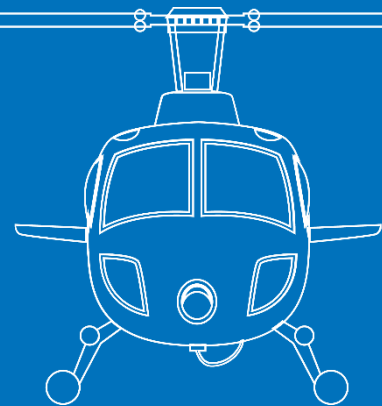
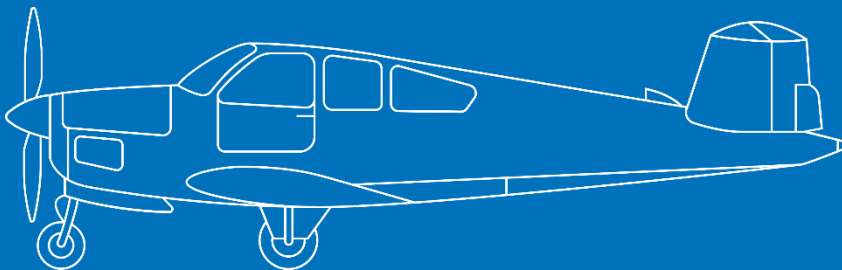




Helicopter and Small Aeroplane Operations Sector Risk Profile

Risks and Proposed Actions – Implementation Plan



Sector Risk Profile Action Implementation

The Sector Risk Profile (SRP) workshops have enabled the identification of risks, the causes of those risks, and the controls to manage those risks. The workshops also identified proposed action and proposed action owners. This document presents 9 key risks along with the causes, controls, proposed action(s), proposed owner(s), and the current status of the action. The workshops identified causes and possible controls that needed strengthening or development. Not all risks, causes, and controls can be addressed immediately. This document presents the first list of proposed 47 actions, and the implementation plan. This plan will be revisited and updated on a regular basis.

A purpose of the SRP is that operators will be able to include the risks in their own SMS. The actions are not designed to be detailed. Specific actions may differ across operators and other participants in the sector. In some instances, the actions identified to mitigate key risks address multiple risks and causes, and therefore have been repeated. This is purposeful, and is designed to support sector participants and the CAA in managing risks relevant to their operations. This profile is not intended to identify all risks, controls and actions. It is a snapshot of what the sector thinks is most important at this time. You may / will have other risks and actions that are just as important to your organisation at the moment. Please ensure you still focus on these.

Sector risk and action description

#	Risk
Risk	This is the risk definition.
Cause	The causes identified in the workshops. Risks may have multiple causes.
Control	The controls identified in the workshops. Risks may have multiple controls.
Action	The proposed action(s)
Owner	The proposed action owner(s)
Status	<p>Active or Scoping</p> <p>Active: means the action has already been implemented or action is currently being undertaken. Action owners will be able to show evidence of this action.</p> <p>Scoping: means the action is in the early stages of design and implementation. Action owners will be able to show evidence of activity to begin implementation.</p>

The implementation plan is a description of the activities and arrangements for the implementation of the risk treatments. This may include risk mitigation, risk elimination, risk prevention or risk reduction.

