leadership commitment to the CAP SMS and personal involvement in the execution of the CAP SMS at every level of command is vital to the success of the CAP Safety Program. Commanders must set the example by open and visible commitment to the SMS and are responsible for ensuring that every CAP member is aware of their roles and responsibilities in the CAP SMS.

1.4.1.2. Member participation at every level is an integral component of mishap prevention. All members, including cadets, are expected to be actively engaged in RM during the planning, preparation, execution and post-activity review of all CAP activities.

1.4.2. Pillar 2 - Safety RM. RM is the key to mishap prevention. RM is a five-step deliberate decision-making process as depicted in Figure 1.2. The loop in the figure symbolizes that the RM process is on-going. The process begins in the planning stages with hazard identification and assessment of risks. Risk controls are developed and implemented. Supervision and evaluation ensure controls are effective and adjusted when needed. The process continues after the activity with assessment of the effectiveness of the controls, allowing for continuous improvement efforts.

Figure 1.2 – Risk Management

1.4.3. Pillar 3 - Safety Assurance (SA). SA is the evaluation, review, and monitoring that assures leadership that elements of their mishap prevention program are effective. The SA pillar of the CAP SMS includes assessments on how well the system itself is working, as well as a thorough review of mishaps, hazards and undesirable events and their causes to ensure they are adequately addressed by the system. When areas for improvement are noted or new hazards are identified, they should be addressed through the methodical processes outlined herein. RM coupled with SA make up the continuous improvement "loop" of the SMS, and directly support the National Commander's intent to move the CAP Safety Program focus to long-term solutions rather than reactionary one-time fixes.

1.4.4. Pillar 4 - Promotion and Education. Education on mishap prevention, and training on the proper implementation of RM processes, are both imperative to the success of the SMS.

1.4.4.1. Education. Education on RM and the CAP SMS will be integrated into professional development, as well as being presented in a recurring fashion to ensure all members understand the importance of RM and maintain a healthy respect for the hazards and risks they face in CAP missions and activities.

1.4.4.2. Training. CAP members will receive the training needed to implement, manage and participate in safety programs. Training should be tailored to meet the needs of CAP members, at all levels of the organization, for all CAP duties.

1.4.4.3. Recognition. Members should receive timely and visible recognition for their commitment to and participation in the CAP Safety Program. Command recognition of the accomplishments of members will reinforce the importance of RM and the CAP SMS.

1.4.4.4. Communication. Communication within the CAP safety community, as well as a CAP-wide sharing of CAP Safety Program information at every level, is essential to the success of the CAP SMS.

1.5. Safety Culture. A strong RM-based safety culture provides a foundation for the success of the Civil Air Patrol SMS and requires an informed and involved membership. Members must be confident in their own role as contributor to, and beneficiary of, the success of the SMS. This informed culture begins with a basic awareness that there are hazards and risks which influence the outcome of planned activities and missions, and these risks need to be addressed in a successful mishap prevention program. There are four important components which need to be emphasized to develop and sustain an informed and involved safety culture:

1.5.1. Reporting Culture. CAP members must report mishaps and hazards for the SMS to succeed. The need to report mishaps, deviations, near-misses, lessons learned, observed hazards, and improvement suggestions should be constantly emphasized by leadership at every level.

1.5.2. Just Culture. To encourage open reporting by members, members must be confident they will be treated fairly when they report. Leadership should foster an environment of trust where members are encouraged and even rewarded for reporting safety related information, while still realizing there is a line to be drawn between acceptable and unacceptable behavior.

1.5.2.1. All safety mishap reviews should be conducted solely with the goal of determining "what happened and why" rather than "who is to blame." This just culture promotes an atmosphere where members can speak freely in cooperation with a mishap review, and will not be punished for blameless errors, but rather be part of the commitment to reduce such errors going forward.

1.5.2.2. Because a just culture requires accountability, everyone in CAP should be confident that members will be held responsible for negligence or failure to abide by laws and regulatory guidance. If there is evidence that a mishap occurred due to negligence or intentional act, commanders will determine the appropriate remedy and handle any disciplinary action outside of the safety review channels. Commanders will reinforce the tenet that a member can be a necessary and appreciated part of improving safety processes while still being held administratively accountable for their actions.

1.5.3. Learning Culture. Leaders at all levels should show a willingness to learn from errors as well as successes, inspiring members to follow their lead. CAP must cultivate and reward a desire among all members to learn about safety RM processes and actively use those processes to learn about their environment to enhance mishap prevention efforts. The key to a learning

culture is exemplified in an inquisitive mind; constantly seeking information on what might go wrong or what did go wrong, and what could prevent it.

1.5.4. Flexible Culture. A flexible culture is realized when the tenets of safety RM are employed at every level and at all missions and activities throughout Civil Air Patrol and in our members' daily lives. Even in situations where there is no direct command supervision, the diverse and localized aspects of CAP operations and activities demand that individuals and groups fully understand and routinely apply safety RM processes as a matter of habit.

Chapter 2 - Roles and Responsibilities

2.1. Operating Instructions (OI), Pamphlets, Supplements to this Regulation.   CAP Chief of Safety (CAP/SE) is the approval authority for all OIs, pamphlets, supplements to this regulation. OIs, pamphlets, and supplements to this regulation cannot be issued below the wing level. Requests for approval must be coordinated through the applicable wing commander, region commander, and CAP-USAF liaison region. CAP/SE will then coordinate with CAP-USAF/SE before approval.

2.2. Waivers. Unless otherwise noted, CAP/SE is the approval authority for all waivers to this regulation. Requests for approval must be coordinated through the applicable wing commander, region commander, and CAP-USAF Liaison Region.   CAP/SE will then coordinate with CAP-USAF/SE before approval.

2.3. Leadership Responsibilities. The single most important factor in the success of the CAP SMS is leadership.   Leaders at every level of the organization will demonstrate their visible commitment to the SMS, RM, and the CAP Safety Program. "Leaders" includes commanders at every level, command staffs, mission staffs, activity staffs and the formal and informal leadership roles within CAP mission or functional areas.   "Visible commitment" includes clearly communicating RM goals and processes, and personally applying RM principles.   Active involvement of all leaders is essential.

2.4. Command Responsibilities. Commanders at every level of CAP are primarily responsible for the safety culture and practices of their immediate command and subordinate units, to include adherence to CAP SMS requirements and CAP's approach to the use of RM in the pursuit of all missions and activities.   Commanders must have safety staffs trained and qualified to implement their own safety programs in the context of the larger CAP SMS.

   2.4.1.   National Commander (CAP/CC)**.**   As Chief Executive Officer of the Civil Air Patrol, CAP/CC is ultimately responsible for the proper functioning of the CAP SMS. In close cooperation with the Chief Operating Officer (COO), CAP/CC will establish the strategic goals and objectives of the CAP SMS and will assign responsibilities under the CAP SMS. CAP/CC will consider the risks associated with CAP operations at all levels and will ensure safety risk is considered on an equal footing with all other corporate risk factors, and will ensure safety RM is an integral part of all corporate and mission decisions and plans in coordination with CAP/SE.

   2.4.2. Region and wing commanders.   Region and wing commanders are responsible for ensuring compliance with, and adherence to, the CAP SMS within their regions and wings. This includes appointing a qualified safety staff and providing resources to ensure all facets of the safety program are in place and functioning within their commands.

      2.4.2.1. Region and wing commanders will, within 60 days of selection for command, receive an update from the safety officer (SE) at the next higher echelon (CAP/SE for region commanders and region SE for wing commanders) on overall safety health, strengths, and areas of improvement for the safety program of the command which they assume.

2.4.2.2. Commanders will appoint the most skilled and qualified leader available to the position of director of safety (SE). Qualifications for the SE position at the region and wing levels are defined in paragraphs 2.6.2. and 2.6.3.

2.4.2.3. Commanders are encouraged to appoint assistant SEs to ensure adequate coverage of all SE duties and all mission areas. Examples include assistant SE for operations, assistant SE for cadet programs, etc. Assistant SEs should meet the same qualifications as the SE as outlined in paragraphs 2.6.2 and 2.6.3.

