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# AUSTRALIAN AIR FORCE CADETS



AAFC INSTRUCTION

## AVIATION SAFETY MANAGEMENT PLAN (ASMP)

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### AMENDMENTS

**Distribution.** This publication is provided as an electronic copy available for download from the AAFC resource centre. There is no need for the manual to be amended, as all amendments will be incorporated as required in the master electronic copy.

Note: If printed, this manual is to be considered uncontrolled for the purpose of revision status and currency of the information contained herein. A statement is printed at the top of each page to this effect. For ease of operational use, some sections of this manual may be printed and used with authority, provided that all care has been taken to ensure the currency of such information by referring to the master electronic copy.

In order to identify the current version of the manual a revision number is included in the footer of each page.

**Amendment Cycle.** Review of the manual will be conducted as set down in Section 9. Amendments will be made on an as required basis and will normally be promulgated by Headquarters AAFC Routine Instruction (HQAAFC RI). HQ ATD AAFC takes no responsibility for this and it is the user's responsibility to ensure that they have the most up to date copy.

**Changes.** Additional chapters may be added and amendments made from time to time but only on the authority of the Director General Cadets – Air Force (DGCADETS-AF). Any member of the AAFC may suggest changes to this manual by submitting written proposals through their Wing Senior Aviation Officer (SAO) to the DAT.

**The current version of the ASMP is: 1.0**

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## **PREFACE**

The AAFC Safety Management Plan – Aviation Components (AAFC ASMP) is issued for the direction and guidance in the planning and conduct of all AAFC aviation activities. This manual is issued subservient to the AAFC Safety Management System and the AAFC Manual of Aviation Operations) and is to be read in conjunction with these manuals.

Any instruction contained herein which is inconsistent with the AAFC Policy and Procedures Manual, or any other Defence Instruction is void to the extent of that inconsistency. Any such instances are to be reported to the DAT.

Further, any instruction contained herein which is inconsistent with procedures laid down in regulations or instructions issued by the Civil Aviation Safety Authority (CASA), Gliding Federation of Australia (GFA) are void to the extent of the inconsistency. Any such instances are to be reported to the DAT.

Note: Safety management systems, training systems and operational procedures used by service providers in accordance with the organisations regulatory or statutory obligations are not affected by this statement. This includes any requirements that any service provider may have with regulatory bodies, local authority or clients

Notwithstanding the above, these instructions may impose a greater limitation, or higher standards than contained in the above documents. In these cases the instructions contained herein, must be adhered to.

Where a dispute arises between this manual and any other safety system, as described above, the DAT will, after consultation with AAFC Senior Safety Advisor (SSA), advise CDR-AAFC of the preferred decision or outcome. CDR-AAFC will seek direction from DGCADETS-AF before making a final decision on any safety matter.

The AAFC ASMP is effective from the date of promulgation and is issued by the authority of the DGCADETS – AF.

This plan, once promulgated, will supersede any previous AAFC aviation safety management systems (however named) and becomes, in conjunction with the AAFC SMS, the master document to be used for safety planning and management of AAFC aviation activities. This applies to all aviation activity conducted either under its name or with any implied connection to the AAFC. As of the date of promulgation, and unless specifically described in this plan or the AAFC Manual of Aviation Operations, all other AAFC Aviation Safety Management Systems (however named), policy or instructions are hereby cancelled.

## **NOTES TO READERS**

It is important to understand that this manual does not address Commonwealth Work, Health and Safety Act 2011 (WHS) or state OH&S issues which are not specifically related to aviation or flying activities. All care has been taken to address the issues which are related to aviation activity and covered in the WHS legislation and/or in the RAAFSAFE series. This plan needs to be read in conjunction with the other relevant manuals or documents to ensure full safety coverage in relation to all AAFC activities.

This plan only contains aviation specific components of the AAFC SMS. It uses the Defence Aviation Safety Manual AAP 6734.001 as its basis to which it should be referred for clarification when not described in this plan. It does not contain sections describing how safety management is conducted nor does it describe an Aviation Risk Management system. These components are described in the master SMS document and this should be the master reference for SMS training, system structure and hazard/risk assessment.

As shown in the preface, this document is designed to meet the requirements of the AAFC SMS, but it is more specifically tailored to meet the safety management components of the AAFC Airworthiness system (MAO Chapter Two) and for the training of AAFC staff in the conduct of aviation related activities, investigations and audits or visits to confirm that AAFC wings are meeting their SMS requirements. Where considered necessary a link to the relevant section within the AAFC SMS has been provided. In some cases content from the AAFC SMS has been reproduced (to provide the context) in this manual. Where this occurs, these sections will always be shown in italics. Care should be taken to ensure that the sections in italics have not been changed or amended, in the master manual, before applying them in the operational context.

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## **GLOSSARY OF TERMS**

### **References:**

- A. Defence Safety Manual (SAFETYMAN) Vol 1, General, First edition 2002
- B. AAFC (Interim) Policy Manual, Revised 2008
- C. AAFC Safety Management System
- D. AAFC Manual of Aviation Operations, Revised 2011
- E. Transport Safety Act 2003 (TSI Act)

### **Aerodrome**

A place where aircraft operations are conducted and may include runways, taxiways, apron and hangars.

### **Air Force**

Royal Australian Air Force (unless otherwise specified).

### **As Low As Reasonably Possible/Practicable (ALARP)**

The ALARP principle is that the residual risk shall be as low as reasonably practicable. For a risk to be ALARP it must be possible to demonstrate that the cost involved in reducing the risk further would be grossly disproportionate to the benefit gained.

### **Aviation**

Any activity which involves flight in powered or unpowered aircraft either as a trainee, passenger or other participant, on an approved AAFC activity. For the purposes of this manual, aviation also includes activity administered under the Civil Aviation Regulatory Framework.

### **Aviation Accident (ICAO and ATSB definition; See also COMCARE notifiable incident)**

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. a person is fatally or seriously injured as a result of:
  - (1) being in the aircraft, or
  - (2) direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or
  - (3) direct exposure to jet blast

*(except when the 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*
- b. the aircraft sustains damage or structural failure which:
  - (1) adversely affects the structural strength, performance or flight characteristics of the aircraft, and 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

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- (2) for damage limited to propellers, wing tips, antennas, tyres, brakes, fairings, small dents or puncture holes in the aircraft skin, or
- (3) the aircraft is missing or is completely inaccessible.

### **Aviation Accident (Directorate of Defence Aviation and Air Force Safety definition)**

An accident can be thought of as an occurrence that did result in loss/destruction of the Aviation System or death of any person.

### **Aviation Accident Investigation Team**

A team of personnel, led by a qualified air safety investigator, appointed to investigate an aviation accident in order to determine, to the best of their ability, the factors that contributed to the occurrence and make recommendations to prevent reoccurrence

### **Aviation Incident Investigation Team**

A team of personnel, led by a qualified air safety investigator, appointed to investigate an aviation incident or serious incident in order to determine, to the best of their ability, the factors that contributed to the occurrence and make recommendations to prevent reoccurrence

### **Aviation Safety Audit**

An audit aimed at ensuring compliance with operational and technical orders, regulations, instructions, guidance and publications concerning aviation safety

### **Aviation Safety Committee**

A management tool that brings those people together to assist commanders in the management of their ASMP

### **AAFC Safety Management System (SMS)**

A SMS consists of written policy, procedures and plans coupled with attitudes, beliefs and practices of the organisation itself, which promotes safety.

### **Aviation Safety Occurrence**

Any occurrence which adversely affects, or could affect, the safety or airworthiness of an Aviation System, or safety of third parties

### **Aviation Safety Survey**

A survey aimed at identifying hazards, and improving the safety culture and effectiveness of the organisations ASMP. Ultimately the aim is to reduce the number of aviation safety occurrences

### **Aviation System**

An aviation system is the integration of equipment, personnel, organisation, publications and procedures to achieve an aviation role. Aviation systems include:

- a. state registered aircraft types
- b. non-state registered aircraft types
- c. aviation support systems, and
- d. unmanned aerial systems (UAS).

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### **Chief Flying Instructor (CFI)**

The CFI is an appointed position under CASA or GFA regulations, with responsibilities for safety and personnel management. The CFI is rarely an AAFC position; however they form an important part of maintaining the safety of our aviation operations. Relationships with and the standard of the CFI is left up to the FLTCDR and SAO of the operational wing to monitor and report on if required.

### **COMCARE**

The operational arm of the commission for safety, rehabilitation and compensation of Commonwealth employees (the commission). COMCARE is responsible for the management of the Workplace, health and Safety Act 2011 as well as the Commonwealth Employees Safety, Rehabilitation and Compensation Act 1988.

### **COMCARE Notifiable Incident**

An incident is notifiable to COMCARE if it arises out of the conduct of a business or undertaking and results in the death, serious injury or serious illness of a person or involves a dangerous incident.

### **Commander/Director**

A person who, at any level, has the responsibility for financial and human resources.

### **Consequence**

The outcome of an event of situation expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain

### **Critical incident team (internal AAFC only)**

Members will be assigned from a wing executive group to deal with a serious incident or accident involving an AAFC activity or member. The critical incident team has duties defined in the Op wing AvSOP.

### **Duty of Care**

The legal obligation to avoid causing harm to another person, especially through negligence. The Workplace Health and Safety Act 2011 places a duty of care on Defence Organisation to take all reasonably practicable steps to ensure the health and safety of workers at work.

### **Employer**

The Commonwealth, or acting for the Commonwealth – the Defence organisation (ADF, DoD, AAFC). Group executives, commanders/executives and supervisors represent the employer.

### **Environment**

The aggregate of the conditions and factors which may influence or affect an organisation and/or its workers.

### **Event (DASM definition)**

An event can be thought of an occurrence that did not affect safety or airworthiness but is worthy of capture, as any repeat occurrences may indicate a wider problem necessitating investigation and possible remedial action.

### **Generative Safety Culture**

The ultimate state where safety performance is maximised and safety behaviour is fully integrated into everything the organisation does.

### **Hazard**

A source of potential harm or a situation with a potential to cause loss.

### **Hazard Report**

An AAFC Hazard report (HAZREP) is used to report any identified aviation hazard, which has the potential to, or has caused an aviation safety occurrence.

### **Hazard Register**

A register of the identified hazards contained within the SMP-AC and RAMP

### **Hierarchy of Controls**

A range of measures used to control hazards in the workplace and include, in order of preference, the following:

- a. Design – remove the hazard by designing out the problem (e.g. new building, equipment or process)
- b. Elimination/substitution – remove the hazardous equipment or process, or replace with a less hazardous item or process
- c. Engineering – Construct suitable barriers or other mechanical forms of isolating the hazard
- d. Administrative – manage work practices to control exposure to the hazard (briefings, training)
- e. Personal Protective Equipment (PPE) – provide protective clothing or equipment for work in environments where the hazard can't be reduced or replaced, but the process is required to complete the task (e.g. refuelling aircraft).

### **Human Factors**

The multi-disciplinary science that applies knowledge about the capabilities and limitations of human performance to all aspects of design, operation and maintenance of products and systems. It considers the effects of physical, psychological and environmental factors on human performance in different task environments, including the role of human operators in complex systems.

### **Immediately Reportable Matters (IRM) (ATSB accident report)**

For the purposes of the TSI Regulations 2003, IRM for all aircraft operations are:

- a. Subject to the exclusions in the note below, the death of, or a serious injury to:
  - (1) A person on board the aircraft or in contact with the aircraft, or anything attached to the aircraft, or anything that has become detached from the aircraft, or
  - (2) A person who has been directly exposed to jet blast.

*Note: The death of, or a serious injury to, a person does not include:*

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- *Death or serious injury resulting from natural causes (except to a flight crew member); or*
  - *Death or serious injury that is intentionally self-inflicted; or*
  - *Death or serious injury that is intentionally caused by another person; or*
  - *Death or serious injury suffered by a stowaway in a part of the aircraft that is not usually accessible to crewmembers or passengers after take-off; or*
  - *Death occurring more than 30 days after the occurrence that caused the death, unless the death was caused by an injury that required admission to hospital within 30 days after the occurrence.*
- b. The aircraft being missing
- (1) The aircraft suffering serious damage, or the existence of reasonable grounds for believing that the aircraft has suffered serious damage
  - (2) The aircraft being inaccessible and the existence of reasonable grounds for believing that the aircraft has been seriously damaged
- c. Breakdown of separation standards, being a failure to maintain a recognised separation standard (vertical, lateral or longitudinal) between aircraft that are being provided with an air traffic service separation service. (Note: This may result from air traffic services, pilot or other actions, and may occur even if only one (1) of the aircraft involved is under control of an air traffic service.)

#### **Incident (DASM Definition)**

An incident can be thought of as an occurrence that did affect or could affect safety or airworthiness, but the outcome was not serious (i.e. injuries, if any, were not serious, and damage, if any, was repairable in less than 14 days).

#### **Likelihood**

Likelihood refers to the probability of an event occurring. It can be measured from low probability (unlikely) through to high probability (likely).

#### **Member (AAFC)**

A member of the AAFC is any person who is enrolled or covered by the AAFC for the purpose of Comcare or Defence Insurance Office. (Cadets, instructors of cadets, officers of cadets, approved civilian staff on activities, ADF auxiliary staff)

#### **Notifiable Incident**

An incident which under the WHS Act 2011 must be reported by commanders and managers to COMCARE within prescribed timeframes.

#### **Occurrence**

An occurrence is an action, event, incident or accident that happens during the conduct of an AAFC aviation activity.

#### **Personal Protective Equipment (PPE)**

Any protective clothing or equipment that provides workers with protection from a particular hazard in a work area. PPE also includes, but is not limited to, gloves, eye and face protectors, overalls, aprons, spats, steel capped boots, hearing protectors, safety helmets, hats, and respiratory protection.

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### **Probability**

The ratio of specific outcomes to the total number of possible outcomes.

### **Qualified Flying Instructor (QFI)**

QFI is a military term used to identify a qualified flying instructor. For the purposes of this manual a QFI is any flying instructor who holds an instructor qualification from the GFA or CASA of any grade or rating level.

### **REPCON (ATSB)**

REPCON is a voluntary confidential reporting scheme for aviation. REPCON allows any person who has an aviation safety concern to report it to the ATSB confidentially. Protection of the reporter's identity and any individual referred to in the report is a primary element of the scheme.

### **Risk (ISO 31000 definition)**

Risk is the chance of something happening that will have an impact on the objectives. It is measured in terms of consequences and likelihood. (The probability that a potential harm may become actual)

### **Risk Acceptance**

An informed decision to accept the consequences and likelihood of a particular risk.

### **Risk Assessment**

The process of evaluating the probability and consequence of injury or illness or loss, arising from exposure to an identified hazard or hazards.

### **Risk Control**

The part of risk management which involves the provision of policies, standards, and procedures to eliminate, avoid or minimise adverse risks facing an activity. (Sometimes referred to as Risk Mitigation)

### **Risk Identification**

The process to determine what can happen, why and how.

### **Risk Management**

The process of identifying hazards, evaluating the degree of risk associated with identified hazards and taking that action necessary to eliminate or reduce exposure to those hazards.

### **Risk Mitigation**

The part of risk management which involves the provision of policies, standards, and procedures to eliminate, avoid or minimise adverse risks facing an activity. (Sometimes referred to as Risk Control)

### **Routinely Reportable Matters (ATSB)**

RRM are incidents that must be reported to the ATSB within the prescribed reporting timeline (72 hours). RRM for all aircraft other than air transport operations include:

- a. an injury, other than a serious injury, to a person on board the aircraft;
- b. a flight crewmember becoming incapacitated while operating the aircraft;

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- c. airprox (Air proximity event or near miss with any object in flight);
- d. an occurrence in which flight into terrain is narrowly avoided;
- e. the use of any procedure for overcoming an emergency;
- f. an occurrence that results in difficulty controlling the aircraft, including any of the following occurrences:
  - (1) an aircraft system failure;
  - (2) a weather phenomenon;
  - (3) operation outside the aircrafts approved flight envelope;
- g. fuel exhaustion;
- h. the aircrafts supply of useable fuel becoming so low (whether or not as a result of fuel starvation) that the safety of the aircraft is compromised;
- i. a collision with an animal, including a bird, on a licensed aerodrome.

### **Safety**

The control of recognised hazards to attain an acceptable level of risk

### **Safety Culture**

The product or individual and group values, attitudes, competencies and patterns of behaviour that determine the commitment to, and the style and proficiency of organisations safety management systems.

### **Safety Management System**

An overall safety management system which includes organisational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining safety policy or safe systems and places of work), and so managing safety risks associated with the business of the organisation.

### **Serious Incident**

An incident involving circumstances indicating that an accident nearly occurred. (ADF Definition: A serious incident can be thought of as 'almost an accident'. The only difference between a serious incident and an accident lies only in the outcome – the aviation system was not lost/destroyed nor was there any loss of life but it almost did (if there was damage it was repairable, and if there were injuries they were at most serious, but not fatal)).

### **Service providers (AAFC)**

A service provider is a contracted third party who provides aviation services to the AAFC. Service providers may be individuals or organisations or employees of organisations. Where a service provider is used, that service provider is required to provide a service at the safety level required by local or federal regulated standards. Service providers are encouraged to apply, as a minimum, the safety standards of the AAFC SMP-AC and/or in some cases this will be a requirement of the contractual agreement when the service provider does not have an ASMS or their ASMS is not equal to this document.