Sector Implementation and action

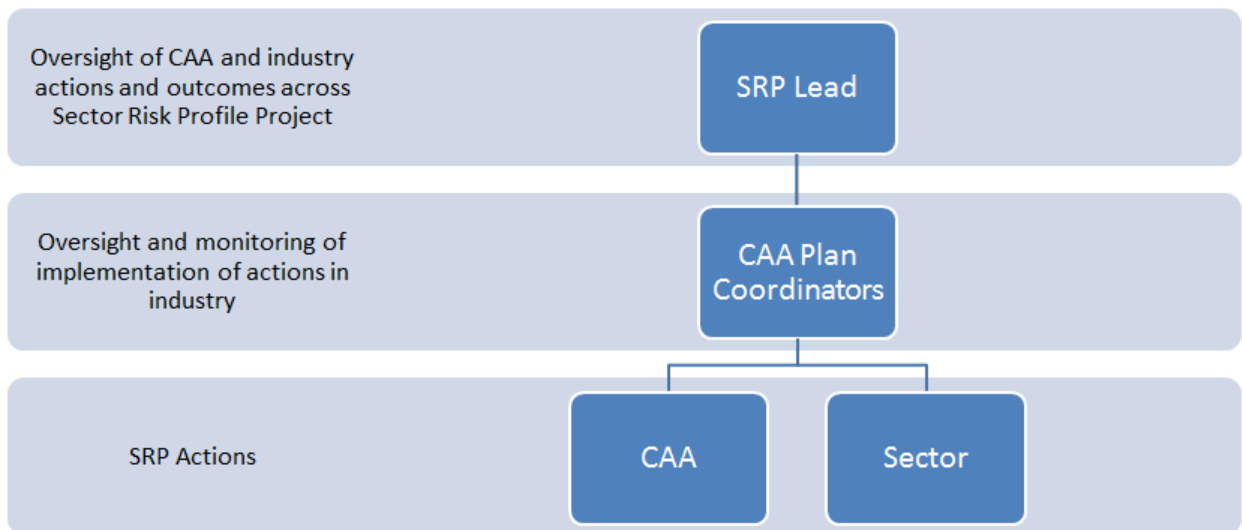
#	Sector Implementation Plan
Plan Coordinator	The Person who is responsible for coordinating the implementation of the control, or group of people where many people have responsibilities.
Outcome	The improved state, the result of the improvement process.
Planned Actions	Specific description of the actions and associated supporting actions to implement the control.
Benefits	The benefits to be gained by implementing the actions.

Resource requirements	Resource required to complete the required actions.
Performance Measures	The 'measurable' desired result i.e. what success looks like.
Timing	Time frame for implementation of planned actions.

All actions will be reviewed annually. Where it is believed a risk has been sufficiently managed by the sector, new risks will be considered from the wider list following consultation with the sector in the annual SRP Action survey.

Implementation plan monitoring and action structure

The implementation plans are aided by a monitoring structure. Figure 1 shows how the implementation plan will be monitored and actioned. The performance of the actions will be measured through annual SRP Action Surveys and occurrence analysis.



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Contents

Inadequate flight crew competency

1.1a - Inadequate training and development

Sector Risk

1. Inadequate flight crew competency	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.1a - Inadequate training and development.
Control	Flight supervisor training course.
Action	<ul style="list-style-type: none"> CAA will work with the sector to determine the need for, and context of, a flight supervisor course and/or produce relevant and appropriate material for the sector. Operators to refine and tailor CAA course for their own unique circumstances, and ensure all supervisors attend training.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

1.1a	Inadequate flight crew competency – inadequate training and development
Plan Coordinator	CAA Unit Managers (ATU, HAU), CAA Communications and Safety Promotion, Part 135 Operators
Outcome	Operators will demonstrate evidence of participation in educational outreach on flight supervision, including delivery of educational outreach.
Planned Actions	CAA ATU, CAA HAU, and Safety Promotion teams to work with the sector to provide a Flight Supervision outreach (likely in the form of a seminar/course). Non-technical skills (NTS) training to be considered by operators. NTS are mental, social and personal management skills contributing to safer and efficient operations. NTS include: situational awareness; decision-making; communication; teamwork; leadership; managing stress; coping with fatigue.
Benefits	Reduce the frequency of inadequate supervision occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of staff, and improved standard of flight supervision.
Resource requirements	Operators safety and training staff. CAA flight operations staff during development, and during surveillance and monitoring.
Performance measures	Evidence that the effective management of flight supervision is included as part of the operators Safety Management System. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



1.1b - Inadequate training and development

Sector Risk

1. Inadequate flight crew competency	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.1b - Inadequate training and development.
Control	Operator competency checks.
Action	CAA, Industry Groups and Operators to define what 'good practice' looks like with regards to competency checks.
Owner	CAA, Industry Groups and Operators.
Status	Scoping