2.4.2.4. Commanders will utilize their SE as a key part of the command staff. The region or wing SE should be the commander's primary resource to ensure RM is practiced in all region and wing activities and missions, to include planning and after-action assessments, and compliance with all portions of this regulation. The SE will actively run the safety program for the commander, including all SMS elements outlined in this regulation.

2.4.2.5. Region and wing commanders will review all open and closed mishaps with their SE at least quarterly, to include the status of open mishaps, mishap trends within their region or wing, and the status of process improvements identified through mishap reviews. When appropriate, the commander will designate emphasis items to be addressed through the Plan, Do, Check, Adjust (PDCA) process (see paragraph 4.2) and include in their Annual Program Review (see paragraph 4.8).

2.4.3. Group commanders will assign an SE to manage the group safety program in those cases where the size of the group staff allows, and the scope of the group's oversight dictates. This should be done in the context of guidance from the wing commander to determine structure and shared responsibilities of the wing and group safety staffs. When assigned, the group SE works directly for the group commander as a key member of the commander's staff and the commander's expert on safety RM.

2.4.4. Squadron Commanders. Squadron commanders are perhaps the most important leaders in the CAP SMS. As immediate supervisors of squadron-level members and the members actually planning and executing the majority of the missions and activities of CAP, it is imperative that the squadron commanders be well versed in, and actively involved in the use of RM in their day to day activities. Personal involvement and oversight of the everyday application of RM, in close cooperation with the squadron SE, is imperative. The commander is ultimately responsible for ensuring all members are employing RM and complying with safety program directives. The squadron commander is the role model for members to follow regarding RM.

2.4.4.1. RM tasks may be delegated, but the commander is personally responsible for ensuring RM is utilized in the planning, execution and after-action assessment of all squadron missions, activities and events, IAW guidance in chapters 3 and 4 of this regulation and all other applicable mission-specific directives (i.e., Operations, Cadet Programs, etc.).

2.4.4.2. The commander will appoint the most qualified member available to assume the position of squadron SE.

2.4.5. Flight Commanders. Flight commanders are expected to follow the guidelines for Squadron Commanders as outlined in paragraph 2.4.4.

2.4.6. Events, Activities, Missions. The member placed in charge of any CAP mission, activity or event (such as activity director, incident commander (IC), ground team leader, cadet leader, etc.) is responsible to ensure RM is conducted in the planning, execution and after-action assessment as outlined in chapters 3 and 4.

2.4.5.   Activity Directors: Activity directors for National Cadet Special Activities, wing encampments, and any other CAP activities lasting more than 48 hours will designate an activity SE.   The activity SE will be appointed in the planning process to ensure they play a key role on the activity director's staff, guiding RM processes and complying with all regulatory requirements.

2.5. Member Responsibilities.   Proper application of RM requires the understanding and commitment of all participants. Member participation in the planning and execution of CAP missions and activities carries with it a command expectation that the member will actively participate in RM through the course of those events.

2.6. Safety Staffing. The SE is a key member of the command or activity staff at every level. The SE, or the person designated as being responsible for the RM for the activity, will be included in the planning, execution and after-action assessment. The commander or member in charge of an activity will ensure that safety RM is given the same level of emphasis, and staffing, as all other planning and activity functions such as Operations, Logistics, Finance, Legal, etc.   Except where otherwise noted, every chartered unit in CAP shall formally assign an SE in eServices, with qualifications listed in this chapter (Note: Region and wing 000 and 999 units are exempt from this requirement. Overseas squadrons and the Congressional Squadron are the only NHQ squadrons required to have an assigned SE). Every unit with aircraft assigned will have a member with current or previous CAP pilot experience as the primary SE or the assistant SE. Every unit with an operational small unmanned aerial system mission (not including of Aerospace Education STEM kits) assigned will have a member with current or previous CFR 14 Part 107 experience as the primary SE or the assistant SE.

2.6.1. CAP Chief of Safety (CAP/SE). CAP/SE is a paid safety professional on the corporate staff who works directly for the CAP Chief Operating Officer at National Headquarters. CAP/SE is also a key member of the National Commander's staff and is CAP/CC's principal advisor on safety RM, and key advisor on the CAP SMS and the integration of RM in all mission areas and support functions.

2.6.1.1. CAP/SE is responsible for the management of the CAP SMS, to include interpretation of program guidance and monitoring compliance with program elements.

2.6.1.2. CAP/SE will represent CAP as the national-level point of contact for safety-related industry and governmental agencies.

2.6.1.3. CAP/SE will monitor region, wing, and unit safety programs. In coordination with the applicable wing and region commander, CAP/SE will help commanders manage their programs IAW the National Commander's intent. CAP/SE may request risk assessments, RM plans, or other safety program documents to monitor compliance with safety program requirements.

2.6.1.4. CAP/SE will organize the National Safety Staff, comprised of members with an assortment of skills and expertise, and a variety of CAP mission specialties, to ensure the CAP Safety program reflects and meets the needs of all CAP members. CAP/SE will seek the cooperation of subordinate unit SEs to assist the National Safety Staff in developing and refining new program elements.

2.6.1.5. CAP/SE will regularly update CAP/CC, CAP/COO, CAP/GCO, CAP Senior Advisory Group (CSAG), and CAP-USAF/CC on the overall safety culture and safety programs in CAP. Suggested update topics include, but are not limited to:

2.6.1.5.1. New or emerging trend areas, including discussion of notable mishaps, national trends in types of mishaps or contributing factors, and recommended courses of action related to each.

2.6.1.5.2. Successes and challenges in integrating RM in all CAP mission areas.

2.6.1.5.3. Items required for the annual Performance Progress Report as outlined in 2 C.F.R. 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, and the Cooperative Agreement between the USAF and CAP.

2.6.1.5.4. Annual program reviews from each region (see paragraph 4.8.), focusing on specific commander emphasis items, successes, and innovations in each region.

2.6.1.5.5. Discussion of progress on implementing the CAP SMS, to include suggestions for areas of the program that would benefit from increased command emphasis.

2.6.2. Region SE. The Region SE works directly for the region commander as a key member of the commander's staff and serves as the commander's expert on safety RM and the CAP SMS. The region SE is the region commander's key advisor on all CAP safety programs and consulted on all safety decisions.

2.6.2.1. Qualifications and training. Members assigned as region SE will possess the qualifications listed below.

2.6.2.1.1. SE Experience. The region SE will have current or previous experience as a CAP SE at the squadron, wing, or region level.

2.6.2.1.2. National Safety Officer College (NSOC). The region SE must be a graduate of CAP NSOC, or graduate from NSOC within one year of being appointed. The "within one year" requirement may be waived by CAP/SE in coordination with CAP-USAF/SE. See paragraph 5.2.1.2.1. for further information.

2.6.2.1.3. Safety Specialty Track. The region SE must be Senior rated or higher in the Safety Specialty Track. The region commander may waive this requirement if there are no qualified members available. In all cases, the member must possess a Technician rating with demonstrated progress towards achieving the Senior rating. The region commander will inform CAP/SE of the waiver, the reason a waiver was required, and the member's progress toward the Senior rating.

2.6.2.1.4. Region assistant SEs should possess the same qualifications as the SE. As a minimum, an assistant region SE will serve or have served as a unit SE or assistant. They must be enrolled in the safety specialty track prior to assuming the position of assistant SE. Region commanders may waive these requirements in extenuating circumstances. The region commander will inform CAP/SE of the waiver, the reason for the waiver, and the member's progress towards meeting the minimum qualifications.

2.6.2.1.5. In each region either the SE or an assistant SE must be a current or previously qualified CAP pilot.

2.6.2.2. Responsibilities.   The region SE will ensure all elements of the CAP SMS are complied with. Duties include, but are not limited to:

2.6.2.2.1. On behalf of the region commander, the region SE will monitor and assist the wings within their region with their safety programs. The region SE will offer assistance and advice to help subordinate wings comply with safety program elements and ensure proper application of RM throughout all CAP activities and missions. The region SE will regularly communicate with the wing SEs within the region to assist as needed while ensuring mutual understanding and cross-tell of safety program elements. See paragraph 4.5. for additional guidance.

