



Australian Government

Civil Aviation Safety Authority

Fatigue Risk Management System Handbook

Version 1.0: April 2013

Version 1.0: April 2013

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Since this is an uncontrolled version of the manual which will not be updated by CASA, it should not be relied upon for any regulatory purpose. The current manual can be viewed at any time via CASA's website at www.casa.gov.au. You should always refer to the applicable provisions of the Civil Aviation Act, Civil Aviation Regulations and the Civil Aviation Orders, rather than this manual, to ascertain the requirements of, and the obligations imposed by or under, the civil aviation legislation.

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The Fatigue Risk Management System Handbook

Table of Contents

Approved by Executive Manager CASA Operations Version 1: April 2013

Table of Contents

Preface	v
Foreword	v
<i>Mandatory Use of Policy and Procedure Manuals</i>	<i>v</i>
Introduction	vi
<i>Regulatory Decision Making</i>	<i>vi</i>
<i>Departure from Authorised Policy</i>	<i>vii</i>
<i>Consultation Process</i>	<i>viii</i>
<i>Decision-Maker's Responsibilities</i>	<i>viii</i>
<i>Supervisor's Responsibilities</i>	<i>viii</i>
Policy Sponsor's Responsibilities	<i>ix</i>
Revisions to Policies and Manuals	<i>ix</i>
Revision History	x
1. Introduction	1-1
1.1 Purpose of the Handbook	1-1
1.2 Using the FRMS Handbook	1-2
1.3 Definition of Terms	1-2
1.4 Roles and responsibilities	1-3
1.4.1 CASA	1-3
1.4.2 Applicant	1-3
1.5 Assessment Methodology	1-4
2. Fatigue Risk Management – Flight Crew Members	2-5
2.1 Entry Control Requirements - Regulatory Milestone 1	2-5
2.2 Assessment Criteria	2-6
2.3 Regulatory Milestone 2	2-6
2.3.1 FRMS Policy	2-6
2.3.2 FRMS Safety Objectives	2-8
2.3.3 Management commitment and responsibility	2-8
2.3.3.1 Chief Executive Officer (CEO)	2-9
2.3.4 FRMS Implementation Plan	2-9
2.3.4.1 FRMS training program plan	2-10
2.3.4.2 FRMS Communication Plan	2-10
2.3.5 FRMS Training	2-11
2.3.5.1 Overall requirements and standards	2-11
2.3.5.2 Curriculum: Crew	2-11
2.3.5.3 Curriculum: Crew schedulers – initial and recurrent	2-12
2.3.5.4 Curriculum: FRMS Manager and FSAG – initial and recurrent	2-13
2.3.5.5 Curriculum: Senior Management	2-13
2.3.6 FRMS Communication	2-14
2.3.7 Appointment of key FRMS personnel	2-15
2.3.7.1 FRMS Manager	2-15
2.3.7.2 Fatigue Safety Action Groups	2-17
2.3.8 FRMS Documentation	2-20
2.3.9 Operator Application	2-21
2.4 Regulatory Milestone 3	2-21
2.4.1 Fatigue risk assessment and mitigation	2-21
2.4.2 Hazard Identification	2-22
2.4.2.1 Reactive processes	2-22
2.4.2.2 Safety Performance Indicators (SPIs)	2-24
2.4.2.3 Proactive Processes	2-26
2.4.2.4 Predictive Processes	2-28
2.4.2.5 Planned Safety Assurance Processes	2-30
2.4.2.6 Implementation of FRMS processes by the operator	2-30
2.4.3 FRMS Limits	2-31
2.4.4 Planned Safety Assurance Processes	2-32

The Fatigue Risk Management System Handbook

Table of Contents

Approved by Executive Manager CASA Operations Version 1: April 2013

2.4.5	CASA Inspector Review	2-33
2.4.6	Trial FRMS Implementation Approval	2-34
	2.4.6.1 Operator Initiated changes to the FRMS – during trial	2-34
	2.4.6.2 CASA initiated changes	2-35
2.4.7	FRMS Trial – Operator responsibilities	2-35
2.5	FRMS Safety Assurance Processes	2-35
	2.5.1 Monitoring of FRMS Performance	2-36
	2.5.1.1 Pre-Trial	2-36
	2.5.1.2 Trial FRMS Implementation	2-36
	2.5.1.3 FRMS Investigation	2-36
	2.5.1.4 FRMS Audit	2-37
	2.5.1.5 FRMS Surveys	2-38
	2.5.1.6 Fatigue Studies	2-38
	2.5.2 Management of Change	2-38
	2.5.3 Continuous Improvement	2-39
2.6	FRMS Promotion Process	2-40
2.7	Regulatory Milestone 4	2-41
	2.7.1 Planning and programming the FRMS trial validation (CASA Inspector)	2-41
	2.7.2 Assessment for Full FRMS Implementation Approval	2-41
	2.7.3 CASA Inspector verification process	2-42
	2.7.4 Extending the trial period	2-43
	2.7.5 Full FRMS not approved by CASA	2-43
2.8	FRMS Requirements for Ultra Long Range (ULR) Operations	2-43
2.9	Applicable Legislation and Advisory Material	2-43
	2.9.1 Applicable legislation	2-43
	2.9.2 Advisory Material	2-44
3.	RESERVED	3-45

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

Foreword

As a Commonwealth government authority, CASA must ensure that its decision-making processes are effective, fair, timely, transparent, consistent, properly documented and otherwise in accordance with the requirements of the law.

Most of the regulatory decisions CASA makes are such that conformity with authoritative policy and established procedures will be conducive to the achievement of these outcomes. From time to time, however, decision-makers will encounter situations in which the strict application of policy, in the making of a decision involving the exercise of discretion, would not be appropriate. Indeed, in some cases, the inflexible application of policy may itself be unlawful.

This preface and the following Introduction, explains the way in which the policy and processes set out in this manual are to be used by all CASA's personnel when making decisions in the performance of their functions, the exercise of their powers and the discharge of their duties. It also explains the processes to be followed if it appears that a departure from policy is necessary or appropriate.

Mandatory Use of Policy and Procedure Manuals

This manual is one of the set of manuals and other documents which comprise CASA's authorised document set. The authorised document set contains the policy, processes and procedures with which CASA personnel are expected to comply when performing assigned tasks. All CASA personnel are required to have regard to the policies set out in this manual. Except as described in the Introduction, CASA decision-makers should not depart from these policies, processes and procedures.



John F. McCormick
Director of Aviation Safety

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

Introduction

Regulatory Decision Making

Where the legislation provides for one, and only one decision—the “correct” decision—is the only decision open to CASA. However, most of the decisions CASA makes involve the exercise of discretion. In such cases, there may well be more than one acceptable or correct decision. In these cases, the law requires that CASA makes the “preferable” decision, that is, the most appropriate decision, having regard to the overriding interests of safety and the obligation to be fair.

In all such cases, CASA is bound to act in accordance with the applicable rules of administrative law. These rules govern how CASA arrives at the ‘preferable’ decision in any given case. Adherence to these rules is a requirement, not an option. Decisions and actions taken in contravention of these rules are unlawful, unenforceable, and in most cases invalid. CASA is legally accountable for the decisions it makes, and CASA decision-makers are obliged to avoid the appearance, as much as the reality, of unlawful decision-making.

Sound and lawful regulatory decision-making is generally governed by the 10 rules of administrative law summarised below. Adherence to these rules is essential to CASA’s obligations of accountability and good governance.

Natural Justice (Procedural Fairness)

- **Hearing Rule.** Persons affected by CASA’s decisions have a right to be heard. To be meaningful, the hearing rule normally requires that CASA provides persons with notice (usually in advance) that a particular decision is going to be taken, and the reasons for the decision CASA proposes to take. Without notice and a statement of reasons, there may be little point to providing a person with an opportunity to be heard.

Rule Against Bias. Decision-makers should not have a **personal** or **pecuniary interest** in the outcome of their decisions. Neither may decision-makers prejudge (or **pre-determine**) matters in respect of which they are called upon to make a decision.

1. A decision-maker must not act for **improper purposes**. Even if the purposes for which a particular decision are lawful, the decision may only be taken for the purposes specifically authorised by the law under which the decision has been taken.
2. A decision-maker must not take any **irrelevant considerations** into account in coming to a decision.
3. A decision-maker must take all **relevant considerations** into account in coming to a decision.

Note: Applicable Policy is Always a Relevant Consideration.
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4. A decision-maker must act on the basis of evidence, not mere supposition or speculation.

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

5. A decision-maker must not formulate requirements in **vague** or **uncertain terms**.
6. A decision-maker must not inflexibly apply policy (although departures from policy will normally need to be justified).
7. A decision-maker must not act under dictation (although this does not preclude adherence to formal directions, compliance with lawful conditions in relation to the process by which a decision is taken or the obligation to consult in the process of considering a decision).
8. A decision-maker must decide the matter within a reasonable time.
9. A decision maker must not act in a way that is manifestly unreasonable. A decision must not be so unreasonable that no reasonable person would make such a decision.

Note: The meaning and application of these principles, and related considerations of administrative law, are covered more fully in the induction and orientation training undertaken by all CASA employees. Any questions in relation to these matters should be referred to the Legal Services Division.

Departure from Authorised Policy

Adherence to CASA's authorised policies will almost always produce an appropriate decision. As said, however, from time to time there will be circumstances in which the strict application of policy may not result in the "preferable" decision. In these cases it may be appropriate (and possibly necessary) to depart from otherwise applicable policy. Any departure from policy must be justified in order to ensure that it:

- Is genuinely necessary in the interests of fairness
- Does not inappropriately compromise the need for consistent decision-making; and, of course
- Is not in conflict with the interests of safety
- Without fettering a decision-maker's discretion, it is therefore expected that appropriate consultation will occur before a decision is made that is not the product of the policies and processes set out in this manual. The prescribed consultation process is described below.

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

Consultation Process

Decision-Maker's Responsibilities

When a decision-maker believes there is a need to depart from policy he or she is expected to consult with his or her direct supervisor. This process should be initiated in writing:

- Setting out the pertinent facts and circumstances
- Identifying the provisions of the policy normally applicable
- Stating why the application of that policy would not result in the making of the “preferable” decision in the circumstances to hand
- Specifying the approach the decision-maker believes is more likely to result in a “preferable” decision.

Supervisor's Responsibilities

In considering a consultative referral, the decision-maker's supervisor should:

- Advise the decision-maker as to whether his or her assessment of the relevant considerations appears to be complete and correct
- If, in the opinion of the supervisor, the circumstances do not warrant a departure from policy, provide the decision-maker with written advice and guidance as to how the decision might more properly be approached within the current policy framework

Note: Reliance on relevant precedent is a sound basis on which to ground such an opinion. It may also be helpful to seek advice from peers, superiors and/or CASA's Legal Services Division.

- If, in the opinion of the supervisor, a departure from policy is warranted, the supervisor should ensure the policy sponsor (normally the relevant Executive Manager) is advised of:
 - i. The alternative approach the decision-maker will be taking to the matter.
 - ii. The intention to depart from the otherwise applicable policy

The supervisor should ensure that a full written record of these actions is made and maintained.

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

Note: In no case may the terms of decision be dictated to a delegate authorised to exercise discretionary decision-making powers.

If a decision-maker's supervisor or the policy sponsor is not satisfied that the decision the decision-maker intends to make is the correct or preferable decision in all the circumstances, responsibility for that decision should be assumed by, or assigned to, another authorised delegate in accordance with appropriate processes and procedures.

Policy Sponsor's Responsibilities

If the policy sponsor concurs in the proposed departure from policy, he or she should ensure the decision-maker is advised accordingly as soon as possible.

If the policy sponsor does not believe the proposed departure from policy is warranted, he or she should:

- Advise the supervisor accordingly
- Assume responsibility for the decision
- Ensure that the decision-maker and any person affected by the decision (for which the policy sponsor has assumed responsibility) is advised accordingly
- Make the decision in a manner consistent with the applicable policy.