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### **Service provider's staff**

A service providers staff member is not (necessarily) a member of the AAFC and is covered by the service providers WH&S (local) policy and procedures. When on defence establishments, the AAFC has a duty of care to any service provider's staff and defence and AAFC safety policy must be applied to them.

### **System Tolerance**

The inherent ability of the Aviation System to compensate for inadequate/absent defences

### **Substitution Test**

A test used by questioning the reasonableness of a decision made by an individual under the same conditions which the original decision was made. That is if you the regulator (commander) had been in that situation (or have been in a similar situation in the past), is there a reasonable chance that you or another person in that environment, could have made the same violation (Walker 2002d).

### **Worker**

For the purpose of this plan and in accordance with the WHS Act 2011, a worker is defined as Cadets and Cadet Staff, Civilian volunteers including instructors and parents, an employee such as Australian Public Servant, Australia Defence Forces personnel including Reservists, a contractor or sub-contractor. For the purposes of this plan they are deemed to be a worker only when lawfully performing the functions of a member of the AAFC.

### **Workplace**

Any location in which defence workers, contractors and their staff work, and includes buildings, aircraft, vehicles, and moveable structures such as tents (and open areas such as fields or airfields). A workplace does not include any part of such premises that is used primarily as a private dwelling.

### **WHS Act**

The Workplace Health and Safety Act 2011.

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### ABBREVIATIONS AND ACRONYMS

AA	Airservices Australia
AAFC	Australian Air Force Cadets, formerly known as the Air Training Corps (AIRC)
ADF	Australian Defence Force
ADFC	Australian Defence Force Cadets
ALARP	As Low As Reasonably Practicable
APF	Australian Parachute Federation
ARFF	Aviation Rescue and Fire Fighting
ASC	Aviation Safety Committee
ASMS	Aviation Safety Management System
ASMP	Aviation Safety Management Plan
ATC	Air Traffic Control
ATF	Aviation Training Flight (Formerly known as Flying Training Flight)
ATSB	Australian Transport Safety Bureau
ATD	AAFC Aviation Training Directorate (unless otherwise specified)
AVOCCREP	Aviation Occurrence Report
AVRM	Aviation Risk Management
AvSOP	Aviation Standard Operating Procedures
BOI	Board of Inquiry
CAF	Chief of Air Force
CASA	Civil Aviation Safety Authority
CB-AF	Cadet Branch – Air Force
CDR	Commander
CDR-AAFC	Commander - Australian Air Force Cadets
CFI	Chief Flying Instructor
CO	Commanding Officer
COS-AAFC	Chief of Staff – Australian Air Force Cadets
DAHRTS	Defence Aviation Hazard Reporting and Tracking System
DASM	AAP 6734.001 Defence Aviation Safety Manual
DAT	Director Aviation Training AAFC
DCDTOPS-AF	Director Cadet Operations – Air Force
DCN	Document Change Notices
DDAAFS	Directorate of Defence Aviation and Air Force Safety
DDAP	Deputy Director Aviation Projects
DDAS (AAFC)	Deputy Director Aviation Safety

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DDGLD ..... Deputy Director Gliding

DDPAC ..... Deputy Director Public Affairs and Communications

DDPF ..... Deputy Director Powered Flying

DETCDR..... Detachment Commander

DGCADETS-AF..... Director General Cadets – Air Force

DPN ..... Defence Protected Network (formerly DRN)

ERP ..... Emergency Response Plans

FLTCDR..... Flight Commander

FOD ..... Foreign Object Damage

GFA ..... Glider Federation of Australia

GSE ..... Ground Support Equipment

HAZID Register ..... Hazard Identification Register

HAZREP ..... Hazard Report

HF ..... Human Factors

IAA ..... Investigation Authorising Authority

ICAO ..... International Civil Aviation Organisation (UN)

IO ..... Investigation Officer

IRM..... Immediately Reportable Matters (ATSB) (See glossary for definitions)

MAO..... AAFC Manual of Aviation Operations  
(Formerly Manual of Flying Operations (MoFO))

OAAR..... Operational Airworthiness Authority Representative

OC ..... Officer Commanding

OHS ..... Occupational Health and Safety

OPSCOORD..... Operations Co-ordinator

OpWG..... Operational Wing

PPE..... Personal Protective Equipment

PPM..... (AAFC) Policy and Procedures Manual

QFI..... Qualified Flying Instructor

RAMP ..... Risk Assessment and Management Process

RRM..... Routinely Reportable matter (ATSB) (See glossary for definitions)

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SAO ..... Senior Aviation Officer

SFI ..... Senior (supervising) Flying Instructor (not CFI)

SRB ..... Safety Review Board

SSA..... Senior Safety Advisor (AAFC)

WASC..... Wing Aviation Safety Committee

WHS Act ..... Workplace Health and Safety Act 2011

## **SECTION 1**

# **AIR FORCE CADETS SAFETY MANAGEMENT PRINCIPLES FOR AVIATION OPERATIONS**

### **Reference**

*The content of this chapter has used as its basis the DASM Section 1, Chapter 1 and the objectives listed in Section 2 Chapters 1 and 2.*

### **Introduction**

**1.1** Safety Management of all cadet activities is of paramount importance. The AAFC Safety Management System (SMS) is designed to meet the WH&S legislation requirements and closely follows the Defence Safety Manual (DSM) and the RAAF risk management philosophy.

**1.2** Clearly the aim of all safety management systems is to promote a safe environment which is well considered and proactive in seeking out hazards, assessing risk and applying effective mitigations and defences. The AAFC is committed to a safe work environment which is conducive to learning but allows the cadet to experience as wide a range of experiences as possible.

**1.3** Aviation is one of the experiences that is very important to an organisation that is founded within the Royal Australian Air Force and the defence force in general. This plan supplements the SMS by expanding on the components that are particularly important in the aviation environment and identifies areas of risk, mitigations and systems to support a safe aviation environment.

**1.4** The Aviation Safety Management Plan (ASMP) consists of 9 Sections which detail the procedures and processes that support aviation safety management.

### **Aim**

**1.5** The aim of this plan is to detail the processes of safety management which are specific to aviation or require greater detail than shown in the SMS.

### **Objectives of and Considerations for Aviation Safety Management in the AAFC**

**1.6** The objective of safety management in the AAFC is to shape and guide our safety culture therefore bringing about a change in our attitudes toward the planning and conduct of aviation activities. The Objectives of the AAFC ASMP are as listed:

- a. Establishing and maintaining a generative safety culture through:
  - (1) Commanders taking responsibility for the safety culture within their command.
  - (2) Education on what constitutes a generative (and just) culture.
  - (3) Ensuring all members can raise safety issues without fear or favour.
  - (4) Ensuring just treatment of human error and violation.
  - (5) Encouraging all personnel to actively search for improvements to aviation safety.
  - (6) Acknowledging safety-enhancing behaviour.

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### AAFC Aviation Safety Management Plan

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- b. Establishing and maintaining effective communications and reporting mechanisms to:
  - (1) Enable the communication of safety issues and management's response to all personnel.
  - (2) Enable all hazards and other safety issues to be raised by all personnel.
  - (3) Enable outcomes from safety investigations to be communicated to all personnel.
- c. Preventing accidents and incidents by:
  - (1) Establishing an effective hazard identification and reporting system, and reducing the risk from those hazards to as low as reasonably practicable.
  - (2) Reporting all accidents and incidents to the relevant authorities through the chain of command.
  - (3) Investigating all accidents and incidents to identify human, systemic and organisational failures.
  - (4) Preventing the recurrence of incidents and accidents by managing the failures identified in investigations.
  - (5) Ensuring effective emergency response plans are in place and regularly exercised.
- d. Continue to improve the effectiveness of the AAFC ASMP through:
  - (1) Ensuring regular aviation safety committee meetings at unit, wing and command levels to consider aviation safety issues.
  - (2) Establishing a system of periodic aviation safety reviews to examine and make recommendations to improve the effectiveness of the AAFC ASMP.
  - (3) Ensuring all personnel are consulted, educated and trained to work safely.

#### 1.7 These are YOUR key considerations:

- a. Safety is always your primary consideration in planning and conducting aviation activities in the AAFC
- b. Know that AAFC command have a genuine commitment to safety and supporting the operational staff in this objective
- c. All AAFC members, civilian or defence staff and service providers staff have a genuine commitment to safety and the SMS
- d. You always make the safest decision possible in all circumstances
- e. Your activities are planned using the safety processes and guidelines contained in this manual and wing AvSOP
- f. Your activities are actually conducted under the safest conditions and using the safest procedures possible

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- g. Your second priority for aviation activity is ensuring that cadets get a positive and educational outcome from any aviation experience or training
- h. Financial considerations come after safety and educational experience
- i. Your good safety management creates a good safety culture which in turn changes attitudes toward the safety of our activities
- j. Know that you and your commanders must exercise a just culture when dealing with mistakes and violations
- k. Know that you will be treated fairly and justly but that deliberate violations will be dealt with in a serious manner

### Responsibilities for safety management in aviation operations

**1.8** The following have responsibilities in relation to the safety of aviation activities as shown:

Member	Purpose
DGCADETS-AF	Responsible for AAFC aviation and direction to the AAFC about aviation safety
CDR-AAFC	Implement AAFC aviation safety
DAT/DDAS/DDPF/ DDGLD/DDAP	Guide AAFC aviation safety policy, process and compliance
Wing OC	Direct training activities (including aviation activities at local level)
SAO	Recommendation of activities based on the activity approval process Control of local procedures, and Conducting local safety meetings
FLTCDR ATF	Planning activities using the process contained herein
QFI, Pilots & trainees	Using the on-site safety management assessments Following the decision making priority

### Who is covered by the ASMP

**1.9** The ASMP applies to all AAFC aviation activities (gliding and powered and any other aviation activity type approved) and all AAFC members, civilians and auxiliary instructional staff.

**1.10** By the nature of AAFC aviation operations, this plan also needs to be compatible with and interact with other safety systems in use by our service providers and regulatory bodies such as GFA, APF and CASA. The following table shows the responsibility of each group under the AAFC ASMP;

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<b>Groups</b>	<b>Responsibility under the ASMP</b>
All AAFC members <i>(including civilian and auxiliary members of the AAFC)</i>	All members are responsible for carrying out the procedures in the ASMP. The plan is issued under the authority of DGCADETS-AF (as OAAR).
Service providers <i>(including civilian staff employed by service providers)</i>	For guidance in the method of AAFC risk mitigation and procedures. May also be used as a contractual document to show accepted methods of compliance with AAFC requirements and may be reviewed as part of that contractual requirements.  The AvSOP derived from ASMP risk mitigation may be used to demand a higher safety level as required by AAFC.  (eg – AAFC refuelling policy)
Third party organisations and regulatory bodies <i>(CASA, GFA, RAAF)</i>	Provided for information on AAFC operational methods and specific risk strategies. AAFC ASMP may set a higher safety standard than that required by the regulations, rules or procedures in place by these bodies.

### **Integration of ASMP with Service Providers**

**1.11** The AAFC does not conduct aviation operations as a holder of an AOC or as a GFA affiliated gliding club. These services are provided to the AAFC by contracted service providers. In addition to the service provider's obligations to civil aviation authorities and the glider federation the AAFC needs to gain a commitment from them to uphold the safety management principals of the AAFC.

**1.12** At this time civilian AOC holders are not required to have a SMS. The GFA does have a SMS, but the system is administered at national level and is not fully integrated within the affiliated clubs at local level. Therefore the AAFC wings are encouraged to provide their service providers with a copy of this system and to highlight the AAFC safety management principles and practices. Wing SAO should be in contact with all service providers on a regular basis in relation to ASMP matters.

### **Safety Decision Making**

**1.13** Whenever making decisions about AAFC Aviation activities it is important to consider that the safety of cadets, staff, and other persons is our main priority. The DGCADETS-AF and CDR AAFC want you to make decisions that always put safety above all other considerations. To assist in making safety decisions the AAFC has provided the following decision making tool:



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Safety	Is always our primary concern, once all safety concerns have been considered (RAMP in the planning stage and continuous on site assessments), then you can move on to consider the next item in priority order
Educational benefit	All flights conducted with cadets or staff must have a tangible educational outcome. In the terms of Cadet Aviation Experience (CAE) or Pilot Experience Flights (PEX) that outcome is based on the appropriate AAFC ground training syllabus. In the case of flying training the benefit must be in terms of the CASA or GFA training syllabuses.
Experience/comfort	Once the above have been satisfied, the comfort of the cadets must be considered. Even though a flight may be safe and have a definable learning outcome, there may still be a consideration toward the cadet becoming uncomfortable or sick due to unease or environmental conditions.
Schedule	Maintaining a schedule or program is a lower priority than the above, except where consideration is given to fatigue, weather or daylight considerations (safety related)
Expense	While still a consideration in our operations, the cost of such will only become a priority if all of the above have been considered and satisfied

### AAFC Safety Policy Statement

**1.14** The AAFC safety policy is endorsed by Chief of Air Force, Director General Cadets - Air Force and the Commander of the AAFC. It clearly shows that senior command is committed to maintaining and improving the safety of all AAFC activities, including aviation, and endorses the connection with our WH&S commitments. The policy commits the AAFC to maintaining our "Duty of Care" and introduces the "Just culture" and "Safety Statement" into our safety vocabulary. A copy of the AAFC safety policy is shown at the AAFC resource centre.

**1.15** Individual wing, squadron and flight commanders are encouraged to produce unit level safety policies which support or enhance the AAFC policy for local operations. Care should be taken not to detract from or confuse any of the core issues as shown in the AAFC policy.

### AAFC Aviation Safety Logo

**1.16** In order to promote aviation safety and serve as a constant reminder of our safety decision making policy, the AAFC has adopted the following safety logo:



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## SECTION 2

# RESPONSIBILITIES

Note: This section is limited to the roles in relation to the ASMP. For expansion on the roles of the various wings, units, flights or individuals you will need to refer to the AAFC Policy and Procedures Manual and the AAFC Manual of Aviation Operations

**Reference**

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 3 and Section 3 Chapter 3.*

**Aim**

**2.1** This section details the responsibilities in relation to the safety management of aviation activities within the AAFC. It must be clear to members that all of us have responsibilities under the ASMP. The most basic of these is to promote safe aviation activities and practices and to promote the ASMP to the highest level.

**Objective**

**2.2** The objectives of this section are to ensure that:

- a. AAFC Executives have an appropriate structure in place to support their ASMP;
- b. the ASMP incorporates documented duties, responsibilities and chains-of-command, and is staffed by appropriately trained personnel;
- c. the allocation of ASMP duties are adequately promulgated; and
- d. the safety organisation structure is embedded throughout the chain-of-command.

**The Role of HQAAFC and Wings**

**2.3** Safety management is a shared role within the whole AAFC structure. Each level of command has a part to play and is broadly defined in the table below:

<b>Section</b>	<b>Safety management role</b>
HQ AAFC	<ul style="list-style-type: none"><li>• Overall responsibility to DGCADETS-AF and CAF for safety management of cadets and staff</li></ul>
ATD	<ul style="list-style-type: none"><li>• Responsible to CDR AAFC and AAFCEC for aviation safety policy and standards</li><li>• Preparation and review of AAFC aviation safety documents and procedures</li><li>• Provides advice on AAFC matters for investigations, reviews and safety communications</li><li>• Providing training and specialist assistance on aviation safety matters</li><li>• Reviews policy and safety matters in specialist capacity</li><li>• Reviews activity approvals</li></ul>

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Section	Safety management role
WG	<ul style="list-style-type: none"> <li>• Responsible for overall safety of staff and cadets within the wing</li> <li>• Local standards and review of activities, relevance of local safety instructions and reviewing and reporting of local incidents and hazards</li> <li>• Maintaining an appropriate safety management structure within the Operational wing</li> <li>• Checking the application of suitable safety management practices for planning and conduct of local activities</li> </ul>
ATF	<ul style="list-style-type: none"> <li>• Conducting safe aviation operations and maintaining safe practices</li> <li>• Conducting operations in accordance with local AvSOP and following AAFC policy and procedures</li> <li>• Instilling safety management, judgement and decision making skills in trainee and line pilots during training and checking flying</li> <li>• Using the provided guidance and instruction in making decisions and judgement in accordance with AAFC policy</li> </ul>

**Specific Duties and Responsibilities under the ASMP for Aviation Activities**

**2.4** The following specific duties and responsibilities are listed for the relevant positions within the AAFC:

Title	Responsible to	Duties
CDR-AAFC	DGCADETS	<ul style="list-style-type: none"> <li>• Endorsing and promoting AAFC Safety policy and safety culture</li> <li>• Promoting and implementing the framework of AAFC operations and activities which support aviation safety</li> <li>• Promoting and implementing the general AAFC safety structure and processes</li> </ul>
DAT	CDR AAFC	<ul style="list-style-type: none"> <li>• Developing standardised aviation safety instructions and processes</li> <li>• Reporting to CDR on AAFC aviation safety, occurrences Incidents/accidents and investigations</li> <li>• Providing the framework for aviation safety, including manuals, resources, courses and personnel</li> <li>• Appointing suitable staff to review and investigate aviation safety within the AAFC and approved service providers</li> <li>• Communicating the objectives and directing the application of the ASMP across the AAFC</li> <li>• Regularly direct reviews of aviation safety at wings, flights, activities and service providers</li> </ul>

