



# **Operations Manual – Volume 5 (OM5)**

**Safety Management System**

**Edition 3, Revision 0, 15SEP18**

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## Amendment Record

DCR Number	Edition/ Revision No	Revision Date	Amended By	Date of Insertion
DCR-000	Ed 1/Rev 0	VOID	VOID	VOID
DCR-001	Ed 2/Rev 0	15APR17	APTA	15APR17
DCR-001a to DCR-0046	Ed 2/Rev 1	20OCT17	APTA	20OCT17
DCR-047 to DCR-095	Ed 2/Rev 2	30APR18	APTA	30APR18
DCR-096 to DCR-134	Ed 3/Rev 0	15SEP18	APTA	15SEP18

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## List of Effective Pages (LEP)

List of Effective Pages Chapter Number	Edition Number / Revision Number and Date	Page(s)
<b>Volume 5 (OM5)</b>		
0	Ed 3/Rev 0 / 15SEP18	0-i to 0-xii and 0-1 to 0-8 (plus Cover Page and Reverse, not numbered).
1	Ed 3/Rev 0 / 15SEP18	1-1 to 1-2
2	Ed 3/Rev 0 / 15SEP18	2-1 to 2-4
3	Ed 3/Rev 0 / 15SEP18	3-1 to 3-30
4	Ed 3/Rev 0 / 15SEP18	4-1 to 4-14
5	Ed 3/Rev 0 / 15SEP18	5-1 to 5- 14
6	Ed 3/Rev 0 / 15SEP18	6-1 to 6-2
7	Ed 3/Rev 0 / 15SEP18	7-1 to 7-2

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## **Document Change Request Form**

Refer to Operations Manual, Volume 1 (OM1).

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## Distribution List

Copy Number (or 'E' for Electronic)	Edition/ Revision No	Revision Date	Issued To	Date of Issue
E	Ed 2/Rev 0	15APR17	(Refer FSM)	15APR17
E	Ed 2/Rev 1	20OCT17	(Refer FSM)	20OCT17
E	Ed 2/Rev 2	30APR18	(Refer FSM)	30APR18
E	Ed 3/Rev 0	15SEP18	(Refer FSM)	15SEP18

### NOTE:

In the above table, the 'E' indicates electronic distribution via Company Server or FSM. As new personnel may be issued access to the electronic copy during Induction, a list will be maintained in FSM as to who has access to the electronic copy. Paper copies, if issued, will be listed above along with a 'Copy Number' preceded by the letter 'P' (for 'Paper') and a number, followed by the name of the custodian.

To facilitate changes to the distribution of electronic copies and paper copies following issue of access or paper version, reference should be made to FSM and/or an OSO may be issued to list the new holder(s).

The Distribution and availability as well as other version control information is provided in each Volume and/or BPM including the Exposition as per CASR Part 142.350.

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## **Abbreviations and Acronyms**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions – Crew**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions – General**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions – Aircraft Performance**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions –Airspeed Terminology**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions – Meteorological Terminology**

Refer to Operations Manual, Volume 1 (OM1).

## **Definitions – Weight and Balance Terminology**

Refer to Operations Manual, Volume 1 (OM1).

## **Conversion Table**

Refer to Operations Manual, Volume 1 (OM1).

## **Group Chief Executive Statement**

Refer to Operations Manual, Volume 1 (OM1) of this Exposition.

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# 0 Preliminary

## 0.1 Volume Title

This Volume is a component of the Company Operations Manual and is known as Operations Manual, Volume 5 (OM5) –Safety Management System. This Volume along with other components of the Operations Manual (OM) identified below, including the Base Procedures Manual(s) constitute the Company CASR Part 141 and Part 142 Exposition.

Due to the content of Chapter 0 across all OM Volumes being identical, reference should be made to OM1 as only the Chapter 0 content that is specific to OM5 will be displayed in this Chapter.

### 0.1.1 Human Factors Integration

The APTA SMS will integrate Human Factors principles into the system by way of:

- Adopting a holistic and integrated approach of HF Principles.
- Putting our people at the centre of the system.
- Account for human variability.
- Ensure transparency of organisational processes and actions.
- Take into account social and organisational influences.
- Involve our personnel (staff) and respect and value their input.
- Encourage timely, relevant and clear two-way communication.
- Ensure fairness of treatment.

The APTA safety team will take into account human factors principles when dealing with:

- Risk Management.
- Management of Change.
- The design of systems and their use.
- HF&NTS Training.
- Safety Reporting and Data Analysis.
- Accident and Incident Investigation.

### 0.1.2 Human Factors Training

Initial and ongoing training in Human Factors and Non-Technical Skills will be carried out in accordance with Operations Manual, Volume 4 (OM4) – Training and Checking (Internal). Refer also to 5.3.1 of this Volume (OM5) regarding Safety Promotion and Training. Refer to Form 4-001.

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### **0.1.3 Continuous Improvement**

The Company Continuous Improvement process is featured within this Volume (OM5) in detail. The overall Policy framework however is contained within various locations throughout this Volume of the Exposition and in 5.6 of this Volume (OM5). Also refer chart and Form 1-005 in OM1.

### **0.1.4 Company Operation of FSTD**

APTA currently operates a number of FSTD under the auspices of CAO 45. The FSM system will list the devices and their capabilities in use at each location and the operating instructions to be utilized will be the CASA Certified STOM for each device in use.

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## 0.2 Company Safety Policy

Figure 0-1 APTA Safety Policy



**APTA Safety Policy**

The Australian Pilot Training Alliance is committed to the creating and maintenance of safe working environment and a flight operational environment that is characterised by the highest levels of safety focus and discipline.

This will include:

- Australian Pilot Training Alliance commitment to support the goal of the mission statement and continue the development of our safety culture which is demonstrated by its investment in people, facilities and equipment.

This requires:

- Commitment from management to establish and maintain safe workplace practices.
- Personnel to be provided with the necessary skills to ensure they understand that safe behaviour is an essential personal discipline and responsibility.
- The promotion and encouragement of reporting of incidents/accidents and potential hazards in accordance with a 'Just Culture' and non-punitive policy (not including deliberate violations).
- A need to openly disseminate safety related information and provide effective two-way communication between management and personnel.
- Enlisting the support of all personnel in developing solutions to eliminate unsafe conditions and practices.
- The proactive incorporation of safe operating principles and controls into standard operating procedures.
- Vigilance in the application of safety principles by each individual in conducting their duties while adhering to standard operating procedures and regulatory requirements.

Signed 19/01/17



Glen Buckley  
Chief Executive Officer  
Australian Pilot Training Alliance

### 0.2.1 Just Culture

The above Safety Policy commits the Company to the maintenance and promotion of a 'Just Culture'.

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### **Definition of 'Just Culture'**

Just Culture is a culture in which front-line operators and others are not punished for actions, omissions or decisions taken by them which are commensurate with their experience and training, but where gross negligence, wilful violations and destructive acts are not tolerated.

#### **0.2.2 Display of the Company Safety Policy**

The Company Safety Policy is to be signed by the Group Chief Executive Officer (CEO), framed (or laminated as appropriate) and placed where all personnel (Employees and Contractors) and Students are able to sight the Policy. The 'Just Culture' definition is to be displayed in the same manner as the Company Safety Policy and adjacent to the Safety Policy.

### **0.3 Operations Duties and Responsibilities**

#### **0.3.1 Identification of Key Safety Employees**

The following positions are identified as key safety positions, and as such will be supported by APTA:

- Chief Executive Officer – Glen Anthony Buckley
- Group Head of Operations – Ermin Javier Jr.
- Group Head of Safety – Andrew John Warland-Browne
- Maintenance Manager (if applicable) – Glen Anthony Buckley
- Safety Committee – Nominated Base Safety Officer(s)

The Group Head of Safety is responsible for the implementation and maintenance of the Safety Management System, however the Group Chief Executive Officer is responsible to ensure resources, guidance and support are provided.

Additionally, the Group Head of Safety will initiate and chair the monthly Safety Committee Meetings to be held on the last Wednesday of each month or an alternative date as accepted by all committee members. Agenda items vary throughout the year however all meetings will address any incident(s) or accident(s) from the previous period, any new hazard reports received and any emerging threats that may be encountered during the following month. These include seasonal changes, aircraft capability, etc.

Minutes of the Safety Committee meetings will be distributed to all members following the meeting and kept in the Committee Meeting 'tab' inside the Flight School Manager (FSM) system.

#### **0.3.2 Group Head of Safety/(Part 142 Safety Manager)**

The Group Head of Safety (HOS) is the leader and accountable manager for the safety, risk & environment activities, principally the development of an integrated Safety Management System (SMS) and for overseeing and monitoring current Company Safety Policy and existing safety policy and procedures employed by the Company. The HOS is responsible for the

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deployment of the Company's safety, security, quality assurance audit and investigative assets to regularly assess and report on the compliance and safety goals of the Company as developed and set by the Group Executive. The HOS is the principal safety adviser to the CEO and Group Executive.

### **Responsibilities**

- Development and Management of a Company SMS as required in CASR Part 142.200 through achievement of:
  - Corrective, remedial and preventative action in relation to the system and as outlined in the Company SMS;
  - Regular reporting to the Group Chief Executive Officer on the effectiveness of the Company SMS; and
  - The maintenance and continuous improvement of the Company SMS; and
  - Documentation development in relation to an integrated SMS with a view to developing and maintaining such a system in preparation for future CASR Part 142 approval; and
- Managing the maintenance and continuous improvement of the following systems:
  - The Company SMS as above; and
  - The Company Fatigue Risk Management System (FRMS), if applicable;
- Any other responsibilities that support the achievement of the above as outlined in the Company SMS.

### **Reports to:**

- CEO.

### **Direct Reports:**

- Nil.

### **Pre-Requisites:**

- Sufficient relevant safety management experience to capably lead, manage and set standards to enable safe implementation and maintenance of an SMS in accordance with the Exposition; and
- A satisfactory record in the conduct or management of air operations; and
- Sufficient safety and regulatory knowledge to enable the conduct of safe Part 142 activities in accordance with the Company's current Approval(s) and Part 142 Exposition.

## **0.3.3 Base Safety Officer**

### **Overall Purpose**

- The Base Safety Officer is responsible for guidance and operation of the organisation's overarching Safety Management System (SMS).

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## Key Roles

### *Safety Advocate*

- Demonstrates excellent safety behaviour and attitude, follows regulatory practices and rules, recognises and reports hazards and promotes effective safety reporting throughout the organisation.

### *Leader*

- Models and promotes an organisational culture that fosters safety practices through effective leadership.

### *Communicator*

- Promotes two-way communication: brings safety issues to the attention of management and delivers safety information to the organisation's personnel – i.e.: employees, contractors and stakeholders.
- Provides and articulates information regarding safety issues within the organisation.

### *Developer*

- Assists in the continuous improvement of hazard identification, Safety Risk Assessment and the APTA SMS.

### *Relationship Builder*

- Builds and maintains an excellent working relationship with the APTA Safety Committee.

### *Ambassador*

- Represents the organisation in industry activities.

## Responsibilities

These responsibilities will include, but not be limited to:

- Complying with the audit program/performing a Gap Analysis across the organisation;
- Inclusion in the Safety Action Group;
- Managing the investigation of certain incidents;
- Day-to-day operation of the APTA SMS as it relates to Operations of certain Alliance Member(s) designated by the HOS.

## Nature and scope

The Base Safety Officer is the eyes and ears of the APTA Safety Management System on behalf of certain Alliance Members.

The Base Safety Officer(s) are responsible in ensuring Accidents and Incidents are reported and established protocols are followed following the reporting of such occurrences.

In addition, the Base Safety Officer should foster positive relationships with regulatory authorities, agencies and outside organisations. Other contacts will be established at a working level as appropriate.