The policy sponsor should ensure that a full written record of these actions is made and maintained.

Nothing in these processes should be interpreted or applied so as to dictate the terms of the decision to be made by a decision-maker authorised to make discretionary decisions under the civil aviation legislation, or to delay unreasonably the making of such decisions.

Revisions to Policies and Manuals

As a result of experience in applying policies and procedures, users will form views as to accuracy, relevance and applicability of the content.

CASA personnel are required to provide recommendations for revisions to policies and processes in this or any other manual should they become aware of shortcomings. In this way the policies and manuals will be continually improved and remain relevant to the tasks being undertaken.

The Fatigue Risk Management System Handbook

Preface

Approved by Executive Manager CASA Operations Version 1: April 2013

Revision History

Revision History No	Date of revision
RH 1 Original Version	April 2013
RH 2	

1. Introduction

From 30 April 2013, [Civil Aviation Order 48.1 Instrument 2013](#) (the **new CAO 48.1**) is available to operators to transition to a new regime for the management of flight crew member fatigue. CAO 48.1 allows three means of compliance (tiers), one of which provides operators the option to develop and operate to a Fatigue Risk Management System (FRMS) once approved by CASA for implementation.

FRMS is available to all Australian AOC holders.

Establishing a FRMS requires appropriately-resourced operators who are capable of developing and maintaining the system. For those operators who do not have the necessary resources appropriate for a FRMS suitable for their size, complexity and operating context, another tier of CAO 48.1 must be complied with.

An operator may apply to CASA for approval to implement a FRMS for all or part of its operations in accordance with the provisions of Appendix 7 to CAO 48.1. CASA has adopted [ICAO's Standards and Recommended Practices \(SARPs\)](#) in developing Appendix 7. CASA FRMS policy aligns with ICAO guidelines, the [ICAO FRMS Manual for Regulators and FRMS Implementation Guide for Operators](#), available from the ICAO website.

1.1 Purpose of the Handbook

The FRMS Handbook provides AOC Operators or Applicants with information on how to obtain a CASA approval of their Fatigue Risk Management System.

The FRMS Handbook supports the [FRMS Process Manual](#), which outlines the steps CASA and the Applicant need to take and guidance on the entry control requirements for the processing of an application for a CASA approval of a FRMS.

The Handbook, together with the FRMS Process Manual, aims to establish transparency in CASA decision-making process.

This guidance will be updated once legislation covering other aviation safety sensitive personnel is available. However, an operator may elect to include staff other than flight crew members within their FRMS.

This Handbook is subject to a continuous improvement program and as such is under continuous development and review. Suggestions for change or amendment can be submitted to fatigue.management@casa.gov.au

The Fatigue Risk Management System Handbook

1.0 Introduction

Approved by Executive Manager CASA Operations Version 1: April 2013

1.2 Using the FRMS Handbook

The CASA staff are required to follow the procedures and policies in this Handbook. An applicant may use these policies and procedures as guidance when preparing for a CASA approval for a FRMS.

By adhering to the Handbook's policies and procedures, a standard and unified approach consistent with regulatory requirements will be maintained.

In this Handbook the words *must* or *shall* are used to indicate that CASA requires the policy or procedure to be adhered to. The word *should* is used to indicate that a degree of latitude may be exercised and the CASA team member will use their experience and training to make a decision based on the information available.

The statements referring to what an operator 'must' do is consistent with the legislative requirements of CAO 48.1. Where options are suggested in the document by using words such as 'should' or 'could', it is important to note that these relate to methods to assist in compliance with CAO 48.1 consistent with the [ICAO FRMS Manual for Regulators and FRMS Implementation Guide for Operators](#).

Where an option is implied, it does not mean it can be dismissed as unnecessary, rather, it means it is not the only method by which legislative objectives or compliance outcomes may be met. Should an operator propose a method different to what is outlined in the Handbook, the operator has to satisfy CASA that it achieves compliance.

The development by the operator and approval by CASA, of a FRMS is an iterative process. An operator may:

- Progressively develop their FRMS following the step by step process outlined in this FRMS handbook and FRMS process manual closely; OR
- Simultaneously provide (as in the case of an experienced operator) with their application all the requirements outlined in Phase 1-3.

The AOC holder should be aware that the latter approach may facilitate expediency, but could also cause delays if the process has not been fully understood in developing an FRMS.

Irrespective of the approach taken by the operator, the CASA Inspector will need to ensure that the milestone checks and the checklists are completed and the documentation satisfactorily meets the requirements of CAO 48.1.

1.3 Definition of Terms

For the definition of the terminologies used in this Handbook, refer to Part 1, Section 6 of the Civil Aviation Order 48.1 Instrument 2013.

The term *Trial FRMS Implementation* has been at times abbreviated in this Handbook as simply *FRMS trial* or *the trial*.

The Fatigue Risk Management System Handbook

1.0 Introduction

Approved by Executive Manager CASA Operations Version 1: April 2013

“The terms *organisation*, *operator*, *applicant* have been used in this document to mean an AOC holder, or an applicant for a new AOC proposing to operate under Appendix 7 in the CAO 48.1.”

Any reference to CAO 48.1 in this document refers to Civil Aviation Order 48.1 Instrument 2013 or any amendment thereof.

1.4 Roles and responsibilities

1.4.1 CASA

It is the responsibility of the Regional Office to discuss an application for an FRMS approval and assign assessing inspector/s who have had FRMS assessor training.

CASA Inspectors, in assessing applications for trial or full FRMS implementation approvals, must refer to and follow the legal requirements of [CAO 48.1](#), in the context of the assessment procedures and scientific principles set out in the Section. It is not the purpose or intention of this Handbook to comprehensively set out all of these legal requirements.

The CASA Inspector/s is responsible for assessing an operator’s proposed FRMS over its development phases which will involve using the [FRMS Inspector’s Assessment Checklist](#) and CASA guidance on FRMS. CASA Inspectors will conduct assessments at various times, but formally during ‘milestone’ check points which are before and after Phase I and after Phases III and IV of the ICAO-recommended FRMS approval process.



NOTE: *It is not CASA’s role to develop the operator’s FRMS or to perform the duties of the operator’s FRMS Implementation Team or act as a consultant.*

1.4.2 Applicant

The applicant is responsible for the development and implementation of their FRMS including all associated procedures and practices. The applicant is required to:

- provide CASA with a statement of intent (Form 824A) if a pre application meeting is requested, followed by a formal application form (Form 824B) to the Permission Applications Centre (PAC)
- complete supporting documents
- attend meetings as required by CASA
- pay the required CASA fee
- conduct operations in accordance with the approved initial trial processes
- provide CASA reports and other information as required
- submit for CASA approval any changes to the FRMS which require CASA approval
- provide CASA notification of any changes which do not require CASA approval

The Fatigue Risk Management System Handbook

1.0 Introduction

Approved by Executive Manager CASA Operations Version 1: April 2013

- once the FRMS is approved, conduct and maintain operations as per the approved FRMS.

1.5 Assessment Methodology

CASA assessment of the applicant's FRMS aligns with the approval process outlined in [ICAO's FRMS Manual for Regulators \(2012\)](#) as depicted in Figure 1.0. The regulatory milestones throughout the FRMS approval process are identified at the arrow points in Figure 1.0. Milestones 2, 3 and 4 need to be achieved before full approval of the FRMS can be given. The chapter references at the bottom of each Phase window in Figure 1.0 refer to the chapters in the ICAO FRMS Manual for Regulators. Completion of each phase prior to the applicable regulatory milestones is the responsibility of the operator.

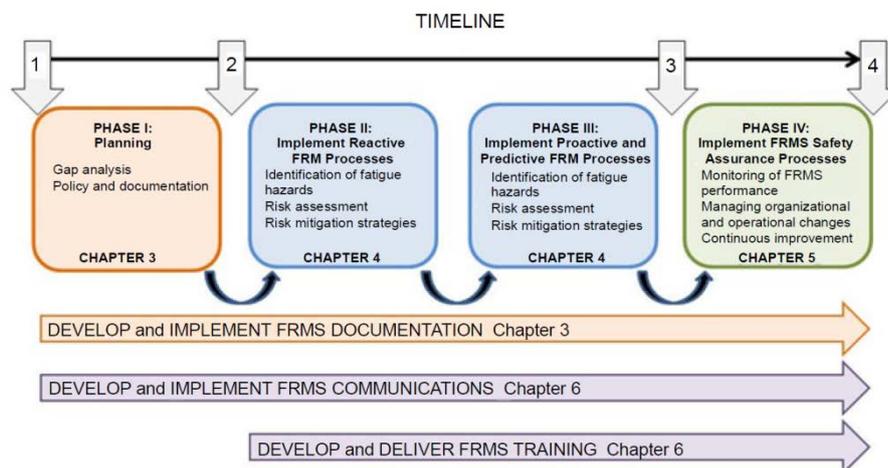


Fig 1.0

Detailed information on the CASA FRMS process and procedures is available in the [AOC Process Manual](#).

This section of the Handbook provides additional information or explanations on the assessment procedures associated with each of the milestones as outlined in the CASA FRMS procedures.

The CASA Inspector will monitor and review the progress of the operator's FRMS implementation from Phase I to IV to verify that the regulatory milestones throughout the process are identified and achieved before the following approvals are granted:

- approval to conduct the FRMS trial
- full approval of the applicant's FRMS.

Both the Applicant and the CASA Inspector should maintain contact throughout the implementation.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2. Fatigue Risk Management – Flight Crew Members

2.1 Entry Control Requirements - Regulatory Milestone 1

Pre-application meeting requirements

The pre-application meeting is essentially the equivalent of Regulatory Milestone 1 of the ICAO FRMS approval process in Chapter 8 of the FRMS Manual for Regulators (2012).

While an AOC holder can opt to operate under Appendix 7 of CAO 48.1 if they comply with the requirements of the Appendix and CASA has issued an approval for a trial or a full FRMS implementation, CASA expects the applicant to have considered in detail whether their operation can be conducted within one of the other tiers of CAO 48.1 (i.e. compliance with Appendix 1-6), and has identified areas where they have determined this isn't possible or practicable, before submitting their application. This process is called the "requirements analysis". CASA requires the AOC holder to have done a *requirements analysis* prior to CASA conducting a pre-application meeting.

The Applicant will need to complete [Form 824A – Statement of Intent to Request CASA Approval of an FRMS](#), and provide the same to CASA in advance of the pre-application meeting.

The pre-application meeting agenda will cover the following items:

- entry control requirements
- application process
- estimate cost and the payment process
- assessment process – trial FRMS implementation and full FRMS implementation approvals
- implementation plan – at the minimum, outline the anticipated project dates for the submission of required documentation and implementation of FRMS processes
- the requirements analysis
- an interview of the nominated FRMS manager (if so appointed) to determine suitability for the role
- review of the operator's provision of resources for system development and management after approval
- CASA will provide the operator [Form 817 – FRMS Applicant Assessment Checklist](#) created to assist the operator in system development.

Pre-Application meeting requirements for an operator

Prior to the pre-application meeting the operator will need to:

1. Complete [Form 824A – Statement of Intent to Request CASA Approval of an FRMS](#).

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2. Conduct a *requirements analysis* for the proposed FRMS.
3. Create an initial implementation plan ensuring adequate resourcing for the development of the FRMS.
4. Designate an FRMS Manager (or however titled) with the responsibility of overseeing the development and introduction of the FRMS. Commensurate with the scope of the FRMS, the nominee should be appropriately qualified, experienced and trained. This may include a plan for training to address any minor deficiencies prior to the Milestone 3 Approval for trial.