2.6.2.2.2. Each region SE will cooperate with the National Safety Staff as needed to enhance the CAP Safety Program. Region SEs will respond to CAP/SE's requests for information and will assist CAP/SE in the development of new CAP safety program initiatives and enhancements and help ensure the CAP-wide standardization of safety program elements.

2.6.2.2.3. The region SE will monitor and regularly update the region commander on mishaps within the region. Commanders are highly encouraged to receive updates often enough to ensure they have an up-to-date awareness on mishaps and trends (no less than annually). This includes, but is not limited to, a review of types of mishaps, causal and contributing factors, and any safety enhancements that may be indicated. This also includes the status of open mishaps, and the status of process improvements and program enhancements arising from mishaps. See paragraph 4.4. for additional guidance.

2.6.2.2.4. The region SE will work with all other region-level mission and functional areas as well as region activity directors to ensure proper compliance with SMS requirements.

2.6.2.2.5. The region SE will remain informed by reading the Beacon Newsletter, e-mails, notices and any other program guidance from CAP/SE and will disseminate guidance to wing SEs within the region.

2.6.3. Wing SE. The wing SE works directly for the wing commander as a key member of the commander's staff and serves as the commander's expert on safety RM and the CAP SMS. The wing SE is the wing commander's key advisor on all elements of the CAP safety programs and consulted on all safety decisions.

2.6.3.1. Qualifications and training.   Members assigned as wing SEs will possess the qualifications listed below. Unless otherwise noted below, the region commander may waive

these qualification and training requirements based on the individual's current qualifications and a plan for completion of all requirements, submitted by the wing commander.

2.6.3.1.1. SE Experience. The wing SE will have current or previous experience as a CAP SE or assistant SE at the squadron or wing level.

2.6.3.1.2. National Safety Officer College (NSOC). The wing SE must be a graduate of CAP NSOC, or graduate from NSOC within one year of being appointed wing SE. The "within one year" requirement may be waived by CAP/SE in coordination with CAP-USAF/SE. See paragraph 5.2.1.2.1. for further information.

2.6.3.1.3. Safety Specialty Track. Before being appointed as wing SE, the member must have achieved the Technician rating in the Safety Specialty Track and have completed the academic and knowledge requirements of the Senior rating.

2.6.3.1.4. Assistant SEs should possess the same qualifications as the SE. Prior to assuming the position of assistant SE, they must be enrolled in the Safety Specialty Track and have completed the knowledge and academic requirements for the Technician rating.

2.6.3.1.5. Either the SE or an assistant SE must be a current or previously qualified CAP pilot or have extensive experience as a General Aviation pilot outside of CAP.

2.6.3.2. Responsibilities. The wing SE ensures all elements of the CAP SMS are being complied with throughout the wing. Responsibilities may be spread through a staff of safety assistants to ensure adequate coverage and expertise in all wing and mission areas and support functions. Duties include, but are not limited to:

2.6.3.2.1. The wing SE will monitor and assist the wing's squadrons with their safety programs (in coordination with group SEs where applicable). The wing SE will offer assistance and advice to help subordinate units comply with safety program elements and ensure proper application of RM throughout all CAP activities and missions. The wing SE will monitor subordinate unit safety programs and help address areas for improvement. See paragraph 4.5. for further guidance.

2.6.3.2.2. The wing SE will monitor and regularly update the wing commander on the status of mishaps within the wing. Commanders are highly encouraged to receive updates often enough to ensure they have an up-to-date awareness on mishaps and trends (no less than annually).   This includes, but is not limited to, a review of recent mishaps, causal and contributing factors, and any safety enhancements that may be warranted based on mishap reviews. This also includes the status of open mishaps, and the status of process improvements and program enhancements arising from mishaps. See paragraph 4.4. for further guidance.

2.6.3.2.3. The wing SE will work with wing DO, DCP, activity directors and all other mission areas and support functions at the wing level to ensure proper application of RM in accordance with the CAP SMS.

2.6.3.2.4. The wing SE will ensure completion of and compliance with all other SMS elements and RM requirements outlined in this and other CAP regulations.

2.6.3.2.5. The wing SE will remain informed by reading the Beacon Newsletter, e-mails, notices and any other program guidance from CAP/SE or any other higher echelon SE and will disseminate that information to subordinate units within the wing.

2.6.4. Group SE. In cases where a group SE is assigned to the group staff, that group SE must meet the qualifications outlined for wing assistant SEs (paragraph 2.6.3.1.4.).

2.6.4.1. In cases where the group staff is small, and there is no assigned group SE, the group commander is personally responsible for ensuring all members of group staff comply with all education and training requirements listed herein, using squadron, wing, or online resources.

2.6.4.2. In cases where the group is responsible for a mission, event or activity, the group SE will help the commander ensure compliance with all applicable elements of this regulation. In cases where a group which does not have an assigned SE is responsible for a mission, event or activity, the group commander will designate the most qualified person available as SE for the activity. As a minimum, that SE must meet the qualifications outlined for the wing assistant SE (paragraph 2.6.3.1.5.) or be a current or former unit SE.

2.6.4.3. The group SE will remain informed by reading the Beacon Newsletter, e-mails, notices and any other program guidance from CAP/SE or any other higher echelon SE and will disseminate that information to subordinate units within the group.

2.6.5. Squadron SE.   The squadron SE is an extremely important and highly visible position in the CAP safety program. The squadron SE is "the face of CAP Safety" as the single individual most members turn to for information and guidance on the CAP SMS. The squadron SE works directly for the squadron commander as a key member of the commander's staff and the commander's expert on safety RM.

2.6.5.1. Qualifications and training. Members assigned as squadron SE will possess the qualifications listed below. These qualifications may be waived by the wing commander, if there are no other qualified volunteers available.

2.6.5.1.1. The squadron SE must have achieved the Technician rating in the Safety Specialty Track or be enrolled in the Safety Specialty Track.

2.6.5.2. Responsibilities. The Squadron SE ensures all safety program elements are being complied with in the squadron on behalf of the commander.

2.6.5.2.1. The squadron SE will ensure RM is properly applied in all squadron missions and activities and ensure compliance with all requirements of the safety program as outlined in this regulation.

2.6.5.2.2. The squadron SE will monitor the status of all squadron mishaps, and regularly update the squadron commander on causes of squadron mishaps, mishap reviews, mishap closeouts, and the status of all process improvements that may have resulted. Commanders are highly encouraged to receive updates often enough to ensure they have an up-to-date awareness on mishaps and trends (no less than annually). See paragraph 4.4.

2.6.5.2.3. The squadron SE will stay informed on the latest safety program guidance by reading the Beacon Newsletter, e-mails, notices, and any other forms of CAP Safety Program information disseminated by CAP/SE or any other higher echelon SE.

2.6.6. Flight SE. The responsibilities and qualifications for a flight SE are the same as for a squadron SE as outlined in paragraph 2.6.5.1. Wings will ensure special attention is given to help flights meet all the requirements of this regulation.

2.6.7. Activity SE. All National Cadet Special Activities (NCSA), wing encampments, and any other organized CAP activity or event lasting more than 48 hours or spanning two nights will have a designated activity SE, working under the supervision of the activity director/commander.

2.6.7.1. Qualifications and Training: The activity SE will meet the following minimum qualifications. For all activities that include flying, the activity SE should be a general aviation pilot or a CAP aircrew member.

2.6.7.1.1. The activity SE should have either previously served as an activity SE or possess a Technician level in the Safety Specialty track.

2.6.7.1.2. The activity SE must have completed the activity SE training module in eServices during the current or previous calendar year.

2.6.7.2. Responsibilities: The activity SE will comply with the Full Deliberate RM requirements outlined in paragraph 3.3.1.1., as well as any supplemental guidance issued through the NHQ OPR (e.g., Cadet Programs for cadet activities, DO for Operations and Emergency Services activities, Aerospace Education for AE activities, etc.), or CAP/SE.