Sector Implementation Plan

1.1b Inadequate flight crew competency – inadequate training and development	
Plan Coordinator	CAA ATU, CAA HAU, Part 135 Operators, Industry Groups e.g. flight examiners, etc.
Outcome	Operators will demonstrate evidence of incorporating the management of flight crew competency as part of their Safety Management System, and that there is a definition of what 'good practice' looks like with regards to competency including technical and non-technical skills.
Planned Actions	Outreach with regard to on-going development of the flight test standards guides to incorporate what good practice looks like. Outreach with industry groups to define what 'good practice' looks like with regards to Part 135 operational competency assessments (OCAs).
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of Part 135 operational competency assessments.
Resource requirements	Operator's safety and training staff. Flight Examiners, CAA flight operations staff during surveillance and monitoring.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System, and that there is a definition of what 'good practice' looks like with regards to competency checks. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



1.1c - Inadequate training and development

Sector Risk

1. Inadequate flight crew competency	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.1c - Inadequate training and development.
Control	Flight debriefs to identify issues and further training needs.
Action	<ul style="list-style-type: none"> •CAA to consult with industry group(s) to develop a sector best practice guide for flights as appropriate e.g. training, ICUS and FCCC debriefs (including the format of the debrief and why these are important). •Operators to implement flight debriefs for every flight and monitor associated benefits.
Owner	CAA, Industry Group and Operators.
Status	Scoping

Sector Implementation Plan

1.1c	Inadequate flight crew competency – inadequate training and development
Plan Coordinator	CAA ATU, CAA HAU, Part 135 Operators
Outcome	All operators demonstrate evidence of effective ongoing debriefing with the associated benefits of improved flight crew competency.
Planned Actions	Operators to implement flight debriefs for every flight and monitor associated benefits, including for example models for assessing pilot performance.
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of debriefs and associated benefits e.g. constructive feedback that flight crew can action, and incorporate in their daily operation; and identification of issues and further training needs.
Resource requirements	Operators safety and training staff. CAA flight operations staff during surveillance and monitoring.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System, and that there is an application of flight debriefs to identify issues and further training needs. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020.



1.2a - Poor operating culture within the sector and operator

Sector Risk

1. Inadequate flight crew competency	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.2a - Poor operating culture within the sector and operator.
Control	Adherence to Standard Operating Procedures (SOPs).
Action	<ul style="list-style-type: none"> • Industry group to develop a mechanism for sharing 'best practice' SOPs between Operators. • CAA to provide guidelines on the process for developing SOPs, and the associated benefits of the use of SOPs. • Operators to develop, continually review and update SOPs tailored to their unique operations.
Owner	Industry Group, CAA and Operators.
Status	Scoping

Sector Implementation Plan

1.2a	Inadequate flight crew competency - Poor operating culture within the sector and operator
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, etc.
Outcome	Operators will demonstrate evidence of implemented SOPs tailored to their unique operation.
Planned Actions	CAA to provide guidelines on the process for developing SOPs, and the associated benefits of the use of SOPs, and liaise with industry groups. Industry group to develop a mechanism for sharing 'best practice' SOPs between Operators. Operators to implement, continually review and update SOPs tailored to their unique operations.
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of SOPs and associated benefits e.g. implemented and effective SOPs.
Resource requirements	Operators safety and training staff. CAA flight operations staff, and industry groups.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System, and that there is an application of SOPs tailored to their unique operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



1.2b – Poor operating culture within the sector and operator

Sector Risk

1. Inadequate flight crew competency - Poor operating culture within the sector and operator	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.2b - Poor operating culture within the sector and operator.
Control	Flight risk assessments.
Action	<ul style="list-style-type: none"> •CAA to consult with industry group(s) to develop a sector best practice guide for flight risk assessments e.g. Flight Risk Assessment Tool (which details key areas to be considered, linkage to SMS, and why these risk assessments are important). •Operators to implement risk assessment and monitor associated benefits.
Owner	CAA, Industry Group and Operators.
Status	Scoping