2.2 Assessment Criteria

Before full FRMS implementation approval is granted to an applicant, the CASA Inspector must be satisfied that the operator's FRMS meets the requirements of CAO 48.1 (including, as applicable, subsections 7 to 15 in CAO 48.1, and in particular the requirement set out in subclauses 1.5 and 9.1 in Appendix 7 of CAO 48.1. The operator must demonstrate through establishing and exercising the FRMS processes and procedures in a trial, how the FRMS provides an acceptable level of safety which should be at least equivalent to or better than that required by the prescriptive rules contained in [CAO 48.1](#) that would otherwise apply to that type of operation. The CASA Inspector must take into account how likely safety outcomes under a proposed FRMS would, in all the circumstances, compare with likely safety outcomes under application of another appropriate Appendix of CAO 48.1 that could reasonably apply in the same circumstances.

The assessment criteria have been developed into [Form 818 – FRMS CASA Inspector's Checklist](#).

Applicants must comply, and document their compliance, with each requirement of Appendix 7 to CAO 48.1. [Form 817 – FRMS Applicant Assessment Checklist](#) is provided to assist the applicant to comply with the requirements.

The FRMS must be integrated within an operator's approved SMS. If the SMS is not an approved SMS, but forms a part of the company operations manual, then the SMS should also be integrated with this document. If the SMS does not form a part of the company operations manual, that is, it is not visible to CASA, then the FRMS must form part of the operations manual.

2.3 Regulatory Milestone 2

Regulatory Milestone 2 constitutes assessment of the following FRMS Phase 1 elements:

2.3.1 FRMS Policy

The applicant's FRMS policy is a required high level statement which ties many of the FRMS elements together. The policy must cover the overarching components required of a FRMS, must identify the lines of accountability and include a statement of the company's commitment to FRMS. The FRMS policy must be approved in writing by the CEO of the AOC

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

holder (if the holder is an individual—that person, or if the AOC holder is a corporation—the Executive Officer (CEO) for section 28 of the *Civil Aviation Act 1988*), and be accessible to all relevant areas and levels of the organisation in the manner stated in paragraph 2.3 (d) in Appendix 7 of CAO 48.1, that is “be accessible to all relevant areas and levels of the organisation in a way that indicates the AOC holder’s specific endorsement of the policy”. The CASA Inspector will confirm all aspects of an applicant’s FRMS policy have met the requirements as detailed in CAO 48.1¹. Policy statements must:

1. Make it clear that while primary responsibility for the FRMS lies with the AOC holder, its effective implementation requires shared responsibility by management, FCMs, and other relevant personnel.
2. Clearly indicate the safety objectives of the FRMS.
3. Be communicated, with visible endorsement, to all the relevant areas and levels of the organisation.
4. Declare management commitment to the provision of adequate resources for the FRMS.
5. Declare management commitment to continuous improvement of the FRMS.
6. Require that clear lines of accountability for management, FCMs and all other involved personnel are identified.
7. Require periodic reviews of the FRMS to ensure it remains relevant and appropriate and adhered to.

The FRMS policy should also contain a management commitment to an operational environment that promotes a healthy safety culture based on an *open and fair reporting culture*².

The signed FRMS Policy should specifically commit the organisation to openly accepting the displacement of crew from duty if, considering the circumstances of the flight to be undertaken, the crew member has reason to believe that he or she is suffering from, or is

¹ Clause 2 of Appendix 7 to CAO 48.1

² Characterised by the following elements:

> an informed culture—one in which those who manage and operate the system have current knowledge about the human, technical, organisational and environmental factors that determine the safety of the system as a whole

> a reporting culture—in which people are willing to report errors and near misses

> a just culture—a culture of ‘no blame’ where an atmosphere of trust is present and people are encouraged or even rewarded for providing essential safety-related information; but where there is also a clear line between acceptable and unacceptable behaviour

> a flexible culture—characterised as shifting from the conventional hierarchical mode to a flatter professional structure

> a learning culture—in which there is the willingness and the competence to draw the right conclusions from its safety information system, and the will to implement major reforms when the need is indicated.

Each of these elements relates to one or more of the availability and sharing of information, the promotion of flexibility and innovation, and supporting honesty and transparency (and through that, avoiding barriers to the free flow of information) through a ‘no blame’ approach. (James Reason, *Achieving a Safe Culture: Theory and Practice*, *Work and Stress*, 1998, Vol 12, No 3, 293–306)

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

likely to suffer from, fatigue which may so impair performance that the safety of the operation may be affected.

2.3.2 FRMS Safety Objectives

The safety objectives in the FRMS policy specify what the operator wants the FRMS to achieve.

The FRMS objectives must clearly indicate safety as the priority.

FRMS objectives stated in the FRMS Policy should adhere to the SMART principles:

- Specific
- Measurable
- Achievable
- Realistic and
- Timeframe within which they are to be achieved.

To track whether the FRMS is meeting these objectives, its performance needs to be monitored. Examples of safety performance indicators and targets that can be used to measure how well the FRMS is meeting the safety objectives can be found in [2.4.2.2 Safety Performance Indicators \(SPIs\)](#).

For example, an operator may have a safety objective of reducing to zero the number of fatigue related incidents during the last 3 months of the FRMS trial prior to requesting CASA approval of a full FRMS implementation.

Other FRMS objectives may include:

- proactive management of operational risk of reduced alertness in order to maintain a safe operation
- adequate flight crew member training and resourcing to avoid, detect and mitigate fatigue impairment
- reporting and acting upon fatigue hazards and incidents within the specified timeframe to minimise the chance of recurrence
- continued awareness and application of contemporary fatigue research as part of their continuous improvement reviews of their FRMS
- Ensuring healthy levels of participation by making sure all areas of the organisation feel well represented in the processes and decision-making that occurs in the FRMS.

The CASA Inspector will verify if the operator has supported their objectives with specific SPIs and associated safety targets. The CASA Inspector is to be satisfied that these have the potential to effectively measure progress towards achieving the FRMS objectives.

2.3.3 Management commitment and responsibility

Through the applicant's CEO the company must demonstrate a genuine commitment to the management of fatigue [[paragraph 2.3 \(e\) to CAO 48.1](#)].

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

The CASA Inspector will confirm the following aspects are visible throughout the applicant's documentation and are endorsed by management:

1. Sufficient resources are allocated to develop, establish, train for, implement and maintain the FRMS. These resources need to be clearly identified with evidence showing that the applicant has allowed for any associated capital or human resource expense.
2. Resource allocation is linked into the FRMS development in accordance with the FRMS implementation plan.
3. An appropriate organisational structure is documented and available to ensure the effective functioning of the FRMS. The structure will need to show all the FRMS linkages in the company from the CEO down through the Fatigue Safety Action Group (FSAG) – see [2.3.7.2 Fatigue Safety Action Groups](#) - to the training department, rostering staff and crew and with appropriate linkages to the SMS.
4. Stakeholder identification and a consultation process relative to the scope of the FRMS. Stakeholders should include, but not limited to: Management, flight crew representatives, rostering staff, the company's procurement officers, and contractors working under the FRMS, and might include where appropriate, FRMS specialists, FRMS training staff accommodation providers, and other external parties.
5. There is appropriate integration with SMS. SMS processes are designed to address all types of aviation safety risks. FRMS processes are specifically designed to manage the risks associated with flight crew member fatigue and reduced alertness. CASA Inspectors will assess the integration by reviewing the gap analysis carried out within the applicant's Phase 1 of the FRMS development. Should the FRMS be integrated with an SMS which has not been subject to approval, then a control measure will need to be identified to ensure unauthorised modification of the FRMS does not occur.
6. Clear FRMS decision making processes, including:
 - clear roles and responsibilities and level for decision making
 - escalation processes
 - clearly defined time periods for response.

2.3.3.1 Chief Executive Officer (CEO)

The CEO of the AOC holder is responsible for:

- development and sign-off of FRMS policy
- endorsing and managing the changes to any element of the FRMS as stated in subclause 7.7 in Appendix 7 of [CAO 48.1](#)
- provision of adequate resources and authority to support the FRMS.

2.3.4 FRMS Implementation Plan

Many elements needed for an FRMS may already be in place in an operator's organisation. One of the first steps in FRMS implementation is for the operator to undertake a gap analysis to:

- identify elements of the FRMS that are already available in existing systems and process
- identify existing systems and processes that could be modified to meet the needs of FRMS (to minimize "re-inventing the wheel")

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- identify where new systems and processes need to be developed for the FRMS prior to approving the trial FRMS implementation
- establish and initiate a training plan
- establish and initiate a communication plan.

For example, an operator may already have a confidential safety reporting system as part of its SMS. Existing report forms may need to be modified to include the information needed to analyse the role of fatigue in safety events. Additional training may be needed for the staff responsible for analysing safety data to ensure that they know how to analyse for the role of fatigue in events. A procedure will need to be added for information on fatigue-related events to be communicated on a regular basis to the FSAG. Fatigue reports may also be used as an FRMS safety performance indicator. In this case, a procedure would need to be added for this information to be evaluated regularly as part of the FRMS safety assurance processes.

The results of the gap analysis are used as the basis for the development of the operator's FRMS implementation plan. Essentially, this provides a road map describing how the development of each of the FRMS processes will proceed, with realistic timelines. The implementation plan should reflect the requirements of Appendix 7 to CAO 48.1 such that all required processes and procedures are in place with evidence they are reasonably capable of managing fatigue risk prior to the trial and with only some safety assurance processes and system validation still to be accomplished during the trial.

2.3.4.1 FRMS training program plan

As part of the implementation plan the operator should have a program for FRMS training activities to support the implementation plan for the FRMS. Stakeholders need training to ensure that they are competent to undertake their roles and responsibilities in the FRMS as the implementation plan rolls out and prior to CASA approving the implementation of the trial FRMS.

For the FRMS to be effective, all personnel who contribute to FRMS safety performance need to have appropriate training. This includes crew members, crew schedulers, operational decision-makers, all members of the FSAG, and personnel involved in overall operational risk assessment and resource allocation. It also includes senior management, in particular the executive accountable for the FRMS and senior leadership in any department managing operations within the FRMS.

2.3.4.2 FRMS Communication Plan

The implementation plan should include a FRMS communication plan that details the means of dissemination of FRMS policies, procedures and responsibilities to all stakeholders and describes communication channels used to gather and disseminate FRMS-related information. For more details of the requirements refer to [2.3.6 FRMS Communication](#).

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.3.5 FRMS Training

2.3.5.1 Overall requirements and standards

Before approval for trial, the operator must establish an FRMS training program to ensure all work groups associated with the FRMS are appropriately trained for their roles. This could include:

- identifying training requirements relevant to the roles performed
- establishment of standards for initial and recurrent training for all personnel (crew and non-crew) are specified in the FRMS documentation
- ensuring initial training is delivered on commencement with crew trained prior to commencing any operational duty, and non-crew are provided initial training prior to any FRMS related decision making
- a training program with a formal assessment process to evaluate staff competency – this will need to include retraining and subsequent assessment requirements in the event of a trainee failing an assessment
- recurrent training – The recurrent training program will need to identify the specific intervals between the last training received and the next training to be delivered. For at least the first three years after the FRMS Approval, CASA expects the training to be delivered at least annually. The frequency may be reduced (e.g. biennially) provided CASA can be satisfied the training has been highly effective
- adopting an appropriate training method which allows transfer of knowledge and assessment of competence
- ensuring FRMS Instructors have:
 - appropriate knowledge of fatigue science relevant to the scope of operations
 - comprehensive knowledge of the workings of the operator's FRMS
 - a formal training qualification demonstrating the ability to develop and deliver training, and design and conduct competence assessments.

The training program is subject to safety assurance processes including at least audit and formal annual review to ensure it is achieving the required outcomes and remains relevant.

2.3.5.2 Curriculum: Crew

The CASA Inspector will verify the syllabus for initial training for crew includes at least the following:

Fatigue Science Module

- Basic physiology relating to the functioning of the body and brain, and the need for sleep

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- Understanding of the impact of circadian rhythms, the Window of Circadian Low, sleep stages, sleep debt and zeitgebers³
- Causes of reduced alertness in crew operation(s)
- Consequences of reduced alertness for crew and in aviation operation(s)
- Fatigue symptoms and identification of fatigue in self and others
- Fatigue mitigation strategies
- Basic information on sleep disorders and treatment.