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OC WG	DCDR-AAFC	<ul style="list-style-type: none"> <li>• Ensuring ASMP responsibilities are assigned to appropriate and suitable wing personnel</li> <li>• Maintaining expected safety standards and culture within wing executive staff</li> <li>• Supporting the AAFC just safety culture when dealing with mistakes and violation issues</li> <li>• Provide feedback to DAT on aviation safety policy and procedures</li> </ul>
DDPF ATD DDGLD ATD DDAP ATD	DAT	<ul style="list-style-type: none"> <li>• Review relevant safety issues and report to DAT</li> <li>• Promote aviation safety in their relevant areas</li> <li>• Provide information to and from relevant civil regulatory authorities on safety issues and process changes</li> </ul>
DDAS ATD	DAT	<ul style="list-style-type: none"> <li>• Prepare and maintain the ASMP</li> <li>• Provide safety training in ASMP processes and general safety matters in aviation</li> <li>• Consult widely with all levels of personnel on aviation safety</li> <li>• Provide safety promotion material to the AAFC</li> <li>• Conduct safety reviews and investigations as directed by DAT</li> <li>• Liaise with DAT DD's, DDAAFS, SAO on safety matters</li> <li>• Review WASC minutes and procedures</li> <li>• Review Incident reports and advise DAT of any further action</li> <li>• Provide regular reports or newsletters on AAFC aviation safety matters and specific events</li> <li>• Maintain the aviation hazard register</li> <li>• Liaise with SSA, WSA and NSA on general safety matters</li> </ul>
SAO	WG OC	<ul style="list-style-type: none"> <li>• Promote aviation safety within the wing</li> <li>• Ensure procedures and processes in the ASMP are followed and that wing AvSOP is current and relevant to wing aviation activities</li> <li>• Ensure a just culture of dealing with mistakes and violations within the wing ATF is occurring</li> <li>• Arrange and conduct training of new staff or personnel in the ASMP and safety procedures</li> <li>• Review local ATF and service providers for safety in relation to AvSOP and contractual requirements</li> <li>• Reporting to WG OC and DAT any aviation safety matter, incidents, accidents and issues</li> </ul> <p><i>(Continued next page)</i></p>

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		<ul style="list-style-type: none"> <li>• Assist with periodic safety reviews and investigations within the wing, as directed by DAT</li> <li>• Implement local wing safety policy and procedures</li> <li>• Communicate safety issues with FLTCDR and DETCDR for aviation activities</li> <li>• Ensure regular WASC meetings are occurring; chair these meetings</li> <li>• Check safety management standards are complied with during activity planning</li> <li>• Ensure tactical safety management is applied by ATF staff where changes occur from the planning safety management stage</li> </ul>
<p style="text-align: center;">ATF FLTCDR (refer to note 1)</p>	<p style="text-align: center;">SAO</p>	<ul style="list-style-type: none"> <li>• Maintain the operational safety standards and compliance with procedures</li> <li>• Promote aviation safety and a just safety culture</li> <li>• Plan activities in accordance with safety management requirements</li> <li>• Report incidents and accidents as applicable, and ensure AVOCREP are completed and submitted</li> <li>• Arrange for regular safety meetings within the flight</li> <li>• Attend WASC meetings</li> <li>• Ensure appropriate personnel are assigned to aviation tasks</li> <li>• Liaise with service providers and monitor daily safety issues and trends</li> <li>• Ensure staff have sufficient knowledge and training in applying ASMP processes and AvSOP procedures</li> <li>• Constantly check decision making processes used by staff are relevant and correct</li> <li>• Review and amend AvSOP as required and report deficiencies to SAO</li> <li>• Communicate safety standards, procedures and priorities to non-ATF staff and wing members</li> <li>• Conduct internal review and investigation into incidents</li> </ul>

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<p style="text-align: center;">CFI (refer to note 2)</p>	<p style="text-align: center;">FLTCDR ATF</p>	<ul style="list-style-type: none"> <li>• Promote and teach aviation safety to trainees and aviation staff</li> <li>• Maintain operational safety standards</li> <li>• Make operational decisions about safety matters</li> <li>• Review and encourage good, or discourage poor operational decisions made by other pilots/QFI and trainees</li> <li>• Maintain an overview of the environment, conditions and practicability of the safety management plan to that particular activity</li> <li>• Practice the just safety culture</li> </ul> <p><i>(Continued next page)</i></p> <ul style="list-style-type: none"> <li>• Promote reporting of incidents and make reports as required</li> <li>• Provide training and advise to new staff and personnel on field safety matters</li> <li>• Set a good example on safety matters</li> <li>• Encourage pilots and QFI to attend WASC meetings</li> </ul>
<p style="text-align: center;">QFI Pilot (refer to note 2)</p>	<p style="text-align: center;">CFI</p>	<ul style="list-style-type: none"> <li>• Promote, practice and teach safety management</li> <li>• Maintain operational safety standards</li> <li>• Make operational decisions about safety matters</li> <li>• Review and encourage good, or discourage poor operational decisions made by trainees</li> <li>• Maintain an overview of the environment, conditions and practicability of the safety management plan to that particular activity</li> <li>• Practice the just safety culture</li> <li>• Report incidents and hazards</li> <li>• Impart knowledge about the just safety culture</li> <li>• Impart knowledge about safety decision making</li> <li>• Set and provide a good example with safety</li> <li>• Encourage trainees to participate in safety and if required to attend meetings</li> </ul>
<p style="text-align: center;">Trainee Pilots</p>	<p style="text-align: center;">CFI,QFI, FLTCDR ATF</p>	<ul style="list-style-type: none"> <li>• Recognise safety as an important part of aviation activity</li> <li>• Make safe decisions based on training from QFI and in accordance with AAFC safety decision making model</li> <li>• Follow the good examples set by QFI</li> <li>• Understand your requirements to report incidents and hazards</li> <li>• Understand your expected treatment under the just culture method of dealing with mistakes and violations</li> </ul>

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WASC	WG OC	<ul style="list-style-type: none"> <li>• Promote aviation safety and ASMP practices</li> <li>• Hold regular safety meetings</li> <li>• Review accidents or incidents as required</li> <li>• Recommend changes to AvSOP on identified deficiencies arising from changes to operations, locations, conditions or incidents</li> <li>• Provide feedback to incident reporters</li> <li>• Review the operational practice of the just safety culture and make recommendations to WG OC if required</li> <li>• Report hazards to DDAS via HAZREP form</li> <li>• Report incidents to DDAS via AVOCOREP</li> <li>• Report other safety matters to DDAS or DAT as required</li> <li>• Involve wing personnel such as WSA in meetings</li> <li>• Promote staff, members and trainees to attend meetings</li> </ul>
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*Notes to Table:*

1. *In the case of a detachment or course, the DETCDR has the same duties and responsibilities at the FLTCDR ATF.*
2. *The CFI, QFI or pilots may be an AAFC position or provided by a service provider. In this case the senior AAFC member is responsible.*

**2.5** While not held directly accountable to the ASMP, our contracted service providers have a shared responsibility with the AAFC for cadets under their care. That responsibility will normally be codified in the contract or agreement for services and would, at a minimum, be to the standard of the regulatory authority or licensing standard (CAR, CAO, AOC etc). The AAFC will provide each contractor with a copy of this ASMP and encourage them to use its processes, policies and procedures. Some conditions of the ASMP, particularly in relation to risk management, may be mandated by the Air Force and will form part of any contractual arrangement.



## **SECTION 3**

# **OPERATIONAL CULTURE**

### **Reference**

*The content of this chapter has used as its basis information from the Defence Aviation Safety Manual Section 2 Chapter 2 and Section 3 Chapter 2.*

### **Introduction**

**3.1** One of the purposes of the ASMP is to change, shape and guide our safety attitude and the attitudes of those around us. This combined effect is known as safety culture. The culture of the operation is an intangible, in that you can't be handed a culture, you have to develop it as part of your operating ethos. It is often said that aviation safety culture is not set by a policy hanging on a wall, but rather by the attitude displayed by the workers at "the coal face". The workers attitude is ultimately a reflection of the way management and senior staff, present themselves in terms of the Real (day to day) safety management and decision making

### **Aim**

**3.2** This chapter describes the desired safety culture for the AAFC and its associates, and lists its characteristics.

### **Objectives**

**3.3** The objectives of this section are to ensure that:

- a. safety behaviour is fully integrated into everything the organisation does, and
- b. the value system associated with safety and safe working is fully integrated as beliefs.

### **Defining the AAFC Organisational Culture**

**3.4** The type of organisational culture that the AAFC wants to present is a "Generative Safety Culture". This means that the first response to any question or situation is one based on a safety outcome regardless of the circumstances or scenario. In a generative safety culture, safety always comes first; personnel are never afraid to report instances of human error because they know the organisation's response will be to evaluate the reasons why human errors occur. This will then improve systemic defences to ensure that the organisation will learn from errors and ensure processes are improved to prevent a recurrence.

**3.5** What happens after safety is considered is dependent on the aims and expected outcome of the organisation. The AAFC has a clear policy of safety, education and (a good) experience.

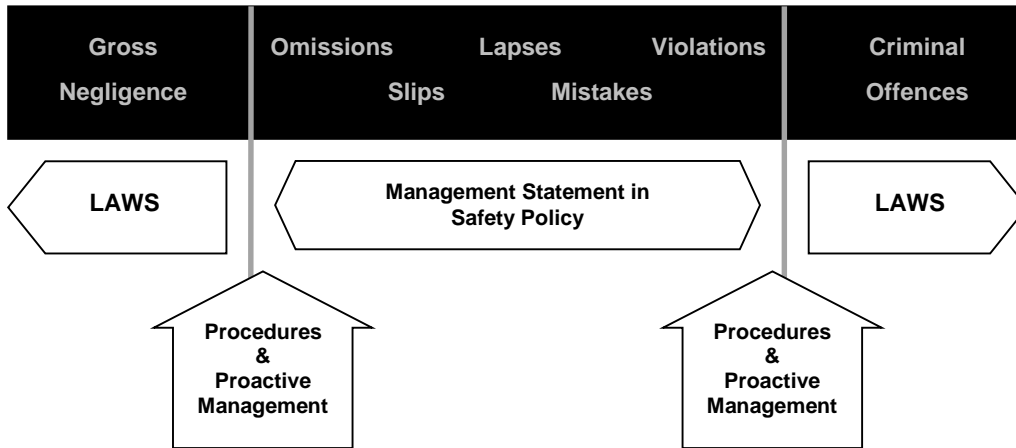
### **Defining the AAFC Operational Culture**

**3.6** While the organisational culture looks at the way we want things to happen normally, the operational culture looks at how the organisation handles abnormal conditions or incidents. The AAFC, in line with RAAF policy, is to use the just culture method when dealing with operational issues.

**3.7** A just culture accepts that the full range of human errors (mistakes, slips, lapses) will occur in aviation operations. While we aim for, and encourage keeping such errors to a minimum through policy, procedures and training, they will still occur. What is important is the way with which they are dealt. In the just culture we provide (positive) encouragement and training to people who make errors while still ensuring that each member understands that wilful violations of policy, procedure or regulations are not permitted and will result in some form of penalty.

**Concept of a Just Culture**

3.8 In its purest form a just culture is one that recognises reckless behaviour as unacceptable. A simple relationship between tolerated and reckless behaviour can be seen in figure 3.1



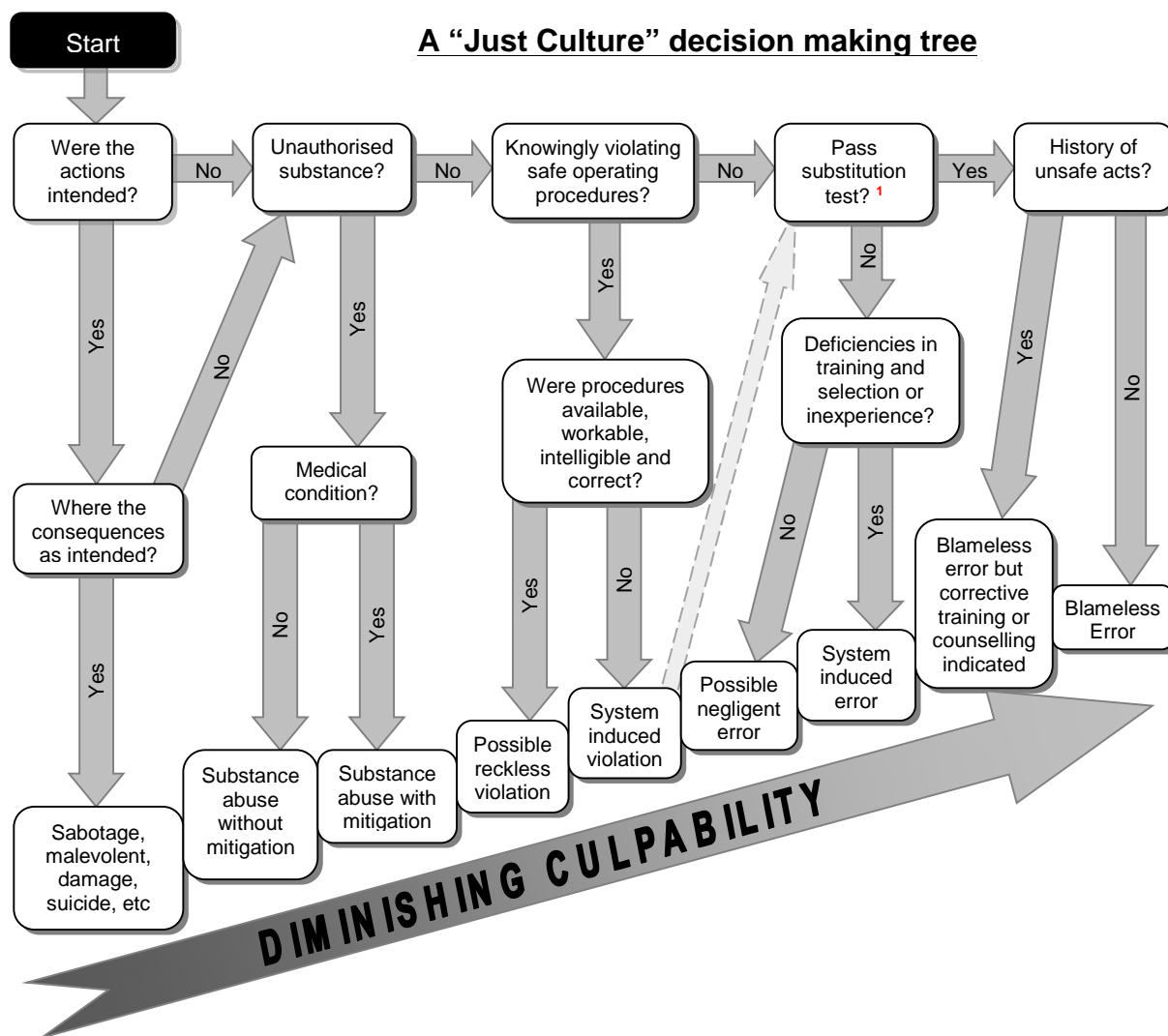
**Figure 3.1**  
The relationship between tolerable and reckless behaviour  
*(Source: Defining the borders of "Bad behaviours". P. Stastny  
Sixth GAIN World Conference, Rome 2002)*

3.9 A just culture acknowledges that human error is a normal consequence of human activity and there is a need to manage it by supporting systems and practices that promote learning from past errors. It encourages open reporting of near-miss occurrences and employee participation in safety issues and investigations.

3.10 A just culture is transparent and establishes clear accountability for actions. It is neither 'blame free' (awarding total immunity for actions) nor 'punitive' (enacting a disciplinary response regardless of whether acts were unintentional or deliberate).

**Applying the Just Culture**

3.11 Application of the just culture needs to be done consistently and fairly across all levels of command within the Op wings and national headquarter groups. To assist in achieving this, the just culture decision making guide or tree is presented below:



<sup>1</sup> Substitution Test - Ask the individual's peers "Given the circumstances present at the time of the event, could you be sure you would not have committed the same or similar unsafe act?"

**Figure 3.2**  
Just culture decision making tree  
*Adapted from Reason 2000*

**3.12** Not every scenario or circumstance can be anticipated in developing such models. The AAFC expects this method to be used as a guide while allowing supervisors, executives and senior instructors the latitude to make decisions on the appropriate local response. Commanders may seek guidance from HQ ATD on any operational matter and expect it to remain 'in-confidence', if applicable. Serious violations or deliberate actions, intended to cause harm or damage, are to be reported through HQ ATD via the AAFC occurrence report (AVOCCREP) (Refer to Section 4 of this plan)

**Personal commitment to the safety culture**

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**3.13** The just culture method is required to be used in dealing with issues that arise with individuals and organisations involved with AAFC aviation operations. Also individuals are to always consider the following safety culture points:

- a. Commitment to safety - Have a strong personal commitment to safety and to extend awareness and co-operation amongst work colleagues to aviation safety
- b. Flying Operational Discipline - Means following rules and procedures all the time, unless safety warrants otherwise. It is also about wanting to do the right thing all the time. Rules, regulations and procedures are promulgated based on experience and lessons learnt. Adherence to rules reduces the likelihood of an accident
- c. Vigilance - Remain vigilant throughout our aviation planning and operations. Be constantly on the lookout for dangers and deficiencies in operations and procedures. Through your vigilance our whole team benefits from improved safety
- d. Learn and practice – Human factors such as:
  - (1) Situational awareness
  - (2) Judgement, and
  - (3) Decision making.

Note: An article on applying and good practice of the Just culture in a military environment can be found in DDAAFS Safety Spotlight magazine 0209 on the ATD webpage

### Dispute Resolution

**3.14** Unfortunately from time to time the organisation comes across issues where rank or command may interfere with good safety management. In this case, and provided you are convinced your actions are correct, you are encouraged to speak up and follow the process described below.