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## Qualifications

Attributes and Qualifications include:

- Knowledge of Safety Management principles and practices, preferably with completion of a recognised SMS course (APTA will supply this training);
- Sound written and verbal communication skills;
- Demonstrated ability to act responsibly in providing information and advice to Senior Management and to Accountable Managers on matters relating to safe operations. Must include demonstrated ability to with tact, diplomacy and a high degree of integrity;
- An appropriate (demonstrated) level of Computer Literacy commensurate with the tasks required to be performed;
- Demonstrated ability to relate to people at all levels, both inside and outside the Alliance;
- Flexibility to undertake assignments with little or no notice and outside normal working hours;
- Sound analytical skills;
- Capable of earning the respect of peers and management.

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## 0.4 Cautions and Notes

This page has been included to provide information about the use of cautions and notes. These symbols or 'icons' may be utilised if/when necessary throughout OM1, OM2, OM3, OM4, OM4A and OM5 and associated documents such as BPMs and the Forms Manual.

### **CAUTION**

**A caution immediately precedes an operating procedure or maintenance practice which, if not correctly followed, could result in damage to or destruction of equipment or corruption of data.**

### **NOTE**

A note immediately precedes or follows an operating procedure, maintenance practice or condition that requires highlighting.

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# 1 Gap Analysis

The Group Head of Safety will conduct a SMS gap analysis utilizing the CASA SMS Kit Second Edition to determine the level of resourcing, procedures and processes.

This will identify current safety processes and procedures that will be able to be incorporated into this manual without change.

It is important for the Head of Safety to use current processes and procedures that are working effectively so as not to interrupt an already safety oriented environment. A review of the safety procedures and practices already in place will determine if any changes need to be made.

## 1.1 SMS Implementation

The following Table contains the basic elements and timeframes for the APTA SMS Implementation.

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Table 1-1 SMS Implementation

Elements	Phase 1	Phase 2	Phase 3
<b>Completion Date</b>	<b>15 April 2017</b>	<b>15 October 2017</b>	<b>15 April 2018</b>
<b>Safety Policy, Objectives and Planning</b>			
Management Commitment and Responsibility	X		
Safety Accountabilities of Managers	X		
Appointment of Key Safety Personnel	X		
Third Party Interface		X	
Coordination of the Emergency Response Plan		X	
Documentation	X		
<b>Safety Risk Management</b>			
Hazard Identification Process		Proactive/Predictive Hazard Identification	
Risk Assessment and Mitigation Process	Reactive	Proactive and Predictive	
<b>Safety Assurance</b>			
Safety Performance Monitoring and Measurement	Reactive – Incident and Accident Investigation		
Internal Safety Investigation	X		
The Management of Change			X
Continuous Improvement of the Safety System			X
<b>Safety Promotion</b>			
Training and Education	X		Safety Investigation Training for SM
Safety Communication		X	
<b>Notes</b>			
Nil.			

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## 2 SMS Manual and Documentation

The Group Head of Safety will adapt the Safety Management System in place to align it with APTA policies and the requirements of the Civil Aviation Safety Authority Regulations. The SMS manual is a living document and will be reviewed regularly and where required, be modified accordingly.

### 2.1 APTA Safety Policy

Refer to 0.2 for the Company Safety Policy and to 2.1.1 for details relating to Safety Policy Review (both references relate to this Volume – OM5 – of the Company Exposition, i.e. SMS).

#### 2.1.1 Safety Policy Review

The APTA Safety Policy is to be reviewed every December by the CEO, HOO and HOS for continued relevance and appropriateness.

**Table 2-1 Safety Policy Objectives and Performance Indicators**

Performance Indicator	Objectives	Performance											
		1	2	3	4	5	6	7	8	9	10	11	12
		Quarter 1			Quarter 2			Quarter 3			Quarter 4		
Number of Major Risk Incidents (as defined in OM5)	1 or less Per Base												
Number of Mandatory Occurrence Reports	3 or less Per Base												
Number of Audits across the Alliance	2												
Number of Audit Findings per Audit	2 or less Per Base												
Number of Safety Committee Meetings	11												
Safety Committee Attendance of Key Personnel	Minimum 80%												

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Performance Indicator	Objectives	Performance											
		1	2	3	4	5	6	7	8	9	10	11	12
		Quarter 1			Quarter 2			Quarter 3			Quarter 4		
Number of ERP Drills – Per Operating Base	1												
Number of Hazard/Safety Reports across the Alliance	20 or more												
Number of Safety Notices Issued	2 Per Base												
Number of Formal Risk Assessments	5 or more												
Number of Safety Surveys	1												
Number of Airworthiness Incidents Per Base	1												

## 2.2 Audit Programme

The following provides an outline of the APTA Audit programme and the steps involved in planning and conducting an audit.

### 2.2.1 Audit Scope Planner

The following table defines how the scope of an APTA Audit is determined.

### 2.2.2 Non Conformance Forms

In the general conduct of operations, where a non conformance is detected, APTA Management may issue a Non Conformance Form to a Senior Base Pilot (SBP) at the relevant Base location for discussion/rectification with the applicable Pilot (utilising Form 5-006).

The aim of this process is to close any gaps in the systems and practices of the Company before they constitute a problem for the operation or the safety of the Company's activities.

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**Table 2-2 APTA Audit Scope Planner**

SMS Item		Year 1	Year 2	Year 3	Year 4	Year 5
1	Safety Policy and Culture	X				
2	Governance, Management, Accountabilities, Responsibilities and Authorities	X				
3	Regulatory Compliance		X		X	
4	Safety Records, Document Control and Information Management	X		X		X
5	Review of the Safety Management System	X	X		X	X
6	Internal SMS Audit Arrangements		X			
7	Corrective Action		X			
8	Safety Performance Targets and Performance Measures		X	X	X	X
9	Management of Change		X		X	
10	Internal Communication	X	X	X	X	X
11	Risk Management	X		X		X
12	Safety Critical Worker Competence	X	X	X	X	X
13	Information, Instruction and Training		X		X	
14	Process Control		X		X	
15	Safety Interface Coordination	X			X	
16	Occurrence and Emergency Management	X	X	X	X	X
17	Investigation(s)	X	X	X	X	X
18	Third Party Audit(s)			X		X

### 2.2.3 Audit Process

APTA will audit each Alliance Member not less than once every twelve (12) month period.

A Systems and Risk based approach similar to the CASA approach to surveillance will be carried out by the APTA Head of Safety or his/her designated alternative (may be a delegate of the HOS within APTA or an external contractor).

The Audit will be carried out utilising an automated computer program such as iAuditor and the findings and any non-conformances will be forwarded to the APTA CEO, HOO and the Alliance Member's SBP and CEO.

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Any Non-Conformances will be required to be corrected and reported back to the APTA Head of Safety within fourteen (14) days of receiving the audit findings.

#### **2.2.4 Pre-Audit**

Audit Preparation by the Base to be audited will be carried out by individual personnel utilising Form 1-003.

Prior to the Audit, the HOS or his/her delegate will prepare an appropriate Audit Checklist based on the scope of the audit, the areas to be audited and the processes to be observed.

The Audit Checklist will form the basis of the Audit Report and any observations or non-compliances shall be detailed in accordance with the result of the audit in respect of samples and observed behavior(s) versus documented procedures.

#### **2.2.5 Post Audit**

The Audit Report as indicated above must primarily address the results of the Audit with respect to the following:

- Any observed non-conformance or observation;
- Detailed documentation of any non-conformance or observation; and
- The standard required (if not met) and in the case of observations, the standard to which the suggested process applies.

In determining non-conformances and/or observations, the Auditor must provide adequate detail to the auditee of the process, documented reference (e.g. in Operations Manual, BPM or similar), the required standard and the standard achieved/observed and the corrective action required along with a due date.

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## 3 Safety Management and Accident/Incident Processes

### 3.1 Safety Management

Safety Management and policy is outlined in the Company Safety Policy, a copy of which is included in 0.2 of this manual. Detailed Safety process as required by the Civil Aviation Regulations, Civil Aviation Safety Regulations, Civil Aviation Orders and related regulatory materials and specifics are provided in the form of process and/or flow charts within the applicable Base Procedures Manual. The overriding emphasis for Company safety protocol is the reporting of safety related occurrences in order to, as far as practicable, prevent safety related incidents through analysis of trends and associated risk analysis. The Company maintains a 'Just Culture' and actively encourages all personnel to openly report safety related matters as well as lapses and errors free from the prospect of punitive measures being taken. A punitive process will only be instigated in the event of deliberate violations.

### 3.2 Safety and Emergency Response and Reporting Procedures

The following provides a framework for occurrence reporting and details the timeframes required for such reporting.

**Table 3-1 Safety and Emergency Response Reporting**

Event	Action Required	Government Agencies	Internal Department	Time Required to be Lodged with Gov't. Agency
Accident/ Immediately Reportable Matter	ASIR	ATSB CASA	Head of Operations, Safety Manager and Chief Executive Officer (and SBP where applicable)	Immediately contact. Written report 72 hours.
Dangerous Goods related Incident	Immediately Notify ATSB on 1800 011 034 followed by Written Report Online at <a href="http://www.atsb.gov.au">www.atsb.gov.au</a>	ATSB (as required)/ CASA	Head of Operations and Safety Manager (and SBP where applicable) *	Immediately contact. Written report 72 hours.

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Event	Action Required	Government Agencies	Internal Department	Time Required to be Lodged with Gov't. Agency
Incident/ Routine Reportable Matter	Report to HOO and Safety Manager (and SBP where applicable)	ATSB/ *CASA (optional)	Head of Operations and Safety Manager. (and SBP where applicable)	Contact within 48 hours. Written report 72 hours.
Occupational Health and Safety	Report to HOO and Safety Manager (and SBP where applicable) Written Report to ATSB – <a href="http://www.atsb.gov.au">www.atsb.gov.au</a>	OH&S (WH&S) Authorities	Head of Operations and Safety Manager. (and SBP where applicable)	Contact within 2 working days. Written report 72 hours.
* The Company does not carry Dangerous Goods however this is included to provide guidance in the event that an incident involving Dangerous Goods is experienced.				

Definition of Occurrences (Accidents and Incidents) are included below.

### 3.2.1 Accident

An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which a person or persons are fatally or seriously injured as a result.

### 3.2.2 Incident (and Serious Incident)

An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation. A 'Serious Incident' is an Incident where evidence suggests that an Accident nearly occurred.

### 3.2.3 Immediately Reportable Matter (IRM)

An Immediately Reportable Matter is prescribed as:

- The death of, or a serious injury to:
  - 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
  - A person who has been directly exposed to jet blast;
- The aircraft being missing;
- The aircraft suffering serious damage or the existence of reasonable grounds for believing that the aircraft has suffered serious damage;

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- The aircraft being inaccessible and the existence of reasonable grounds for believing that the aircraft has been seriously damaged;
- 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 Service, Pilot or other actions and may occur even if only 1 of the aircraft involved is under control of an Air Traffic Service.

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

- 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 Crew members 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.

### 3.2.4 Routine Reportable Matters (RRM)

A Routine Reportable Matter is prescribed as:

- An injury, other than a serious injury, to a person on board the aircraft;
- A Flight Crew member becoming incapacitated while operating the aircraft;
- Airprox;
- An occurrence in which flight into terrain is narrowly avoided;
- The use of any procedure for overcoming an emergency;
- An occurrence that results in difficulty controlling the aircraft, including any of the following occurrences:
  - An aircraft system failure;
  - A weather phenomenon;
  - Operation outside the aircraft's approved flight envelope;
- Fuel exhaustion;

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- The aircraft's supply of useable fuel becoming so low (whether or not as a result of fuel starvation) that the safety of the aircraft is compromised;
- A collision with an animal, including a bird, on a licensed aerodrome.

### **3.3 Post-Accident or Serious Incident Mandatory AOD Testing**

#### **3.3.1 Post Accident or Serious Incident**

A person will be tested for alcohol and testable drugs after an accident or serious incident involving a SSAA employee that occurs whilst they are performing – or available to perform – an SSAA, provided that suitable test conditions exist.

- Suitable test conditions exist where, after an accident or serious incident, testing can be conducted:
  - Within 32 hours of the accident or incident for drug testing;
  - Within 8 hours of the accident or incident for alcohol testing; and
  - It is practicable to conduct a test.