FRMS Processes and Outcomes Module

- An overview of the FRMS structure, how it works and who is involved
- Crew and operator responsibilities with respect to the FRMS including mandatory fatigue reporting
- Requirements relating to fitness for duty and removal from duty due to fatigue
- The roles of crew in FRMS processes particularly with respect to the fatigue reporting system and implementing mitigations
- The importance of accurate fatigue data - both subjective and objective
- Personal strategies to improve sleep and to minimize their own fatigue risk
- Participation in any internal FRMS sub-committees, e.g. pairing/roster review
- FRMS publications and information availability.

Crew will be required to make operational decisions based on their knowledge of fatigue. This requires the operator to be able to demonstrate that crew comprehend the information provided in training and can competently apply this. A formal method of assessment will also need to be incorporated in the training process.

In order to confirm that a crew can make correct operational decisions with respect to fatigue, a minimum pass mark of 80% should be considered as a minimum pass mark. The operator is required to have a documented process to deal with required retraining and reassessment could also form a part of the training program (paragraph 6.2 (a) in Appendix 7 of CAO 48.1)

Given the syllabus, CASA considers that the minimum time to deliver the training and assess competency would be four hours.

The syllabus for recurrent training for crew should include at least the following:

- updated version of Fatigue Science from initial training (condensed if appropriate)
- updated version of FRMS Processes and Outcomes from initial training (condensed if appropriate)
- recent fatigue reports, events and incidents and the lessons learnt.

Any recurrent training is to be assessed with a pass mark of 80% or above indicating a minimum pass.

2.3.5.3 Curriculum: Crew schedulers – initial and recurrent

³ **Zeitgeber** (from [German](#) for "time giver," or "synchronizer") is any exogenous (external) cue that synchronizes an organism's endogenous time-keeping system ([internal clock](#)) to the earth's 24-hour light/dark cycle and 12 month cycle

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

The operator's training program should ensure that training is provided to crew schedulers prior to any FRMS related decision-making and includes:

- fatigue Science Module from crew initial training (condensed if appropriate)
- FRMS Processes and Outcomes Module from crew initial training
- how scheduling affects sleep opportunities and can disrupt the biological clock, the fatigue risk that this creates, and how it can be mitigated through scheduling
- the use and limitations of any scheduling tools and bio-mathematical models or other algorithms used to predict the levels of flight crew member fatigue/alertness
- the role of crew schedulers in the FRMS with respect to fatigue hazard identification, risk assessment and reporting
- processes and procedures for assessing the potential fatigue impact of planned scheduling changes
- processes and procedures for implementing scheduling changes recommended by the FSAG
- processes and procedures for removal of crew from duty due to fatigue.

The competence of crew schedulers should be assessed to ensure they can appropriately discharge their roles and responsibilities with respect to the FRMS.

The CASA Inspector will verify the training program has been clearly documented and has been implemented accordingly.

2.3.5.4 Curriculum: FRMS Manager and FSAG – initial and recurrent

Training is provided prior to any FRMS related decision making and includes:

- enhanced Fatigue Science Module
- enhanced FRMS Processes and Outcomes Module
- the responsibilities and accountabilities of different stakeholders in the FRMS
- linkages between the FRMS and parts of the operator's overall safety management system
- linkages between the FRMS and other parts of the organisation for example the scheduling department, flight operations, medical department, etc
- regulatory requirements for the FRMS
- comprehensive knowledge of the use and limitations of any scheduling tools and bio mathematical models or other algorithms used to predict the levels of flight crew member fatigue/alertness
- understanding the application of an *open and fair reporting culture* and its principles
- processes and procedures for removal of crew from duty due to fatigue.

Given that the FRMS Manager and FSAG are responsible for development of the FRMS Training Program, these persons may acquire fatigue and FRMS knowledge outside of the organisation.

2.3.5.5 Curriculum: Senior Management

Training is provided to senior management including the CEO and includes:

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- an overall understanding of flight crew member fatigue and the safety risk that it represents to the organisation
- an overview of the FRMS structure and how it works, including the concepts of shared responsibility and an effective reporting culture, and the role of the FSAG
- the responsibilities and accountabilities of the stakeholders in the FRMS, including themselves
- an overview of the types of fatigue mitigation strategies being used by the organisation
- the use and limitations of any scheduling tools and bio-mathematical models
- FRMS safety assurance metrics used by the organisation
- understanding the application of *open and fair reporting culture* and its principles
- regulatory requirements for the FRMS.

2.3.6 FRMS Communication

Under subclause 6.1 in Appendix 7 of CAO 48.1, the operator's communication programs must be capable of supporting and continuously improving all elements of the FRMS in the delivery of optimum safety level.

The CASA Inspector will verify that the FRMS Communication are effective at communicating FRMS policies, procedures and responsibilities to all stakeholders and communication channels are effective at gathering and disseminating FRMS-related information. FRMS Communication should address the following requirements:

- the confidential nature of communication from and by crew (reports, surveys, etc.) and the data gleaned from such activity
- a policy detailing the ethical use of information and data from crew communications
- all fatigue reports are responded to in order to ensure the reporter has confirmation the report has been received
- all fatigue reports which are subject to any level of investigation result in the generation of a further response to the reporter at the completion of the investigation processes to summarise any relevant actions and/or findings
- the Minutes of FSAG etc. are made available to all stakeholders through the intranet or by physical distribution (de-identification may need to be undertaken to ensure the confidentiality of reports, investigations etc)
- accurate concise and timely FRMS publications about fatigue and the activities and safety performance of the FRMS are:
 - developed and disseminated to all stakeholders
 - endorsed by CEO
 - produced at least quarterly to ensure fatigue issues are brought to the attention of stakeholders with regularity
 - appropriately focussed to ensure fatigue messages are not obscured by other information
 - relevant with information about recent fatigue events, hazards and/or investigations to demonstrate the need for vigilance

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- appropriate to reinforce the concept of shared responsibility and the application of an *open and fair reporting culture*.

2.3.7 Appointment of key FRMS personnel

CASA will review the organisation's structure diagram, recruitment and training programs included in the company's manual and other supporting documents to verify the organisation has sufficient and appropriately qualified personnel to administer the FRMS.

There needs to be a clear mechanism for ongoing involvement and lines of communication documented for all involved personnel through a functional group responsible for coordinating FRMS activities. The processes to support this are to be defined and documented. Refinement of this will continue throughout the development of the FRMS.

Changes to the names or details of individuals with roles and responsibilities under the FRMS do not require prior CASA approval. The operator, however, is required to notify CASA, in writing by the FRMS Manager, of the changes within seven (7) days ([sub clause 7.8, CAO 48.1](#)). On receipt of the notification, the CASA Inspector will review the changes to determine the changes are acceptable.

2.3.7.1 FRMS Manager

The organisation must identify an FRMS Manager (or however named) who is responsible for the development, implementation and maintenance of the FRMS.

If the operator has a SMS in place, whether the SMS has been approved under CAO 82.3 or CAO 82.5 or is a SMS the operator has opted to establish, it should be made clear that the FRMS Manager reports directly to the Safety Manager or directly to the CEO.

If FRMS is contained within the SMS, and the SMS is not an approved SMS, the SMS must form part of the operations manual, i.e. all elements of the FRMS must remain visible to CASA and controls are to be in place to ensure no unintended amendment to the approved FRMS occurs.

2.3.7.1.1 FRMS Manager Roles and Responsibilities

The FRMS Manager is the responsible individual and focal point for the implementation and maintenance of an effective FRMS. The FRMS Manager will have clear accountabilities and authority including:

- ensuring that processes for the FRMS are established, implemented and maintained
- ensuring the FRMS documents and records are maintained
- coordinating FRMS hazard identification and risk management processes
- monitoring the performance of the FRMS
- continuous improvement of the FRMS
- reporting to the Safety Manager/CEO on the performance of the FRMS

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- ensuring appropriate FRMS training is developed and delivered
- ensuring the promotion of the FRMS is carried out within the organisation.



NOTE: *The CASA Inspector must be aware of how training is conducted. If the training is competency based and forms part of a training system, then the CASA Inspector will need to be suitably qualified to assess this training.*

2.3.7.1.2 FRMS Manager – regulatory Milestone 2 requirements

The FRMS Manager is to have a comprehensive understanding of FRMS, acquired through formal training and practical experience. It is expected that the FRMS manager will have attended courses, training sessions and forums covering latest developments in fatigue science plus complete the company's internal FRMS training. It is recommended that CASA Inspectors conduct an interview with these personnel and assess their connection (knowledge of operations and availability) to the organisation and their knowledge and ability to fulfil their responsibilities. Should a shortfall in any area become apparent, this will need to be conveyed to the CEO without delay.

The FRMS Manager's knowledge, skills and attributes should include:

- a broad operational knowledge and experience in the functions of an aviation organisation
- a sound knowledge of FRMS principles and practices
- a sound knowledge and understanding of Human Factors
- well-developed interpersonal and communication skills
- proven organisational leadership ability
- investigative and analytical skills
- knowledge of and the ability to apply the principles underpinning an *open and fair reporting culture*
- knowledge of document control and management procedures
- familiarisation with different fleets, types of operations, routes, etc
- knowledge and understanding of bio-mathematical modelling or other fatigue related modelling the operator will use.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013



NOTE: These knowledge requirements are scalable dependent upon the type of AOC and activities the FRMS will append to. The above can be used as a guide for a large airline.

For an FRMS Manager to be considered acceptable, the individual could have received formal training in the following:

- human performance limitations focussing on fatigue and FRMS
- Human Factors principles with respect to understanding the role of human performance in accident prevention and causation
- accident and incident investigation
- development, implementation, operation and maintenance of an FRMS
- crisis management and emergency response planning
- safety promotion
- continuous review and improvement
- Crew Resource Management (CRM), Threat and Error Management (TEM), Flight Data Monitoring/Analysis (FDM/FDA), Line Operations Safety Audit (LOSA).

2.3.7.1.3 Staff contingency and succession planning

The operator should have procedures to avoid potential disruption to system management in the absence of the FRMS Manager or other FRMS key personnel. The policies should cover short and extended period of absences or carriage of duties and responsibilities remotely.

This contingency process will also need to cover the communication and handover processes to ensure personnel and CASA are notified of the change as required by legislation.

2.3.7.2 Fatigue Safety Action Groups

In order to meet the requirements generally of clause 3 in Appendix 7 of CAO 48.1 and specifically to provide the *mechanism* required under paragraph 2.6 (b) in Appendix 7, an operator could create a functional group that is responsible for coordinating the fatigue management activities within the organisation. Such a group is referred to here as the FSAG, which must include suitably trained personnel, and provide for effective representation for all relevant system stakeholders.

2.3.7.2.1 Composition of the FSAG

In deciding the composition of the FSAG, the operator will need to consider its operational and organisation profile, its activities, its interactions with other parts of the organisation, and the need to ensure active and ongoing participation from all stakeholder groups within the organisation. Stakeholder representation should be proportional to the size of the stakeholder group operating under the organisation's FRMS. The FSAG must comprise

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

sufficiently, experienced, trained and qualified personnel. For example for an air transport operation stakeholder representation should include a representative (or representatives) from:

- flight crew members
- staff responsibilities for crew scheduling
- management
- any other technical discipline, if included within the FRMS (e.g. cabin crew)
- appropriate subject matter experts—such as human factors or fatigue specialists
- other stakeholder representatives—such as third party contractors.

Where the organisation is small but with a functioning SMS, it may not be practical to have a FSAG but instead to have fatigue as an agenda item on the Safety Action Group (SAG) meetings as long as the FRMS Manager and sufficiently trained and qualified personnel who are representative of all significant FRMS scoped stakeholders are included in the SAG.