### Dispute and Command Resolution Process

**3.15** The following process is to be used for settling disputes which may arise as to the conduct of AAFC flying operations.

- a. Step 1 – Request clarification or further explanation. If time is of the essence it may be necessary for the AAFC 'i-safe' card to be utilised to hasten the resolution
- b. Step 2 – Show concern for safety if the proposed activity continues
- c. Step 3 – Advise the pilot/senior staff that you are unhappy with the response and wish to withdraw from the activity
- d. Step 4 – Report the situation through the AAFC Aviation Occurrence Reporting system.

**3.16** Regardless of rank, the nominated AAFC Senior Flying Instructor or company appointed senior flying instructor (purely for flying matters), will have the final say in any dispute on the day of an activity. The WG SAO and if needs be the DAT are the only authority which may override such a decision.

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**3.17** The above, does not override the authority of the CFI of a contracted service provider and/or CASA/GFA.

**3.18** AAFC Commanding Officers or Detachment Commanders will always retain the right to withdraw cadets, under their charge from any activity which they deem inappropriate or to have unresolved safety issues.

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## **SECTION 4**

# **REPORTING AND RECORDING SYSTEM**

### **Reference**

*The content of this chapter has used as its basis information from the Defence Aviation Safety Manual Section 2 Chapter 8 and Section 3 Chapter 8.*

### **Aim**

**4.1** The aim of a reporting and recording system is to capture critical incident data to form trends for risk management, policy and education. Incidents may also be investigated for the purpose of determining causes or factors and making changes to policy, instructions and/or procedures. However, a reporting and recording system is only effective when it is a closed loop system where actions and recommendations are put in place and followed to resolution to control or remove hazards and prevent a recurrence. Recorded information will be held by the ATD in an electronic format only with all incidents reported on paper to be scanned and destroyed

### **Objectives**

**4.2** The objectives of this section are as follows:

- a. Report aviation safety occurrences using promulgated reporting systems
- b. Provide an open, honest and just reporting system
- c. Proactively manage hazards and ensure a closed-loop system of review via the Wing Aviation Safety Committee (WASC) and the HQ AAFC Safety Review Board (SRB), tracked via ATD recording system.

### **What is Reported (See Figure 4-1 for guidance)**

**4.3** All Accidents, Serious Incidents and Incidents have mandatory reporting requirements and are to be reported. Events do not have mandatory reporting requirements but are strongly recommended to be reported for statistic gathering purposes as part of a generative safety culture. See the definitions in the glossary at the front of this Manual for each classification. Accidents and serious incidents (meeting the criteria listed for an Immediately Reportable Matter) are to be reported immediately by telephone to ATSB, COMCARE, DDAAFS, CDR AAFC and DGCADETS-AF, with written reports submitted within the time limits specified by each organisation.

**4.4** For any Aviation Occurrence the reports specified in the guidance in Figure 4-1 are to be used.

**4.5** In order to capture as much data as possible, the ATD requests that all occurrences no matter how small, be reported into the system using the AAFC AVOCREP form.

**4.6** For Hazards, the HAZREP form should be used for reporting any hazard that is not included in the list provided in annex B. An example of the HAZREP form is also in the annex C. The list is not exhaustive and it is important for a generative safety culture that everyone is continually looking for hazards and continually managing any risk that those hazards create. Managing the risk is done using the AAFC RAMP, which should be reviewed before any aviation activity to ensure those standing Hazards are current and the controls are still effective as well as ensuring any new hazards have controls in place.

### **Who Can Report?**

**4.7** Occurrence reporting is open to any person who wishes to make a report. Staff, cadets, service providers or interested third parties such as parents or bystanders may make an occurrence report by completing the AAFC AVOCREP form available from the AAFC download centre or as shown at annex A.

*Note: ATF FLTCDR, SAO and WG OC are to encourage reporting and ensure that it is conducted in accordance with the AAFC just culture policy.*

**4.8** All occurrence reports and attached information received by the ATD will be treated as In-Confidence, as per defence policy and standards. De-identified data and excerpts from incident forms may be used by the ATD for educational or information purposes.

**4.9** Contact information on occurrence forms may be used by ATD staff to make contact with the reporter for the purpose of verification or follow-up enquiries, or to provide feedback on their report.

**4.10** Once received and verified by the ATD all reports will be de-identified and only data relevant to the occurrence will be entered into the viewable data base. All completed forms will be scanned and stored in an electronic information system for later reference if required. Once scanned all paper copy reports will be destroyed.

**4.11** Anonymous reports cannot be used and will be destroyed.

**4.12** If a member believes that they need to make a report directly to higher authority they may do so. The reporter may send the report directly to the DAT or CDR-AAFC if it is considered necessary.

### **Reporting and Storage System**

**4.13** The AAFC currently uses a printable electronic form known as the Aviation Occurrence Report Form or AAFC AVOCREP. The AVOCREP is available for download from the AAFC resource centre or from your ATF in hard copy. A copy of the AVOCREP is shown at Annex A.

**4.14** The AVOCREP can be used as a stand-alone report submitted directly to the ATD, or as a cover for other reports such as ATSB Accident report or AC563 Defence OH&S form. In this case ensure that you have met your statutory and OPSMAN requirements before completing.

**4.15** De-identified data from the hard copy forms will be entered into the ATD file storage system. The objective of the data storage system is to categorise and make use of data from the incident reports received. This data will be used to:

- a. Identify emerging safety issues and trends
- b. Identify needs for direct education and information to the relevant parties
- c. Provide statistics to RAAF and AAFC for hazard identification and safety management purposes
- d. Formulate relevant aviation activity policy or instructions
- e. Indicate requirements for direct investigations or reviews of aviation activity

**4.16** DDAS ATD will be responsible to DAT for the maintenance and security of occurrence, incident and accident data held by the ATD. DDAS will also be responsible for making recommendations to DAT based on the information from the items identified in Para 4.15 (above).



AAFC Aviation Safety Reporting Structure

4.17 A diagram of the AAFC aviation safety reporting structure is shown in Figure 4.1.

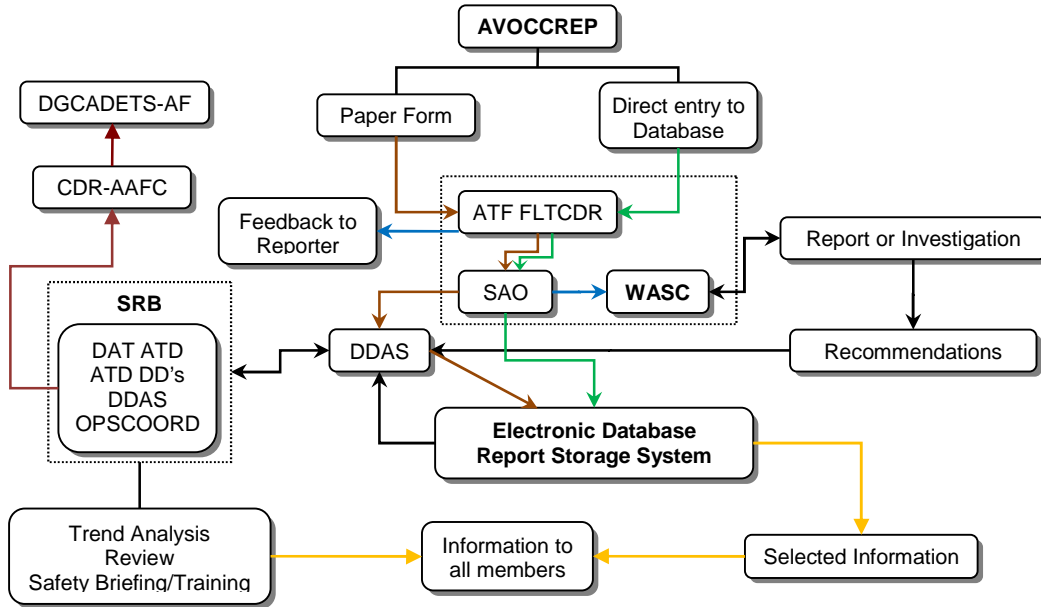


Figure 4.1  
AAFC Aviation Occurrence Report Flow Chart

Summary of Reporting Requirements

4.18 Figure 4 -2 gives a visual description of post occurrence reporting requirements:

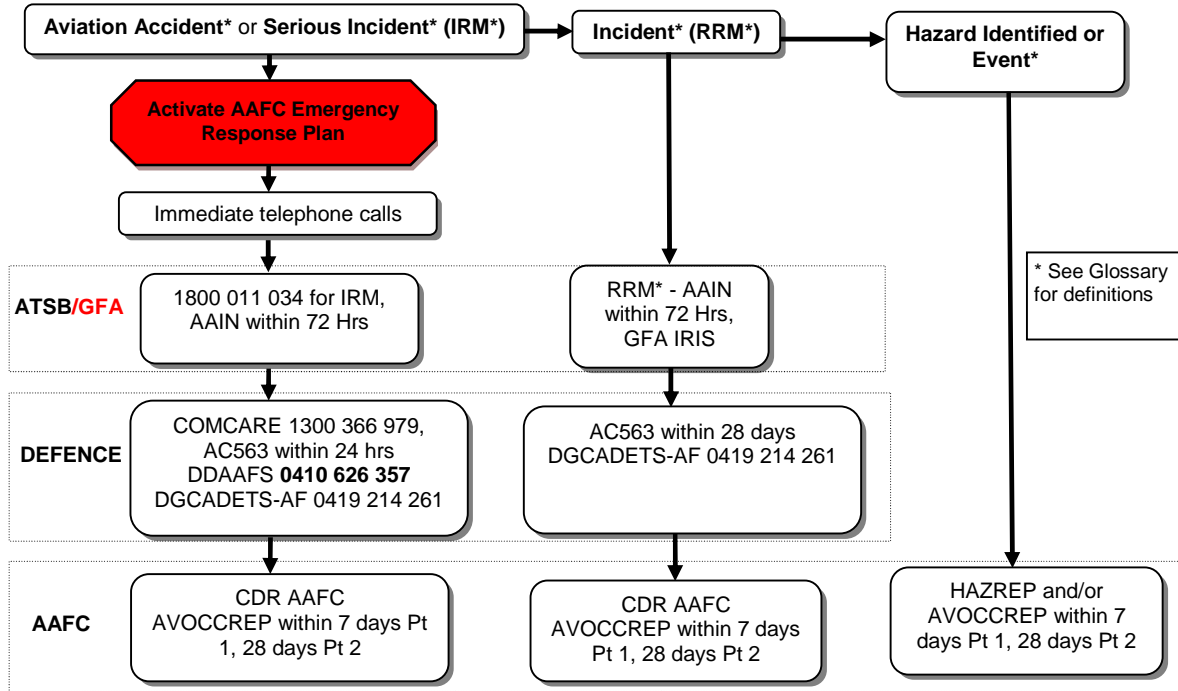


Figure 4.2 Occurrence Reporting Summary

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**ANNEX A TO**  
Section 4

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EMAIL COMPLETED REPORTS TO:

[ddas.atd@afc.org.au](mailto:ddas.atd@afc.org.au)

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AAFC Aviation Safety Management Plan

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AUSTRALIAN AIR FORCE CADETS  
Aviation Training Directorate



**AAFC AVIATION OCCURRENCE REPORT FORM  
(AAFC AVOCREP)**

The objective of this form is to report Aviation Occurrences that may happen during an AAFC activity.

**DO NOT** use this form to report:

- Aviation accident or serious incident - report to ATSB using the ATSB Aviation Accident or Incident Notification form, CASA REPCON, if required and COMCARE using AC563 Defence WH&S incident report
- Ground safety incidents (unless directly related to aviation operations)
- Aviation HAZARDS (use the HAZREP form)

Once this page is completed, pass to ATF Flight Commander or Wing SAO to complete

**PART 1**

**Section A: Details of Reporter**

Rank/Title:	Surname:	Other Names:		
Phone contact:	Posted or Detachment position:	Wing or SQN:		
Email contact:	Contact Address:	Postcode:		
Your Duties:	<input type="checkbox"/> Instructor <input type="checkbox"/> Cadet <input type="checkbox"/> Other	<input type="checkbox"/> Pilot/Instructor <input type="checkbox"/> Trainee <input type="checkbox"/> Other ( <i>Detail</i> ).	<input type="checkbox"/> Ground Handler <input type="checkbox"/> Refueller	<input type="checkbox"/> Passenger <input type="checkbox"/> Observer

**Section B: OCCURRENCE Details**

**Date:** (this form completed)

Date and time of Incident	Location: also provide description e.g. Tarmac, runway #, 10nm SW of .. etc		
Did the occurrence involve any of the following:	<input type="checkbox"/> Aircrew/Ground crew (Specific personal issues) <input type="checkbox"/> Ground operations	<input type="checkbox"/> Refuelling <input type="checkbox"/> Mechanical <input type="checkbox"/> Environmental	<input type="checkbox"/> Aerodrome procedures <input type="checkbox"/> Flight Operations <input type="checkbox"/> Other .....
Have any of the following reports been submitted: If so please attach a copy	<input type="checkbox"/> ATSB Aviation Accident or Incident Notification <input type="checkbox"/> GFA Incident report (IRIS) <input type="checkbox"/> Wing Safety Incident Report (if applicable)	<input type="checkbox"/> AC563 Defence WHS incident report <input type="checkbox"/> Other .....	
Description of Occurrence: <i>Please clearly describe or attach other report</i>			
Expand as required			
Were any of the following conditions relevant to the Occurrence:  If yes, provide written comments	<input type="checkbox"/> Weather Conditions <input type="checkbox"/> Time of Day (lighting conditions) <input type="checkbox"/> Wildlife <input type="checkbox"/> Equipment <input type="checkbox"/> Aircraft/equipment maintenance <input type="checkbox"/> Component failure <input type="checkbox"/> Human performance issue (such as stress or fatigue) <input type="checkbox"/> Human error issue (such as mistake or violation) <input type="checkbox"/> Procedural issue (poor procedure)		Comments:

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<b>Section C: ATF Flight Commanders Comments</b>			<b>Date:</b> (this part completed)		
Rank/Title:	Surname:		Other Names:		
Phone contact:				Wing or SQN:	
Email contact:		Contact Address:		Post code:	
Was this occurrence subject to an already known or identified HAZARD?: Yes / No / Unknown (if No or Unknown attach HAZREP form)					
Was the activity risk assessment (RAMP) suitable to identify or cover this issue: Yes / No					
<b>Loss or damage to AAFC:</b> Did this occurrence involve any LOSS to the AAFC (mark boxes as required and comment below)					
<b>Personnel safety</b> <i>Death serious injury or injury</i>	<b>Capability loss</b> <i>Loss of equipment</i>	<b>Task/activity disrupted</b> <i>Stopped postponed cancelled</i>	<b>Corporate risk</b> <i>RAAF/Govt. intervention</i>	<b>Public image damaged</b> <i>Local national international</i>	<b>Corps Morale</b> <i>Damage or loss</i>
FLTCDR Comments: (please include immediate actions to control identified hazards from this incident)					

<b>Section D: Wing Senior Aviation Officer</b>			<b>Date:</b> (this part completed)		
Rank/Title:	Surname:		Other Names:		
Phone contact:				Wing:	
Email contact:		Contact Address:		Post code:	
Are the ATF or Wing AvSOP sufficient to cover this issue: Yes / No (if No, rewrite AvSOP, see comments below)					
Is further training, procedure or equipment needed to prevent further reoccurrence: Yes / No (Comments below)					
SAO Comments:					

Send this report to ATD and CB-AF (DCDTOPS-AF) as soon as part 1 is completed **within 7 days of occurrence**

Wing OC in consultation with the SAO may request an investigation into this occurrence. If so complete part 2 of the form

**Confidential – Safety Report**

**PART 2**

(Occurrence Investigation, if required)

**Section E: Investigation Authorising Authority** **Date:**

I hereby appoint the AAFC member/person shown below to conduct the investigation into the occurrence described in Part 1 of this AVOCREP.			
Rank/Title:	Surname:	Other Names:	
Phone contact:	Position:	Wing :	
Email contact:			

**Section F: Investigation Officers Details and Analysis of Occurrence**

Rank/Title:	Surname:	Other Names:	
Phone contact:	Posted or Detachment position:	Wing or SQN:	
Email contact:			

List only the identifiable and verifiable facts in the order of occurrence. Refer to the Reason model and investigators checklist shown at annex A to Chapter 8, to look at all components of the occurrence.

Event No	Details/Date and Time	Comments

Expand or add lines as required

**Section G: Investigation Officers Findings**

The following findings are made in relation to the Occurrence described in Part 1 of this report and based on the analysis in Section F

Finding No	Finding	Finding details/comments

Expand or add lines as required

**Section H: Contributing Factors**

List the contributing factors to this occurrence from the HFACS system shown in the ASMP Annex A to Chapter 8. Include the primary classification/secondary classifications and a short descriptor.