Sector Implementation Plan

1.2b	Inadequate flight crew competency - Poor operating culture within the sector and operator
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, etc.
Outcome	Operators will demonstrate evidence of implemented flight risk assessments tailored to their unique operation.
Planned Actions	Industry group to develop a mechanism for sharing 'best practice' flight risk assessments between Operators. Operators to implement, continually review and update flight risk assessments tailored to their unique operations.
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of flight risk assessments and associated benefits e.g. implemented and effective flight risk assessments.
Resource requirements	Operators safety and training staff. CAA flight operations staff, and industry groups including flight examiners.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System, and that there is an application of flight risk assessments tailored to their unique operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



1.2c – Poor operating culture within the sector and operator

Sector Risk

1. Inadequate flight crew competency - Poor operating culture within the sector and operator	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.2c - Poor operating culture within the sector and operator.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> •Operators to submit implementation plan by 30 July 2018 for assessment by CAA. •Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. •CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

1.2c Inadequate flight crew competency - Poor operating culture within the sector and operator	
Plan Coordinator	Part 135 Operators, with assistance from Industry Groups e.g. Aviation New Zealand, NZHA, AAA, NZALPA, etc.
Outcome	Operators will demonstrate evidence of an implemented SMS, including an effective just and fair safety culture tailored to their unique operation.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture.
Resource requirements	Part 135 Operators safety and training staff, and Industry Groups and consultants.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System. Improved knowledge and skills of flight crew, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



1.2d – Poor operating culture within the sector and operator

Sector Risk

1. Inadequate flight crew competency - Poor operating culture within the sector and operator	
Risk	Ineffective training and development, and poor operator safety culture is impacting flight crew competency, leading to higher likelihood of incidents / accidents and lower safety performance.
Cause	1.2d - Poor operating culture within the sector and operator.
Control	CAA surveillance activity under a performance based environment (SMS) focussed on operator culture.
Action	CAA to develop post SMS surveillance procedures that focus on operator culture.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

1.2d Inadequate flight crew competency - Poor operating culture within the sector and operator	
Plan Coordinator	Part 135 Operators, CAA
Outcome	Operators will demonstrate evidence of an implemented SMS, including an effective just and fair safety culture tailored to their unique operation.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture.
Resource requirements	Operators safety and training staff, and Industry Groups and consultants.
Performance measures	Reduce the frequency of inadequate flight crew competency occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture. Positive shift in related Part 135 SRP Action Survey responses
Timing	June 2020



Deficient Practices

2.1a – Poor safety culture

Sector Risk

2. Deficient Practices - Poor safety culture	
Risk	Operators may exhibit complacency towards changing safety management expectations, and do not invest in sufficient safety management due to continued commercial pressure, leading to a chance of a major accident or degraded safety performance.
Cause	2.1a – Poor safety culture.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> •Operators to submit implementation plan by 30 July 2018 for assessment by CAA. •Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. •CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

2.1a	Deficient Practices - Poor safety culture
Plan Coordinator	Part 135 Operators
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate safety culture, capable of addressing any deficient practices.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of deficient practice occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of staff, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture.
Resource requirements	Operators safety and training staff, and Industry Groups and consultants.
Performance measures	Reduce the frequency of deficient practice occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of staff, and improved standard of the right safety culture and associated benefits e.g. implemented and effective just and fair safety culture. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



2.1b – Poor safety culture

Sector Risk

2. Deficient Practices - Poor safety culture	
Risk	Operators may exhibit complacency towards changing safety management expectations, and do not invest in sufficient safety management due to continued commercial pressure, leading to a chance of a major accident or degraded safety performance.
Cause	2.1b – Poor safety culture.
Control	Operator senior leadership adopt and promote ongoing safety risk awareness.
Action	<ul style="list-style-type: none"> •CAA to review existing education courses, such as the CAA Aviation Safety Officer course, to ensure these are fit-for-purpose and performance based. •Education courses provided to Operators. •Sector meetings (such as NZHA and NZAAA) to continue to be used by industry to engage with CAA. •CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants. •CAA to take regulatory action as necessary to manage aviation safety risk. •Industry to promote importance of safety e.g. through established industry groups.
Owner	CAA and Operators.
Status	Active (NZHA and AAA sector meetings) Scoping (all other actions)