Serious incident means an occurrence that arises out of a person performing or being available to perform an applicable SSAA if either or both of the following applies:

- The occurrence gives rise to a danger of death or serious harm to a person;
- The occurrence gives rise to a danger of serious damage to an aircraft or property.

Accident means an occurrence that arises out of a person performing or being available to perform an applicable SSAA if either or both of the following applies:

- The occurrence results in the death of – or serious harm to – a person;
- The occurrence results in serious damage to an aircraft or property.

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### 3.4 Emergency Response and Reporting Procedures

Refer to the applicable Base Procedures Manual (BPM) for details.

**NOTE:**

The following provides the Company template for Emergency Procedures which should be replicated as closely as possible (i.e. variations not to detract from the integrity of the following basic requirements).

The following information may, if desired, be formatted in a manner conducive to checklist type activity in order that the relevant page(s) can be printed from the Edition and Revision of the applicable BPM at the time of the emergency, in order that a record is maintained.

### 3.5 Emergency Procedures Template (to be inserted in Each BPM)

#### 3.5.1 Aircraft Accident or Incident at or off (Substitute Airport ICAO Code) Airport

**Upon Receipt of Call/Message**

In the case of an Accident or Incident, anticipate an increase in incoming calls. The Company landline(s) may become congested. Flexibility and freedom of movement is afforded by a Mobile Telephone with the following number: (Insert Number of Local Company Contact).

**Use of personal mobile telephone may also be an option.**

To ensure that an acceptable level of security and confidentiality is maintained, the Emergency Response Centre for operations in relation to the emergency is to be convened in the CEO's office.

**CAUTION**

No Information is to be released to non- Government Department(s) with the exception of Emergency Services or other designated responding Agencies as required in the interest of safety and the effectiveness of the response.

CEO and/or HOO will undertake all communications with CASA.

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### 3.5.2 Emergency Checklist Minimum Content

The following information is to be ascertained and the following actions to be carried out in the event of an Emergency.

The information presented below may be placed into a Table which is conducive to checklist progression and inserted into the applicable Base Procedures Manual(s).

### 3.5.3 Checklist Content Required (Minimum) in BPM(s)

Upon Notification, seek assistance from another member of personnel if possible and attempt to establish contact with the PIC or passengers (if carried).

Collate the following information (ensure that information is recorded and avoid committing information to memory – always make written notes).

- Title
- Date/Time
- Name
- Location
- Call sign and Type
- Nature of Accident/Incident
- Has Emergency Services been notified or is notification still required
- Are there any Injured Crew or Passenger(s)

In respect of contact numbers – more than one should be obtained if possible – if some of the contact numbers being utilised are mobiles, ascertain the state of the 'phone battery.

Personnel should be contacted in the following order:

- HOO
- CEO
- Head of Safety
- Base Safety Manager

If unable to reach each of these personnel, ensure that a brief voice message is left and send a text message (SMS) requesting them to contact the Company urgently.

If the aircraft is missing or Search and Rescue are required, contact AUS SAR (Telephone: Insert Relevant Number).

Have an assisting member of personnel to collate photocopies of the following:

- Passenger Manifest (if applicable)
- Training Records for PIC
- Next of Kin Details
- Flight Authorisation Sheet

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- Flight Notification from Key Tag Holder or NAIPS
- Obtain POH for the aircraft involved to enable access to technical info if required.
- Obtain any other information from the Authorising Instructor. If a Company Instructor or personnel is involved, place a placard on their locker “DO NOT TOUCH”.
- Consider suspending Flying Operations – consider when making such a decision, sensitivity to other Operators, Pilots, Residents and the consideration that distractions can be caused by continuing operations.
- Consider Fuel Contamination – if this is a possibility, suspect operations and inform the Refuelling operator(s).
- Consider contacting family of any Company Pilots and Students flying to inform them that indication are that it is not their aircraft. The intention is to allay unnecessary anxiety however, information MUST be correct before speaking to relatives.
- Give consideration to asking Students still on Company premises to leave the building/premises.
- If the situation generated by the Accident/Incident is likely to continue for some time, consider the establishment of four (4) hour rosters for Supervisor/CEO/HOO/Safety Manager.
- Notify ATSB if required.

For a list of key telephone contacts, refer to (insert relevant reference in applicable BPM).

#### 3.5.4 Sample Template for ERP Booklet and BPM(s)

The following SAMPLE Emergency Response Booklet provides a template for the content of the ERP at each Base location.

It should be noted that the SAMPLE following for each page of the Emergency Response booklet, defines the color coding to be used consistently across all Company Base Location(s).

The SAMPLE shown is based on the YMMB-MFT Base. The ERP Booklet is contained in each BPM and is printable for distribution when the BPM or ERP is revised – to print from the BPM, simply select the relevant page range and print double sided.

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Figure 3-1 SAMPLE ERP Booklet (YMMB) Page 1



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**Figure 3-2 SAMPLE ERP Booklet (YMMB) Page 2**

**CAUTION**

No Information is to be released to non- Government Department(s) with the exception of Emergency Services or other designated responding Agencies as required in the interest of safety and the effectiveness of the response.

CEO and/or HOO will undertake all communications with CASA.

**Upon Receipt of Call/Message**

In the case of an Accident or Incident, anticipate an increase in incoming calls. The Company landline(s) may become congested.

**Use of personal mobile telephone may also be an option.**

To ensure that an acceptable level of security and confidentiality is maintained, the Emergency Response Centre for operations in relation to the emergency is to be convened in the SBP's office or the APTA Boardroom.

**Emergency Response Manager**

The Emergency Response manager is a staff member nominated by the SBP or Safety Officer. They are responsible for ensuring the Emergency Procedures are put in to effect. The ERP Manager may at their discretion delegate certain tasks to other members of staff in order to accomplish a safe and timely response. Detailed notes should be kept of all actions, decisions and times.

**The Emergency Response Manager is:**

\_\_\_\_\_

**Phone Number** \_\_\_\_\_

Figure 3-3 SAMPLE ERP Booklet (YMMB) Page 3

Upon Notification, seek assistance from another member of personnel if possible and attempt to establish contact with the PIC or passengers (if carried).

- Date/Time
- Name (PIC & Pax)
- Phone Numbers and state of Battery Power
- Location
- Call sign and Type
- Nature of Accident/Incident
- Has Emergency Services been notified or is notification still required
- Are there any Injured Crew or Passenger(s)

Completed by:

Time:

Notes:

INITIAL ACTIONS

3

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**Figure 3-4 SAMPLE ERP Booklet (YMMB) Page 4**

Personnel should be contacted in the following order:

- Acting SBP - Ermin Javier 0400 879 855 (Mobile) Time actioned \_\_\_\_\_ ☐
- HOO - Ermin Javier 0400 879 855 (Mobile) Time actioned \_\_\_\_\_ ☐
- CEO - Glen Buckley 0418 772 013 (Mobile) 03 9807 9667 (Home) Time actioned \_\_\_\_\_ ☐
- Head of Safety - Andrew Warland-Browne 0477 111 569 (Mobile) Time actioned \_\_\_\_\_ ☐
- Base Safety Officer - Cameron Meyer 0407 963 776 (Mobile) Time actioned \_\_\_\_\_ ☐
- AUSSAR (to advise in case they receive reports of a beacon signal) 1800 815 257 Time actioned \_\_\_\_\_ ☐

If unable to reach any of these personnel, ensure that a brief voice message is left and send a text message (SMS) requesting them to contact the company urgently.

---

Have an assisting member of personnel to collate photocopies of the following:

- Passenger Manifest (if applicable) Time actioned \_\_\_\_\_ ☐
- Training Records for PIC Time actioned \_\_\_\_\_ ☐
- Next of Kin Details Time actioned \_\_\_\_\_ ☐  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- Flight Authorisation Sheet Time actioned \_\_\_\_\_ ☐
- Obtain POH for the aircraft involved to enable access to technical info if required. Time actioned \_\_\_\_\_ ☐

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Figure 3-5 SAMPLE ERP Booklet (YMMB) Page 5

<ul style="list-style-type: none"> <li>Obtain any other information from the Authorising Instructor. If a Company Instructor or personnel is involved, place a placard on their locker "DO NOT TOUCH".</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Consider suspending Flying Operations – consider when making such a decision, sensitivity to other Operators, Pilots, Residents and the consideration that distractions can be caused by continuing operations.</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Consider Fuel Contamination – if this is a possibility, suspend operations and inform the Refuelling operator(s).</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Consider contacting family of any Company Pilots and Students flying to inform them that indication are that it is not their aircraft. The intention is to allay unnecessary anxiety however, information MUST be correct before speaking to relatives.</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Give consideration to asking Students still on Company premises to leave the building/premises.</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>If the situation generated by the Accident/Incident is likely to continue for some time, consider the establishment of four (4) hour rosters for Supervisor/CEO/HOO/Safety Manager.</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Secure PIC's locker</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Determine Accident/Incident Reporting requirement (See OM5 3-2)</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li><b>Notify ATSB if required. 1800 011 034</b></li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Determine AOD Testing Requirements (see OM5 3-2)</li> </ul>	Time actioned _____	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>AOD Test Arranged</li> </ul>	Time actioned _____	<input type="checkbox"/>

**Notes:**

EMERGENCY CHECKLIST

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Figure 3-6 SAMPLE ERP Booklet (YMMB) Page 6

**SARTIME EXPIRY/MISSING AIRCRAFT**

- Locate flight plan; Time actioned \_\_\_\_\_ ☐
- Collate relevant details: Time actioned \_\_\_\_\_ ☐

Location:

PIC:

Aircraft registration:

Persons involved:

- Try to contact on company frequency; (YMMB 129.8) Time actioned \_\_\_\_\_ ☐
- Try to contact pilot or passengers via mobile; Time actioned \_\_\_\_\_ ☐
- Contact Moorabbin Tower (as applicable); 03 9586 6180 Time actioned \_\_\_\_\_ ☐
- Contact National Operational Centre (NOC); 1800 020 626 Time actioned \_\_\_\_\_ ☐
- Contact aerodromes of known landings; Time actioned \_\_\_\_\_ ☐
- Contact AUSSAR; 1800 815 257 Time actioned \_\_\_\_\_ ☐
- Contact APTA CEO/HOO; Time actioned \_\_\_\_\_ ☐

***Make no comment to media***

**Notes:**

SAMPLE

6

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Figure 3-7 SAMPLE ERP Booklet (YMMB) Page 7

**Building Fire/Earthquake**

Upon discovering – shout “FIRE” (x 3 times);

If fire containable and provided no risk to persons attempt to extinguish;

If fire not containable move to designated area. Evacuate all persons to designated area, Fire Warden to account persons;

Call 000;

Time actioned ☐

Contact CEO/HOO.

Time actioned ☐

NOTE:

FIRE WARDEN – Most senior staff member in attendance.



MTF evacuation Map above.

Figure 3-8 SAMPLE ERP Booklet (YMMB) Page 8

**DISABLED AIRCRAFT ON RUNWAY OR TAXYWAY—YMMB**

- Upon receiving the information, ascertain aircraft callsign and location \_\_\_\_\_

Time actioned \_\_\_\_\_

☐
- Advise any of the following (for coordination and assistance); SBP, HOO, Base Safety Officer, FTM Office Manager, Front Desk.  
*If none of the above are immediately present, continue with step 3*

Time actioned \_\_\_\_\_

☐
- Establish contact with pilot to check condition of occupants and convey recovery procedures are underway (stay put)

Time actioned \_\_\_\_\_

☐
- Contact Moorabbin Airport Corporation (MAC) Safety Officer (0428 058 295 available 7 days) and relay gathered information.

Time actioned \_\_\_\_\_

☐
- Coordinate with MAC Safety Officer for recovery actions with assistance from respective aircraft maintenance organisation (Refer to Key Contacts page) to arrange maintenance.

Time actioned \_\_\_\_\_

☐
- Relay coordinated actions to pilot and occupants for reassurance. (if available give an idea of time frames and what to expect.)