Primary Classification eg UNSAFE ACTS OR CONDITIONS	Secondary Classifications eg ERRORS/ PERCEPTUAL ERROR	Descriptor eg Misjudged flare height

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**Section I: Actions**

The Investigating Officer considers that the following actions MUST be taken, by the assigned member and in the time limit shown, in order to improve the safety of procedures, defences and actions of individuals. This action is in the interest of safety and conveys no liability or blame to any person or organisation. Once the assigned person has completed the action, they must report back to the Investigating Officer that the action has been completed and/or provide comments to that affect.  
*This section is completed after OC approval and before sending to ATD.*

Action No	Person/title nominated to complete	Date to be finalised
Full description of ACTION required		
OC Authorization to make changes	I approve the above action to be carried out	OC Name Date
Name of Person making changes/comments	Date Completed	
Details of changes made/comments/reasons for not changing		

Action No	Person/title nominated to complete	Date to be finalised
Full description of ACTION required		
OC Authorization to make changes	I approve the above action to be carried out	OC Name Date
Name of Person making changes/comments	Date Completed	
Details of changes made/comments/reasons for not changing		

Expand or add to blocks as required

**Section J: Recommendations**

The Investigating Officer considers that the following recommendation would enhance the safety of operations and requests the recipient to consider implementing the suggested changes. This action is in the interest of safety and conveys no liability or blame to any person or organisation. Comments on the changes may be returned to the Investigating Officer  
*Recommendations sent to outside organisations or wings (do not use this form, use official letterhead or Minute)*

Recommendation No	Made to Person or Organisation	Date made
Description of recommendation		
Reason for recommendation		

Recommendation No	Made to Person or Organisation	Date made
Description of recommendation		
Reason for recommendation		

Expand or add to blocks as required

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**Section K: Unit Review**

<b>Investigation Authorising Authority Comments</b> Review of investigation report		
<b>OC Comments</b> General comments		
<b>OC Approval</b>  I, the Officer Commanding ..... Wing of the AAFC approve the content of this occurrence and investigation report and have authorised the Actions and Recommendations contained herein to be carried out/sent to the relevant parties.	<b>OC Name</b>	<b>Date</b>

Send to ATD once this part is completed

<b>ATD Action:</b>	<b>Report Received: (Date)</b>	<b>Reply sent to originator: Yes / No, Date:-</b> <b>Comments</b>
--------------------	--------------------------------	--

**Section L: ATD Comment**

**Date: (this part completed)**

<b>DDAS Comments:</b>  ..... ..... ..... .....
Does this report require further action: Yes / No
<b>DAT Comments:</b>  ..... ..... ..... .....
Does this report need to be sent to higher authority: Yes / No If yes, identify who

**Section M: Safety Review Board**

<b>SRB Comments</b> Review of Occurrence and investigation report
<b>SRB Recommendations</b>

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AAFC Aviation Safety Management Plan

**ANNEX B TO**  
Section 4

### **HAZARD REGISTER** (HAZID register)

#### **Aviation Specific Hazards**

1. The following pages list the aviation specific hazards which have been identified by the Hazard Identification workgroup (HAZID). The list includes hazards which may occur during any currently approved type of AAFC aviation activity.
2. The hazards are listed under generic headings groups (ground operations, refuelling etc) where the particular type of hazard may occur. Similar hazards may be listed in more than one group. The hazards are usually identified by a single word or short statement which is specifically done to keep the hazard context as broad as possible, e.g. Ground Operations – Ladders, where ladders may be used during servicing, maintenance, pre-flight inspection. While the ladder is the hazard, the actual issue or secondary hazard, is that you may slip and fall.
3. The right hand columns are shaded to identify that the hazard is specific to an activity type, e.g. gliding, powered or aerodrome (ground operations only).
4. This list is not exhaustive and may be added to from time to time.
5. Hazards not identified in this list should be reported to HQ ATD as soon as is possible using the AAFC Aviation Hazard Report Form (AAFC HAZREP) as shown at Annex C to Section 4.
6. Wing AvSOPs should take into account those hazards that have been identified as being present at their operations to control those hazards by administrative means as a minimum. A review of either AvSOPs or the Hazard Register should be accompanied by a review of the other to ensure that currency and relevance for both documents are maintained.
7. The Hazard Register should be used as a prompt during RAMP preparation to ensure that any aviation activity is covered by a RAMP that is comprehensive yet contextual and inclusive.

Email: [ddas.atd@aafc.org.au](mailto:ddas.atd@aafc.org.au)

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**AVIATION SPECIFIC HAZARDS**

PRIMARY HAZARD TYPE			Secondary Hazard	Operation type		
No	Primary category	Sub Category		Powered	Gliding	Aerodrome
	Aircrew/ground crew	Fatigue				
	Specific personal issues	Stress				
		Heat/cold stress				
		Dress/clothing/footwear				
		Sustenance (food and water intake)				
		Dehydration				
		Violations				
		Errors				
		Decision making				
		Judgement				
		Physically able to participate				
		Mentally able to participate				
		Physical/mental illness				
		GROUND OPERATIONS	Ground handling/marshalling			
	Hearing protection					
	Personal visibility					
	Identify Blind spots					
	Obstacles/obstructions					
	Surface type (gravel, grass, bitumen)					
	Surface texture (soft, wet, rough)					
	Vehicle/aircraft speed					
	Tarmac access – trained personnel					
	Tarmac access – untrained personnel					
	Towing/ground manoeuvring aircraft		Wing walking			
	Trip while walking wing					
	Tying down of aircraft					
	Securing aircraft					
	Collision – Vehicle					
	Collision – Building/structure					
	Starting engines – Propellers					

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AAFC Aviation Safety Management Plan

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PRIMARY HAZARD TYPE			Secondary Hazard	Operation type		
No	Primary category	Sub Category		Powered	Gliding	Aerodrome
		Starting engines – prop/Jet blast				
		Loose/blowing objects				
		FOD				
		Trip/slip/fall hazard	Ladders, wing walking,			
		Manual handling				
		Crush injury				
		Wheeled trolley or stand fitted with brakes				
		Runway/taxiway/airbase maintenance	Personnel on runway			
	Refuelling Operations	Equipment – Fixed commercial				
		Equipment – Mobile				
		Equipment – Drum (hand pump)				
		Earthing leads				
		Ladders/steps	Slips or falls			
		MSDS (chemical) hazards				
		Fire				
		Fuel Spill limited amount <10t				
		Fuel Spill large amount >10t				
		Extinguisher type/location				
		Personnel duties				
		Control of persons nearby/safety distances				
		Correct grade/type of fuel/oil				
		Ingestion/overcome by fumes				
		Manual handling (drums/equip in general)				
		Fuel contamination				
	Mechanical	Maintenance standards				
		Permissible unserviceabilities				
		Safety inspections before flight				
		Damaged aircraft				
		Light conditions for maintenance				
		Conduct of maintenance outdoors				

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AAFC Aviation Safety Management Plan

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PRIMARY HAZARD TYPE			Secondary Hazard	Operation type		
No	Primary category	Sub Category		Powered	Gliding	Aerodrome
	Environmental	Animal hazard				
		Weather				
		Terrain				
	Aerodrome procedures	Non compliance				
		Aircraft Separation				
		People/equipment on side of runway				
		Communication				
		Winch operations				
		No radio operations				
		Gliders inside flight strip				
		Surface suitable				
		Unauthorised entry to flight strip				
	FLIGHT OPERATIONS	Mechanical/airframe failure				
		Equipment/instrument failure				
		Rope/cable/hook failure				
		Communication				
		Inter communication				
		Hearing protection				
		Collision - Aircraft				
		Collision – Terrain (ground, water, trees)				
		Collision – Obstacles (tower, mast etc)				
		Adverse weather (TS, Fronts, squalls)				
		Safety briefings				
		Loss of directional control (take off/landing)				
		Loss of control				
		Trip while running wing				
		Rope/cable snag while launching				
		Aircraft loading				
		Personnel on runway - launch/retrieve glider				
		Personnel on runway – Trained/known personnel				
		Personnel on runway – untrained/unknown				
		Violation of procedures				

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PRIMARY HAZARD TYPE			Secondary Hazard	Operation type		
No	Primary category	Sub Category		Powered	Gliding	Aerodrome
		Cabin safety				
		Dangerous goods				
		Planning/briefing of flight				
		Airframe security (door, window, canopy open in flight)				
		Blocked/obstructed runway				
		Hard landing				
		Rights of way (powered/glider)				
		Conditions suitable for solo flight				
		Unsafe acts				
		Aerobatics				
		Formation flying				
		Night flying				
		Parachutes (aircrew emergency use)				
		Air sickness				
		Seat belts and cargo restraint				
		Company SAR (flight following)				

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**ANNEX C TO**  
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[ddas.atd@aafc.org.au](mailto:ddas.atd@aafc.org.au)



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Aviation Training Directorate



## AAFC AVIATION HAZARD REPORT FORM (AAFC HAZREP)

*The objective of this form is to report Aviation HAZARDS into the AAFC Safety Management System (SMS) and be recorded in the Hazard Register (HAZID Register).*

*DO NOT use this form to report:*

- Aviation Accidents or incidents (for immediately reportable matters use the ATSB, Aviation Accident or Incident Notification form and AC563 Defence WH&S incident report).
- Ground safety incidents (unless directly related to aviation operations)

**Section A: Details of Reporter**

Rank/Title:		Surname:		Other Names:	
Phone contact:		Posted or detachment position:		Wing or SQN:	
Email contact:		Contact Address:		Postcode:	
Your Duties:	<input type="checkbox"/> Instructor <input type="checkbox"/> Cadet <input type="checkbox"/> Other	<input type="checkbox"/> Pilot/Instructor <input type="checkbox"/> Ground Handler <input type="checkbox"/> Observer	<input type="checkbox"/> Trainee <input type="checkbox"/> Passenger <input type="checkbox"/> Other (Detail).	<input type="checkbox"/> Refueller	

**Section B: HAZARD Details**

**Date:**

Nature of the HAZARD: Please clearly describe the Hazard	

**Section C: Reporters Comments/suggested corrective action**

Attach more sheets if required					
<b>Hazard: Primary category</b> <i>which of the following categories does the HAZARD fit into</i>		<input type="checkbox"/> Aircrew/Ground crew (Specific personal issues)	<input type="checkbox"/> Environmental		
<input type="checkbox"/> Ground operations		<input type="checkbox"/> Refuelling	<input type="checkbox"/> Aerodrome procedures		
<input type="checkbox"/> Mechanical			<input type="checkbox"/> Flight Operations		
			<input type="checkbox"/> Unknown		
<b>Location Issues:</b>		<b>Operation Type issues:</b>		<b>Personnel issues:</b>	
<input type="checkbox"/> Is this hazard specific to one location, if so identify _____		This hazard is specific to the following AAFC aviation activity: <input type="checkbox"/> Powered flying <input type="checkbox"/> Glider flying <input type="checkbox"/> Both		Is this hazard present at all times, or does it require Human interaction to occur: <input type="checkbox"/> Present at all times Present when Human interaction occurs: <input type="checkbox"/> Under normal conditions <input type="checkbox"/> Under adverse conditions <input type="checkbox"/> Subject to human error <input type="checkbox"/> Subject to violations	
<input type="checkbox"/> Hazard can occur at any location		Other: _____		Other: _____	
<b>Loss or damage to AAFC: If this hazard did eventuate into a risk, what would be the potential LOSS to the AAFC (mark boxes as reqd.)</b>					
<input type="checkbox"/> <b>Personnel safety</b> <i>Death or serious injury/injury</i>	<input type="checkbox"/> <b>Capability loss</b> <i>Loss of equipment</i>	<input type="checkbox"/> <b>Task/activity disrupted</b> <i>Stoped postponed cancelled</i>	<input type="checkbox"/> <b>Corporate risk</b> <i>RAAF/Govt. intervention</i>	<input type="checkbox"/> <b>Public image damaged</b> <i>Local/National/International</i>	<input type="checkbox"/> <b>Corps Morale</b> <i>Damage or loss</i>

<b>HQ ATD Action:</b>	Report Received: (Date)	DDAS assessed: Sent for specialist comments Yes / No, Who
	Included in HAZARD Register: (Date)	Reply sent to originator: Yes / No, Date:



## **SECTION 5**

# **SAFETY MEETINGS AND COMMUNICATION**

### **Reference**

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 4 and Section 3 Chapter 4.*

### **Aim**

**5.1** Safety meetings are an important method of managing the ongoing hazard assessment and risk mitigation within the AAFC. The aim of the safety meeting is to raise and discuss safety matters and occurrences, so as to both find solutions and inform members of their occurrence

### **Objectives**

**5.2** The Objectives of this section are to:

- a. provide means to control identified hazards and the risks they produce within AAFC aviation activities
- b. outline safety committees and their functions at the different command levels in the AAFC
- c. describe methods to communicate safety outcomes and other information throughout the AAFC aviation community and the whole organisation if necessary

### **Purpose**

**5.3** The purpose of aviation safety committees are to:

- a. inform the chain of command of aviation safety issues;
- b. coordinate action to eliminate, or mitigate aviation safety hazards and solve aviation safety problems;
- c. promote interest and cooperation in aviation safety occurrence prevention and safety promotion among key personnel;
- d. provide a forum for dissemination of the safety policies and objectives of the commander; and
- e. bring together various viewpoints for discussion.

### **ATF Safety Meetings**

**5.4** Each ATF should hold safety meetings on a regular basis, dependant on the type and nature of activities. At a minimum a meeting should be held every six months. At each safety meeting the following items should be discussed:

- a. Review of incident reports that have occurred since the last meeting;
- b. Review any hazards that have been reported;
- c. Discuss the current risk methodology in relation to accuracy and relevance to activities;

- d. Conduct regular training; and
- e. Provide feedback to members and reporters of hazards or incidents.

**5.5** Special meetings may be held to address urgent issues or to assist with any investigation or review of ATF procedures. The wing OC, through his SAO or FLTCDR ATF may call special safety meetings as required. In some cases the CDR AAFC may direct wing SAO to conduct a special safety meeting to conduct training or discuss issues with the wing staff. Outcomes from safety meetings should be recorded and copies sent to ATD (info DDAS) for review at the Safety Review Board and to the Wing SAO for the Wing Aviation Safety Committee.

#### **Safety Review Board (SRB)**

**5.6** The SRB will be made up of executive of the ATD and will include the DAT, Deputy Directors and members posted on strength to the ATD and any specialist members appointed by CDR AAFC. The SRB will be convened at each executive working group (EWG) meeting held at least quarterly, and at other times as required by the CDR AAFC. At least once a year, at the ATD national conference, the SRB will hold an open safety meeting with the wing SAO group present. SRB performance and outcomes will be reviewed by the AAFC Executive Council annually.

**5.7** The SRB will be nominally chaired by CDR-AAFC, but in his absence the DAT will be the chair. SRB meetings will:

- a. Review safety policy and objectives;
- b. Define safety performance indicators and set safety performance targets for the organisation;
- c. Review safety performance and outcomes;
- d. Provide strategic directions to wing aviation safety committees;
- e. Direct and monitor the initial Safety Management Plan implementation process; and
- f. Review reports from the WASCs, providing feedback on outcomes, allocating resources as required and elevating issues to CB-AF if required.

**5.8** From the meeting, the SRB will make changes or recommendations for higher command consideration where necessary.

**5.9** Minutes of SRB meetings will be held by the OPSCOORD ATD and kept on the ATD electronic filing system. Outcomes of meetings should be passed to the AAFC SSA and CB-AF NSA, the latter to allow inclusion in the AAFC report to the Air Force Safety Committee, and where necessary published on the ATD webpage. A copy of the proposed meeting format is shown at Annex A.

#### **Wing Aviation Safety Committee (WASC)**

**5.10** The role of the WASC is to provide a method of safety management, communication and promotion at wing level. The WASC will convene at least twice a year (or as directed by the wing OC) as programmed by the wing SAO and is to:

- a. review operational safety within the functional area,
- b. review incidents at units to confirm adequacy and closure of actions and recommendations (Closed loop)
- c. manage the wing's specific hazard identification activities,

- d. implement risk controls to the identified hazards, allocating resources or elevating the issue to higher command for resourcing,
- e. assess the impact of operational changes on safety and activating hazard analysis process as appropriate,
- f. maintain and review relevant performance indicators, and
- g. manage safety training and promotion activities within the area.

**5.11** Meetings should be open to all ATF members within a wing. The WSA will have a standing invitation to attend and the SAO should invite a representative from the Op wing HQ to attend a safety meeting. Minutes are to be taken and a copy of these kept for reference with a second copy sent to HQ ATD.

*Note: Issues of a sensitive nature should not be discussed in this forum, but dealt with through the normal chain of command.*

**5.12** In most cases the wing SAO will chair any safety meetings, but dependant on size, wings may opt to have a safety panel who report to the SAO through the open meetings on safety issues.

**5.13** All decisions or recommendations made at the wing safety meetings are to be recorded and if necessary reported to HQ ATD. Any changes to AvSOP, new hazards identified or occurrences that are recorded must also be reported.

**5.14** A format for wing safety meetings is attached at Annex B.

**5.15** The wing SAO will present a report on WASC findings and issues to the ATD and the gathered SAO group at the yearly ATD national conference. The report must include details on any accidents or incidents that occurred in that wing during the past year, the identified hazards and risk mitigation put in place. The objective of this is to ensure that each wing SAO has the benefit of learning from other incidents that occur.

### **Safety Communication**

**5.16** Safety communication and consultation is a vital part of maintaining the ASMP. Communication should be in the form of formal and informal methods however anonymous reports should not be accepted unless supported by other evidence. Both formal and informal communications are important in their own right as they are used to convey different levels of urgency or importance. The following paragraphs contain information on the types of formal and informal communication used within the AAFC.