2.6.8. Mission Safety Officers (MSO). The responsibilities and qualifications of MSOs for CAP emergency services missions and training are outlined in CAPR 60-3, *CAP Emergency Services Training and Operational Missions*, and related regulations and guidance. In all cases, CAP incident commanders and MSOs will be familiar with the principles and requirements of the SMS outlined herein and will abide by all requirements of this regulation unless in direct conflict with CAPR 60-3.

Chapter 3 - Safety Risk Management

3.1. Safety RM.   RM is a systematic decision-making process used to analyze hazards, assess risks, and evaluate courses of action which will ensure mission accomplishment while reducing identified risks. Safety RM is the application of that decision process in mishap prevention. For more information and techniques on RM, refer to the safety pages of gocivilairpatrol.com.

3.2. RM Principles.   There are four principles which govern all applications of RM. For RM to be effective in CAP, these principles must be present 24 hours a day, 7 days a week, 365 days a year, and used by all staff and members in all tasks and activities.

Figure 3.1 Risk Management Steps

    3.2.1.   Accept no unnecessary risk.   Prior to committing to a task, effort should be made to reduce the risk to a level commonly referred to as, "As Low as Reasonably Possible." When residual risk has been reduced to the maximum extent reasonably possible, and the risk to assets or members is still considered unacceptable, the mission or activity should be cancelled or postponed.

    3.2.2. Make risk decisions at the appropriate level. Members will always be faced with personal risk decisions, but risk decisions that involve other members, or CAP resources and assets, must be made at the appropriate level within the organization.   Proper leadership involvement and approval will ensure adequate resources and controls while establishing clear accountability for the risk acceptance decision.

    3.2.3.   Integrate RM into operations, activities and planning at all levels. As a decision-making process, RM must be integrated into planning from the very beginning. Time and effort must be dedicated to the identification of hazards, assessment of risk, and making risk control decisions in the normal sequence of planning events. RM does not always need to be a formal process, but all steps must be accomplished, even in a time-constrained environment.

    3.2.4.   Apply the process cyclically and continuously. RM is a continuous and repeating process applied in all types of activities and applied throughout the duration of the activities. The process continues as members evaluate the success of the plan and the implemented risk controls, with the goal of improving the plan itself as well as the planning process.

3.3. Required Levels of RM. The two primary levels of RM utilized within CAP are Deliberate RM and Real-time RM. These two levels of RM are inter-related, and reflect a continuing RM process, differentiated only by the transition from the planning stages to the execution phase.

    3.3.1. Deliberate RM. Deliberate RM planning refers to those situations when the full formal application of the complete 5-step process is warranted, including the use of CAP Form 160, *Deliberate Risk Assessment Worksheet*. The Deliberate RM process is usually reserved for large

or complex CAP missions or activities and should be initiated well in advance of any activity or program execution.

3.3.1.1. Full Deliberate RM. The entire deliberate RM process must be completed and documented, to include signature of the member in charge of the activity or mission. Deliberate RM will be accomplished utilizing the CAP Form 160 in the following cases, or in similar cases where a thorough planning process is indicated (note: Missions/exercises conducted under the Incident Command System (ICS) may use equivalent ICS forms, but all RM steps must be completed):

3.3.1.1.1. National Cadet Special Activities (NCSAs), region cadet activities, and wing encampments. This includes all flight academies, flight clinics, cadet orientation flight days, or other activities with multiple aircraft and sorties and multiple crews/passengers (this includes powered aircraft, gliders, balloons, and sUAS events). The deliberate RM planning for the event does not take the place of the aircrews' obligation to comply with preflight risk assessment and flight release guidance in CAPR 70-1. The preflight risk assessment and flight release process by the aircrews does not waive the aircrews' obligation to comply with the risk controls included in the event plan.

3.3.1.1.2. Any time a squadron, wing or region activity is conducted for the first time, or at a new venue, or when there is a significant change in members involved in the planning, execution or supervision.

3.3.1.1.3. Any time a unit receives custody of a new model aircraft or new type of CAP vehicle. The assessment should include the care and storage of the new equipment, and the training and familiarization requirements for all members utilizing the new equipment.

3.3.1.1.4. All other activities that are conducted outside the normal scope of unit activities, such as road-trips, air show support, squadron moves, organized cadet trips, events lasting longer than 24 hours, and other similar one-time activities.

3.3.1.1.5. Any time there is doubt as to whether deliberate RM is appropriate for an event, raise the question through the chain of command. CAP/SE may be contacted for guidance.

3.3.1.2. Recurring Events. When the events described in paragraph 3.3.1.1. happen on a recurring basis, with the same venue and similar events and plans, full deliberate RM is not required. In these cases, the previously accomplished risk assessment and plan, to include the previously accomplished CAP Form 160, may be used as a starting point. However, in all cases the following must still be accomplished and documented:

3.3.1.2.1. A new CAP Form 160 will be accomplished to reflect new event information, personnel, and a fresh assessment of new and current hazards, and approval of the planned event. The previously accomplished CAP Form 160 will be included as a supplement to the new CAP Form 160.

3.3.1.2.2. Ensure all hazards, risks, and controls listed on the previous CAPF 160 are still applicable to the event being planned, and resources are available to implement those controls. Review After-action Feedback and Lessons Learned (block 14) from previous CAPF 160.

3.3.2. Real Time RM. Real Time RM normally refers to the on-going RM decisions made in real-time during the execution of every activity. When time does not permit deliberate RM, members must still apply the 5-steps of the RM process. The CAPF 160S, *Real Time Risk Assessment,* may be used to guide the process. In all cases, all members involved must understand and agree upon the risk controls to be implemented as part of the plan.

3.4. Acceptance of Risk. For every mission or activity, leadership must designate who is responsible for making the decision to accept or not accept the risk and proceed with the mission/activity following a thorough risk analysis. Anytime the risk assessment determines the overall residual risk level, or any individual residual risk level (as determined by the CAPF 160), is Extremely High or High, or the responsible individual has any doubts as to the acceptability of the any risk associated with the mission or activity, the decision to accept the risk should be raised through the chain of command.

> NOTE: Approval of High (H) or Extremely High (EH) Risks. Anytime a residual risk is assessed at the H or EH level, the event must be approved in advance by CAP/CC. Requests to conduct any mission or activity with residual risk at the H or EH level must be submitted up the chain of command for final determination by CAP/CC.

3.5. Communication/Briefings. For RM to be successful in controlling risk and preventing mishaps, the plan for any activity, event, or mission must be clear to all participants. The member leading the activity is responsible for ensuring all participants are aware of the plan as well as their roles and responsibilities within the plan.

3.6. Personal Protective Equipment (PPE). For any given activity, the need for PPE as a risk control will be assessed through the course of the risk assessment process. In addition to risk controls selected for each activity, the following PPE guidelines will be used.

3.6.1. High Visibility and Reflective Apparel. The use of high visibility safety vests or safety apparel will be considered as a risk control measure for CAP members anytime members are engaged in flight line duties, aircraft or vehicle traffic areas, low-light conditions, and all other activities where high visibility will help reduce risk. The need for high visibility safety vests should be considered through the course of a thorough risk assessment. Suggested guidelines are available at Attachment 2.

3.6.2. Hearing Protection. Many CAP activities expose members to elevated sound levels which can result in damaged hearing. For any activity that has the potential to expose members to elevated sound levels (intensity or duration), noise exposure risk must be assessed, and hearing protection will be considered as a risk control.

3.6.3. Other PPE Considerations. In addition to considering PPE as risk controls in the risk assessment process, members will abide by all PPE requirements outlined in other CAP regulations.