NOTE: *It is not unusual for the members of FSAG to hold other positions within the company at the same time. There is no provision that prohibits them for doing so other than those associated with being able to meet the stand alone requirements of each role.*

2.3.7.2.2 FSAG Terms of Reference

Terms of Reference (TOR) set out the parameters within which the FSAG or similarly named group will function and specify how the group is accountable.

The TOR for this group has to clearly define the following:

- the objective and position in the overall company structure
- the decision-making process
- frequency of meetings
- the groups scope and deliverables
- the group members roles and responsibilities.

In an organisation with an SMS, the Safety Review Board (SRB) or similar will oversee the FSAG, while for less complex organisations a Safety Committee may also have oversight of the FRMS and discharge the responsibilities of the FSAG.

An example of a TOR for a FSAG is included in Chapter 3 – FRMS Policy and documentation of the [ICAO FRMS Manual for Regulators \(2012\)](#). As an example, the TOR may cover the following:

- schedule of FSAG Meetings with formal agendas and minutes circulated to all relevant parties in a timely manner
- meetings will include review of all fatigue data including reports required by the FRMS

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- the FRMS Manager chairs the FSAG meetings
- attendees of FSAG Meetings with representation from all FRMS stakeholder groups
- FSAG members assist the FRMS manager fulfil his/her duties.

The statement of duties and responsibilities of the FSAG may include any or all of the following:

- develop and maintain the FRMS documents and records
- at a pre-defined frequency, gather, analyse and report on data that facilitates the assessment of fatigue-related operational risks among flight crew members
- ensure the FRMS meets the safety objectives stated in the FRMS Policy
- develop, implement and monitor processes for the identification of fatigue hazards
- ensure comprehensive risk assessments are undertaken for fatigue hazards
- develop, implement, and monitor controls and mitigations as needed to manage identified fatigue hazards. Report to the Safety Manager and CEO if resources are insufficient to have the required controls
- develop, implement, and monitor effective, measurable FRMS safety performance indicators
- develop, implement and monitor FRMS safety assurance processes, based on agreed targets
- develop, implement and monitor a specific process for removal of crew from duty due to fatigue
- continuous review of the latest fatigue science findings and operational advances in fatigue risk management principles and practice including the design, analysis, and reporting of studies that measure flight crew member fatigue
- lead the continuous review and improvement process making recommendations for amendments to the FRMS
- establish any internal FRMS-related sub-committees, development of the terms of reference and ensuring the appropriate functioning of such sub-committees
- monitor differences between scheduled and actual flight times, duty periods and rest periods that will be considered "significant" within the context of their operations. Take immediate action if limits are identified as being regularly exceeded. This monitoring should be analysed for individual routes as well as across all company routes as a whole
- be responsible for the development, updating, and delivery of FRMS education and training materials
- ensure that all relevant personnel receive appropriate FRMS education and training within specified time frames, and that training records are kept

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- develop and maintain strategies for effective communication with all FRMS stakeholders
- ensure staff receive a response to their fatigue reports
- communicate fatigue risks and the performance of the FRMS to senior management
- ensure adequate access to scientific and medical expertise is available, and recommendations made by these specialist advisors are documented and the corresponding actions taken
- effectively manage FRMS resources.

2.3.8 FRMS Documentation

Before issuing an approval for either the trial FRMS implementation or the full FRMS implementation, the CASA Inspector must be satisfied that the FRMS Manual, however named and whether published as a stand-alone document or part of the SMS or the Operations Manual, meets the requirements of paragraphs 14.3, 14.4, and 14.10 in CAO 48.1, and subclause 1.2 in Appendix 7 of CAO 48 and also satisfies the rest of the requirements in subclauses 1.4 and 1.5 of the Appendix. Prior to Regulatory Milestone 3 (assessment for trial FRMS implementation approval), the FRMS Manual is considered a draft document and may be amended at the discretion of the operator.



NOTE: *An operator applying for CASA approval of a FRMS may be currently operating to an approved FRMS as an exemption under paragraph 4.1 of CAO 48.0 for all or part of their operation. It is the responsibility of the operator to maintain separation between these two sets of documentation. Upon receiving approval to trial their FRMS under [Appendix 7, CAO 48.1](#), the FRMS Manual approved as an exemption under paragraph 4.1 of CAO 48.0 will cease to apply for that part of their operation for which the FRMS approved for trial under CAO 48.1 Appendix 7 applies.*

The documentation that describes the following elements shall be developed and provided with the application and will be assessed at Regulatory Milestone 2:

- FRMS policy and objectives
- accountabilities, responsibilities and authorities for FRMS processes and procedures
- the organisational structure as it relates to FRMS—should also show links to SMS
- identification of the specific operations to which the FRMS will apply
- FRMS Implementation Plan—and associated gap analysis
- FRMS processes and procedures:
 - for the purposes of Regulatory Milestone 2 the documentation should include, as a minimum
 - the proposed fatigue risk assessment process
 - the proposed safety assurance process

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- FRMS training programs, training requirements and attendance records:
 - for the purposes of Regulatory Milestone 2 the documentation should include a training plan as a minimum
 - the training plan may be included as part of the implementation plan
- FRMS Communication procedures and processes:
 - for the purposes of Regulatory Milestone 2 the documentation should include a communication plan as a minimum
 - the communication plan may be included as part of the implementation plan
- the planned terms of reference for the FSAG.

All documents and records relating to the FRMS, as outlined in paragraphs 14.6 and 14.7 of [CAO 48.1](#), are to be retained by the operator for at least ten (10) years from the date of the record, and must be made available to CASA upon request.

The amendment and distribution of FRMS documentation will require a document control process in place.

The [Form 817 – FRMS Applicant Assessment Checklist](#) provides a list of required documentation.

2.3.9 Operator Application

Once the operator has developed the FRMS to the point where they have completed Phase I and are confident they meet the requirements for Regulatory Milestone 2 as detailed above, they should apply via [Form 824B – Application for Approval of a Fatigue Risk Management System](#) to the [Permission Application Centre](#). The application must be accompanied with the required documentation.

Once the application and associated documentation has been allocated to the Regional Office, the CASA Inspector may now complete the Regulatory Milestone 2 assessment. The CASA Inspector must record the processing time spent as the application proceeds from this point.

2.4 Regulatory Milestone 3

Regulatory Milestone 3 constitutes assessment of FRMS Phase II and III and the approval to conduct an FRMS trial.

2.4.1 Fatigue risk assessment and mitigation

Fatigue risk assessment follows SMS principles, combining risk identification, analysis, evaluation and treatment. It evaluates the potential for injury, equipment damage, or loss due to a fatigue hazard and provides recommendations to management of that risk.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

The operator's risk management process must include risk assessment and mitigation procedures to determine the probability and consequence of fatigue-related events and identify when the associated risks require mitigation. The operator must ensure that:

- fatigue hazards are identified
- once the risk is identified and classified, appropriate remedial action or mitigation measures are implemented to reduce the level of risk to *as low as reasonably practicable* (ALARP)
- all levels of residual risk which fall into the tolerable range have a designated level of management who are required to sign-off as accepting the risk
- any residual or remnant risk (however named), which remains after mitigation, is subject to further mitigation as a result of continuous improvement
- formal records of the risk management processes are maintained
- risk management processes involve relevant SMEs and stakeholders
- all persons involved in the FRMS have undertaken the required training as prescribed in their FRMS.

The formality under which this information is gathered is scalable. At a minimum an operator would require:

- a risk matrix detailing the fatigue risks
- the risk profiles, the treatment measures
- the residual risk
- the responsible person
- the relevant dates.

International Standards of Risk Management require that the operator will not continue with an operation where the level of risk is at an intolerable level. The designation of what constitutes intolerable risk must be set out in the safety risk management section of the operator's FRMS documentation.

2.4.2 Hazard Identification

The operator must develop and maintain documented reactive, proactive and predictive processes for fatigue hazard identification, risk assessment and mitigation.

2.4.2.1 Reactive processes

FRMS reactive processes are designed to identify the contribution of crew member fatigue to safety reports and events associated with potential negative safety consequences in order to determine how the impact of fatigue could have been minimised. An operator may need to consider the experiences of other operators conducting similar operations.

The reactive hazard identification processes involve the consideration of actual or potential effects of reduced alertness on operational safety with the aim of reducing the likelihood of similar occurrences.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

Subclause 4.7 in Appendix 7 of CAO 48.1 provides the following examples of triggers for reactive processes:

- fatigue reports
- confidential reports
- audit reports
- incidents
- flight data analysis (FDA) indicating a potential or actual event.

The reactive hazard identification processes are closely aligned with the fatigue investigation processes. Depending on the severity of the event, a fatigue analysis could be undertaken by the FSAG. The findings of any fatigue investigation should be recorded as part of the FRMS documentation.

In analysing the potential contribution of fatigue to any event, the operator will need a formal process to establish whether

- a flight crew member was, on the balance of probability, in a fatigued impaired state
- the actions or decisions of the flight crew member were causal in any actual or potential adverse outcome
- those actions or decisions were consistent with the type of behaviour expected of a fatigued person or flight crew member.

In analysing whether a flight crew member was, on the balance of probability in a fatigued state, the operator has to consider:

- how much sleep the flight crew member needs to feel fully rested
- how much sleep the flight crew member achieved in the previous 24 hours (acute sleep loss)
- how much sleep the flight crew member achieved in the previous 72 hours (cumulative sleep debt)
- how long the flight crew member had been awake at the time of the event (extended wakefulness)
- the position in the circadian cycle of the flight crew member at the time of the event
- the task load at the time of the event (unusually heavy or light)
- Any well-being issue affecting the crew member such as medication taken, sleep disorder or short term illness which may provide for an early onset of fatigue.

Any adverse event that occurs should be assessed to evaluate its causal nature. Fatigue impairment is difficult to assess and these guidelines provide a commencement point. Even though a flight crew member may be suffering from fatigue, this may not be a contributing factor to the event, but it should not be ignored.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.4.2.2 Safety Performance Indicators (SPIs)

FRMS safety assurance procedures must be used to check on and validate the effectiveness of the fatigue-related risk controls used by the AOC holder ([sub clause 5.1 in Appendix 7 of CAO 48.1](#)). To achieve this, the operator must develop and set acceptable levels for SPIs specific to its operation.

SPIs should be developed to measure the full range of FRMS activities and be appropriate for measuring the effectiveness of the FRMS and the level of fatigue safety risk in operations. SPIs are developed as a result of risk management and need monitoring.

The operator should:

- develop and document SPIs to assess the functionality of the entire FRMS and the associated processes
- provide valid scientifically defensible reasons to justify their selection of SPIs
- establish the basis on which they selected the thresholds for SPIs.

SPIs can include at least:

- schedule-related indicators – dependent on the type of operation conducted
- proactive/reactive fatigue indicators
- documented specific measures or tolerances which must be achieved to keep the associated risks within a tolerable range
- identified critical SPI measures and/or tolerances which if reached require notification to CASA
- a clear understanding which personnel are responsible for monitoring risk and when they are to report if the risk is not being effectively managed within pre-determined parameters.