Sector Implementation Plan

2.1b	Deficient Practices - Poor safety culture
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Part 135 Operators senior leadership will demonstrate evidence of adopting and promoting ongoing safety risk awareness within their organisation, and invest in sufficient safety risk management systems.
Planned Actions	Industry to promote importance of safety e.g. through established industry groups. Industry groups to promote importance of safety e.g. through established industry forums.
Benefits	Reduce the frequency of deficient safety risk awareness occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of staff, and improved standard of safety risk awareness, and improved safety culture and associated benefits e.g. implemented and effective just and fair safety culture.
Resource requirements	Operators safety and training staff, and Industry Groups and consultants.
Performance measures	Evidence of adopting and promoting ongoing safety risk awareness within their organisation, and invest in sufficient safety risk management systems.
Timing	December 2020



2.1c – Poor safety culture

Sector Risk

2. Deficient Practices - Poor safety culture	
Risk	Operators may exhibit complacency towards changing safety management expectations, and do not invest in sufficient safety management due to continued commercial pressure, leading to a chance of a major accident or degraded safety performance.
Cause	2.1c – Poor safety culture.
Control	Collaborative engagement between sector and CAA.
Action	<ul style="list-style-type: none"> •Sector meetings (such as NZHA and AAA) will continue to be used by the CAA to engage with the sector. •CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants. •Sector secondments into CAA to be explored. •CAA and Operators to consider greater use of Local User Groups.
Owner	CAA and Operators.
Status	Active (NZHA and AAA sector meetings) Scoping (all other actions)

Sector Implementation Plan

2.1c	Deficient Practices - Poor safety culture
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Improved safety culture including an improved collaborative engagement between the sector and CAA.
Planned Actions	Continue with regular engagement at sector level e.g. NZHA, AAA, SMS & SRP workshops, etc Investigate establishing a Part 135 sector reference group. Explore the concept of sector secondments into CAA. Consider greater use of Local User Groups.
Benefits	Increased engagement to effectively identify issues and discuss and resolve them before they become problems for the sector or the CAA.
Resource requirements	Part 135 CEOs, CAA Unit Managers
Performance measures	Increased engagement that ensures issues are identified and discussed and resolved, and as a result there are a decrease in problems for the sector or the CAA. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



2.2 Poor staff retention

Sector Risk

2. Deficient Practices – Poor staff retention	
Risk	Operators may exhibit complacency towards changing safety management expectations, and do not invest in sufficient safety management due to continued commercial pressure, leading to a chance of a major accident or degraded safety performance.
Cause	2.2 – Poor staff retention.
Control	Job satisfaction by Sector participants.
Action	Operators to investigate opportunities to increase staff retention across the sector, and agree feasible actions.
Owner	Operators.
Status	Scoping

Sector Implementation Plan

2.2	Deficient Practices – Poor staff retention
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, NZALPA.
Outcome	Discuss and formulate a plan and agreed actions to increase staff retention across the sector, with an associated improvement of job satisfaction across the sector.
Planned Actions	Operators to investigate opportunities to increase staff retention across the sector, and agree feasible actions.
Benefits	Increase staff retention across the sector, improvement of job satisfaction, good for business and potential benefits in productivity.
Resource requirements	Part 135 CEOs, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, NZALPA, etc.
Performance measures	Increased staff retention across the sector, with an improvement of job satisfaction across the sector. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