Time actioned \_\_\_\_\_

☐
- When able (possibly task other available staff) temporarily rule off aircraft in FSM and advise next pilot of the delay. (or make alternative arrangements).

Time actioned \_\_\_\_\_

☐
- Upon recovery (in maintenance), confirm MR has been completed and if possible obtain time/date when the aircraft will be available.

Time actioned \_\_\_\_\_

☐

**Notes:**

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Figure 3-9 SAMPLE ERP Booklet (YMMB) Page 9

Aircraft Registration	Type	Maintenance Organisation
VH-DDS	C182T	Aviation Centre
VH-FPH	PA28	Flight Safety
VH-FPV	C172SP	Tony Kidd/Aviation Centre
VH-LWX	C172R	MAS Maintenance
VH-SYH	C172R	Tony Kidd/Aviation Centre
VH-LXH	PA28	MAS Maintenance
VH-LXF	PA28	MAS Maintenance
VH-UOR	C172R	Aviation Centre
VH-DSN	C182T	Flight Safety
VH-UPG	8KCAB	Flight Safety
VH-WIH	C152	Chris Judd Aviation Centre

**Notes:**

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DISABLED AIRCRAFT YMMB

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**Figure 3-10 SAMPLE ERP Booklet (YMMB) Page 10**

Maintenance Provider	Business Hours Contact	After Hours Contact
Aviation Centre	03 9587 5023 0407 306 411 (Chris Judd)	0414 440 172
Flight Avionics	03 9580 0245	
Flight Safety	03 8587 3927	0419 572 814 (John Walsh)
MAS Maintenance	0419 573 073 (Chris Smith)	
Simpsons Aero Electrics	03 9580 4022	
Tony Kidd	0413 274 289	
Turbo Aero	0400 010 093 (Scott)	

SAMPLE

**Figure 3-11 SAMPLE ERP Booklet (YMMB) Page 11**

Person/Organisation	Contact Number
ATC (for generation of NOTAM and advice to ATC)	03 9238 7400
CENSAR	1800 814 931
AUSSAR	1800 815 257
ATSB	1800 011 034
Moorabbin Tower	03 9586 6180
Essendon Tower	03 9374 1678
National Operations Centre (Airservices)	1800 020 626 or (03 9235 7337)
Police Fire Ambulance	000
Glen Buckley (MFT CEO)	0418 772 013 (Mobile) 03 9807 9667 (Home)
Ermin Javier (APTA HOO)	0400 879 855 (Mobile)
Andrew Warland-Browne (APTA HOS)	0477 111 569 (Mobile)
Laveniya Ruthralingam (APTA Co-Ordinator)	0481 284 733 (Mobile)
Jacqueline Armstrong (APTA Deputy HOO)	0404 870 470 (Mobile)
Cameron Meyer (MFT Base Safety Officer)	0407 963 776 (Mobile)

KEY CONTACTS

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Figure 3-12 SAMPLE ERP Booklet (YMMB) Page 12

<ul style="list-style-type: none"> <li>• <b>Food/Water/Shelter</b> Ensure PIC and Pax are catered for</li> </ul>	Time actioned _____ <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Transport</b> Arrange most suitable transport for PIC &amp; Pax Train      <a href="http://www.ptv.vic.gov.au">www.ptv.vic.gov.au</a> Taxi        133 100 Uber        <a href="http://www.uber.com">www.uber.com</a> Limo Rental Car Staff Transport</li> </ul>	Time actioned _____ <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Accommodation</b> Arrange if needed</li> </ul>	Time actioned _____ <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Aircraft Security</b> Keys Placement Tiedowns Maintenance Release in aircraft</li> </ul>	Time actioned _____ <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Notifications to family</b></li> </ul>	Time actioned _____ <input type="checkbox"/>
<ul style="list-style-type: none"> <li>• <b>Property Loss</b></li> </ul>	Time actioned _____ <input type="checkbox"/>
<div style="border: 1px dashed orange; padding: 5px;"> <ul style="list-style-type: none"> <li>• <b>AOD Test Arranged</b> Address  Time  Contact Details: APTA have an account with Integrity Sampling  <b>Victoria/Tasmania 24 Hour 0412 076 343</b> <b>Northern Territory 24 Hour 0419 035 667</b></li> </ul> </div>	Time actioned _____ <input type="checkbox"/>
<div style="border: 1px dashed blue; padding: 5px;"> <ul style="list-style-type: none"> <li>• <b>Counselling offered and arranged</b> <a href="http://www.lifeline.org.au">www.lifeline.org.au</a> Ph: 13 11 14</li> </ul> </div>	Time actioned _____ <input type="checkbox"/>
<div style="border: 1px dashed orange; padding: 5px;"> <p>For any suggestions or corrections, please notify APTA Head of Safety or use Form 1-001 Document Change Request. Andrew.wb@auspta.com.au</p> </div>	

PILOT/PASSENGER WELFARE

SAMPLE

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### 3.5.5 Minimum Emergency Contacts (Key Contacts)

A table detailing Emergency Contact(s) for each Base Location must be inserted into the ERP Booklet for easy reference.

Any Emergency Contacts (Key Contacts List) in the ERP Booklet for any Base Location must include the following details in addition to any specific Local Contacts contained in addition, in the applicable BPM.

The SAMPLE ERP above details this information on Page 11 for example.

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**Table 3-2 MINIMUM Contacts List Content**

Person/Organization	Contact Number
ATC (for generation of NOTAM and advice to ATC)	03 9235-7400
CENSAR	1 800 814 931
AUSSAR	1 800 815 257
ATSB	1 800 011 034
Essendon (YMEN) Tower	03 9374-1678
Moorabbin (YMMB) Tower	03 9586-6180
National Operational Centre	1800 020 626 (or 03 9235-7337)
State Police	000
State Fire Services	000
Ambulance	000
Glen Buckley (CEO)	03 9807-9667 (Home) 0418-772-013 (Mobile)
Ermin Javier (HOO)	0400-879-855 (Mobile)
Andrew Warland-Browne (HOS)	0477 111 569 (Mobile)

### 3.5.6 Aircraft Maintenance Responsibilities by Registration

A table detailing Aircraft Maintenance Responsibilities for each Base Location must be inserted into a table for easy reference in the relevant BPM as shown in Pages 9 of the SAMPLE ERP above.

### 3.5.7 Aircraft Maintenance Contacts

A table detailing Aircraft Maintenance Contacts for each Base Location must be inserted into a table for easy reference in the relevant BPM and as shown in Page 10 of the SAMPLE ERP above.

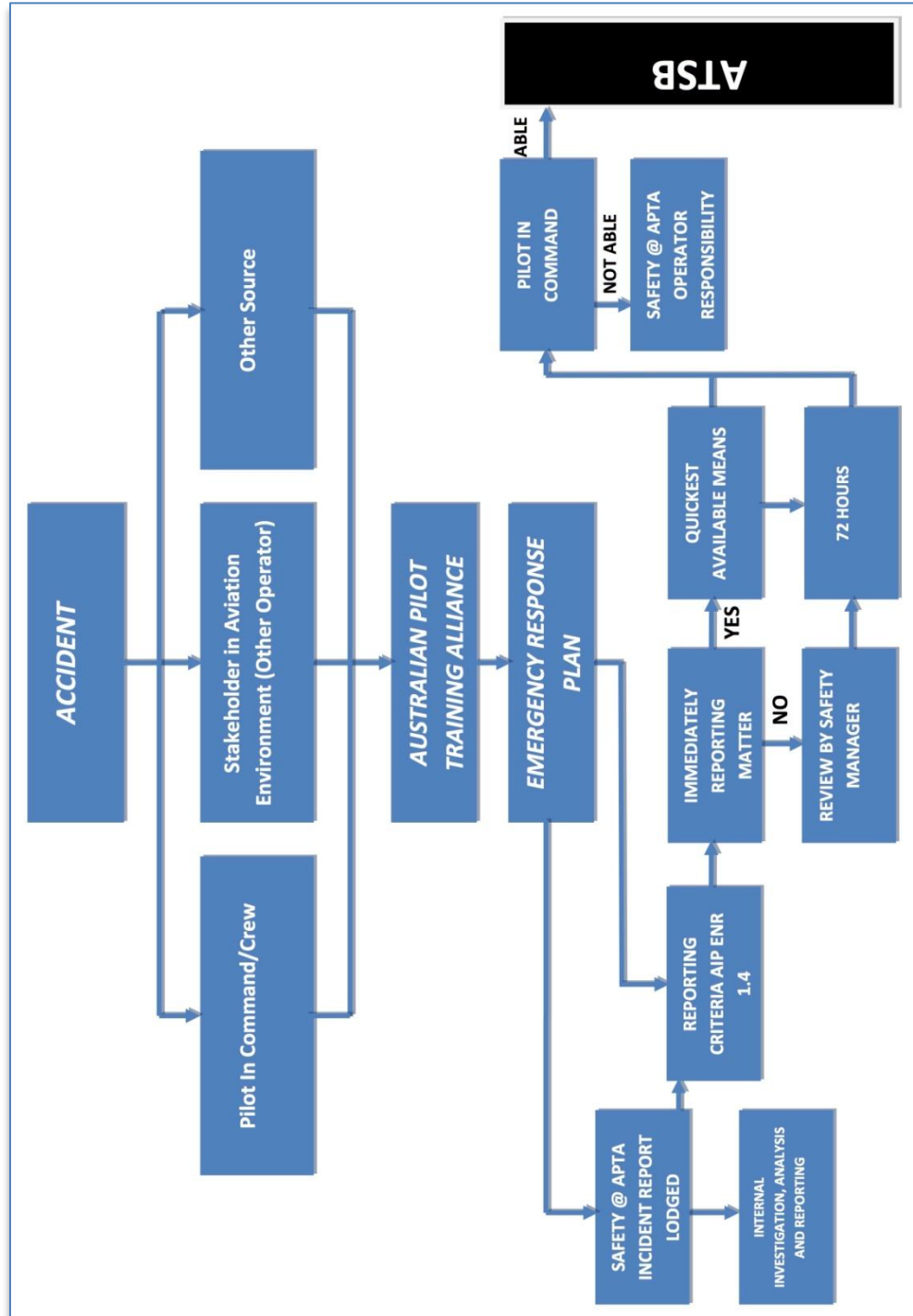
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### 3.5.8 Accident and Incident Reporting and Risk Processes