**5.17** Formal communications on safety matters will be in the form of:

- a. Policy direction contained in the AAP 5110.001 AAFC Policy Manual;
- b. Instructions and process are conveyed in AAFC 400.001 (MAO) and AAFC 400.002 (ASMP);
- c. Aviation Safety Instructions (ASI) and process are notified by HQ RI or in the form of official correspondence (not email);
- d. Document Change Notices (DCN) to convey immediate policy/instruction changes that will be included in the next relevant manual amendment, one policy changes have been approved by AAFCEC (Similar to NOTAM's);
- e. HAZREP and AVOCREP forms, for reporting into the ASMP by members;

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- f. SRB and WASC meetings minutes;
- g. Review and investigation reports;
- h. Feedback to members of reported matters;
- i. SMS and ASMP Training;
- j. Aviation Safety Surveys; and
- k. AAFC Safety Alerts (when applicable) issued by SSA or NSA.

**5.18** Informal communication may take many forms, from emails between staff to the production of safety magazines. The following list is only a sample of the informal safety communication that may be used as part of the ASMP or as part of a larger safety campaign:

- a. Email on routine safety matters;
- b. Informal ATF and ATD meetings;
- c. Posters;
- d. Pamphlets;
- e. Safety magazines, such as DDAAFS Spotlight etc; and
- f. Periodical AAFC safety information sheets.



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**SAFETY REVIEW BOARD MEETING  
MINUTES**

Meeting Number	X/10	Location	xxxxxx-EWG
Date and Time			

ATD Members present	CDR (or delegate) (Chair) DAT OPSCOORD DDPF DDGLD DDSP DDAS	Guests/other members present	Nil
---------------------	---	------------------------------	-----

Date/time	Item	Member	Action
	Open Meeting	Chair	The first SRB meeting
	Member introduction/apologies	Chair	Nil
	SRB meetings will cover the following agenda items: Review safety policy and objectives Review safety performance indicators and safety performance targets for the organisation review safety performance and outcomes review strategic directions to wing aviation safety committees Oversee the Safety Management Plan implementation process.	Chair	
	Review Previous meeting minutes	Chair	
xxxx	Discuss Issue # 1	DDAS	
	Review and question current safety management practices within the operational area	Members	
	List any corrective actions and discuss issues within the operational area		
	Assess the impact of operational changes on safety and activating hazard analysis process as appropriate		
	Review performance indicators		
	Review and recommend safety training and promotion activities within the area		
	Discuss any new reports or incidents	Reporter	
	Provide feedback from ATD and any new training issues	Chair	
	Ask for any issues from the members present	Open	
	Next meeting	Chair	
xxxx	Close meeting	Chair	

Notes:

Copy of minutes to be placed on the ATW Filing system.

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## FORMAT FOR WING AVIATION SAFETY COMMITTEE MEETINGS

**Members:**

Wing OC, SAO, WSA, ATF FLTCDR/s, SFI/s, QFIs, pilots, trainees, cadets and Service providers CFI or representative

Wing SAO, as delegated by the wing OC is the chair of the WASC

**Meeting agenda and Minutes:**

Date/time	Item	Member	Action
xxxx	Open Meeting	Chair	
	Member introduction	Chair	Record apologies
	Describe protocols	Chair	
	Review Previous meeting minutes	Chair	
	Discuss open items	Members	
	Provide feedback from ATD and any new training issues	Chair	
	Review and question current safety management practices within the operational area	Members	
	Review existing hazards and their risk controls, and report newly identified hazards and in-place/potential risk controls		
	List any corrective actions and discuss issues within the operational area		
	Assessing the impact of operational changes on safety and activating hazard analysis process as appropriate		
	Review performance indicators (ie Closed loop to ensure nothing is missed)		
	Review and recommend safety training and promotion activities within the area		
	Discuss any new reports or incidents	Reporter	
	Ask for any issues from the members present		
	Submit new Hazard reports	Reporter	
	Close meeting	Chair	

**Notes:**

Send copy of minutes to ATD at [ddas.atd@aafc.org.au](mailto:ddas.atd@aafc.org.au)

Changes to AvSOP must be sent to the relevant Staff Officer (DDGLD or DDPF) for review  
Aviation occurrences must be reported to ATD and DCDTOPS-AF on the AVOCREP Form  
Identified Hazards must be reported to ATD on the HAZID Report Form

Forms should be marked Staff-in-Confidence, once completed

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## **SECTION 6**

# **EMERGENCY RESPONSE**

### **Reference**

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 10 and Section 3 Chapter 10.*

### **Aim**

**6.1** Proactive planning for emergencies enables units and personnel to respond immediately and effectively to aviation emergencies. Reviewing and exercising plans on a regular basis will ensure their currency and adequacy. The processes described in this chapter are designed to assist in the preparation of detailed ATF and wing Emergency Response Plans.

**6.2** The ERP should deal with informing higher command and to meet WHS requirements. In the case of aviation related accident there will also be reporting requirements to the service provider and regulatory authorities such as ATSB or GFA. The ATD also need to be informed of any aviation related accidents or incidents.

### **Objectives**

**6.3** The objectives of this section are to:

- a. Outline the reporting requirements for accidents and incidents during aviation activities
- b. Describe the elements of an effective emergency response plan using the resources available to the AAFC
- c. List actions to assist investigations by nominated accident investigation agencies.

### **Purpose**

**6.4** The purpose of an effective Emergency Response is to:

- a. save and protect lives through a timely, effective and coordinated response and recovery,
- b. manage the risk of further injury to personnel and damage to property,
- c. record and preserve data/information and identify witnesses and participants for investigation purposes,
- d. notify higher command, and
- e. recover and restore operations.

### **When an Emergency Response Should be Activated**

**6.5** Considering the range of events that can occur during an aviation activity, it is not possible to prepare a fully comprehensive list of events that would require an emergency response. Instead, in conjunction with the paragraph below, the AAFC relies on the experience and knowledge that exists in our own aviation staff and that of our service providers to determine the seriousness of any incident.

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**6.6** In consideration of the above paragraph, the following events must be considered as serious enough to initiate a wing ERP:

- a. An accident or serious incident as defined by the ATSB and/or DDAAFS (see glossary);
- b. An immediately reportable matter as defined by the ATSB (see glossary);
- c. An incident or routinely reportable matter as defined by the ATSB and/or DDAAFS (see glossary);
- d. Loss (missing or damaged) of an aircraft or aviation system or asset;
- e. Injury (moderate or serious) or death of an AAFC member during an aviation activity and related to the operation of the aircraft or ground handling;
- f. Death or serious injury to any other person related to an AAFC aviation activity;
- g. Any event that may affect the mental wellbeing of any AAFC member present; or
- h. Any other incident that in the opinion of the senior staff present requires such a response.

**6.7** The value of having clear and detailed emergency response plans for aviation activities should not be discounted. The stress and emotional anguish after a serious accident can be very distressing and distracting. Having a set procedure to follow ensures that the correct actions are taken and assists with the later investigation.

**6.8** Each ATF is responsible for preparing their own emergency response plans (ERP) which will form part of their AvSOP. The SAO for each wing will be responsible for ensuring the ERP is suitable and relevant for each proposed operation as part of the activity endorsement and approval process. The plan should be regularly exercised (for example at the start of a flying camp) to ensure its accuracy and the understanding of the roles of the supervisors. A suggested format for an ERP is shown at Annex A.

**6.9** HQ ATD AvSOP will also include an emergency response plan for use by ATD following an accident or critical incident occurring at an Op wing or during any nationally run activities.

### **Emergency Response Plans**

**6.10** The aviation emergency response plan should consist of three phases:

- a. Phase 1 – Initial Response, this phase consist of:
  - (1) Rendering First Aid and preventing further damage (if possible, whilst being aware of accident site hazards) and contacting emergency services such as SAR, police, fire or ambulance
  - (2) Ceasing operations and commence recording all actions and decisions
  - (3) Contacting and advising service provider executive (CFI etc) (if required)
  - (4) Contacting and advising ATSB, DDAAFS, COMCARE, wing executive and CB-AF as dictated by the classification of the occurrence
  - (5) To assist with the investigation, ensuring that the accident site is not disturbed (if possible) and all documents relating to the aircraft, occupants and operations are quarantined.

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- b. Phase 2 – Administration and Liaison
  - (1) Forming critical incident team and recording all events and actions, continuing information to service provider and wing executive
  - (2) Liaison with emergency services and assisting with information
  - (3) Contacting and advising ATD executive
  - (4) Preparing appropriate paperwork/web access forms such as:
  - (5) ATSB Aviation Accident or Incident Notification form or GFA Safety Occurrence Report (through service provider)
  - (6) Service provider forms and emergency management forms or systems
  - (7) Defence form AC563 (and DIO form ADO88 if required).
- c. Phase 3 – Return to normal operations
  - (1) Record and complete critical incident paperwork/forms/records
  - (2) Complete AVOCOREP forms (as required)
  - (3) Continue to keep Operations Wing executive informed
  - (4) Make a decision about returning to normal operations, cancelling or suspending this and other activities of this type (if accident or serious incident, authority is required from DGCADETS-AF as Operational Airworthiness Authority Representative (OAR)).

#### **Return to normal operations**

**6.11** The return to normal operations (or not) decision is a very important step in the emergency response plan. Wing OC, through SAO should set clear guidelines on returning to normal operations in their ERP as part of their AvSOP. The decision to return to normal operations after an accident or serious incident **MUST** include consultation with the DGCADETS-AF in his role as the OAR. This decision must be based on a thought out process that considers multiple issues and conditions, such as:

- a. Continued safety of the operation, including full confidence in the airworthiness of aircraft and support systems
- b. Whether the educational and experience benefits have been lost
- c. Full or suitable capability restored
- d. The mental and physical wellbeing of members to continue ops
- e. Cultural, environmental and respect issues
- f. Clearly define who has the authority to order a return to normal operations

### **Post Activity Actions**

**6.12** After any accident or serious incident the SAO is to collect all the relevant logs and reports from AAFC and those legally available from emergency services personnel (if not already impounded by ATSB). This information will form the basis of any investigation which may take place. The SAO will make preliminary investigations and report to the wing at a special WASC which will need to be conducted within two weeks of the occurrence.

**6.13** CDR AAFC and DAT in consultation with the wing OC will make any decision about AAFC members assisting with any formal accident investigations (refer Section 8)

**6.14** As most AAFC flying activities occur at aerodromes remote from trained emergency crews, it is recommended that ATF members make themselves familiar with the procedures in the "ATSB Civil and Military Aircraft Procedures for Police Officers and Emergency Services Personnel" which is available from the ATSB web site and hard copies will be provided by ATD where they are available.

### **Review and Testing of Emergency Response Plans**

**6.15** The wing SAO is to review the contact details and procedures in wing emergency plans on a yearly basis or upon the turn over of key staff listed in the plan.

**6.16** The wing SAO, in conjunction with other wing safety staff, should conduct regular tests or reviews of the ERP and wing procedures in relation to aviation accidents or serious incidents. These tests may be desktop exercises designed to test the validity of the processes or practical exercises.

### **Dealing with the Media and Making Official Comments**

**6.17** AAFC policy states that comment is not to be made to the media or any other unauthorised party unless cleared by DD-PAC AAFC. It is however unwise to ignore or shun the media. It is advisable to make a polite "no comment" and provide details for someone who can make an official comment. Following an accident or serious injury, details may be given to emergency service personnel in the course of their normal duties.

**6.18** Under no circumstances are AAFC members to make contact with any next of kin in the case of a fatality or serious injury. That role is exclusively to be handled by the relevant emergency service. In this case AAFC members may provide contact information to the emergency service personnel, such as parental consent form (TR66).

**6.19** The wing ERP should list the contacts for the DD-PAC.

*Note: Emergency response is about dealing with accidents or incidents after the initial first aid and emergency has been dealt with. Only conduct these procedures when it is safe and reasonable to do so.*

**6.20** In the event of loss of life or serious injury media statements will be authorised through Air Force Headquarters Director Coordination – Air Force (DCOORD-AF) on (02) 6265 5482 or 0411 280 937.

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**ANNEX A TO**  
Section 6

### Suggested template for emergency response plans

#### \_\_\_\_\_ WING AAFC EMERGENCY PROCEDURES

**In the event of an aircraft accident or serious incident:**

This plan is to be implemented by the senior AAFC member present (DETCDR/FLTCDR/Other) immediately after the occurrence of an aviation related accident or serious incident. Also, refer to annex A of Section 8 for initial actions.

**PHASE 1 Actions** Plan and Phone numbers checked current as of \_\_\_\_\_

#	Action	Contact details	Comments
1	If the aerodrome is uncontrolled, (i.e. CTAF), advise Emergency Services	000	
2	If an aircraft is missing, advise Australian Search and Rescue (AUSAR)	1800 815 257	
3	All AAFC aircraft are to be recalled and flying suspended until approved by SAO, or in their absence, the Wing OC	As applicable	
4	The Detachment Commander (DETCDR) is to be advised		
5	Establish an AAFC incident command post in a suitable location. Contact details and location of Command post are to be provided to the appropriate Emergency Services and authorities.		
6	Service provider and CFI to be advised		
7	Wing Senior Aviation Officer to be advised by telephone		(if unable, see step 8)
8	Wing OC to be advised		(if unable, see step 10)

#### PHASE 2 Actions

#	Action	Contact details	Comments
9	Notify ATSB hotline on telephone, start ATSB report forms	1800 011 034	<a href="http://www.atsb.gov.au">www.atsb.gov.au</a>
10	Notify COMCARE by telephone. Form AC563 to be completed and sent via DETCDR/FLTCDR	1300 366 979	<a href="mailto:Notify@comcare.gov.au">Notify@comcare.gov.au</a>
11	Notify CDR AAFC, DGCADETS-AF	0408 277 851 0419 214 261	
12	Notify DDAAFS Duty officer (if relevant)	0410 626 357	
13	Notify DAT	0419 655 627	<a href="mailto:dat.atd@aafc.org.au">dat.atd@aafc.org.au</a>
14	Notify DDAS ATD (if relevant)	0434 220 568	<a href="mailto:ddas.atd@aafc.org.au">ddas.atd@aafc.org.au</a>
15	Ensure wing critical incident team activated	As applicable	

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### PHASE 3 Actions

#	Action	Contact details	Comments
16	Record all occurrences in log and continue to communicate with wing critical incident team and on site emergency services	As applicable	
17	ATSB form AAIN sent via CFI and service provider for comment (if Accident, for both powered and gliding); Advise GFA via web-site contacts	ATSB Fax (02) 6274 6434	<a href="http://www.atsb.gov.au">www.atsb.gov.au</a> <a href="http://www.glidingaustralia.org">www.glidingaustralia.org</a>
18	AVOCCREP to be completed and sent to DDAS via ATF FLTCDR and SAO, and DCDTOPS-AF	Via email	<a href="mailto:ddas.atd@aafc.org.au">ddas.atd@aafc.org.au</a> <a href="mailto:dcdtops.cbaf@aafc.org.au">dcdtops.cbaf@aafc.org.au</a>
19	Consider return to normal operations or other as appropriate in the circumstances. Advise CFI and AAFC executive of recommendation. Note: DGCADETS-AF (as OAAR) is the only authority for recommencement of aviation activity		
20	SAO to arrange a WASC meeting within 2 weeks of event and conduct relevant investigation	As applicable	
21	DAT in conjunction with Wing OC, determine AAFC involvement with any investigation	As applicable	

If the incident is less serious and does not require full emergency response, use the following:

#### Incident.

Immediately following an Incident

#	Action	Contact details	Comments
1	The crew involved shall debrief with the SFI prior to undertaking another sortie	As required	
2	Submit ATSB report forms to CFI, before submitting to ATSB. If gliding incident, GFA IRIS form from website	within 72 hours	<a href="http://www.atsb.gov.au">www.atsb.gov.au</a> <a href="http://www.glidingaustralia.org">www.glidingaustralia.org</a>
3	Submit AVOCCREP to FLTCDR for comments, then to SAO for comments and DDAS ATD, and DCDTOPS-AF	Via internal email	<a href="mailto:ddas.atd@aafc.org.au">ddas.atd@aafc.org.au</a> <a href="mailto:dcdtops.cbaf@aafc.org.au">dcdtops.cbaf@aafc.org.au</a>
4	Submit AC563 if injury occurs or meets criteria listed for submission		<a href="mailto:Notify@comcare.gov.au">Notify@comcare.gov.au</a>
5	Review at WASC meeting		
6	Response with feedback to reporter		

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### Incident resulting in damage to an aircraft.

In the event of an Incident resulting in damage to an aircraft, as soon as practicable:

#	Action	Contact details	Comments
1	Advise the DETCDR		
2	Advise the service provider		
3	Advise SAO and FLTCDR		SAO to advise OC and DGCADETS-AF
4	Advise ATSB if RRM, GFA using IRIS	Within 72 hours	<a href="http://www.atsb.gov.au">www.atsb.gov.au</a> <a href="http://www.glidingaustralia.org">www.glidingaustralia.org</a>
5	Review at WASC meeting		
6	Submit AVOCOREP to DDAS ATD and DCCTOPS-AF	Within 28 days	<a href="mailto:ddas.atd@aafc.org.au">ddas.atd@aafc.org.au</a> <a href="mailto:dcdtops.cbaf@aafc.org.au">dcdtops.cbaf@aafc.org.au</a>
7	Response with feedback to reporter		

### Incident or Occurrence

Immediately following an Incident or occurrence

#	Action	Contact details	Comments
1	The crew involved shall debrief with the appointed SFI prior to undertaking another sortie.		
2	Advise DETCDR, SAO and FLTCDR		SAO to advise DGCADETS-AF by e-mail; determine if OC needs to be advised
3	Submit AVOCOREP to DDAS ATD through SAO, and DCCTOPS-AF		<a href="mailto:ddas.atd@aafc.org.au">ddas.atd@aafc.org.au</a> <a href="mailto:dcdtops.cbaf@aafc.org.au">dcdtops.cbaf@aafc.org.au</a>
4	Response with feedback to reporter		

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## SECTION 7

# PERIODIC AVIATION SAFETY REVIEWS AND SURVEYS

### Reference

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 11 and Section 3 Chapter 11.*

### Aim

**7.1** The aim of aviation safety reviews is to ensure compliance with the ASMP and continuous improvement through a program of systematic review at all levels. They also ensure that service providers are meeting the minimum standards for regulatory compliance thereby providing assurance to the AAFC of acceptable safety standards.