NOTE: *It is not possible for CASA to document a set of SPIs to cover every type of operation. For example, the values for the SPIs identified by a smaller operator are not likely to be relevant indicators for a more complex operator.*

Examples of schedule-related SPIs:

- number of bids for pairings identified as potential high fatigue risk, e.g. back-to-back night flights
- number of crew duty day exceedences into allowable excesses, e.g. longer than 14 hours
- number of flight duty periods determined to be significantly later than scheduled
- number of flight duty periods longer than a specified number of hours without a rest break within the duty
- number of flight times more than a specified number of minutes longer than planned, e.g. 30 or 60 minutes

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- number of flight duty periods starting within window of circadian low (WOCL)
- number of landings within the WOCL
- number of duty periods with more than a specified number of flight sectors
- number of duty periods with more than a specified number of aircraft changes
- number of times crew monthly flight hours reach a predetermined threshold, e.g. 90% of allowable maximum
- number of times the use of 'captain's discretion' is invoked
- number of successive early wake-ups for sign-on
- number of successive early wakeups combined with long transits between flights
- number of successive early wakeups combined with long duty days
- number of reduced rest breaks within duties (by more than a specified number of minutes determined to be "significant")
- number of reduced rest breaks between duties (by more than a specified number of minutes determined to be "significant")
- number of reserve crew call-outs on particular flights, at a particular crew base, etc
- number of flight deviations or flight completion not accomplished on specific city pairings, due to fatigue, lack of staff, medical emergencies, etc.

As part of this process, the operator defines the parameters by which they determine what is "significant" with respect to at least the following:

- FDPs being longer than scheduled
- reduced rest breaks within duty periods
- reduced rest breaks between duties.

Examples of proactive/reactive fatigue indicators include:

- measured data outside acceptable thresholds, e.g. sleepiness ratings, Psychomotor Vigilance Task (PVT) scores, or inadequate layover sleep duration
- numbers of fatigue reports - analysed by crew base, seat, augmented flights, fleet types, operational types, etc
- number of fatigue-related incidents
- number of fatigue-related Flight Operational Quality Assurance (FOQA) / [Flight Data Analysis Program](#) (FDAP) events associated with a particular schedule for which fatigue reports have been received
- absenteeism/fatigue calls.

Examples of safety assurance indicators include:

- 100% conformance with the FRMS audit program
- a low and reducing over time number of findings raised against the FRMS during internal audit, including no high level findings
- a high level (90% or above) of all FRMS investigations completed in the designated time frame
- a high level (90% or above) of Action Items stemming from audit or investigation completed by the due date.

Examples of safety promotion indicators include:

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- 100% of FRMS induction training is delivered to all relevant personnel prior to the FRMS trial commencing
- 100% of FRMS recurrent training is delivered to all relevant personnel in accordance with the documented training timetable
- after the first three years of FRMS operations, the number of persons failing the competence assessment at FRMS recurrent training falls to less than 0.5%
- the number of FRMS promotional publications required to be produced annually is achieved as per the schedule.



NOTE: Any matter outside the CASA Inspector's expertise can be referred to the CASA Human Factors Section for advice. Human Factors section will appropriately review the proposed SPIs and provide advice on their acceptability.

2.4.2.3 Proactive Processes

FRMS proactive processes focus on monitoring fatigue levels in an operation.

The success of proactive processes depends on the willingness of flight crew members to continually participate requiring an operator to cultivate a reporting culture. To achieve this, the FRMS documents the obligations of the crew to participate in the FRMS processes through reporting of fatigue hazards and events, be involved in monitoring activities, actively engage in training and manage their non-work activity to achieve adequate rest in order to be adequately rested for subsequent duties.

Subclause 4.5 in Appendix 7 of CAO 48.1 provides examples of possible methods of proactive fatigue hazard identification:

- self-reporting of fatigue risks
- crew fatigue surveys
- flight crew performance data
- safety databases and scientific studies
- analysis of planned versus actual time worked.

Outlined below are various methods⁴ which could inform the development of proactive hazard identification processes:

Fatigue reporting

The proactive hazard identification process related to self-reporting of fatigue risk is informed by:

⁴ For additional information refer to Chapter 4 – FRM Processes of the ICAO FRMS Manual for Regulators (2012)

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- a fatigue reporting method which facilitates the simple and expeditious reporting of fatigue
- a fatigue reporting form
- obligations on crew, schedulers, managers and other relevant persons to report fatigue hazards and events

The operator should provide adequate detail in their FRMS on the following:

- locations of report forms
- the methods of submission – whether electronic and/or hard copy
- the timelines for submission – consideration should be given to the consequences or possible consequences of the event in relation to submission and investigation timelines. It is possible that some events will require immediate investigation and possible action. The operator should have a process within their FRMS detailing the circumstances in which a report should be made including the reporting times required for specific events/hazards, e.g. within 24 hours of the fatigue event/hazard occurrence.

To enable this data collection the operator can provide a copy of the fatigue report form in the FRMS manual. The fatigue report form is an integral part of the FRMS⁵. The fatigue report form will need to capture relevant factors including:

- sleep and duty history for a minimum of three days
- time of sustained wakefulness from sleep period at the time of the event and any naps taken in between
- time location and circumstances of the hazard/event
- a scientifically validated alertness or sleepiness scale
- a facility to indicate confidentiality is required
- space for the reporter to state what may have contributed to any fatigue experienced
- a facility to record any fatigue symptoms and any mitigation strategy used to reduce the risk
- a free text field for commentary.

The operator can have procedures in place to ensure:

- all fatigue reports are responded to in the first instance (directly or by automated response to acknowledge receipt)
- a response, detailing the action taken and the outcomes, is provided to the originator for any report which results in investigation or mitigation.

Crew fatigue surveys⁶

The proactive hazard identification process related to crew-fatigue surveys is informed by:

- conducting retrospective surveys at regular intervals (not exceeding two years) to enquire about sleep and fatigue patterns

⁵ Chapter 4-10 of the ICAO FRMS Manual for Regulators (2012) contains additional information of fatigue reporting forms, with an example of the form in Appendix A

⁶ Chapter 4 – FRM Processes of the ICAO FRMS Manual for Regulators (2012) contains additional information on Crew Fatigue Surveys with Appendix A describing measures which can be used for retrospective surveys and perspective monitoring

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- conducting prospective surveys as a focussed activity to monitor fatigue during a duty period trip or roster
- ensuring adequate participation of the target population of crew members (ideally more than 70%) to ensure the survey represents the range and variance of experiences with fatigue and duty
- ensuring surveys are conducted in a scientifically valid manner and that results are subjected to appropriate scrutiny and enquiry, identifying a set of triggers which would require a survey to be conducted when a predetermined threshold was reached, e.g. introduction of a new route, new type; a change in layover times in away ports; a spike in fatigue reports.

Crew performance data⁷

The proactive process related to crew performance data is informed by:

- a validated process to monitor crew fatigue levels both during and outside of operations subjectively by surveys and sleep diaries
- a validated process to monitor crew fatigue levels during operations objectively by actigraphy⁸, Psychomotor Vigilance Task (PVT) testing and polysomnography⁹
- a process to consider information from the Flight Data Analysis Program against potential fatigue risk indicators and fatigue reports
- the use of trained flight deck observers conducting observations by way of a validated process of flight crew performance (e.g. LOSA) to identify potential risks introduced by reduced alertness.

Safety databases and scientific studies

The proactive process related to safety databases and scientific studies is informed by:

- the use of external databases and research papers to complement internal processes to ensure pre-existing validated information about fatigue risks in other operations is evaluated for relevance to the proposed FRMS operations
- operators having adequate processes to remain up to date with changes in the state of knowledge of fatigue risk management.

The proactive process related to analysis of planned versus actual time is informed by:

- analysis of planned activity against completed activity with a focus on detecting changes to schedules, exceeded limits, and use of captains discretion to continue with a delayed duty.

2.4.2.4 Predictive Processes

The operator must use predictive processes which identify fatigue hazards by examining crew scheduling and taking into account factors known to affect sleep and fatigue and their effects on performance.

⁷ Chapter 4 – FRM Processes of the ICAO FRMS Manual for Regulators (2012) contains additional information on Crew Performance data with Appendix A describing a performance test commonly used to measure crew member fatigue

⁸ Actigraphy: Use of actiwatches to monitor sleep patterns

⁹ Polysomnography: the gold standard technology for measuring sleep duration and quality.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

[Sub clause 4.3 in Appendix 7 of CAO 48.1](#) lists 3 possible ways of doing this:

- operator or industry operational experience and data collected on similar types of operations
- evidence-based scheduling practices
- bio-mathematical models.

To enable assessment of bio-mathematical model data, CASA Inspectors must receive training in the model proposed to a level which enables the CASA Inspectors to assess the data likely to be presented by an operator. This may be undertaken by CASA's Human Factors Section. CASA Inspectors should avail themselves of this training so that unnecessary delays are avoided for Regulatory Milestone 3 assessments.

Any matter outside the CASA Inspector's expertise should be referred to the CASA Human Factors Section for advice. Human Factors section will appropriately review the proposed limits, and provide advice on the acceptability of the case for deviation.

The applicant will need to:

- clearly document the scientific basis for scheduling rules
- document the pairing and roster build processes to allow for audit and analysis of the suitability of these processes.

Outlined below are various methods¹⁰ which could inform the development of predictive hazard identification processes:

Previous experience

- brain-storming using experienced operational personnel, schedulers, management
- review of safety reports citing fatigue from the existing operation
- analysis and trending of previous reports of use of *captain's discretion* to extend duty
- analysis and trending of previous 'stand by' usage
- reports and crew fatigue reports, or published scientific research and other information on similar routes
- focussed monitoring of normal operations for fatigue hazards.

Evidence based scheduling practices

- building schedules which incorporate the consideration of fatigue science
- during pairing and roster construction appropriate consideration is given to sleep loss and recovery, circadian rhythms, cumulative fatigue, task fatigue.

Use of a bio-mathematical modelling tool

- selection of a bio-mathematical modelling tool which is appropriate for the type of operation
- the individuals operating the bio-mathematical modelling tool being trained in the use of the tool

¹⁰ For additional information refer to Chapter 4 – FRM Processes of the ICAO FRMS Manual for Regulators (2012)

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- the fatigue profiles predicted by the bio-mathematical modelling tool must be validated by the operator by the collection and analysis of data
- the process of validation of the fatigue profiles predicted by the bio-mathematical modelling tool is commenced by reviewing normal operations in the first instance, and subsequently in operations under the formal FRMS Trial period
- the assumptions and limitations of the bio-mathematical modelling tool are documented and understood by all relevant stakeholders.
- the fatigue scores generated by the bio-mathematical modelling tool are subject to ongoing updates and recalibration of fatigue thresholds based on scientific advances and validated data analysis
- the output of the bio-mathematical modelling tool is not used for "go/no go" decision making about whether an individual is fit for duty.

In 2010 CASA published a paper "[Bio-mathematical Fatigue Modelling in Civil Aviation](#)" which compared attributes and limitations of various fatigue modelling tools. While CASA will not endorse any particular fatigue modelling tool, this paper will provide guidance to operators on selection of an appropriate tool which deals with the fatigue risks of their operation.



NOTE: *A modeling tool which does not account for time zone changes / circadian issues is not appropriate for an operation which has these fatigue factors and as such will not be accepted by CASA for such an operation.*

2.4.2.5 Planned Safety Assurance Processes

The operator will now have completed Phase II and III of the development of their FRMS. The CASA Inspector should be provided with a revised system manual that reflects developments in the areas of risk management, communications, training and the inclusion of planned safety assurance processes.

2.4.2.6 Implementation of FRMS processes by the operator

At Regulatory Milestone 3, the operator is expected to have implemented both proactive and predictive risk management processes. Prior to recommending approval for the trial implementation of the FRMS, the CASA Inspector must be satisfied that these risk management processes are present and operational and appear to be reasonably capable of continuously and effectively monitoring and managing fatigue-related safety risks using scientific principles and knowledge, and operational knowledge, and experience. The CASA Inspector must also be satisfied that they will enable the AOC holder to safely assess the extent to which FCMs and other relevant personnel perform at levels of alertness sufficient to ensure the safety of operations.