2.3 Commercial Pressure

Sector Risk

2. Deficient Practices – Commercial pressure	
Risk	Operators may exhibit complacency towards changing safety management expectations, and do not invest in sufficient safety management due to continued commercial pressure, leading to a chance of a major accident or degraded safety performance.
Cause	2.3 – Commercial Pressure.
Control	Consider financial position as part of surveillance/certification activity.
Action	CAA to review current certification processes and develop a method of gaining assurance that applicants are sufficiently resourced to conduct safe operations.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

2.3 Deficient Practices – Commercial pressure	
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Better managed and resourced organisations more able to conduct safe operations.
Planned Actions	Review current certification processes and develop a method of gaining assurance that applicants are sufficiently resourced to conduct safe operations. Consider enhancing/implementing processes to more accurately determine financial position as part of surveillance/certification activity.
Benefits	A more transparent and effective process whereby operators are able to demonstrate financial position to CAA, and increased assurance by CAA that operators are sufficiently resourced and financially robust to conduct safe operations, leading to a reduced risk of a major accident or degraded safety performance.
Resource requirements	Operators safety and finance staff, and Industry Groups and consultants/accountants.
Performance measures	Increased assurance that operators are sufficiently resourced to conduct safe operations, leading to a reduced risk of a major accident or degraded safety performance. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



Insufficient supervision within an organisation

3.1a – Ineffective transfer of experience

Sector Risk

3. Insufficient supervision within an organisation	
Risk	Insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Cause	3.1a – Ineffective transfer of experience.
Control	Transparent career pathway by Sector participants.
Action	Operators to create a structured career pathway.
Owner	Operators.
Status	Scoping

Sector Implementation Plan

3.1a	Insufficient supervision within an organisation - Ineffective transfer of experience
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, Service IQ
Outcome	Discuss and formulate a plan and agreed actions to create a structured and transparent career path, with an associated improvement of transfer of knowledge and experience across the sector.
Planned Actions	Operators to investigate opportunities to create a structured and transparent career pathway across the sector, and agree feasible actions.
Benefits	Improved transfer of knowledge and experience, increased number of competent and experienced supervisors, and an associated improvement in flight safety
Resource requirements	Part 135 CEOs, Industry Groups and Organisations e.g. Aviation New Zealand, NZHA, AAA, Service IQ
Performance measures	An increase in competent and experienced supervisors. Decrease in occurrences where lack of supervision was a contributing factor. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



3.1b – Ineffective transfer of experience

Sector Risk

3. Insufficient supervision within an organisation	
Risk	Insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Cause	3.1b – Ineffective transfer of experience.
Control	Effective communication between and within regulator and sector.
Action	<ul style="list-style-type: none"> •CAA to review current communications strategy with the sector. •CAA to implement stakeholder engagement plan.
Owner	CAA.
Status	Scoping (communications strategy review) Active (stakeholder engagement plan)

Sector Implementation Plan

3.1b	Insufficient supervision within an organisation - Ineffective transfer of experience
Plan Coordinator	CAA Coms
Outcome	Reviewed communications strategy with the sector, and implemented stakeholder engagement plan.
Planned Actions	CAA to review current communications strategy with the sector. CAA to implement stakeholder engagement plan.
Benefits	Improved communication between and within regulator and sector
Resource requirements	CAA Unit Managers, Part 135 Operators.
Performance measures	Improved effectiveness of communication between and within regulator and sector. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



3.2a – Inability to attract and retain competent supervisors

Sector Risk

3. Insufficient supervision within an organisation	
Risk	Insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Cause	3.2a – Inability to attract and retain competent supervisors.
Control	Flight supervisor training course.
Action	<ul style="list-style-type: none"> •CAA will work with the sector to determine the need for, and context of, a flight supervisor course and/or produce relevant and appropriate material for the sector. •Operators to refine and tailor CAA course for their own unique circumstances, and ensure all supervisors attend training.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