3.7. Hot and Cold Weather Procedures.

3.7.1. Hot Weather. Heat brings increased risk of dehydration and heat-related illness. Increases in heat, or humidity, or direct sunlight will increase the risk. Anytime it appears an event may take place in hot or humid conditions, event and activity planners will specifically address the risks associated with the heat and develop risk controls in their activity plan to address the increased risk of heat related illness. CAP guards against heat-related emergencies by following the heat-related risk control strategies developed by the Occupational Safety and Health Administration (OSHA). OSHA utilizes Heat Index to determine recommended protective measures and responses to heat related issues. For current OSHA guidance, refer to gocivilairpatrol.com/safety.

3.7.1.1. For specific hot weather guidance related to Cadet Activities, refer to CAPR 60-1, *Cadet Program Management*.

3.7.1.2. Military Installations. For activities at military installations where a heat flag system is in effect, event/activity/mission leadership may elect to follow the installation's heat flag guidance in lieu of OSHA Heat Index guidelines.

3.7.2. Cold Weather. Cold weather can also bring specific hazards and risks. Anytime extreme cold temperatures or prolonged exposure to the cold will present an increased risk of cold-related illness or injury, the activity plan will include specific controls to mitigate the effects of the cold. CAP guards against cold-related and wind-related injuries by following OSHA's protective strategies. For current OSHA guidance on cold weather strategies, refer to gocivilairpatrol.com/safety. For specific cold weather guidance related to Cadet Activities, refer to CAPR 60-1.

Chapter 4 - Safety Assurance

4.1. Safety Assurance (SA). Determining the effectiveness of safety initiatives and the CAP Safety Program is accomplished through the various elements of the SA pillar of the CAP SMS. Elements of the SA pillar will mature as refined tools and best practices emerge. In the near term, it is the intent that commanders at all levels make their best effort to ensure all their safety, RM, and process improvement initiatives fit within the framework of one or more of the elements of the SA pillar of the SMS.

4.2. Continuous Improvement and Plan, Do, Check, Adjust (PDCA). The CAP SMS supports a continuous improvement philosophy by providing a framework for assessing conformance with RM processes and effectiveness of RM-based initiatives. Leaders at every level of the organization are expected to use PDCA or another continuous improvement process to ensure improvement continues even when faced with changing missions, circumstances, or equipment. For further in-depth guidance on continuous improvement tools and processes refer to CAPP 163, *Safety Assurance and Continuous Improvement*.

4.2.1. PDCA.   Planning should be mission- or process-focused.   For each PDCA effort, leadership will assemble a team of subject matter experts to analyze past performance, determine areas where improvement is needed, and establish a plan that balances mission success with the need to reduce risk by implementing desired improvements. The process then goes through the sequence of implementing the agreed upon improvements, assessing their effectiveness, then adjusting the plan to ensure continuous improvement.

4.2.2. Corrective Action Process. The Corrective Action Process is a seven-step continuous improvement process similar to PDCA and may be used for the same purpose. For more information on this process see CAPP 163.

4.3. Measures of Effectiveness (MOE). Whenever a PDCA or other process results in new risk controls or changes in process, it is important to develop MOEs to assess effectiveness of those changes. Each MOE must focus on the direct effects of a specific improvement action. For further information on MOEs, refer to CAPP 163.

4.4. Mishap and Hazard Reporting and Review. One of the most crucial means of assessing the effectiveness of risk controls is the consistent reporting and review of mishaps, near-misses, deviations and hazards. The analysis of mishap causes and contributing factors is an essential part of determining how CAP programs and processes could be improved. Refer to CAPR 160-2, *Safety Reporting and Review,* and the safety pages of gocivilairpatrol.com for additional guidance on the reporting of mishaps and hazards, and the requisite review of each.

4.4.1. Commander Responsibility. Commanders at all levels must remain informed of the mishaps which have occurred and the hazards which have been reported within their command. This should include a review of causes of the mishaps, the factors which may have contributed to the mishap(s), and recommended revisions to plans, programs or processes to address the contributing factors.

4.4.2. Director of Safety Responsibility. Region and wing SEs will regularly (no less than annually) provide their commanders with summaries of the mishaps that occurred in their area

of responsibility. This summary of mishaps should include, but is not limited to:

4.4.2.1. Overall summary of mishaps, including an overview of each type of mishap (i.e., aircraft, vehicle, bodily injury, etc.).

4.4.2.2. Trends. Any trend, or multiple occurrences, of a particular type of mishap or a particular hazard or contributing factor could indicate a higher than expected risk based on the demonstrated probability of that risk causing a mishap. This may indicate the need to analyze the existing processes, programs, and risk controls through a PDCA process.

4.4.2.3. Significant mishaps. On occasion, a single mishap may stand out due to its severity, the complexity of the circumstances, or because it reveals a previously unknown risk or hazard. These unique mishaps should be independently reviewed to determine the need for additional risk controls or process improvements. Do not wait for a trend to develop.

4.4.3. PDCA. Based on the summary of mishaps, commanders are encouraged to use a PDCA process to determine and document the plan for addressing those risks which can reasonably be reduced. A summary of these risk reduction efforts should be provided to the next higher echelon of command as part of the Annual SMS Program Review (see paragraph 4.8.).

4.5. Safety Program Assistance to Subordinate Units. SEs at each level of the organization are expected to provide oversight, guidance, assistance and mentoring to the SEs in their subordinate units. For example, region SEs are expected to provide assistance to the wing SEs within their regions, and wing SEs are expected to provide assistance to group and squadron SEs within their wing.

4.5.1. Communication. Wing and region SEs must regularly communicate with subordinate unit SEs to offer program guidance and assistance. This may be accomplished through virtual meetings or phone calls. Topics should focus on unique unit challenges and missions and should include command emphasis items and the exchange of best practices.

4.5.2. Staff Visits. The SE and an SE of a subordinate unit should meet face to face when possible. When face to face meetings are not feasible, consider the following options:

4.5.2.1. Virtual or telephonic meetings are an option. When possible, an online meeting is preferred to allow for shared scrutiny of documents and presentations.

4.5.2.2. In larger wings that have groups as part of their command structure, some of the actual or virtual "visits" may be delegated to the group SEs, who will provide feedback to the wing SE following the visit/meeting.

4.5.3. Scheduling and Documenting Assistance. Wing and region SEs will keep an updated annual plan (calendar year) for providing assistance to their subordinate SEs. This plan will include, but is not limited to, regularly scheduled group meetings or calls and a detailed plan for reaching out to subordinate units for one-on-one assistance, online meetings, or in-person visits. The goal is to "meet" with each unit once a year and may include a balance between group calls and one-on-one interaction to provide active oversight, guidance, assistance and mentoring. Each wing's plan for communication and assistance to subordinate units, along with a summary

of the actual visits, will be provided as part of the Annual SMS Program Review (see paragraph 4.8.).

4.6. Safety Surveys. Targeted surveys can be a valuable tool for commanders to use when assessing the health of their safety programs. As such, commanders are encouraged to use survey tools to solicit members' thoughts on culture, programs, compliance, or any other issues the commander may want to assess.

4.6.1. CAP/SE will occasionally use surveys, in coordination with CAP/CC, to assess specific safety or risk management program issues. In these cases, CAP/SE will work with region and wing commanders to communicate the purpose and context of the survey, set participation goals, assist in publicizing the survey to members, and will set a reasonable deadline for completion of the survey. CAP/SE will share the results with leaders and members as appropriate.

4.6.2. Region and wing commanders are encouraged to use online or e-mail surveys to assess member opinions or inputs on specific issues. Commanders are encouraged to share the survey results as part of the Annual SMS Program Review (see paragraph 4.8.).

4.7. Command Emphasis Items. Commanders at all levels are encouraged to select items they feel need safety emphasis in the coming year. These emphasis items may be based on a trend of a certain type of mishap, or certain contributing factors that can be addressed, or a particular mission or activity that carries a higher-than-average level of risk.

4.7.1. Targeted Risk Controls. Using a PDCA approach (paragraph 4.2.), commanders will work with their staffs (e.g., Safety, Operations, Cadet Programs, AE, Maintenance, Vehicle Operations, etc.) to develop specific initiatives and risk controls to target each emphasis item. MOEs will be developed for each initiative, the results of which will be reported in the Annual Program Review (see paragraph 4.8.).