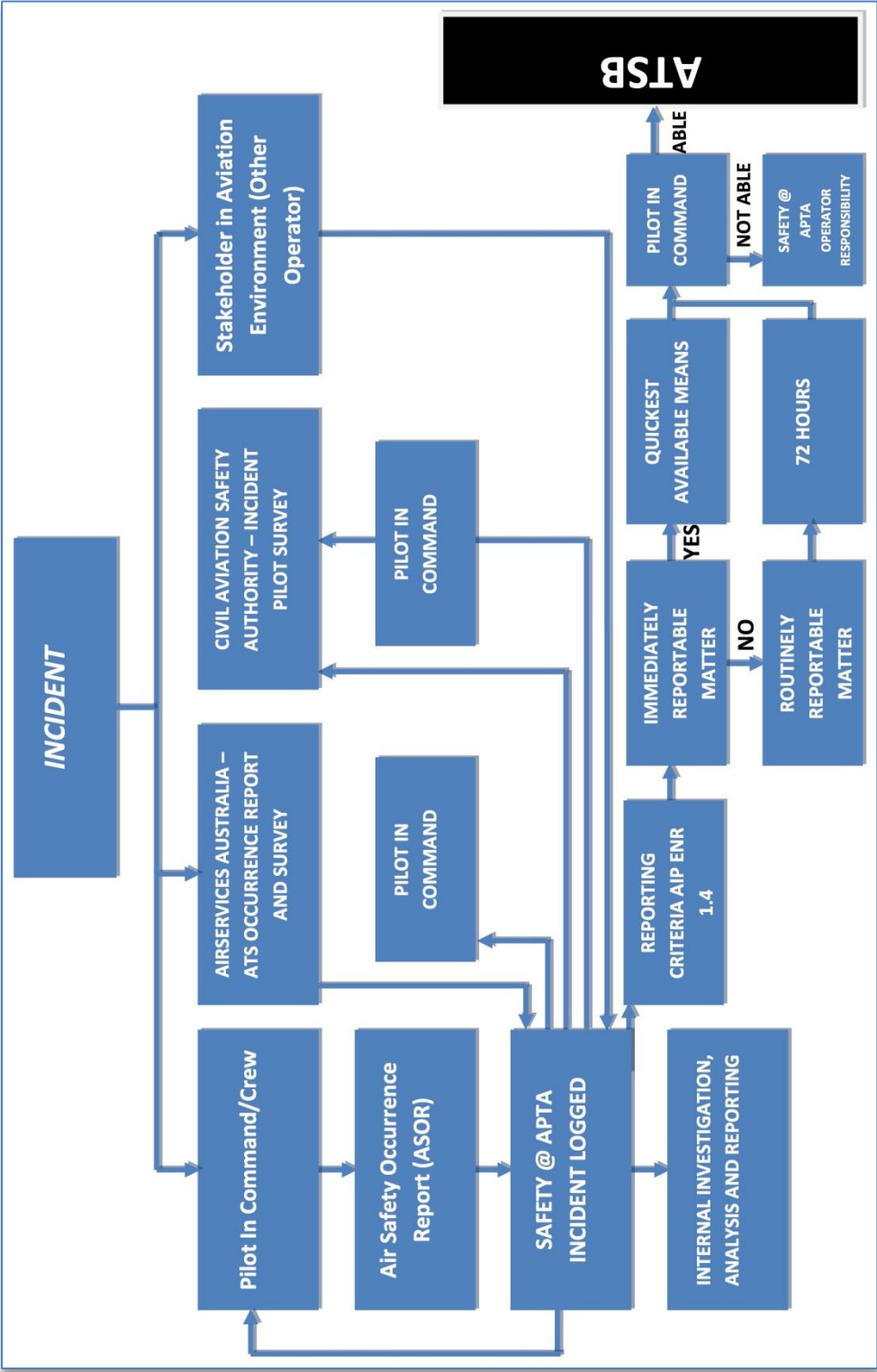
The following Flow Charts illustrate the Accident/Incident, Risk and Hazard Reporting processes employed by the Company.

Figure 3-13 Accident Reporting



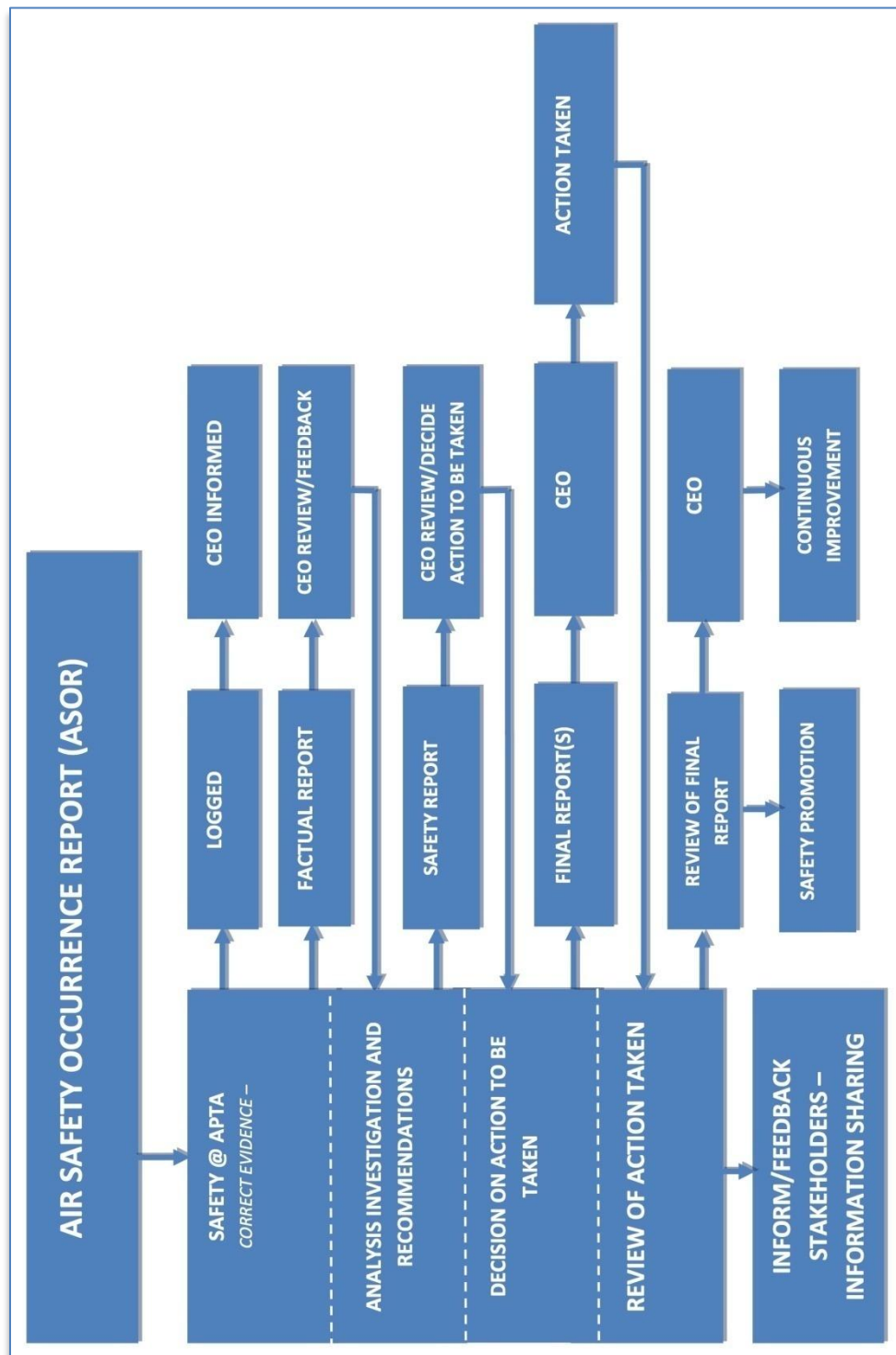
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Figure 3-14 Incident Reporting



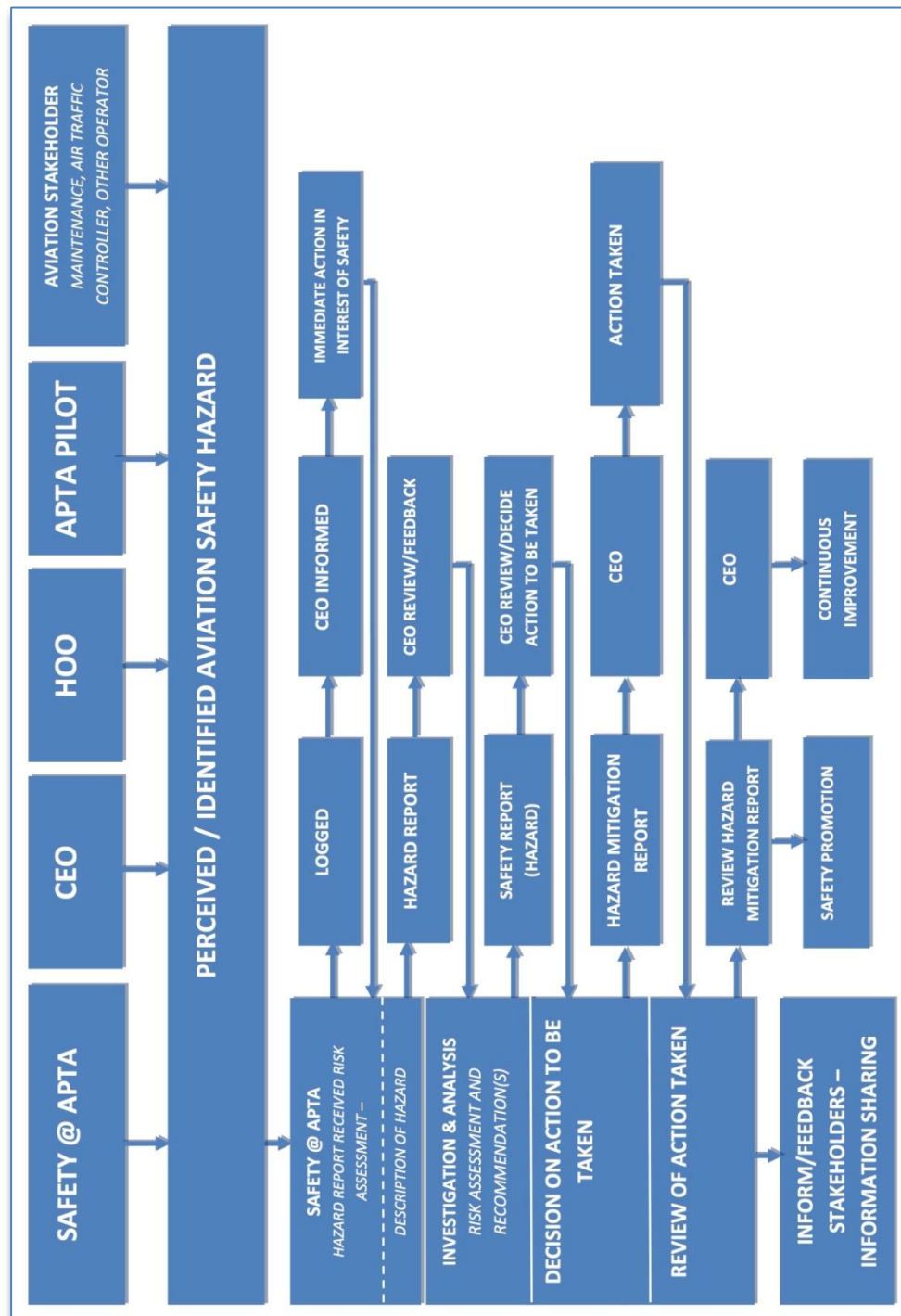
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Figure 3-15 Internal Investigation, Analysis and Reporting Process



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Figure 3-16 Hazard Reporting Process



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Figure 3-17 Air Safety Occurrence Report (Form 5-005) 1 of 4

Page 1 of 4

  
**Air Safety Occurrence Report (ASOR) Form**  
*NOTE: IF MORE SPACE REQUIRED, ATTACHED ADDITIONAL SHEETS*

DATE		TIME (UTC)		TIME (LOCAL)	
LOCATION, BEARING AND DISTANCE FROM KNOWN LOCATION OR LATITUDE/LONGITUDE					
AIRCRAFT REGISTRATION(S)			TYPE(S)		
OPERATOR(S)					
PILOT IN COMMAND					
LICENCE		NUMBER (ARN)		PH	
OTHER CREW					
LICENCE		NUMBER (ARN)		PH	
PASSENGER(S) AND TELEPHONE					
TYPE OF OPERATION (Please Circle)				CHTR	PVT
				AWK DUEL / SOLO	OTHER
FLIGHT RULES		VFR	IFR	METEROLOGICAL CONDITIONS	
AIRSPACE (Please Circle)		C	D	E	F
		G	CTAF		
DEPARTED		ATD		UTC/LOCAL	
FOR ARRIVAL		ETA/ATA		UTC/LOCAL	
ROUTE & ALTITUDE					
FLIGHT PHASE		ALT		IAS	POWER
START	TAXI	TAKE OFF	ENROUTE		CIRCUIT
APPROACH		LANDING		PARKING	OTHER
WEATHER		WIND		CLOUD	
TERRAIN ELEVATION				OTHER	
INJURIES TO CREW AND PAX REQUIRING MEDICAL ATTENTION					
DAMAGE TO AIRCRAFT					

FORM 5-005 AIR SAFETY OCCURRENCE REPORT FORM (15APR17)

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Figure 3-20 Air Safety Occurrence Report (Form 5-005) 4 of 4

Page 4 of 4


<b>ANALYSIS OF OCCURRENCE, CAUSES AND CONTRIBUTING FACTORS</b>			
COMPLETED BY		DATE	
RECOMMENDED ACTION TO BE TAKEN			
COMPLETED BY		DATE	
REVIEW OF ORGANISATION SYSTEMS AND PROCEDURES			
COMPLETED BY		DATE	
FOLLOW UP REVIEW OF CORRECTIVE ACTIONS			

FORM 5-005 AIR SAFETY OCCURRENCE REPORT FORM (15APR17)

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Figure 3-21 Hazard Report Form (Form 5-001)



APTA  
Australian Pilot Training Alliance

## HAZARD REPORT FORM

**Reported by:**

Name: \_\_\_\_\_ Position: \_\_\_\_\_

Date: \_\_\_\_\_

**Subject:**

☐ Workplace hazard ☐ Hazardous work practice ☐ Public hazard ☐ Aviation safety hazard

**Description of hazard and any action taken:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Is further action required? Yes ☐ No ☐**

**Reported to:**

Name: \_\_\_\_\_

Safety committee/rep: yes/no

**Safety Team use only**

Date report received: \_\_\_\_\_

Action taken or recommended:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date implemented: \_\_\_\_\_

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

FORM 5-001 30SEP16

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## 4 Safety Risk Management

### 4.1 Safety Management

Managing the risks associated with Flying Training is imperative for the maintenance of a safe operation. Safety risk management is the identification, analysis and elimination (and/or mitigation to an acceptable or tolerable level) of the hazards, as well as the subsequent risks, that threaten the viability of an organization. (ICAO Safety Management Manual 3rd edition).