3.2a	Insufficient supervision within an organisation - Inability to attract and retain competent supervisors
Plan Coordinator	Part 135 Operators, CAA, Training Providers, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, ServiceIQ.
Outcome	Appropriate supervision training is developed for Part 135 organisations, capable of addressing any insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Planned Actions	CAA will work with the sector to determine the need for, and context of, a flight supervisor course and/or produce relevant and appropriate material for the sector. Operators to refine and tailor CAA course material for their own unique circumstances, and ensure all supervisors attend training.
Benefits	Reduce the frequency of deficient or insufficient supervision occurrences, and to minimise the impact of these occurrences. Improved transfer of knowledge and skills, and improved standard of competent and experienced supervisors.
Resource requirements	Part 135 Operators, Training Providers, CAA
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



3.2b – Inability to attract and retain competent supervisors

Sector Risk

3. Insufficient supervision within an organisation	
Risk	Insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Cause	3.2b – Inability to attract and retain competent supervisors.
Control	Job satisfaction by sector participants.
Action	Operators to investigate opportunities to increase staff retention across the sector, and agree a plan to introduce and retain new high quality staff.
Owner	Operators.
Status	Scoping

Sector Implementation Plan

3.2b	Insufficient supervision within an organisation - Inability to attract and retain competent supervisors
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Discuss and formulate a plan and agreed actions to improve supervision staff retention and recruitment across the sector, with an associated improvement of job satisfaction across the sector.
Planned Actions	Operators to investigate opportunities to increase supervision staff retention and recruitment across the sector, and agree a plan to introduce and retain new high quality staff.
Benefits	Increased supervision staff retention across the sector, with an improvement of job satisfaction across the sector.
Resource requirements	Part 135 CEOs, Industry organisations e.g. Aviation New Zealand, NZHA, AAA, NZALPA, etc.
Performance measures	Decrease in frequency of 'deficient or insufficient supervision' occurrences, and to minimise the impact of these occurrences. Improved transfer of knowledge and skills, and improved standard of competent and experienced supervisors, and associated increase in job satisfaction. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



3.3 – Lack of integrity and professionalism

Sector Risk

3. Insufficient supervision within an organisation	
Risk	Insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Cause	3.3 – Lack of integrity and professionalism.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> •Operators to submit implementation plan by 30 July 2018 for assessment by CAA. •Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. •CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

3.3	Insufficient supervision within an organisation - Lack of integrity and professionalism
Plan Coordinator	Part 135 Operators, CAA, Training Providers.
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate level of supervision, capable of addressing any insufficient transfer of knowledge, and shortage of competent and experienced supervisors, impacting flight safety.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of insufficient supervision occurrences, and to minimise the impact of these occurrences. Improved transfer of knowledge and skills, and improved standard of competent and experienced supervisors, and improvement of the associated benefits e.g. integrity and professionalism.
Resource requirements	Part 135 Operators, CAA, Training Providers
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



Lack of operational awareness

4.1a – Lack of information sharing across the sector

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.1a – Lack of information sharing across the sector.
Control	Sector working groups promote effective collaboration and sharing.
Action	<ul style="list-style-type: none"> •Operators and the CAA to advertise existing user groups to encourage wider Sector attendance and participation. •Operators to establish regional meetings.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

4.1a	Lack of operational awareness - Lack of information sharing across the sector
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Established working groups with improved information sharing across the sector, through the promotion of effective collaboration and sharing at user/regional meetings, and other forms of media.
Planned Actions	Operators and the CAA to advertise existing user groups to encourage wider Sector attendance and participation. Operators to establish regional meetings. Consider establishing websites for sharing information.
Benefits	Effective information sharing across the sector, resulting in improved effective communication and improved management focus on operational issues.
Resource requirements	CAA, Part 135 Operators and Industry Groups
Performance measures	Improved information sharing across the sector. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



4.1b – Lack of information sharing across the sector

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.1b – Lack of information sharing across the sector.
Control	Effective communication between and within regulator and sector.
Action	<ul style="list-style-type: none"> •CAA to review current communications strategy with the sector. •CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

4.1b	Lack of operational awareness - Lack of information sharing across the sector
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, etc..
Outcome	Reviewed communications strategy with the sector. Consideration given to establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.
Planned Actions	CAA to review current communications strategy with the sector. CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.
Benefits	Improved effectiveness of communication between and within regulator and sector.
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Improved effectiveness of communication between and within regulator and sector. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