**7.2** Safety surveys are a means to judge the safety climate within a unit or organisation. They determine the perceptions of individuals of the organisation's systems, policies, practices and procedures

### Objectives

**7.3** The objectives of this element are to outline processes that will:

- a. ensure conformity with standards and compliance with regulations,
- b. improve the safety culture and effectiveness of the ASMP through scheduled aviation safety surveys, and
- c. ensure compliance with standards, orders and instructions through scheduled reviews.

### Purpose

**7.4** An important part of the safety management process is checking to see that procedures are being followed and that best practice is being considered and/or followed in our ATFs. Periodic safety reviews check compliance with the MAO, Safety Management Plan, AvSOP and provide assurance for the AAFC Airworthiness system. Periodic safety reviews also give the ATD a chance to test safety and emergency procedures and conduct training.

**7.5** An aviation safety survey measures the performance of, and makes recommendations for improvement of aviation safety climate, aviation safety behaviours and the organisation's safety management plan.

### Periodic Aviation Safety Reviews

**7.6** Periodic safety reviews will be conducted by AAFC (ATD or DPE) staff or by external providers at the request of CDR AAFC through DAT. Reviews will be conducted on a scheduled basis, when requested or following accidents or serious incidents, using a risk based methodology. The following table is shown as guide to when periodic reviews may be conducted:

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Organisation	Period	Reason for review
ATD	As required	As requested by CDR-AAFC or at the change of DAT
ATF	Biannually	Periodic review
Service providers	Annually	In first year as a new service provider
Service providers	Biannually	Following first year
All	As required	As requested by CDR or following a serious incident or accident

### Wing and ATF Reviews

**7.7** Wing and ATF reviews examine the following areas:

- a. Compliance with wing AvSOP, ASMP and MAO requirements
- b. Standard of hazard and risk assessment
- c. Reports and safety committee meeting minutes
- d. Emergency response plans and contact details updated and utilised
- e. ATF members aware of their safety decision making requirements
- f. Safety process relevant to the operation and location of activities
- g. ASMP Training
- h. Service provider application, use and acceptance of the ASMP
- i. Content and suitability of Service Provider contracts, and
- j. Other safety issues as directed by DAT.

**7.8** The safety review is not a “Bad Experience” but rather a tool for ensuring that the AAFC has the best process and procedures for maintaining a safe operation. Reviewing staff will provide a detailed exit report with recommendations and ideas to improve safety management and processes at wing and operational level.

### Service Provider Reviews

**7.9** Part of the contractual arrangement with service providers will be the safety review of AAFC aviation activities conducted by them. Essentially the AAFC will be looking at the same areas as the ATF review, but limited to the constraints in the contract. The AAFC will be encouraging service providers to use AAFC procedures for operating with AAFC members where that is not already part of the contract.

**7.10** Provision has been made in service provider contracts for non-compliance or failure to provide the required standard of aviation experience. CB-AF will have the ability to suspend a service provider’s contract on advice from the AAFC through ATD. Wing SAO and ATF FLTCDR are to advise ATD if problems are occurring with service providers which require review.

### **ATD Safety Reviews**

**7.11** To ensure that the ATD is also performing safety management and policy to a level suitable for AAFC aviation operations, the ATD will also be subject to external or internal performance reviews. Such reviews may be conducted by CB-AF and AAFC staff, or by external safety consultants, or by DDAAFS. In addition, ATD progress and outcomes will be subject to an annual assessment by the AAFC Executive Council.

### **Review Forms**

**7.12** A copy of a standard safety review form is shown at Annex A. However this is not the only form that may be used in a review. Review forms will be held by ATD in electronic format as part of the SMP-AC. All review forms are considered Commercial – in – Confidence and will be kept securely within the ATD file system. Paper copies of forms will be destroyed once converted to electronic format. Any feedback and exit reports will be sent to the wing SAO via normal service writing in the form of reports or letters.

### **Aviation Safety Surveys**

**7.13** Aviation safety surveys are used to gauge the safety feeling within the workforce at various levels. The safety survey is a powerful tool for gaining insight and a snapshot of how your program is running as perceived by the staff. It is also a valuable tool for instigating change to unsatisfactory procedures or process as well as a guide to commanders on their own perceived performance in safety matters.

**7.14** Aviation safety surveys should be conducted at regular intervals of no longer than 24 months or following a substantial change in process or procedures. Surveys may be conducted at any level within the AAFC aviation hierarchy such as at ATF level between the QFIs to gauge the effectiveness of a component of safety within the training syllabus. In some cases surveys may be conducted outside the AAFC such as with service providers or defence.

**7.15** For more information on safety surveys contact DDAS ATD.

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**ANNEX A TO**  
Section 7

**Sample AAFC Aviation Safety Review Form**

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**AAFC PERIODIC AVIATION SAFETY REVIEW CHECKLIST**

Organisation name: Trading name		Date:
Location(s):  (List multiple locations if reqd.)	Type of Operation:	<input type="checkbox"/> Gliding <input type="checkbox"/> Adventure Flights <input type="checkbox"/> Charter <input type="checkbox"/> Flying training
<b>Type of activity conducted by provider</b>	<b>Operating certificate</b>	<b>Compliance Overview</b>
<input type="checkbox"/> Cadet Air Experience <input type="checkbox"/> Introductory Cadet Instructional <input type="checkbox"/> Flight <input type="checkbox"/> Flying training <input type="checkbox"/> Passenger carrying <input type="checkbox"/> Adventure flight	<input type="checkbox"/> AOC <input type="checkbox"/> Flying School Licence <input type="checkbox"/> GFA <input type="checkbox"/> Other	<input type="checkbox"/> Does the operator appear to comply with the relevant authorities rules and procedures  <input type="checkbox"/> Does the operator appear to comply with AAFC procedures and policy

Master Heading	Sub Heading	Question('s) attach pages as required	Y/N or N/A
Management	Commitment		
	Accountable		
	Planning		
Safety	ASMP		
	Policy		
	Culture		
	Training		
Infrastructure	Facilities		
	Personnel		
	Aircraft		
	Maintenance		
	Support		
	Systems		

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Master Heading	Sub Heading	Question('s) attach pages as required	Y/N or N/A
Processes	Ops manuals		
	AvSOP		
	Reporting		
	Recording		
Monitoring and Improvement	Internal audit		
	Reporting		
	Investigation		
	Remedial		
	Preventative		
	Corrective action		
Recommendations: (attach pages as required)			
Review report sent, Date:			

Person conducting review	Name: Title: Signature:	Date:
Organisation representative	Name: Title: Signature:	Date:

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## **SECTION 8**

# **INVESTIGATING AVIATION OCCURRENCES**

*Note: The AAFC does not intend to maintain any capacity to investigate accidents or serious incidents, however some level of investigation skill will be required to operate under this SMP.*

### **Reference**

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 9 and Section 3 Chapter 9.*

### **Aim**

**8.1** The aim of occurrence investigation is to find all of the factors involved and to make recommendations or instructions to defend against or remove any chance of a reoccurrence. The purpose of investigating such occurrences is to improve safety systems, defences and procedures. It is NOT to apportion blame or inflict any liability on members.

**8.2** One of the key differences between the AAFC and RAAF is that the AAFC may not wholly own the aircraft or systems used to undertake our training. This creates an area where the AAFC may not be able to take any action (about the occurrence) if it belongs solely to the service provider. It will be up to the wing OC, SAO (in consultation with ATD if necessary) and ATF staff to determine the best course of action in this case. The AAFC can of course make recommendations to a service provider and such recommendations may be enforceable under a contract or agreement. On the other hand a service provider may be under no obligation to act on these recommendations.

**8.3** The intent of this chapter is to define the limits of AAFC occurrence investigations and the preferred process for dealing with such by the AAFC and service providers.

**8.4** For accidents or serious incident (such as the ATSB IRM or RRM) all investigations will be conducted by ATSB, DDAAFS, CASA, GFA, COMCARE or bodies appointed by the local authorities. The AAFC may have support role to play but no formal investigation will be conducted without the approval of the CDR-AAFC

### **Objectives**

**8.5** The objectives of this element are to:

- a. describe a method of aviation safety occurrence investigation process and techniques for occurrence investigations
- b. provide a system for identifying contributing factors to incidents in order to put in place defences to reduce likelihood or prevent recurrence

### **Purpose**

**8.6** The purpose of this chapter is to describe the AAFC aviation safety occurrence investigation process and techniques for occurrence investigations. This is in order to enable investigations of incidents and events, and to provide support for higher level occurrences.

**8.7** The principles that underpin AAFC aviation safety occurrence investigations are as follows:

- a. The sole intent of a safety investigation is to establish the contributing factors that led to the occurrence, and to ascertain actions that can be taken to prevent recurrence.

- b. The investigation should be commenced as soon as practicable to ensure all perishable information is collected.
- c. The size and scope of the investigation, and the resources expended, should be commensurate with the classification and scale of the occurrence, and the anticipated safety outcomes.
- d. The investigation should follow a structured process to gather information, determine an occurrence sequence, determine what active failures occurred, analyse how and why the active failures occurred, and compile findings.
- e. Contributing factors should be categorised in accordance with the taxonomy of aviation safety occurrence organisational factors (see annex B to this chapter).
- f. Actions and recommendations should be formulated that will mitigate the hazards and prevent such factors leading to a recurrence.

### **Occurrence Investigation**

**8.8** Whenever an AVOCREP has been submitted an occurrence investigation will take place on the matters in the report (the exception to this being an event, which is recorded for statistical reasons). These investigations will vary in complexity, reporting, recommendations etc based on the nature of the event. Part 2 of the AVOCREP form contains sections for the Investigation Officer (IO) to make their findings, actions and recommendations.

### **Investigating Officers (IO)**

**8.9** The AAFC may task a member, or other suitable person to conduct minor investigations or enquiries into incidents that occur as part of AAFC aviation activities. For occurrences that happen at operational wing activities the Investigation Authorising Authority (IAA), normally the op wing OC, will appoint the IO. Where any question arises about the nature or suitability of a member to undertake such an investigation, the wing OC should contact ATD for advice.

**8.10** DGCADETS-AF will seek to have a nominee who is a qualified investigator participate in any accident investigation by ATSB/GFA involving the loss of an aircraft or loss of life of an AAFC member during an AAFC activity.

**8.11** The CDR AAFC, acting as the IAA for national activities or special investigations, may appoint ATD staff to assist or conduct independent investigations either during or following the submission of an AVOCREP.

**8.12** The following AAFC Aviation staff positions are considered suitable to be appointed as an IO dependant on the nature of the occurrence:

- a. DDAS ATD
- b. Any ATD Staff Officer
- c. Wing SAO (preferably completed ASO(I) Course)
- d. ATF FLTCDR
- e. ATF SFI (gliding or Powered)
- f. ATF Member
- g. Any AAFC Staff member (preferably with some skill or qualification relevant to the occurrence)



**8.13** The CDR AAFC, through DGCADETS-AF, may request assistance for an investigation from sources external to the AAFC such as from within CB-AF or DDAAFS.

### **Terms of Reference**

**8.14** Terms of Reference will be constructed for each individual investigation. However, the following ToR can be used as a basis for any investigation:

- a. Ascertain those factors or hazards which directly and/or indirectly led to the occurrence;
- b. Determine the occurrence sequence (where, through lack of factual information, the occurrence sequence and occurrence contributing factors cannot be conclusively determined, the IO should establish as far as practicable, the most probable sequence and associated factors and/or hazards);
- c. Make recommendations on action required to mitigate the identified hazard(s) and/or either prevent a recurrence, or reduce the probability of a recurrence to an acceptable level; and
- d. Make safety recommendations at any stage during the investigation to reduce identified hazards to aviation safety.

### **Just Culture in Investigations**

**8.15** Where AAFC members conduct investigations, they are to be open and in accordance with the AAFC just culture policy (described in Section 3). Members are to be treated fairly and openly. All reports should be countersigned by any members assisting with the investigation, sighted by the wing SAO and the wing OC.

### **Investigation Tools**

**8.16** Annex A to this section contains some basic investigation tools and guidance for the IO in making findings and framing actions and recommendations as a result of the AVOCREP process. They include an investigation process to be followed, reflected in the AVOCREP form process that follows, an Investigation quick reference checklist, a chart displaying the Human Factors Analysis and Classification System used for defining contributing factors and the Reason model which provides a pictorial representation of the investigation process. Training in the use of these tools is available from ATD or by attending an Air Force ASO(I) course. Further guidance is available in the DASM Section 3, Chapter 9 available upon request from DDAS ATD.

### **Investigation Timelines**

**8.17** The value in an investigation report is getting the facts, findings, actions and recommendations right so that valuable information and changes to procedures can be implemented to strengthen defences and prevent reoccurrence of similar events. However investigations also need to be completed in a timely manner so that the experience, information and changes can be shared with the ATD and other AAFC wings.

**8.18** Investigations are to be completed as soon as is practicable in the given circumstances and in relation to the seriousness of the occurrence or loss. The IAA will provide a (suggested) report completion date in part 2 of the AVOCREP. The IO should keep to this completion time but should not compromise the quality of the report. If further time is required the IO must contact the IAA and provide a summary of the reasons for the requested extension.

### **Findings, Recommendations and Actions Arising from Investigations**

**8.19** At the completion of an investigation the IO will make certain findings in relation to the occurrence. From these findings the IO, under the authority of the wing OC, may give direction to the wing to make changes in order to improve the safety of flying operations. Additionally the IO may make recommendations to organisations or service providers (external to the wing) for the same purpose.

**8.20** Findings are simple concise statements about all factors, such as unsafe acts, omissions or conditions which have influenced the occurrence. Findings should be made in a logical and if possible sequential order. Further information on findings can be found in the DASM Section 3, chapter 9.

**8.21** Actions are only made if the IAA (i.e. the OC) has the authority to make a change. For example the OC of X wing has authorised an investigation into a refuelling incident. The IO has found, among other things, that the wing AvSOP is deficient in relation to refuelling operations which allowed this occurrence to take place. The IO will make an action as part of the AVOCCREP (Part 2) to make changes to the AvSOP. This action will need to be completed before the AVOCCREP can be completed.

**8.22** Recommendations are similar to actions however they are being made to parties outside the authority or influence of the IAA, and therefore can not be demanded to occur. Recommendations are made on the AVOCCREP (Part2) and sent to the relevant parties once the report is approved by the wing OC.

**8.23** Once completed and authorised by the wing OC, part 2 of the AVOCCREP is sent to the ATD and reviewed as part of the SRB process, then forwarded to CB-AF where it can be entered into the DAHRTS system.

### **Assisting External Investigations**

**8.24** No AAFC member may be appointed to assist an external party with an investigation without prior approval from CDR AAFC. Any member appointed in this capacity will report to the person nominated by CDR AAFC, and is not to make any statements concerning AAFC policy or procedure without guidance having first being given to them.

### **Investigation Reports and Comments to the Media**

**8.25** Unless otherwise stated above, all incident and accident reports are to be submitted to HQ ATD as per Section 5. All reports will remain Staff – in – Confidence or Confidential in the case of investigations, and will only be made available for official purposes.

**8.26** Comments or reports to the media or external agencies may only be made through HQAAFC. Any request for information or comments from the media (or similar) are to be directed to DDPAC AAFC ([ddpac.csd@aafc.org.au](mailto:ddpac.csd@aafc.org.au)). As previously stated in Section 6, in the event of loss of life or serious injury media statements will be authorised through Air Force Headquarters Director Coordination – Air Force (DCOORD-AF) on (02) 6265 5482 or 0411 280 937.

### **Investigation Training**

**8.27** All SAO and ATD staff are eligible to attend the RAAF ASO (I) course which is designed to equip an Air Force or AAFC member to be able to investigate a simple aviation occurrence. This course may be available to other ATF staff in the future. Positions on the course will be advertised through DDAS (AAFC), sponsored by CB-AF. Nominations will be staffed through DDAS (AAFC) to DCDTOPS-AF for forwarding to DDAAFS.

## **INVESTIGATION TOOLS**

### **Investigation Process for the AAFC**

#### **1. Initial Actions (senior person on the scene)**

- a. make scene safe, isolate to preserve evidence;
- b. identify participants in incident/witnesses;
- c. gather written recollections of events from participants and witnesses;
- d. secure physical evidence;

#### **2. Investigation (by nominated member)**

- a. Instrument of Appointment including Terms of Reference from IAA
- b. gather evidence – physical and by interview of participants/witnesses, keep log of all items;
- c. determine initial facts;
- d. establish event sequence;
- e. determine what active failures (unsafe acts or conditions) occurred;
- f. draft an analysis, which summarises the occurrence sequence, relevant evidence, the unsafe acts or conditions that occurred, why they occurred, and any defences that worked to prevent the occurrence developing into a more serious incident or accident;
- g. determine all the contributing factors;
- h. compile the investigation findings, which are concise statements regarding all unsafe acts or conditions that occurred and factors that contributed to the unsafe acts or conditions including absent or failed defences;
- i. draft actions required to prevent a recurrence;
- j. frame recommendations for any long term affects; and
- k. complete the report and advise the commander or manager.