Safety risk management is a careful examination of what, in your work, could cause harm, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm.

Identifying safety hazards is the first step in managing the organisation's safety effectively. This may be completed through brainstorming, formal reviews, staff surveys, internal or external safety assessments, a hazard reporting scheme or the use of conceptual models such as the SHELL model or Reason's accident causation model. It is important when identifying hazards and quantifying risks that you think laterally, unencumbered by past ideas and experiences. Operational hazards can be obvious, such as lack of training or they may be subtle, such as long term fatigue.

APTA will conduct a risk assessment and Gap Analysis on each new Alliance member organization within the first three (3) months of membership to ensure the safest possible results that align with the objectives of the APTA Safety Management System. Any identified safety gaps will be addressed prior to the start date of membership. On most occasions, any safety gaps will be covered by the compliance with the APTA Operations Manual and Exposition.

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## 4.2 APTA Risk Appetite

APTA have adopted the CASA endorsed approach to risk management with a four (4) layer risk appetite clearly defined from a 5 by 5 risk matrix.

### 4.2.1 Identification of the Severity/Consequence of the Event

Any current mitigation measures should be taken into account and an assessment of the severity in terms of the worst possible realistic scenario made.

**Table 4-1 Event Severity/Consequence**

Level	Severity/Consequence	Description
5	Severe	Catastrophic (at least one fatality huge financial loss)
4	Major	Major (extensive injuries to one or more people, major financial loss)
3	Moderate	Moderate (medical treatment required, high financial loss)
2	Minor	Minor (first aid treatment at the workplace, medium financial loss)
1	Negligible	Insignificant (no injuries, low financial loss)

### 4.2.2 Likelihood of Occurrence

Any current mitigation measures and an assessment of the likelihood/probability of the risk occurring should be made.

**Table 4-2 Likelihood Rating**

Level	Likelihood	Descriptor
5	Almost Certain	Imminent – is expected to occur in most circumstances
4	Likely	Once in the next month, will probably occur in most circumstances
3	Possible	Once in the next twelve (12) months, might occur at some time
2	Unlikely	Once in the next one to five (1-5) years, could occur at some time
1	Rare	Once in the next ten (10) years – may occur only in exceptional circumstances

### 4.2.3 Risk Tolerability

The following tables feature a Risk Rating and Risk Tolerability matrices which enable a conclusion to be drawn from the Risk Assessment to provide guidance in action required, mitigation, etc.

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**Table 4-3 Risk Consequence versus Likelihood**

			Consequence				
			1	2	3	4	5
			Negligible	Minor	Moderate	Major	Severe
Likelihood	5	Almost Certain	6	7	8	9	10
	4	Likely	5	6	7	8	9
	3	Possible	4	5	6	7	8
	2	Unlikely	3	4	5	6	7
	1	Rare	2	3	4	5	6

**Table 4-4 Risk Tolerability**

Level	Rating	Descriptor
>7	Extreme Risk	Not acceptable under any circumstances
6 to 7	High Risk	Needs APTA Management attention and treatment plan as appropriate
4 to 5	Medium Risk	Senior Base Pilot level attention and monitoring as appropriate
<4	Low Risk	Manage by local level procedures

### **APTA management does not accept any extreme risk at any time.**

All initial risk assessment that declares an extreme risk, must be mitigated down to at least high risk, and only after APTA management attention.

As a general rule, extreme risk is not normally associated with General Aviation Flying Training as it is normally medium to low risk.

A risk register will be maintained by the APTA Group Head of Safety with members having access to risks associated with their operation.

Some risks may be relevant to all APTA members and therefore will be distributed amongst the alliance where others may be aircraft or operation specific which will not impact on others. Any sensitive matters remain confidential between the Group Head of Safety and the Alliance Member's management team.

The initial assessment of identified alliance member risks may be a combination of all alliance member risks and local base risks dependent upon aircraft type, local conditions and aerodrome risks.

The risk assessment form is included in this chapter and may be used to log the hazards encountered in the operation, or just as a tool to capture and analyse the data. The Form (Form 5-001) shown in Chapter 3

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The Hazard Identification and Risk assessment will cover the following items:

- Hazard Reference number
- Date
- Description
- Specific nature of Hazard
  - Likelihood
  - Consequence
- Result
- Controls or defences
  - Likelihood
  - Consequence
- New Risk Level
- Acceptable Y/N?
- In place
- Documented?
- Documented reference
- Additional measures or comments

Risk will be reduced or mitigated to as low as reasonably practical in accordance with the above risk appetite.

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Table 4-5 Hazard Assessment

Reference Documentation		
Documented		
In Place Y/N		
Result	Acceptable	Acceptable
Severity	Major	Major
Likelihood	Improbable	Improbable
Defenses	Ensure that the staff have a current license	In addition to the item above, put in place a training plan
Result	Unacceptable	Unacceptable
Severity	Catastrophic	Catastrophic
Likelihood	Remote	Remote
Specific Nature of Hazard	Maintenance of the aircraft can legitimately constitute a source for hazards (failure of a system, component during flight, etc.)	Maintenance of the aircraft can legitimately constitute a source for hazards (failure of a system, component during flight, etc.)
Description	Failure to hold a qualification to declare an approval for return to service (APRS) (or equivalent for non-EASA country or government aircraft.	Maintenance qualification or license expired
Revised On		
Hazard Number	TEC-01	TEC-02

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### 4.3 Accident and Incident Investigation

All APTA members have a responsibility to investigate incidents that occur within their own organization. The Group Head of Safety will maintain oversight of all investigations and will conduct all investigations of serious incidents as stated in the table below.

**Table 4-6 Accident and Incident Investigation**

Incident/accident	Responsible for investigation
Aircraft being missing	APTA Group Head of Safety
The aircraft suffering serious damage, or the existence of reasonable grounds for believing that the aircraft has suffered serious damage	APTA Group Head of Safety
Breakdown of separation standards	Base Safety Officer
Violation of controlled airspace	Base Safety Officer
Airprox	Base Safety Officer
A near-collision involving aircraft maneuvering on the ground	Base Safety Officer
An occurrence in which flight into terrain is narrowly avoided	APTA Group Head of Safety
The rejection of a take-off from a closed or occupied runway	Base Safety Officer
A take-off from a closed or occupied runway with marginal separation from an obstacle or obstacles;	APTA Group Head of Safety
A landing on a closed or occupied runway	APTA Group Head of Safety
A significant failure to achieve predicted performance during take-off or initial climb	Base Safety Officer
A fire (even if subsequently extinguished), smoke, fumes or an explosion on or in any part of the aircraft	APTA Group Head of Safety
An uncontained engine failure	Base Safety Officer
A mechanical failure resulting in the shutdown of an engine	Base Safety Officer
The use of any procedure for overcoming an emergency	Base Safety Officer
An event requiring the use of oxygen by a flight crew member	APTA Group Head of Safety
The malfunction of an aircraft system that seriously affects the operation of the aircraft	APTA Group Head of Safety
A flight crew member becoming incapacitated during flight	APTA Group Head of Safety

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Incident/accident	Responsible for investigation
Fuel exhaustion	APTA Group Head of Safety
The aircraft's supply of useable fuel becoming so low (whether or not as a result of fuel starvation) that the pilot declares an emergency in flight	Base Safety Officer
Undershooting, over-running or running off the side of a runway during take-off or landing, or any other similar occurrence	Base Safety Officer
A weather phenomenon causing difficulty controlling the aircraft	Base Safety Officer
Operation outside the aircraft's approved envelope	APTA Group Head of Safety
The failure of 2 or more related redundant systems for flight guidance and navigation	Base Safety Officer
Serious damage to, or destruction of, any property outside the aircraft caused by contact with the aircraft or anything that has become detached from the aircraft	APTA Group Head of Safety

All investigation reports, evidence and notes are to be placed into the Safety Management System Tab in FSM.

It is imperative that after the investigation is complete and signed by the APTA HOO and CEO, that the report is emailed to the individuals involved for an open and transparent process.

Where possible, a safety notice should be issued via FSM with the relevant safety information, changes to processes and procedures and any education where it is deemed to be necessary to enhance safety.

Safety investigations should normally be closed within eight (8) weeks of the occurrence.

The APTA Group Head of Safety will closely monitor all incidents so as to notify all Alliance Members of any safety trends or continuing issues.

The sharing of safety data is imperative in forming a positive safety culture.

#### 4.3.1 Post Accident/Incident Stand-down

Following an Accident or specified Incident, the Pilot Instructor will be stood down or restricted to ground duties only, at the discretion of the HOO. In determining the length of the stand down, considerations will include:

- Pilot welfare; and
- Initial indications from the investigation.

The policy is not intended to apportion blame or suggest wrongdoing, but to ensure the highest safety standards are maintained.

On return to duty, the SBP will liaise with the affected Pilot to ensure his/her allocated workload is appropriate.

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In a situation where a DAMP (Drug and Alcohol Management Plan) Test is required under CASR Part 99 and the Company's DAMP, Operations Manual, Volume 1 (OM1), the Pilot shall not be returned to duty until the results of the test are known and appropriate action has been taken where/if required.


#### **4.4 Incident Investigation Reporting Form (Form 5-002)**

The following pages contain images of Form 5-002, Incident Investigation Reporting Form. The Form may be downloaded from FSM or obtained from the local copy of the Forms Manual (FM).

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Figure 4-1 Incident Investigation Reporting Form (Form 5-002) (1 of 5)

Page 1 of 5



## INCIDENT INVESTIGATION REPORTING FORM

**CONTENT OF REPORT:**

**1. Incident/accident description**

Incident/accident

Location:	
Time:	
Date:	

Details of injured

Name:	
Company:	
Injuries sustained:	
Medical treatment:	

Details of damage/impact

Damage to equipment:	
Environmental impact:	

Risk rating

Actual consequence level:	Level
Potential consequence level:	Level

The following pages now deal with the required content of the report. If this Form is being completed from a printed copy, the details below may be submitted on separate paper, attached to this Form. If however, this is being completed from an MS Word version or downloaded editable version, then the items below should be populated with the relevant information relating to the incident for which the Form is being completed.

FORM 5-002 30SEP16 – INCIDENT INVESTIGATION REPORTING FORM

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Figure 4-2 Incident Investigation Reporting Form (Form 5-002) (2 of 5)

Page 2 of 5

**Events leading up to the incident/accident**

Incident/accident description

Photographs

- Insert photographs

Timeline

- Insert timeline chart

**2. Key findings**

The key findings outline why the incident/accident occurred. The contributing factors identified from the investigation have been categorised using the ICAO-recommended Reason model of accident causation. The analysis chart is shown as an appendix in section 6 of this report.