The inspector must confirm that reactive, proactive and predictive processes are operational, including risk assessment and the development, implementation and monitoring of appropriate controls and mitigations. This may include review of:

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

1. Reactive risk assessment processes, which may include:
 - a. the fatigue hazard log;
 - b. how the risk matrix was developed and the use of the agreed upon severity and likelihood measures;
 - c. the methodology for the development of mitigation strategies;
 - d. fatigue report procedures;
 - e. any crew surveys; and
 - f. FSAG meeting minutes.
2. Proactive and predictive processes, which may include:
 - a. assessment of agreed fatigue roster metrics;
 - b. any information from bio mathematical modelling;
 - c. development of FRMS performance indicators and their targets;
 - d. supporting scientific documentation;
 - e. FSAG meeting minutes;
 - f. The use of other operational best practices;
 - g. the fatigue hazard log; and
 - h. Further proposed mitigations to reduce the risk.

2.4.3 FRMS Limits

At Regulatory Milestone 3, the FRMS Manual must concisely document the limits developed through the FRMS processes including maximum values for flight times and flight duty periods(s) and duty period(s), and minimum values for rest periods. An FRMS may be required for other than increasing FDPs or decreasing break times, for example an operator may require a deviation from a standard crew rest facility. The FRMS is to clearly identify this deviation.

These deviations are to be based upon supporting scientific principles and knowledge—which should include appropriately gathered operational data—and be subject to the FRMS safety assurance processes.

In determining the values of the prescriptive limits, the operator can incorporate and consider the impact of at least the following matters which may be applicable to their operation:

- rest at home base and away from home base
- state of acclimatisation at the start of a flight duty period
- flight and duty limits
- duty period/s which infringe on a window of circadian low

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- number of sectors to be flown—including identifying the maximum number of sectors to be flown
- augmented/unaugmented crew numbers and crew complement
- the class/es of crew rest facility
- procedures for facilitating inflight rest
- the process for handling delays and extensions
- the process for handling diversions
- ground duties and mixed duties
- standby and positioning
- split duties
- training—both airborne and in simulators.

In reviewing the FRMS limits, the CASA Inspector must consult the relevant Appendix 1-6 to CAO 48.1 based on the type of operation and, where possible, take the limits detailed in that appendix as benchmark limits.

For any deviations from the standards prescribed within Appendix 1 to 6, the Applicant will provide CASA a valid, scientifically defensible safety case to justify each of the deviations. This is essentially the function of the FRMS and the safety case may not become fully apparent until the verification process that occurs during the trial period.

2.4.4 Planned Safety Assurance Processes

While the safety assurance processes are required to be operational by the end of Phase IV and prior to application for full approval, there is to be a planned process, available for review at Regulatory Milestone 3—the time of application for a trial approval. This plan should ensure:

- planned roles and responsibilities for assuring the safety performance of the FRMS are established
- the necessary authorities and communication channels are active and appear to be reasonably capable of continuously and effectively enabling fatigue safety related communications sufficient to ensure the effectiveness of the FRMS
- initial FRMS SPIs have been developed and agreed on - it is anticipated that over the trial period the SPIs will be refined where required such that by the end of the trial there can be some confidence in the effectiveness of the SPIs and targets
- appropriate feedback is established between the FRM processes and the FRMS safety assurance processes.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.4.5 CASA Inspector Review

The CASA Inspector will review and conduct verification and testing exercises to ascertain relevant elements of the FRMS are in place before recommending the approval of the conduct of the FRMS trial:

- the reactive processes
- proactive and predictive processes
- the implementation of appropriate risk controls and mitigations and processes of monitoring their ongoing effectiveness
- the results of all risk assessment processes and agree with the operator on the initial FRMS safety performance indicators and safety targets
- directly sampled records quoted in the risk assessment and assess the operator's procedures against supplied risk assessments
- the training program—completion of initial training and plan for ongoing training—and training records
- FRMS communication processes are established to support the current version of the FRMS and appear to be reasonably capable of continuously and effectively enabling fatigue safety related communications sufficient to ensure the effectiveness of the FRMS
- documented interview with a selection of employees from all the areas involved with FRMS
- the outer limits for the proposed FRMS operation and adjust them accordingly if there is insufficient evidence to support the case
- the operator has documented, planned safety assurance processes and procedures that could reasonably be expected to be effective.

The CASA Inspector should be satisfied that the risk controls are sufficient and is satisfied as to the FRMS safety performance indicators and targets. Sampling verification of the operators system should also take place. This may involve interviews with flight crew members, discussions with FSAG members and may include attending FSAG meetings. Further verification may include attending training sessions and examination of reports.

The CASA Inspector will provide the operator, where necessary, with a list of corrective actions that must be addressed before the trial may commence. These checks form the basis for the Regulatory Milestone 3 assessment and once the CASA Inspector is satisfied, arrangements should be made to issue the operator with an instrument that approves a trial FRMS implementation in accordance with [clause 8 in Appendix 7 of CAO 48.1](#).

It is important to note that this milestone does not signify the only time a CASA Inspector is to interact with an operator. Processes may be commenced on a gradual basis throughout all phases and the CASA Inspector should avail of any opportunity to assess them. Any deficiency or anomaly is to be recorded and a report provided to the operator. The trial FRMS implementation is not to be commenced until system correction (if required) occurs to the satisfaction of the CASA Inspector.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.4.6 Trial FRMS Implementation Approval

The approval of the trial FRMS implementation approval is conditional upon the CASA Inspector being satisfied that each element of the AOC holders FRMS complies with and meets the requirements, attributes and characteristics of a FRMS under [Appendix 7 of CAO 48.1](#).

If CASA is satisfied, the AOC operator is granted a trial approval giving consideration to the trial duration limitation in [clause 8 in Appendix 7 of CAO 48.1](#) (24 months).



NOTE: The CASA Inspector should explain the instrument with the operator especially in relation to matters or events which could cause its revocation.

Once the approval for a trial FRMS implementation has been issued CASA should have regular contact with the applicant to receive and review copies of fatigue related data collected and the associated reports. All communication which occurs after the commencement of the trial until the grant of full FRMS implementation approval must be recorded against the new workflow job created by PAC.

The entry control inspector should also remain vigilant to changes in the company including operational tempo and authorised activities. Regular meetings with the operator and a review of activities will assist in developing an understanding of the performance of the FRMS. In certain circumstances an additional trial period may be appropriate, e.g. after a long period of inactivity or after a significant change to the FRMS is approved. Changes to the proposed FRMS during the conduct of the trial will require CASA approval.



NOTE: If during the trial the CASA assessment team identifies that the FRMS trial is not fulfilling safety obligations, the trial must be cancelled.

If CASA cancels the trial FRMS approval, all stakeholders must be notified that the operation has reverted back to the appropriate prescriptive regime in the new [CAO 48.1](#).

2.4.6.1 Operator Initiated changes to the FRMS – during trial

Any change to the FRMS that requires CASA approval in accordance with clause 7 in Appendix 7 of [CAO 48.1](#) requires a change to the instrument and should be applied for via an application form sent to PAC. The FRMS process as outlined in the [AOC Process Manual](#) will apply.

The CASA Regional Office will determine the required action on any requested change and will advise PAC accordingly.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.4.6.2 CASA initiated changes

After issuing the Instrument of Approval for the conduct of an FRMS Trial, CASA may, for safety purposes, give a direction to the AOC operator to amend, change or modify the FRMS and any of its elements, indicating the following:¹¹

- the area/s of the FRMS which need to be modified
- the period within which the change has to be completed.

The direction must be made in writing.

Should the operator fail to comply with the direction within the specified period, the CASA Inspector may commence the process to revoke the approval to conduct trial FRMS.

2.4.7 FRMS Trial – Operator responsibilities

During the trial, regular communication with the CASA assessing inspectors should be maintained.

The FRMS Manual is finalised prior to commencement of the trial and is then subject to the FRMS change management procedures are documented in clause 7 of Appendix 7 to the new [CAO 48.1](#).



NOTE: As per subclause 7.5 of Appendix 7 to CAO 48.1, the operator may make changes, without CASA approval, in the form of correction of typographical errors, or changes to names of individuals documented in the Manual or changes under paragraphs 7.5(a), (b) and (c). Any other change will require CASA approval. CASA must be notified of all changes. It should be stressed that any operator-initiated changes under paragraphs 7.5(a), (b) and (c) require the greatest care, their appropriateness and integrity will be the focus of any subsequent CASA audit activity, and as such would have a significant bearing on whether a full FRMS implementation approval would be given.

The Applicant must meet the requirements of clauses 8 in Appendix 7 of [CAO 48.1](#) and notify CASA that they are ready for final assessment for the full FRMS implementation approval.

2.5 FRMS Safety Assurance Processes

The operator needs to develop and maintain FRMS safety assurance processes to:

- provide for continuous FRMS performance monitoring, analysis of trends, and measurement to validate the effectiveness of the fatigue safety risk controls
- provide a formal process for the management of change
- ensure the continuous improvement of the FRMS.

¹¹ Subclause 7.3 of Appendix 7 to CAO 48.1

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

The Operator's procedures supporting their safety assurance processes must cover the requirements outlined in clause 5 in Appendix 7 of CAO 48.1.

2.5.1 Monitoring of FRMS Performance

2.5.1.1 Pre-Trial

Over Phase I, II, & III, the operator will transition from a planned safety assurance procedures to an operational safety assurance process in accordance with their implementation plan. Phase IV represents an opportunity to exercise these processes using the limits that are supported by the operator's data and safety case and thereby validate the FRMS safety assurance procedures.

2.5.1.2 Trial FRMS Implementation

It is important to understand that at this point the operator, whilst operating under an FRMS trial, does not have a fully approved FRMS. During this phase of development the operator will conduct audits and it is expected that the entry control inspector will also perform these as well. There should be no confusion as to their purpose. These checks, audits or assessments, however named, form the basis for the verification and validation of the FRMS and will be used by the CASA Inspector as the foundation upon which a final decision is made for FRMS approval (Regulatory Milestone 4). These assessments are a part of the entry control process.

The operator will need to establish ongoing validation of the effectiveness of the fatigue safety risk controls by gathering and analysing relevant data.

Sources of data for FRMS performance monitoring analysis and measurement include hazard reporting—the nature of the reports and the quality and quantity of reports—and investigations, audits and surveys, and reviews and fatigue studies.

Reports of fatigue hazards, fatigue events and fatigue incidents are reviewed by the FSAG and evaluated on the basis of risk.

2.5.1.3 FRMS Investigation

To assist in achieving compliance with clause 5 of [CAO 48.1](#), an operator should develop an FRMS investigation process that ensures:

- all fatigue events/incidents reports and any other reports in which fatigue may be identified are formally reviewed, based on predetermined thresholds, to identify whether fatigue events/incidents are subject to investigation and if so, the level of the investigation
- the fatigue investigation is clearly documented and a fatigue report form used to ensure a consistency. An example of a fatigue report form may be found in Appendix A of the [ICAO's FRMS Manual for Regulators \(2012\)](#)

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- the fatigue investigation is conducted in accordance with current best practice techniques and addresses the causal factors that contributed to the event. This includes:
 - assigning persons to conduct any fatigue investigation who are formally trained and competent in investigation techniques, fatigue science and the FRMS
 - provision of specialist assistance to assist the investigation if and when required, e.g. a subject matter expert in flight data analysis may be required to assist with an investigation which involves consideration of traces depicting a FDAP event
 - stipulating a timeframe for the completion of the investigation and the provision of the report to the FSAG
 - formal review of the investigation report and recording of all action items and decisions made in relation to the investigation report
 - staff awareness of their responsibilities for assisting with the investigation and providing any records, documents or information sought by the investigator
 - reinforcing *open and fair culture* principles are applied in evaluating any findings or recommendations from the investigation
 - a fatigue investigation initiated by reported fatigue should not try and confirm or invalidate whether the FCM was actually fatigued. The effort should be in trying to understand the contributing factors that led to the fatigue and whether the reported fatigue is indicative of an ongoing or systemic issue that may need to be addressed through some form of mitigation.



NOTE: Investigation reports form a part of records and reports to be retained by an operator under paragraphs 14.6 and 14.7 of [CAO 48.1](#), and are to be made available to CASA upon request or during surveillance activity.