4.7.2. Shared Initiatives. All units are encouraged to share emphasis items, specific safety initiatives, and successes with their chain of command and CAP/SE. In coordination with appropriate leadership, CAP/SE will post and share best practices. In addition to reporting through the Annual SMS Program Review, wing and region SEs should send articles or summaries of successes to safety@capnhq.gov for possible inclusion in the Safety Beacon Newsletter.

4.8. Annual SMS Program Review. The Annual SMS Program Review provides wing commanders with a balanced assessment on the effectiveness of the CAP SMS within their wings. Wing commanders will use their SEs and other staff as needed to assemble the data collected throughout the previous fiscal year (October through September), following the guidance found in CAPP 163. Wing commanders will review, comment, and forward the results of their review of the previous fiscal year, along with the emphasis items they have identified for the next fiscal year, to the region SE no later than 30 November each year, beginning with the review for FY2020 completed in November 2020. The region SE will then summarize wing inputs and present them to the region commander. Region commanders will forward their summaries, with comments, to CAP/SE no later than 15 January. CAP/SE will compile a summary of the annual reviews to be briefed to CAP/CC and CAP-USAF/CC.

Chapter 5 - Safety Promotion and Recognition

5.1. Safety Promotion. A key element of the CAP SMS is for every member to share a common understanding of RM within the framework of the SMS and in the context of CAP missions and activities. Every member must have the knowledge and training to be a confident, competent, and contributing part of a positive CAP safety culture. This is accomplished by ensuring members receive safety and RM education to fully understand their roles and have the competence and confidence to perform those roles. A vibrant system of recognizing and rewarding the safety and RM contributions of our members will enhance awareness and participation. Sharing clear guidance and best practices in visible and vibrant communications channels will keep safety and sound RM practices in the forefront in all CAP missions and activities.

5.2. Competency. Education on RM and the CAP SMS must be provided to all members to instill the knowledge they need to be a contributing part of the CAP safety culture. Training, which capitalizes on that knowledge, will provide members the competency they need to actively apply RM in any role within CAP. Competency will bring confidence as members develop a desire to learn and continuously enhance safety by inculcating RM in all CAP processes, missions and activities.

    5.2.1. Safety Education. Safety Education encompasses the learning and understanding of RM, in the context of the CAP SMS. Safety and RM education will be built into all professional development and specialty training. Recurring safety education should reinforce RM knowledge while providing examples of the application of RM in analyzing common hazards and controlling risk in a wide variety of scenarios.

        5.2.1.1. Monthly Safety Education. Every cadet and senior member (as defined, with subcategories, in CAPR 39-2, *Civil Air Patrol Membership*) is required to receive safety education at least once during each calendar month.

            5.2.1.1.1. Every unit, including squadrons, group staffs, wing staffs, and region staffs, will provide monthly safety education to their assigned members. The monthly safety education is usually presented by the unit SE, but it is the commander's responsibility to ensure compliance with this monthly safety education requirement receives the proper command emphasis.

            5.2.1.1.2. Each member (see paragraph 5.2.1.1.) is personally responsible for completing their monthly safety education and ensuring their participation is logged in eServices.

            5.2.1.1.3. Monthly safety education may be completed through a variety of sources and media, as outlined here:

                5.2.1.1.3.1. In-person briefing/discussion. The preferred method of conducting monthly safety education is the in-person briefing. This method allows discussion and common understanding of the information being presented. Face-to-face meetings are preferred, but these meetings may also be conducted telephonically or using online meeting software that allows the members to see the presentation and verbally interact with the presenter.

                5.2.1.1.3.2. For units which operate at the staff level (such as group, wing or region staffs) in-person meetings are still preferred. If unable to have in-person, telephonic or

online meetings, commanders and SEs may provide members of the staff with monthly update topics or readings via e-mail, including the same type of content provided in unit meetings, including the commander's current emphasis items. SEs will then log completion in eServices for a staff member after ensuring that the member has completed the material in the e-mail (merely receiving an e-mail read-receipt is not sufficient evidence of completion).

5.2.1.1.3.3. If unable to attend an in-person safety briefing, members may take one of the safety courses found in the Learning Management System (LMS) in eServices. CAP/SE is responsible for updating and regularly refreshing the content of the online safety briefings. Members will complete the reference material then successfully complete a quiz on the material to receive monthly credit.

5.2.1.1.3.4. CAP/SE maintains cooperative relationships with other safety-minded organizations (i.e., Aircraft Owners and Pilot Association (AOPA), Federal Aviation Administration (FAA), etc.) which allows completion of the organizations' online courses to count for the CAP monthly safety education requirement. Instructions on how to access these sources can be found on the Safety pages of the gocivilairpatrol.com website.

5.2.1.1.3.5. On occasion, CAP members attend courses or briefings from outside agencies where the topics discussed directly support the RM efforts of CAP. In those cases, the member must obtain a certificate of completion or some other means of verifying completion of the coursework. This certificate must be uploaded in eServices for the member to receive credit for the course. Unit commanders and SEs will be notified when this information is uploaded. If the course meets the parameters for content described in paragraph 5.2.1.1.4., the commander or SE will validate the course in eServices and the member will receive credit for completing monthly safety education.

5.2.1.1.4. Safety Education Content. The purpose of monthly safety education is to reinforce CAP members' understanding of RM and the SMS, in the context of CAP's unique missions and activities. As such, all monthly education must contain reference to and discussion of RM principles such as hazards, risks, risk controls, and how to integrate those risk controls into planning and execution of activities. While most topics should focus on CAP, the unit has wide latitude to include other topics of interest including local hazards, unit activities, missions, seasonal topics, or other interesting current events or news items that lend themselves to an open discussion of safety and RM.

5.2.1.1.5. The unit SE is responsible for coordination and presentation of monthly safety briefings. However, with the support of the commander, presentations dealing with specific missions or risks could be given in cooperation with the subject matter experts. For example, the DO or DOV could present topics related to flying safety, and a leader of cadets could be involved in presentations dealing with cadet safety and risk planning for cadet activities.

5.2.1.2. National Safety Officer College (NSOC). NSOC is the pinnacle of CAP Safety Education, providing attendees a thorough understanding of the art and science of RM, along with the knowledge of all facets and requirements of the CAP Safety Management System.

5.2.1.2.1. Attendance. All wing and region SEs must be a graduates of CAP NSOC, or

graduate NSOC within one year of being appointed. If a wing or region SE is appointed without having previously attended NSOC, they will be scheduled for the next available NSOC course. The requirement to graduate within one year of appointment may be waived by CAP/SE in coordination with CAP-USAF/SE.

5.2.1.2.2. Course availability. NSOC is an online and blended-learning curriculum. The goal is to provide adequate availability for wing and region SEs, members pursuing the Master rating in the Safety Specialty Track, and all other members pursuing leadership positions throughout CAP or aspiring to an increased role in the CAP Safety Program.

5.2.1.3. Safety Training. Safety training builds on the knowledge gained through broad based safety education, to provide the member with the skills and competency to apply their knowledge in specific tasks, missions, and activities within CAP.

5.2.1.3.1. CAP/SE will ensure that the tools needed to perform RM and SMS tasks are available to all members. The tools, and the training in the proper use of these tools, will be available online.

5.2.1.3.2. Unit commanders, activity directors, incident commanders, and all other leaders will (with the help of their SEs) ensure their staff members complete the training required to accomplish the RM tasks associated with the activity and possess the knowledge and proficiency to perform the assigned duties.

5.2.1.4. Annual Safety RM Day. Commanders of all active units will set aside one meeting day during the months of January, February, or March to conduct an Annual Safety RM Day. The sole focus of the day is a RM refresher for all members, specifically geared towards the hazards and risks they face in their daily lives, their CAP activities, and their specific missions.

5.2.1.4.1. By 31 December of each year, CAP/SE will provide a summary of required and recommended topics for the Annual Safety RM Day. This will include command emphasis items, program enhancements, mishap trends and their contributing factors, and any other current items for emphasis.