**Contributing factors**

Based on the evidence to hand, the investigation team believe the following were the main contributing factors to the incident:

Absent or failed defences

- Insert contributing factor
- Insert contributing factor
- Insert contributing factor
- Insert contributing factor
- Insert contributing factor

Individual or team actions

- Insert contributing factor
- Insert contributing factor
- Insert contributing factor

Task or environmental condition

- Insert contributing factor
- Insert contributing factor
- Insert contributing factor

Organisational factors

- Insert contributing factor
- Insert contributing factor
- Insert contributing factor

**3. Conclusions and observations**

The investigation concluded the following findings were or could have been contributory factors to the incident/accident:

- Insert conclusion or observation
- Insert conclusion or observation
- Insert conclusion or observation
- Insert conclusion or observation
- Insert conclusion or observation

FORM 5-002 30SEP16 – INCIDENT INVESTIGATION REPORTING FORM

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Figure 4-3 Incident Investigation Reporting Form (Form 5-002) (3 of 5)

Page 3 of 5

**4. Recommendations**

The following recommended corrective actions are put forward for consideration.

The recommendations address the **absent or failed defences** and **organisational factors** identified as key findings of the investigation. These recommendations are applicable to [APTA Member] and could benefit other APTA operators.

**Heading**  
Detail and explanation

**Heading**  
Detail and explanation

**Management review of the investigation report**

The management of [APTA Member] should formally review the investigation report for completeness, quality of the investigation and to endorse the recommended corrective actions.

It is recommended that the following action plan is implemented:

**Distribution**

To maximise the effectiveness of the investigation report, its findings and conclusions should be distributed as widely as practicable internally within APTA Members and externally to industry bodies.

**Implementation of corrective actions**

Corrective actions will be formally presented to the responsible manager for implementation. An action plan and time frame will be agreed and endorsed by the appropriate level of management. An action plan is attached in section six of this report.

**Implementation monitoring**

The completion of corrective actions must be documented and communicated by the responsible manager to the CEO and copied to the APTA Group Head of Safety. Where corrective actions have not been fully implemented, ongoing monitoring should be maintained until implementation is complete.

**Analyse effectiveness**

The effectiveness of the corrective actions should be evaluated by a review of safety performance and through an audit within the next six months. A report will be prepared for management to detail compliance and progress achieved.

**Document archiving**

Investigative data and reports will be archived in accordance with procedures specified in the APTA Base Procedures manual.

**5. Significant lessons**

The investigation has raised a number of key lessons which are covered in the body of the report. The significant lessons for [APTA Member] are:

**Heading**  
Detail and explanation

**Heading**  
Detail and explanation

**Heading**  
Detail and explanation

**6. Appendices**

**REASON MODEL ANALYSIS**

The features of the Reason model analysis chart for the purposes of this interim report are:

- It provides a graphical representation of all the key circumstances and factors relating to the incident
- It outlines the relationship of the various elements considered throughout this report.
- The chart is also designed to:
  - Provide a framework to organise the data collected
  - Assist in assuring the investigation follows a logical path
  - Aid in the resolution of conflicting information and the identification of missing data
  - Provide a graphic display of the investigative process for management briefing.

Accordingly, this chart should not be considered in isolation but in the context of all the comments in this report and, no doubt, the additional matters that will be addressed in the final report.

FORM 5-002 30SEP16 – INCIDENT INVESTIGATION REPORTING FORM

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Figure 4-4 Incident Investigation Reporting Form (Form 5-002) (4 of 5)

Page 4 of 5

**ANALYSIS CHART**

Organisational factors	Task/ environmental conditions	Individual/team actions	Absent or failed defences	Incident

**CORRECTIVE ACTION PLAN**

Item Ref	Recommendation	Responsible department	Responsible person	Completion date	Sign off

**Close-out of incident** – All corrective actions have been completed. Where corrective actions have not been fully implemented, the following measures have been put in place to ensure ongoing monitoring until implementation is complete.

SAMPLE

Name:	Signature:	Date:
-------	------------	-------

**Heading**  
Detail and explanation

**Heading**  
Detail and explanation

FORM 5-002 30SEP16 – INCIDENT INVESTIGATION REPORTING FORM

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**Figure 4-5 Incident Investigation Reporting Form (Form 5-002) (5 of 5)**

Page 5 of 5

**7. Report sign-off**

To maximise the effectiveness of the investigation report, its findings and conclusions should be distributed as widely as possible, especially to the various people involved in the incident.

The completion of corrective actions must be documented and communicated by the responsible manager to the CEO, as well as the APTA Group Head of Safety. Where corrective actions have not been fully implemented, ongoing monitoring should be maintained until implementation is complete.

Feedback to those involved and comments		
Name:	Signature:	Date:
Feedback to the involved person/s manager/s and comments		
Name:	Signature:	Date:
CEO's acceptance of findings and comments		
Name:	Signature:	Date:
APTA Group Head of Safety acceptance of findings and comments		
Name:	Signature:	Date:

SAMPLE

FORM 5-002 30SEP16 – INCIDENT INVESTIGATION REPORTING FORM

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# 5 Management of Change

## 5.1 Introduction

Organisational changes that may require a formal risk assessment might include:

- Implementation of new design systems;
- Amendments and/or modifications to new procedures or operations;
- Appointment of a new senior management team, or senior manager;
- Changes to the work environment;
- New training programs;
- Relocation or expansion; and
- Reallocation of resources and/or responsibilities of key personnel
- Introduction of new aircraft types
- In the case of APTA, introduction of new membership partner

## 5.2 Management of Change Process

The management of change process involves the following steps:

1. Develop the case;
2. Conduct risk assessment and planning;
3. Prepare the plan;
4. Implement the change;
5. Ongoing monitoring and review.

The management of change process will demonstrate that:

- The changes made are implemented in a prudent and staggered way in order to minimise potential adverse effects on organisational and operational safety;
- The use of resources and the involvement of personnel in the process will not impact operational safety;
- A review of previous risk assessments and existing known hazards (and current controls/defences) are undertaken to determine possible validity and consequence; and
- Communication and consultation takes place with all key stakeholders during the management of change process.

### 5.2.1 Monitoring and Review

To ensure changes incorporated do not alter APTA priorities:

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- The Group Head of Safety is to ensure the change is constantly monitored and reviewed, and where necessary, adjusted.
- The Group Head of Safety should ensure that communication and consultation takes place with all applicable employees, students and contractors during the ongoing monitoring and review of changes.

### 5.3 New Member Checklist – SMS

The following Table outlines the process required when a new APTA Member Organisation is in the process of being accepted into the Alliance, with respect to SMS.

This Table is also provided on Form 5-003 – New APTA Alliance Member Checklist, available from FSM or from the Forms Manual (FM).

**Table 5-1 New Member Checklist – SMS**

SMS Element	Check Question	Response	Notes
Safety Policy	<b>Management Commitment</b> 1. Is the APTA Safety Policy readily visible and accessible to Personnel and Students?	No, Yes, N/A	
Safety Policy	<b>Safety Accountability of Managers</b> 2. Are the roles and responsibilities of management in the SMS documented in the BPM? 3. Is management aware of their SMS obligations?	No, Yes, N/A  No/Yes N/A	
Safety Policy	<b>Appointment of Key Safety Personnel</b> 4. Is there a Base Safety Officer (BSO) appointed to champion the SMS? 5. Is there a position description outlining the responsibilities for the BSO? 6. Does the appointed BSO have the required knowledge for the job? 7. Are there sufficient resources to support the SMS at the Base?	No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A	

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SMS Element	Check Question	Response	Notes
Safety Policy	<b>Emergency Response Plan</b> 8. Is there a copy of the ERP for all workplace locations? 9. Has the Member assessed which emergencies are most likely and integrated these into the BPM? 10. Are there sufficient notices in the workplace advising people what to do in the case of an emergency? 11. Does the organization have regular emergency exercises/drills?	No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A	
Safety Policy	<b>Documentation</b> 12. Is the APTA Safety Management Manual readily available to all Personnel and Students? 13. Is the APTA Safety Management Manual maintained in accordance with established document control procedures?	No, Yes, N/A No, Yes, N/A	
Safety Policy	<b>Hazard Identification</b> 14. Is there an effective Hazard Identification program for the Base? 15. Is there a confidential reporting system in place? 16. Are confidential reports de-identified? 17. Are hazards associated with contractors included? 18. Is there a procedure for acknowledging safety related reports? 19. Are the results of hazard reports and safety suggestions made available to the initiator?	No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A	

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SMS Element	Check Question	Response	Notes
Safety Policy	<b>Risk Assessment and Mitigation</b> 20. Is the process for risk assessment and management in place? 21. Is the process for continuously assessing hazards for their risk potential being completed? 22. Does the organization follow the process for managing risks to a tolerable level?	No, Yes, N/A  No, Yes, N/A  No, Yes, N/A	
Safety Policy	<b>Internal Safety Investigation</b> 23. Is the reporting system for safety occurrences utilized by Students and Personnel? 24. Are the procedures for accident and incident investigation being followed? 25. Are there enough resources/time dedicated to conducting investigations? 26. Are the recommendations/ corrective actions tracked to ensure completion by FSM? 27. Is a 'Just Culture' policy applied post investigation to consistently manage at risk behavior?	No, Yes, N/A  No, Yes, N/A  No, Yes, N/A  No, Yes, N/A  No, Yes, N/A	

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SMS Element	Check Question	Response	Notes
Safety Policy	<b>Management of Change</b> 28. Is the documented change procedure followed? 29. Are changes planned and staggered? 30. Does the change procedure require identification of and consultation with all stakeholders? 31. Does the change management procedure contain risk management strategy to reduce the risks associated with the proposed change? 32. Is performance monitored after the change has been completed?	No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A No, Yes, N/A	
Safety Policy	<b>Continuous Improvement</b> 33. Does the organization have internal and external audits to check the SMS is working?	No, Yes, N/A	

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SMS Element	Check Question	Response	Notes
Safety Promotion	<b>Training and Education</b>		
	34. Is there a supply of safety related information readily available to all Students and Instructors?	No, Yes, N/A	
	35. Are Instructors encouraged and assisted in attending safety related training courses and seminars?	No, Yes, N/A	
	36. Are new Instructors given sufficient training in their duties prior to being allowed to operate?	No, Yes, N/A	
	37. Is the refresher training and checking for all employees adequate?	No, Yes, N/A	
	38. Are employees given sufficient training in new procedures?	No, Yes, N/A	
	39. Are Instructors adequately trained and checked for both competence and standardization?	No, Yes, N/A	
Safety Promotion	40. Are all employees trained in the procedures and policies of the APTA SMS?	No, Yes, N/A	
	<b>Safety Communication</b>		
	41. Are regular briefings/toolbox talks/newsletters used to communicate specific messages about current safety issues?	No, Yes, N/A	
	42. Are there set standards for safety communication methods?	No, Yes, N/A	
	43. Does the organization share safety related messages to all employees?	No, Yes, N/A	

### 5.3.1 Additional Requirements

Reference should also be made to the Aircraft Hire Agreement and Construct Supplement for each Aircraft Registration which includes Approval of the Maintenance Organisation and related matters.

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## 5.4 Safety Promotion

All employees, students and contractors are required to complete relevant sections of the APTA Safety Management System Training Program.

Safety promotion communicates the lessons learned, safety information, safety procedures and key safety messages from management that can assist the Alliance Members to foster improved safety performance.

Safety promotion includes safety training of all employees and students on the areas relevant to their involvement with the APTA Members and distribution of safety communication media to all relevant stakeholders.

The two key components of safety promotion are:

- Safety training and education; and
- Safety communication.

All employees, students and contractors are required to complete relevant sections of the APTA Safety Management System Training Program.

The initial training shall be carried out within the first month of commencing duties.

Recurrent training will take place every two years.