2.5.1.4 FRMS Audit

For CASA to be satisfied that an FRMS is capable of delivering ongoing safety outcomes, the operator will need to ensure the FRMS is subject to an independent¹² audit annually, or more frequently should SPIs suggest this is required.

The scope of the FRMS audits is to be clearly outlined and will need to cover all FRMS processes and outcomes and include associated items, which may impact on the operational alertness of crew, e.g. for example suitability of hotels for crew accommodation.

The FRMS will need to include formal audit checklists relevant to the various scope items to aid in conducting the audits thoroughly and with adequate depth of penetration.

The CASA Inspector will verify the audit process:

¹² Preference is for audit to be conducted by persons or organisations external to FSAG, but this depends on scalability.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- comprehensively covers all the FRMS elements
- ensures persons assigned to conduct an FRMS audit are formally trained and competent in lead auditor techniques, human performance limitations and the FRMS
- includes procedures to manage audit findings which include at least entry of findings into the relevant database; provision of the reports - to whom and in what time frame; and assigning of responsible persons to ensure close out of findings.

The operator's FRMS could have provisions to commission an independent scientific review of the FRMS and the workings of the FSAG to ensure that decision made and actions take are scientifically valid.



NOTE: CASA should be provided a copy of the report of any audit of any aspect of the FRMS within 30 days of completion of the audit.

2.5.1.5 FRMS Surveys

Surveys are conducted retrospectively and prospectively.

Survey methods and purposes are scientifically defensible and the results subject to analysis.

Data and results of analysis from surveys is fed through the governance framework to track the performance of the FRMS

For more detail on FRMS Surveys see [2.4.2.3 Proactive Processes - Crew Surveys](#).

2.5.1.6 Fatigue Studies

Processes are in place to consider advances in fatigue science, the availability of enhanced fatigue management tools or processes and changes in operational knowledge.

These processes include at least the following:

- the attendance of relevant stakeholders (e.g. the FRMS Manager) at relevant forums to remain conversant with developments in fatigue science
- participation by relevant stakeholders in workshops or other educational activities with respect to fatigue
- subscribing to publications related to fatigue science.

2.5.2 Management of Change

The CASA Inspector will verify if the operator has established processes to identify and manage changes to their operations, which may affect the FRMS.

At least the following areas require the application of formal change management procedures:

- new schedule(s)

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- new port(s)
- new type(s) of operation
- addition of a new aircraft type
- addition of extra aircraft of the same or similar type
- introduction of new equipment and/or operational procedures
- new crew accommodation
- structural change in the operational department(s)
- change in key FRMS personnel
- advances in relevant scientific knowledge about fatigue.

The change management procedures will need to ensure the primary involvement of the functional group that is responsible for coordinating the fatigue management activities within the organisation's FSAG, as the primary stakeholder. The sign-off procedure must be consistent with the prescribed procedures outlined in the clause 7 of Appendix 7 to the new [CAO 48.1](#) before a proposed change, which may impact on the FRMS or the operational alertness of crew in any manner, is implemented.

Prior to the introduction of any change, the FRMS must ensure:

- hazard identification and risk management processes are deployed prior to the introduction of any change
- safety assurance processes are deployed during the implementation of the change to monitor and measure the impact of the change
- consideration is given to the available tools which could be used to maintain or improve FRMS performance prior to the introduction of any change.

The operator's FRMS will need to ensure the safety assurance processes continue to be deployed after the implementation of the change to ensure no unexpected risks or hazards are introduced by the change.

2.5.3 Continuous Improvement

The FRMS must include a continuous improvement process (see subclause 5.5 in Appendix 7 of [CAO 48.1](#).) Through evaluation and review, this will ensure:

- all safety performance targets are being met
- all SPIs are within the defined tolerances
- the FRMS is compliant with regulatory requirements
- the FRMS is meeting the set safety objectives
- the organisation fosters a learning culture that ensures improvement consistent with developments in the human factor limitations field
- the system improves overall in light of company experiences.

As part of evaluation processes a formal review is conducted at least annually to drive continuous improvement.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

This annual review involves the consideration by the highest level safety committee of the functionality of the FRMS. Having independent oversight ensures the FSAG does not review its own performance.

The FRMS must include a formal review of the FRMS and all associated processes to check the adequacy of facilities, equipment, documentation and procedures.

The formal review process also includes:

- incorporation of findings, outcomes and actions identified through safety assurance processes which may enhance the FRMS
- reviewing the risk management processes to ensure the ongoing adequacy and requirements for risk controls and mitigators
- reviewing the FRMS against scientific advances in fatigue management
- incorporating new scientific knowledge and processes to enhance the management of operational alertness
- reviewing the communication channels to ensure effective two-way communication to all stakeholders.

The inputs to this review include summary reports from the FSAG highlighting fatigue related issues such as:

- trends identified from fatigue reports
- risks identified and treatment measures deployed
- investigations conducted
- reports of the audit of the FRMS
- relevant findings from FDAP, LOSA etc.
- regulatory status
- implications of scientific developments
- resourcing issues
- recommendations and rationale for change to any FRMS process or structure
- trends in background reporting rates that might indicate issues with communications channels and stakeholder engagement.

The outputs from the review process include formal acknowledgement that the FRMS is achieving its objectives or alternately acceptance of recommendations for changes and the allocation of the appropriate resources to affect the required changes.

2.6 FRMS Promotion Process

FRMS promotional processes primarily consist of:

- training programs to ensure competency commensurate with the roles and responsibilities of management, crew and all other involved personnel in the FRMS
- an effective communication plan which explains FRMS policies, procedures and responsibilities to all relevant stakeholders; and describes communication channels used to gather and disseminate FRMS-related information

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

Safety promotion processes development is commenced at Phase 1 and continues to be developed throughout the entire FRMS building process.

Clause 6 in [Appendix 7 of CAO 48.1](#) outlines the procedures that must be covered when establishing FRMS promotion processes.

For a detailed explanation on the requirements, refer to [2.3.4.1 FRMS training program plan](#) and [2.3.4.2 FRMS Communication Plan](#)

2.7 Regulatory Milestone 4

Regulatory Milestone 4 consists of the FRMS verification and full FRMS implementation approval.

2.7.1 Planning and programming the FRMS trial validation (CASA Inspector)

While this is part of the entry control process, the verification of the safety assurance processes within Phase IV of an operator's FRMS trial will use CASA audit methodologies. The assessment will be conducted over a period of time and will take into consideration the operator's individual circumstances. The CASA Inspector will use the methodologies contained within the CASA Surveillance Manual (CSM) and the auditing platform of Sky Sentinel.

The CASA Inspector will need to recognise that the safety assurance processes and procedures under the FRMS Trial approval may not yet reach full maturity levels and the rate of change may be higher than otherwise expected.

Any breach or non-compliance from approved FRMS Trial will be managed as outlined in CASA's Surveillance Manual. The CASA Inspector will record industry contact during the FRMS trial in Sky Sentinel.

2.7.2 Assessment for Full FRMS Implementation Approval

The applicant must provide CASA sufficient time (at least 3 months) to review the evidence provided and issue the full approval before the trial period ends.

CASA may on written application issue an AOC holder with a full FRMS implementation approval if the AOC holder has had a trial FRMS implementation for at least 12 months and satisfies CASA that the FRMS is capable of demonstrably delivering the safety outcomes and the continuous improvement of the same as per [CAO 48.1](#) Appendix 7, clause 9.

The operator may request CASA to conduct the final assessment for the full FRMS approval implementation by providing evidence that the FRMS is delivering the required safety outcomes.

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

2.7.3 CASA Inspector verification process

During the trial period, the operator needs to validate the safety assurance processes and demonstrate a fully functioning FRMS within the agreed outer limits.

The CASA Inspector will conduct verification process through:

- regular visits
- desktop reviews of sample data
- analyses of documentation
- documented interview of personnel involved with FRMS.

At Regulatory Milestone 4, the CASA Inspector will verify the following:

- the operator can demonstrate that its FRMS safety assurance procedures are used to review the FRMS SPIs against its agreed targets and can identify and undertake necessary actions
- the functioning of the FSAG can demonstrate the identification and management of any new fatigue hazards and its subsequent risk assessment and management
- the safety assurance functions monitor the effectiveness of the mitigations and suitability of the outer limits of the FRMS
- all procedures are being correctly applied and the effectiveness of risk mitigations and assumptions made
- the operator has completed all training identified in the implementation plan, and has added effective recurrent training into its training program
- the operator's communication strategies have been implemented and there is evidence that they provide for the continuous and effective communication of FRMS policies, procedures and responsibilities to all stakeholders
- that there is evidence the operator's communication channels—such as fatigue reporting mechanisms—provide for continuous and effective gathering and dissemination of FRMS-related safety information
- the operator's documentation and procedures have been kept up-to-date, and represent the operating FRMS at the completion of the trial.



NOTE: During the verification process conducted by a CASA Inspector as a function of milestone 4, or if an operator requires further changes during the trial period, it is possible that a CASA Inspector may be presented with data from an operator that raises concerns in their capacity to support a limit or a change. In most circumstances, this should be resolved within the Regional Office subject matter expert group. Occasionally, further advice may be required, e.g. examining in depth bio-mathematical information. The CASA Inspector may make a request for advice in the appropriate manner to CASA's SMS and Human Factors Branch for assistance.

The CASA Inspector must document the final assessment. On the completion of the assessment, the CASA Inspector will make a recommendation to the delegate, using the

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

Standard Form Recommendation (SFR), to issue or not issue the full FRMS implementation approval. The SFR must document the outcomes of the assessment and the reasons for the recommendation.

The CASA Inspector must only recommend the issue of the full FRMS implementation approval if the operator has addressed the corrective measures (if any) and has met the requirements of [CAO 48.1](#).

If the final recommendation is a refusal to issue the full FRMS approval, it is the responsibility of the CASA Inspector to inform the operator of the recommendation before the same is submitted to the CASA delegate for action.

For detailed information on the SFR process, refer to the [FRMS Process Manual](#).

2.7.4 Extending the trial period

The purpose of the lengthy trial period is to enable capture of safety assurance data over all seasons of operation. Prior to the operator receiving trial FRMS implementation approval, a trial period will be determined and stated on the instrument. Any extension beyond the date stipulated in the instrument of approval will be considered by CASA based on the degree to which the operational changes may have invalidated previously collected FRMS data.

The operator should be ready three months before the end of the trial period for CASA to conclude its assessment for the full FRMS implementation approval.

2.7.5 Full FRMS not approved by CASA

Should the full FRMS implementation approval not be signed, then the operator must have an alternate mechanism by which they manage flight and duty times for flight crew members. The operator would need to have a system in place to be able to comply with Appendix 1 to 6 of the new [CAO 48.1](#) to permit them to continue to operate at the conclusion of the trial.

As per clause 9 of [CAO 48.1](#), the operator may apply again to CASA for a trial FRMS implementation approval.

2.8 FRMS Requirements for Ultra Long Range (ULR) Operations

This section is reserved. Until this section is written any application which includes ULR operations will require a coordinated response from CASA which will likely involve a local, FRMS trained CASA Inspector, other trained FRMS specialist inspectors, and Standards Division—SMS and HF Branch.

2.9 Applicable Legislation and Advisory Material

2.9.1 Applicable legislation

- CAO 48.1 Instrument 2013

The Fatigue Risk Management System Handbook

2.0 FRMS – Flight Crew Members

Approved by Executive Manager CASA Operations Version 1: April 2013

- CAR 215
- CAA 28BA
- CAA 98 (4A)
- CASR 11.068.

2.9.2 Advisory Material

- CAAP 48-1
- ICAO FRMS Manual for Regulators
- ICAO FRMS Implementation Guide for Operators.

The Fatigue Risk Management System Handbook

3.0 FRMS – RESERVED

Approved by Executive Manager CASA Operations Version 1: April 2013

3. RESERVED