5.2.1.4.2. Wing and region SEs, in coordination with their commanders, are highly encouraged to provide squadrons with mishap summaries and items of emphasis to be discussed.

5.2.1.4.3. Squadrons are encouraged to supplement the provided material based on their own location, environment, missions, and challenges, providing all training in the context of the CAP SMS with an emphasis on applying RM.

5.2.1.4.4. Wing and region commanders will seek feedback from their squadrons on the content and success of the Annual Safety RM Day, highlighting best practices and benchmark efforts for possible inclusion in the Annual Program Review (see para 4.8.).

5.3. Safety Recognition. The success of the CAP SMS depends on the support and participation of every volunteer. It is essential that members are recognized and rewarded for their significant contributions to safety, RM, and mishap prevention. To foster the team spirit and commitment to RM that are indicative of a healthy safety culture, the CAP Safety Recognition program should

highlight member effort, emphasis, and innovation through a variety of awards from the national level down to the unit level.

5.3.1. Paul W. Turner Safety Award. This is an annual award, named for a former CAP National Commander, presented to the CAP wing with the most outstanding safety program based on a demonstrated emphasis on RM and mishap prevention. The award consists of a plaque. Each region commander may submit one nomination for the previous calendar year to the Director, Personnel and Member Actions (CAP/DP), which must be postmarked (dated in the case of e-mail) or entered in eServices not later than 15 March. The award will be presented to the wing commander at the annual National Conference. Nominations that are late, or that have not been coordinated through the region commander, will not be considered for the award. The region commander's letter of nomination should include, but not be limited to, the following:

5.3.1.1. Overall summary. An overall summary of the wing's safety program, to include examples of the commander's emphasis on RM, safety education, and training. This could be presented in a way that shows the wing's commitment to supporting the four pillars of the CAP SMS. Units may utilize the Annual SMS Program Review (see paragraph 4.8. and CAPP 163) for data to support the Paul W. Turner Safety Award submission.

5.3.1.2. Examples. The nomination should include examples of the success of measures taken at the wing and unit levels to address commander emphasis items through the previous year, including improvements directly attributable to the effectiveness of initiatives.

5.3.1.3. Safety Education. Highlight safety education participation and innovative programs to educate, train, and communicate essential safety RM information to all wing members. Show how they were successful.

5.3.1.4. Missions. Comment on mission accomplishment (including Operations, Emergency Services, Aerospace Education and Cadet Programs), highlighting specific and innovative efforts to incorporate RM in planning and execution.

5.3.1.5. Other Highlights. Include any specific events, or overall programs and processes, that exhibit the wing's or a wing member's strong commitment to the CAP SMS.

5.3.2. Region Safety Award. A plaque presented annually to one wing from each region with the most outstanding safety program and RM initiatives. This selection is made by the region commander, using the same criteria as described for the Paul W. Turner Safety Award. The wing receiving the plaque becomes the region's Paul W. Turner Award nominee. Presentation will be made by the region commander at an appropriate function.

5.3.3. Safety Officer of the Year Award. An annual award will be presented to the SE who has contributed most to the CAP Safety Program. Each wing is expected to submit a nomination to region. The region commander will review all nominations submitted and will select one nominee believed to be the most deserving of the award. The region commander will forward the nomination to NHQ Membership and Personnel Actions (NHQ/DP) for final selection. All nominations must be forwarded by the region to National Headquarters postmarked (dated in the case of e-mail) or entered in eServices not later than 15 March. Nominations that are late, or that have not been coordinated through the region commander, will not be considered for the

award. Nominations should include, but are not limited to:

5.3.3.1. A summary of the member's duties, positions, participation and overall influence on the safety program throughout the previous year.

5.3.3.2. Specific examples of the member's commitment to RM and support of the four pillars of the CAP SMS.

5.3.3.3. Examples of situations where the member utilized the RM approach to identifying a hazard (or hazardous situation), assessed the risk, and effectively put controls in place to reduce the risk and reduce the potential for mishaps.

5.3.3.4. Examples of ways the members assisted other members or units in education, training, or other innovative approaches to improve the practice of RM in the wing.

5.3.4. Distinguished Aviator Award. This award recognizes outstanding airmanship by a CAP pilot while performing flight duties for CAP. The pilot must demonstrate heroic measures or an extraordinary level of skill, alertness, ingenuity, or proficiency in averting or minimizing the seriousness of a flight mishap. CAP/SE will convene a board to review the nomination and evaluate the seriousness of the incident as well as the nominee's action in coping with the situation.

5.3.4.1. The event must have resulted from any of these situations:

5.3.4.1.1. Mechanical difficulty with the aircraft while in flight or on the ground.

5.3.4.1.2. Errors made by others, in the air or on the ground.

5.3.4.1.3. Environmental factors beyond the nominee's control.

5.3.4.1.4. Members are not eligible if their actions are deemed to have been causal or contributing factors to the circumstances, event, or mishap that preceded the actions being considered.

5.3.4.2. Nominations must be initiated by the unit commander following the flight event. Nomination packages will then be forwarded and endorsed through the wing and region commander to CAP/SE for review by the appointed board. The nomination must include as a minimum: the nominee's name, grade, unit name and charter number, date of the event, aircraft type and N-number, and a description of the event. The description should be detailed enough to allow the Awards Board to accurately evaluate the seriousness of the event and determine the extent of the nominee's corrective action.

5.3.4.3. After the Awards Board review, nominations that meet the eligibility for this award will be presented to the National Commander, with the board's recommendation, for final approval or disapproval. Approved awards will be sent to the respective region commander for presentation at an appropriate function.

5.3.5. Unit Safety Recognition Programs. Commanders at the region level and below are encouraged to recognize the safety achievements of members within their units. It is important

to recognize and reward member commitment to safety and RM, especially in cases where the contributions or actions may not rise to the level of national recognition. Commanders are encouraged to provide a summary of awards given in their Annual SMS Program Review (see paragraph 4.8). There are several suggested methods available for such recognition, as listed below.

5.3.5.1. Existing Decorations. When actions or sustained achievement in safety and RM fit the criteria for decorations described in CAPR 39-3, *Award of CAP Medals, Ribbons and Certificates*, commanders are encouraged to use these well-established methods of recognizing member service to highlight member contributions to the CAP Safety Program and support of the CAP SMS.

5.3.5.2. New Awards. Commanders are also encouraged to develop local safety-specific awards that can be given to members for varying levels of safety contributions or achievements. These awards may be certificates, plaques or other novel mementos that are significant to the local unit. Commanders are highly encouraged to consult with CAP/SE prior to initiating the award for help in ensuring the stated criteria captures the intent of the award and fits in the framework of the SMS.

5.3.5.3. On-the-Spot Recognition and Appreciation. Commanders at all levels are encouraged to engage in timely on-the-spot recognition of superior safety performance when they see it. The occasion may be during a unit meeting, a mission debrief, or at the end of a large-scale activity. Best done in front of other members, this provides meaningful recognition of a job well done. Members receiving such recognition could be an energetic activity SE, a member giving a noteworthy monthly safety briefing, or any other member contributing to RM and mishap prevention. Commanders may use organizational coins, pens, or other mementos, or simply recognize and thank the member in a public setting.

5.4. Safety Communication. Open channels of communication between SEs at every level as well as between SEs and commanders are essential to the success of the CAP SMS.

5.4.1. Internal Safety Communication. Essential to the success of the CAP SMS is clear and open channels of communication between SEs at every level, and between SEs and commanders. This open communication allows for exchange of ideas and standardization of processes within the safety program. SEs at all levels are expected to freely communicate with SEs in subordinate units, and vice versa. A free line of communication must exist for the exchange of safety program guidance, information, and mentoring between levels in the organization.

5.4.1.1. Safety Program Newsletters. The CAP Safety Beacon Newsletter is the official newsletter of the CAP Safety Program. Published by the CAP/SE office, it is the primary means of communicating program updates, trends, and other items of interest with commanders, SEs, and all CAP members. As such, it is expected that all SEs will read the Beacon and share it with members in their units. Units are also encouraged to have regularly scheduled newsletters, e-mails or other reliable methods of informing subordinate unit SEs of program updates or emphasis items.