### **Stages of an Occurrence and Investigation**

#### **Stage 1 – AVOCREP Part 1 completed following the occurrence**

The AVOCREP is completed by the originator and sent to the ATF FLTCDR for review. The ATF FLTCDR makes his/her comments and passes the report on to the wing SAO. After making comments, the SAO sends the completed part 1 to the ATD and DCDTOPS-AF and advises the wing OC. This is the initial notification to the ATD and should occur within 7 days.

At this stage the wing OC or CDR AAFC may decide to conduct an occurrence investigation.

**Stage 2 – Investigation Authorising Authority (IAA) – (AVOCCREP Section E)**

The IAA is usually the wing OC. He/she appoints and authorises the Investigating Officer (IO) to look into occurrence. This would normally be done in consultation with the SAO. It is important for the IAA to set the bounds and guidelines for the investigation. It is also important to stress that this is a SAFETY investigation and is not to be used for any other purpose.

**Stage 3 – The IO gathers the details, conducts interviews if required and prepares the analysis of the facts (AVOCCREP Section F)**

Analysis of the occurrence involves gathering all of the relevant facts about the occurrence. The normal method of structuring the analysis is to use the REASON model. This model along with the DDAAFS contributing factors table and interviews of the relevant staff, pilots or witnesses forms the basis of the analysis. The AVOCCREP form does not contain space for taking notes, this is best done on separate documents and only the relevant factual analysis is transferred to the report. A checklist for gathering facts and suggestions for conducting interviews are available from DDAS ATD. When conducting interviews be sure to highlight the safety outcomes.

**Stage 4 – The IO reviews the analysis and makes his findings (AVOCCREP section G) and lists the contributing factors (AVOCCREP section H)**

List the relevant and factual information about the occurrence in sequential and logical order. Remember in the case of latent failures or issues you may be listing facts from many years previous. The analysis should consist of short sentences which only describe the actual component being listed. Don't overlap parts; try to keep each part and each individuals actions succinct and separate.

Findings are the IO interpretation of the facts and consolidated into a short sentence about why the occurrence happened. Remember that your guiding principal is improving safety. Using the same logic for the analysis, list your findings sequentially keeping each one separate. In most cases you will not have a finding against every fact in the analysis. Use a system of priority and concentrate your findings on the aspects which most need looking at and which you can affect.

Once the findings are complete the contributing factors should be able to be identified. Use the DDAAFS contributing factors guide to list the primary heading then the secondary heading with a short descriptor. The contributing factors should correspond with the numbering used in the analysis and findings.

**Stage 5 – The IO lists any internal (wing or flight) actions to be taken to prevent reoccurrence (AVOCCREP Section I)**

The IO is given a significant power here by being able to make demands for action or changes to the flights or wing sections under the authority of the AAI. Even though the wing OC (or other higher authority) will still approve the actions before being sent, the IO will have the power to make such demands. Each IO needs to be sure such demands will enhance the safety of procedures or operational processes before making them. The IO must also be prepared to adjust actions based on feedback and newly identified issues.

**Stage 5a – Actions (if any), are carried out by the relevant parties and details are returned to the IO (AVOCCREP Section I)**

The IO makes the action demands, sends them to the OC for approval, once approved they are sent to the person to make the changes. Once the changes have been made, or a case is put for not changing they are returned to the IO. The IO has the option of re-demanding the change if they believe it is necessary.

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### **Stage 6 – The IO lists any recommendations to external parties (AVOCCREP Section J)**

Recommendations are made to external parties such as other wings, or ATF flights of other wings, service providers, ATD etc. Recommendations do not carry the weight of a demanded action and may be rejected by the other party. All recommendations to other AAFC units or wings should be made through the ATD who do have the power to make them demands for action to subordinate units.

Recommendations should be written as such and will carry greater weight if phrased with terms like “safety improvement” and “enhance safety”.

### **Stage 7 – Unit review is conducted by the IAA with comments if required and approved by the OC (AVOCCREP Section K)**

This stage allows the IAA to review the work of the IO and discuss any actions, recommendations or processes used in the report before it goes external to the wing. Even though the IAA and the wing OC will normally be the same person the option has been given for both parties to make comments. Once the OC approves the report it is available for release to the parties whom the recommendations apply. The wing OC has the right to make changes to the report if they deem it necessary to do so.

### **Stage 8 – Completed report with actions sent to ATD for review (AVOCCREP Section L)**

At this stage the completed AVOCCREP (part 1 and 2) are sent to the ATD for review. The DDAS ATD in consultation with the relevant flying operations director will review all actions and recommendations made in part 2 of the AVOCCREP. The DAT may elevate the report to higher authority within the AAFC or cadet branch if it is deemed necessary.

### **Stage 9 – Safety Review Board (SRB) reviews the occurrence (AVOCCREP section M)**

All AVOCCREP received at ATD are subject to review at the quarterly ATD meetings under the SRB section. The SRB may direct further investigation, actions or recommendations; however the intention is only to confirm the work of the IO and wing staff.

The occurrence may be subject to further dissemination to the AAFC, RAAF or civilian parties in the interest of improving safety. The de-identified report may also be used as a safety promotion tool in the form of magazine article or story.

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### Investigation quick reference guide (checklist)

The following checklist is provided to assist the IO in looking at all aspects of the occurrence. It may be used in conjunction with the contributing factors guide also included in this Annex.

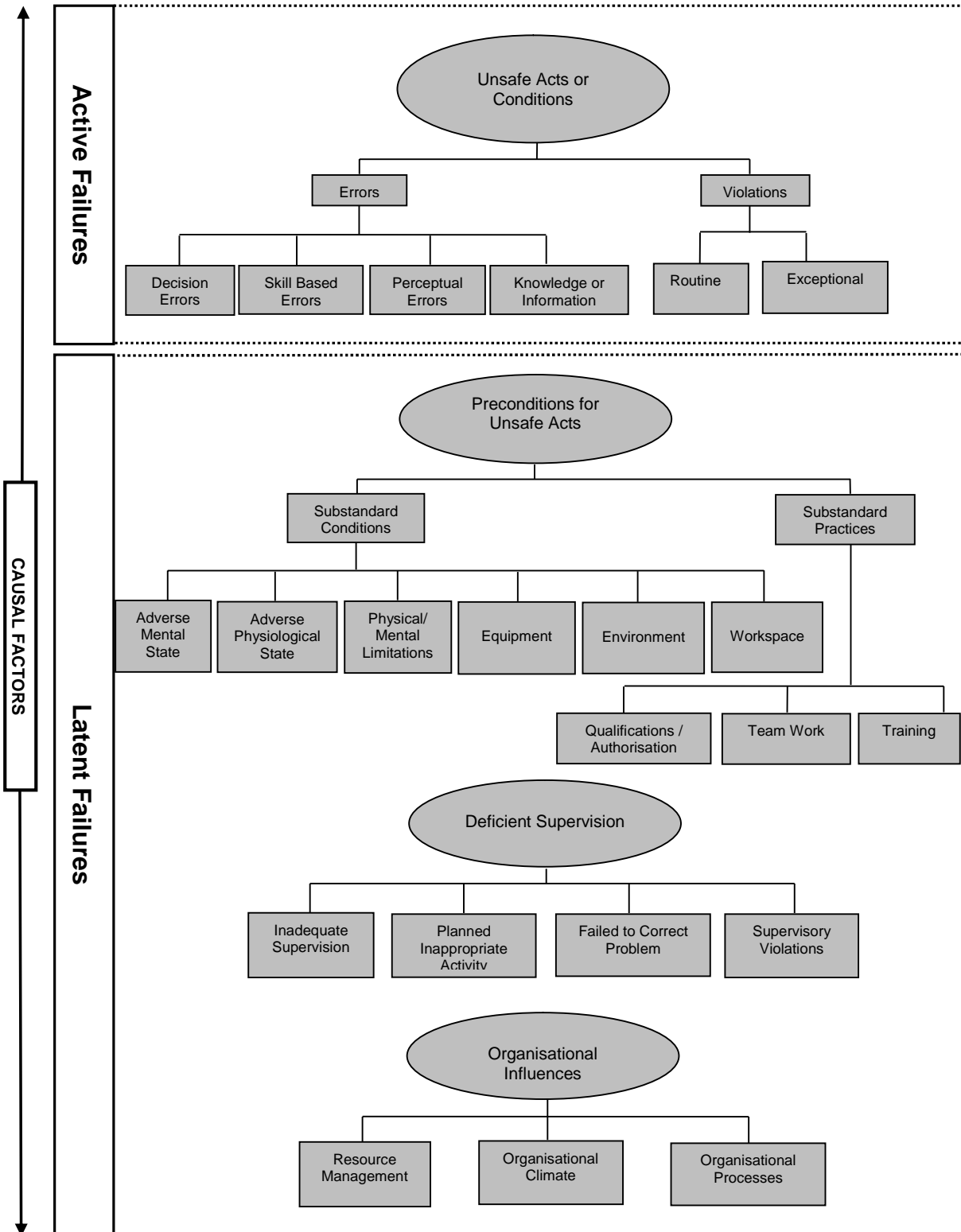
<b>Planning Phase</b>			
<b>Software</b>	<b>Equipment</b>	<b>Environment</b>	<b>Human</b>
NOTAMS Sortie Plan Syllabus Documents Ops manual AIP/ERSA/DAP Flight manual Charts RAMP/OA86 Procedures/policy Log book/licence Meet AAFC objectives	Fuel Plan Flight log/plan Serviceability Readability Daily checks	Weather Terrain Conditions Airspace Temperature X wind Turbulence	Preparation Health Fatigue Pilot documentation Medical Recency/currency

<b>Pre-flight</b>			
<b>Software</b>	<b>Equipment</b>	<b>Environment</b>	<b>Human</b>
Database update Recording readings	Aircraft condition Pre-existing defects Fuel load Oil quantity/quality Other fluids Suitability Servicing equipment	Clothing Facilities/shade Survival aspects	Time management Appropriate decisions Protective equipment

<b>In-flight</b>			
<b>Software</b>	<b>Equipment</b>	<b>Environment</b>	<b>Human</b>
TAWS ACAS GPS PFD/MFD FMS	Aircraft condition Pre-existing defects Fuel load Fuel sample/contamination Oil quantity/quality Other fluids Radio/Avionics	Aerodrome condition Wildlife (Fauna) Flora (plant & crop) Objects	Other aircraft Other persons Other vehicle Lookout Priority allocation TEM Team/Communication

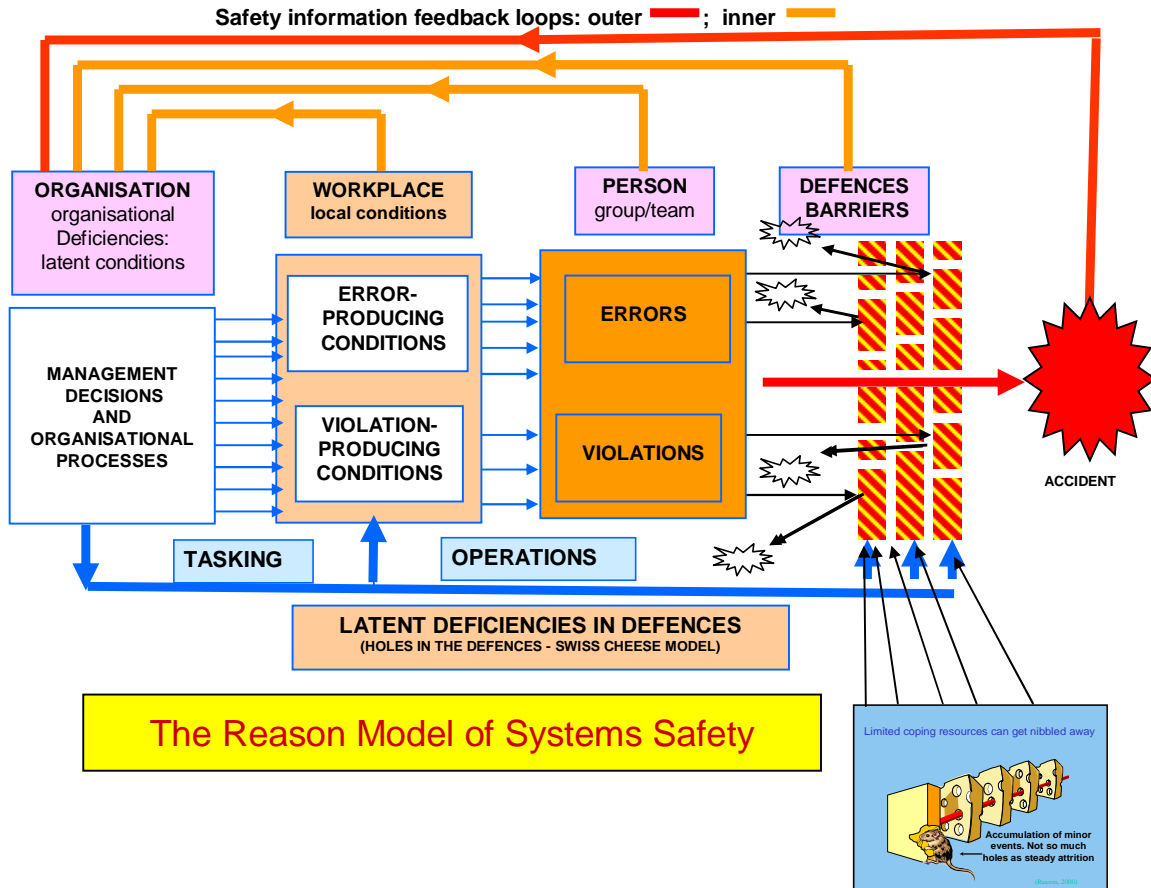
<b>Post-flight/activity</b>			
<b>Software</b>	<b>Equipment</b>	<b>Environment</b>	<b>Human</b>
Reports Recording Post activity report AC563 details	Aircraft condition Pre-existing defects Fuel load Oil quantity/quality Other fluids	Workload	Time management Injury/fatality reporting First aid

<b>Occurrence or Incident</b>			
<b>Software</b>	<b>Equipment</b>	<b>Environment</b>	<b>Human</b>
Failure Input issue False or misleading output HAZREP AVOCCREP	Failure Condition before/during/after Emergency equipment used Emergency equipment effective	Survival aspects	Actions/Decisions leading to Actions/Decision after Priority recognition Injury or potential for injury  Error or violation



Human Factors Analysis and Classification System

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## SECTION 9

# SYSTEM PERFORMANCE REVIEW

### Reference

*The content of this chapter has used as its basis the objectives and information listed in the Defence Aviation Safety Manual Section 2 Chapter 12 and Section 3 Chapter 12.*

### Aim

**9.1** Safety Management is a changing process. The AU/NZS standard first applied in 2001 has gone through several changes and iterations over the years and is now formalised as an International Standard under ISA 31000. This plan is also subject to changes with AAFC and Defence policy regarding aviation as well as overall safety practices, planning and conduct.

**9.2** In order to ensure this plan remains current and relevant, the contents should be reviewed on a regular basis. The objective of performance review is to make relevant changes and look at the process in terms of best practice and current trends. The plan will be reviewed against its own objectives (ref Preface, page iii) and suggested comments from users.

### Objective

**9.3** The objective of this element is to ensure continuous improvement of the ASMP through a program of systematic review at all levels.

### Purpose

**9.4** The purpose of this section is to outline a process that will ensure continuous improvement of the ASMP through a program of systematic review at all levels.

### Review Period

**9.5** This plan should be reviewed on the following basis:

- a. Annually for changes to procedures and process;
- b. Every 3 years for format and design changes; and
- c. Every 5 years or upon rotation of appointment of senior commanders.

### Responsibility

**9.6** The review of the ASMP will be carried out by ATD with CB-AF or a suitably qualified person at the periods listed previously.

### Method of System Performance Reviews

**9.7** The SMP should be reviewed against the following:

- a. Relevance to its objectives as shown Section 1, Chapter 1;
- b. Its effectiveness in improving safety management and practices;

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- c. Changes in governing process and policy;
- d. Changes in personnel and positions and structures within the AAFC and CB-AF; and
- e. Feedback from users or other parties.

**9.8** Indications that the plan is having a positive and continuing effect on aviation safety are:

- a. Improving generative safety culture, as viewed from external parties;
- b. Changing of attitudes toward and communication about safety;
- c. Improvement in approval of activities and the time taken to clear up issues with approvals;
- d. Continued low incident numbers;
- e. An increase in hazards identified and mitigated to an acceptable level before activities occur;
- f. Safety decision making is common and encouraged; and
- g. Staff believes that they are treated justly and their comments or reports are acted upon fairly and appropriately.

**9.9** Indications that the system is not having a positive effect are:

- a. High level of complaint;
- b. Failure to co-operate or communicate within the ASMP;
- c. Staff or members are not aware of their obligations under the system;
- d. WASC meetings are poorly attended or not held at the required frequency;
- e. Poor results from periodic safety reviews; and
- f. An increase in occurrences or unreported/unseen hazards.

**END OF MANUAL**