The Safety Manager will deliver the course and keep a record of the training using the software based flight training administration system.

The APTA Group Head of Safety is responsible for the ongoing maintenance improvement and updating of the course and ensuring that any relevant safety related issues are included.

If any additional specialist training or education is required, it will be sourced and managed by the APTA Group Head of Safety.

Operational employees and students shall be trained on:

- Human Factors Principles and Non-Technical Skills;
- Operating and safety procedures;
- Recognizing and reporting hazards;
- APTA safety policy and Safety Management System fundamentals and overview; and
- Hazards, consequences and risks, safety risk management process, roles and responsibilities, safety reporting and the organization's safety reporting system.

Safety Committee members shall be trained, in addition to the above, on:

- Safety responsibilities;
- Promoting the Safety Management System and engaging operational employees in hazard reporting;
- Hazard identification and safety risk assessment and mitigation;
- Change Management;

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- Safety data analysis;
- Compliance with the Civil Aviation Safety Authority and the APTA safety requirements;
- Establishing acceptable levels of safety;
- Safety assurance and safety promotion;
- Safety roles and responsibilities; and
- Knowledge of the Civil Aviation Safety Authority Safety Management System regulations.

Reference should also be made to the Human Factors Integration and HF/NTS components listed in 0.1.1 of this Volume (OM5) and to the APTA Safety Management System (SMS) Training Manual.

## **5.5 Company CASR Part 141/142 Exposition Change Management and Associated Processes**

### **5.5.1 Philosophy**

A process of being able to implement change in an organisation in a manner that is simple, accountable, and effective is essential to that organisations development. APTA has determined that there are three main types of change process that would normally be used.

- Minor Change;
- Change that is Significant; and
- Change that is Not Significant.

In addition, two other types of change are prescribed although they relate to changes to permanent appointment of Key Personnel and Immediate Change.

### **5.5.2 Change Management Committee**

The Change Management Committee consists of a quorum of attendees at the regular Management Meeting which by convention occurs on Wednesday Morning at the APTA Head Office. In order to ensure a broad representation, a standing invitation extends to the following personnel.

CEO, HOO, HOS, Internal Coordinator, the approved Standby Key Personnel, Senior Base Pilots, Training Managers, CASA personnel, and other attendees as required from time to time.

Instructors are encouraged to attend on occasion, to gain a greater insight into the Company Processes. In these cases prior notice is requested.

In order for the attendees at the Management Meeting to be deemed the Change Management Committee, attendees must include the following:

- Safety Manager or Standby Safety Manager.

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- One other member of the Key Personnel or Standby Key Personnel.
- Representation of at least 50% of Bases.

Video Conference facilities are available for Bases to more easily facilitate their involvement.

### 5.5.3 Minor Change and Associated Process

The Group CEO can make an immediate determination for matters deemed to be of a minor nature, such as Company Procedures not associated primarily with CASA regulatory compliance, minor spelling errors, typing and typesetting, or matters of a similar minor nature. Minor change is an effective way of implementing change that could be deterred by associated complicated processes.

### 5.5.4 Significant Change and Associated Process

Significant Change means a change in relation to the following:

- Location and operation of any of the operator's training bases;
- Changes to the operators Corporate or Organisational Structure;
- The Operator's Key Personnel or a person authorised to carry out the responsibilities of any of the key personnel;
- The formal reporting line for a managerial or operational position reporting directly to any of the key personnel;
- The qualifications, experience and responsibilities required by the operator for any of the key personnel;
- The familiarisation training mentioned in regulation 142.170 for any of the key personnel;
- The operator's process for making changes that are Significant or Not Significant;
- The Authorised Part 142 activities conducted by the Operator;
- The types of aircraft used to conduct the activities;
- Any leasing or other arrangements for the supply of a Turbine Engine Aircraft;
- Changes to the ownership or types of Flight Simulation Training Devices (FSTDs);
- "Change in relation to any of the following that does not maintain or improve, or is not likely to maintain or improve, aviation safety". For further clarity, if the proposed changes are related to any of the following, and could degrade aviation safety the following items are also considered to be significant change
  - Procedures by which the operator conducts and manages the activities;
  - The Operator's Operations Manual;
  - The Operator's Dangerous Goods Manual (if any);
  - The Operator's Training Management System Manual;

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- The way that the Operator manages the risk of fatigue in its personnel;
  - The Operator's Internal Training and Checking System Manual;
  - The Operator's Safety Management System Manual ;
  - The QA Manual if operating only FSTDs;
  - The way the aircraft are managed or maintained; or
  - The way the continuing airworthiness of the aircraft is assured;
  - or
- A change required to be approved by CASA under the applicable Regulations, other than a change that results in the reissue or replacement of an instrument previously issued by CASA in which the conditions or other substantive content of the instrument are unchanged.
1. The Change request is submitted to the IC via Form 1-001 or Form 1-005 as appropriate.
  2. The IC submits the request to the Group CEO or appropriate Key Person for determination as to whether change is 'Minor or 'Significant' or 'Not Significant'.
  3. The IC gathers the required information for the Management Meeting (Notice given to all Key Personnel via the meeting agenda, in order to research the issue and gather information to be provided at the meeting).
  4. At the Management Meeting confirm a quorum for the meeting to be deemed the 'Change Management Committee'.
  5. The Group CEO or Key Person raises the topic at the Meeting.
  6. A New policy or Procedure is formulated.
  7. One (1) Week 'cooling off' and finalisation.
  8. The New policy or Procedure is submitted to CASA for acceptance/approval with a supporting 'safety case'.
  9. Once CASA approval is obtained;
  10. The Group CEO is responsible for overseeing promulgation and implementation.

#### 5.5.5 Change that is Not Significant and Associated Process

Not Significant Change is change that is related to items not deemed to be significant change, but more substantive in nature than minor change. The Group CEO is the accountable person for determination of the classification of level of the change.

1. The Change request is submitted to the IC via Form 1-001 or Form 1-005 as appropriate.
2. The IC submits the request to the Group CEO or appropriate Key Person for determination as to whether change is 'Minor' or 'Significant' or 'Not Significant'.

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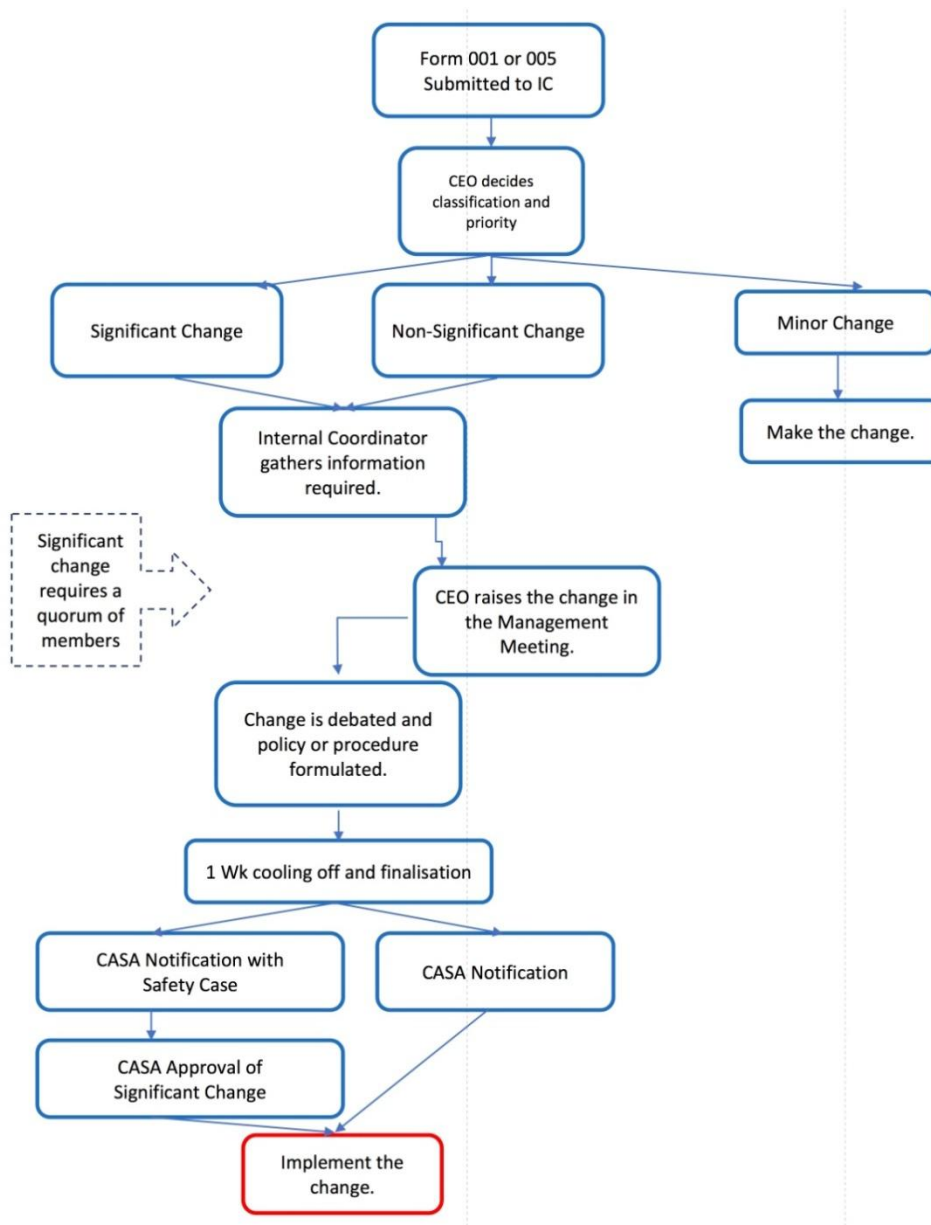
3. The IC gathers the required information for the Management Meeting (Notice given via the meeting agenda where possible for key personnel).
4. The Group CEO or Key Person raises the topic at the Management Meeting.
5. A New Policy or Procedure is formulated.
6. One (1) Week 'cooling off' and finalisation.
7. The New Policy or Procedure is implemented.
8. The Group CEO notifies CASA where deemed appropriate.

#### **5.5.6 Changes to the Permanent Appointment of Key Personnel and Associated Process**

These changes are managed slightly different than significant and non-significant change. A Person can become an Appointee to a Key Personnel Position if they have been previously authorised and identified within the Exposition to carry out that role, however a written approval must be sought from CASA within seven (7) days of them being appointed. An appointment of a non-authorised person to a Key Personnel position can be made in exceptional circumstances but Written CASA approval must be sought within seventy-two (72) hours.

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Figure 5-1 Change Management Process



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## 5.6 Continuous Improvement

The Company Continuous Improvement Process is documented via the review processes outlined for various activities within this Volume (OM5) in relation to Safety Management, Risk and Change Management processes, in the document change process in Operations Manual, Volume 1 (OM1), Chapter 2 of this Exposition and in the handling and resolution of matters raised on Form 1-001 (Document Change Request Form) and Form 1-005 (Continuous Improvement Opportunity Form) and the activities and reviews undertaken in connection with these processes.

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## 6 Operational Forms

### 6.1 Forms

This Chapter contains a list of Forms that are applicable to this Volume and Forms listed are thus controlled by this Volume. Personnel should carefully check the related Form prior to use to ensure that the correctly dated form is selected and utilised in accordance with the information shown below.

**Table 6-1 – Forms Controlled by Volume 5 (OM5)**

Form Number	Name or Purpose	Effective Date
5-001	Hazard Report Form	15APR17
5-002	Incident Investigation Reporting Form	15APR17
5-003	New APTA Alliance Member Checklist (SMS) Form	15APR17
5-004	Basic Audit Checklist	15APR17
5-005	Air Safety Occurrence Report (ASOR)	15APR17
5-006	Non Conformance Form	20OCT17
5-007	SMS Acknowledgement and Acceptance Form	30APR18
5-008	Significant Change Assessment Form	30APR18
5-009	Air Safety Occurrence Report Log Form	16MAY18

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# 7 Additional Information

The following provides a keyword index of this Volume for easy reference.

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