5.4.1.2. CAP Safety Website.   CAP/SE will ensure the safety pages on gocivilairpatrol.com are updated with program information, guidance, tools, and links to training to meet the needs of SEs and all members in RM efforts within CAP.   SEs at all levels should have a strong working knowledge of the CAP safety web pages to help guide members seeking safety program information. Any questions or suggestions regarding the content of the Safety web pages should be addressed to safety@capnhq.gov .

5.4.2. External Communication.   CAP should be an active and involved member of the communities in which it operates, from the local to the national levels. However, safety related information can be sensitive, and certain protocols must be adhered to when communicating CAP safety information with external agencies.   Local units are expected to cooperate on local issues and inquiries but must refer all inquiries to CAP/SE at CAP NHQ if safety related inquiries are made by federal agencies such as the FAA or National Transportation Safety Board.   When in doubt, refer all inquiries to safety@capnhq.gov to ensure proper handling.   Refer to CAPR 160-2 for guidance on reporting or discussion of any mishap information.

5.4.3. Use of CAP Safety Patch.   Wear of the CAP Safety Patch is addressed in CAPR 39-1, *CAP Uniform Manual*.   As the recognized symbol of CAP's national Safety Program, use of the CAP Safety Patch for any other purposes implies that the usage has the endorsement of, or speaks for, the CAP Safety Program or the CAP Chief of Safety. Members are prohibited from using the likeness of the CAP Safety Patch (Figure 5.1.) in briefings, correspondence, documents, letterhead, business cards, or any other printed or online application without the express permission of CAP/SE.

Figure 5.1 – Safety Patch

MARK E. SMITH
Major General, CAP
Commander

Attachment 1 - Compliance Elements

Checklist And Tab	#	Compliance Question	How to Verify Compliance	Discrepancy Write-up	How to Clear Discrepancy
CI E-2	01	Was the Wing SE a graduate of NSOC when appointed, or graduate from NSOC, within 1 year after appointment as Wing/SE.	Verify compliance in eServices or present evidence of a waiver from CAP/SE.	Wing SE is not a graduate of NSOC nor waived by CAP/SE IAW CAPR 160-1 2.6.3.1.2.	Attend next available NSOC, or comply with specific guidance from CAP/SE.
CI E-2	02	Did the Wing SE possess the Technician rating or higher in the Safety Specialty Track prior to being appointed to the position, or was it waived by region commander?	Verify Technician rating in eServices. If not completed, present evidence of a waiver from region commander.	Wing SE had not completed the Technician rating in the Safety Specialty Track when appointed and did not have a waiver from region commander IAW CAPR 160-1, 2.6.3.1.3.	Complete the required training or receive a signed waiver from region commander.
CI E-2	03	Is the Wing SE or Assistant Wing SE a current or previously qualified CAP pilot, or have experience as a General Aviation pilot outside of CAP?	Verify CAP pilot status in eServices or verify GA pilot experience.	Neither Wing SE nor Assistant SE had the pilot experience required in CAPR 160-1, 2.6.3.1.5.	Wing will appoint a SE or Assistant SE with the prescribed pilot experience.
CI E-2	04	Did Wing complete an Annual SMS Program Review for the previous year.	Verify Program Review completed and sent to Region.	Wing did not complete an Annual SMS Program Review required in CAPR 160-1, 4.8.	Wing will show a plan for complying with the requirements in 4.8.

SUI E-2	05	Was the squadron SE Technician rated or higher in the Safety Specialty Track, or at a minimum, was the SE enrolled in the Safety Specialty Track when appointed?	Verify compliance in eServices.	When appointed, the squadron SE had not achieved Technician rating, or wasn't enrolled in the Safety Specialty Track as required by CAPR 160-1 2.6.5.1.1.	Ensure the squadron SE is enrolled in Safety Specialty Track.
CI E-2	06	Was a deliberate RM CAPF 160 used in planning the most recent Wing encampment, IAW CAPR 160-1 3.4.1.2.1.1.? (Not applicable if last wing encampment was held prior to publication of CAPR 160-1.)	Wing will provide a completed, signed and dated, CAPF 160 for most recent Wing encampment.	The Wing did not ensure that Deliberate RM was used for the most recent Wing encampment IAW CAPR 160-1, 3.3.1.1.1.	Wing will develop plan for ensuring compliance with RM planning requirements for Wing events.
SUI E-2	07	Did the Squadron SE provide and log a safety education topic every month for the 12-month period immediately prior to the SUI?	Verify compliance in eServices.	The Squadron SE did not provide safety education every month as required in CAPR 160-1 5.2.1.1.1.	Squadron will develop plan to ensure compliance.
CI/SUI E-2	08	Did all active units in the Wing conduct the Annual Safety RM Day during the months of January, February, or March?	Verify compliance in eServices.	Not all units in the Wing held an Annual Safety RM Day at some point during the month January, February, or March as required by CAPR 160-1 5.2.2.2.	Complete the required training at the next annual opportunity and submit plan for ensuring future compliance.
CI E-2	09	Did Wing SE have an up-to-date annual plan for providing assistance to SEs in subordinate units for the current year?	Review plan submitted by Wing.	Wing SE did not have a current year plan for assisting subordinate units as required by CAPR 160-1 4.5.3.	Develop and submit annual plan for assistance to subordinate units.

Attachment 2 - Safety Apparel

A2.1. The use of high visibility safety vests or safety apparel must be considered as a risk control measure for CAP members anytime members are engaged in flight line duties, aircraft or vehicle traffic areas, low-light conditions, and all other activities where high visibility will help reduce risk, at night or during the day. Safety vests or safety apparel may be orange or lime green and may be worn with or without the CAP logo. Note: The guidance in this attachment does not supersede specific guidance provided in other CAP regulations (i.e., Emergency Services, Cadet Programs, etc.) and is to be used when other specific guidance has not been issued. Scenarios where high-visibility safety vests are highly encouraged as a risk control include, but are not limited to, these examples listed below.

A2.1.1. Outdoor emergency services functions such as Ground Teams, Urban Direction Finding Teams, and Community Emergency Response Teams.

A2.1.2. Cadet or senior member formations or assemblies when deemed necessary to maintain formation visibility to traffic. Road guards or safety spotters should be utilized to safely warn traffic of formation movements.

A2.1.3. Members performing duties which put them in close proximity to aircraft or vehicle traffic, especially flight line support functions. Exceptions to this are aircrews engaged in pre-flight or post-flight duties at their aircraft.

A2.1.4. All members engaged in activities in poorly lit outdoor areas.

A2.1.5. Outdoor field activities where exposure to hunting or recreational use of weapons could be encountered, or when high-visibility and easy identification of CAP members is desired.

A2.2. Safety Apparel

A2.2.1.   Safety vests are approved for wear over the outermost garment of AF-style uniform or corporate uniform.

A2.2.2. Other safety apparel is approved for wear as the outermost garment over the corporate uniform only. Examples of safety apparel are coats, jackets, rain wear and may include orange or lime green reflective pants in conjunction with upper-body wear.

A2.3. American National Standards Institute (ANSI) guidelines. While no laws mandate the use of ANSI compliant safety vests or safety apparel for CAP activities, ANSI is the recognized standard for high visibility safety apparel, and ANSI compliant safety apparel (Class 1, 2, or 3) should be the choice for all CAP activities when risk assessments determine high visibility apparel is required. If it is determined that high visibility apparel is required as a risk control, ANSI compliant apparel will be used unless other reasonable risk controls are put in place and wing commander approval is obtained.

A2.4.   Members in specific duty positions are authorized to have their mission duty title logoed on their safety vests or safety apparel to allow easy identification during CAP events.   SEs working in an official safety capacity are authorized to wear safety vests or safety apparel with the words "safety" or "safety officer" logoed on their safety vests or safety apparel to facilitate identification and ready access to all event functions and venues.