4.1c – Lack of information sharing across the sector

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.1c – Lack of information sharing across the sector.
Control	Communication of safety issues.
Action	<ul style="list-style-type: none"> •CAA to continue existing publications, including Vector, AIP, NOTAMS, AICS, GAP booklets. •CAA to investigate more effective and timely communication of current and relevant safety issues. •CAA to review how existing publications are communicated.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

4.1c	Lack of operational awareness - Lack of information sharing across the sector
Plan Coordinator	CAA, Part 135 Operators, Airways NZ, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, etc.
Outcome	Existing publications, including Vector, AIP, NOTAMS, AICS, GAP booklets continued. Completed investigation of more effective and timely communication of current and relevant safety issues. Completed review of how existing publications are communicated.
Planned Actions	CAA to continue existing publications, including Vector, AIP, NOTAMS, AICS, GAP booklets. CAA to investigate more effective and timely communication of current and relevant safety issues. CAA to review how existing publications are communicated.
Benefits	Improved communication of safety issues, and improved information sharing across the sector.
Resource requirements	CAA, Part 135 Operators, Airways NZ, Industry Groups
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



4.2 – Ineffective relationship between operations and management teams

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.2 – Ineffective relationship between operations and management teams.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> • Operators to submit implementation plan by 30 July 2018 for assessment by CAA. • Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. • CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

4.2	Lack of operational awareness - Ineffective relationship between operations and management teams
Plan Coordinator	Part 135 Operators.
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate level of operational awareness, capable of addressing any inappropriate and/or deficient structures and cultures that distance management from operational staff.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of lack of operational awareness occurrences, and to minimise the impact of these occurrences. Improved relationship between operations and management teams. Improved structures, cultures, information sharing, effective communication, and improved management focus on operational issues.
Resource requirements	Part 135 Operators, CAA
Performance measures	Improved relationship between operations and management teams. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



4.3a – Insufficient time dedicated to operational management

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.3a – Insufficient time dedicated to operational management.
Control	Effective delegation and time/workload management skills.
Action	<ul style="list-style-type: none"> •Operators to develop an appropriate resourcing model and delegation framework. •Operators to ensure staff have appropriate skillsets and experience as part of the broader move into the SMS environment, including non-technical skills.
Owner	Operators.
Status	Scoping

Sector Implementation Plan

4.3a	Lack of operational awareness - Insufficient time dedicated to operational management
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	An implemented resourcing model and delegation framework by Operators. Staff will have improved skillsets and experience as part of the broader move into the SMS environment, including non-technical skills.
Planned Actions	Operators to develop an appropriate resourcing model and delegation framework. Operators to ensure staff have appropriate skillsets and experience as part of the broader move into the SMS environment, including non-technical skills (NTS). NTS training to be considered by operators. NTS are mental, social and personal management skills contributing to safer and efficient operations. NTS include: situational awareness; decision-making; communication; teamwork; leadership; managing stress; coping with fatigue.
Benefits	Improved effectiveness of delegation and time/workload management skills, contributing to safer and efficient operations.
Resource requirements	Part 135 Operators, Industry Groups
Performance measures	Improved management skills. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



4.3b – Insufficient time dedicated to operational management

Sector Risk

4. Lack of operational awareness	
Risk	Some operators have structures and cultures that distance management from operational staff, and there is an absence of effective information sharing across the sector, which may result in less effective communication and insufficient management focus on operational issues.
Cause	4.3b – Insufficient time dedicated to operational management.
Control	Adequate resourcing to support delivery of operational management activities.
Action	<ul style="list-style-type: none"> •Operators to leverage technology to monitor actual operations against safety performance indicators. •Operators to review staffing levels.
Owner	Operators.
Status	Scoping

Sector Implementation Plan

4.3b	Lack of operational awareness - Insufficient time dedicated to operational management
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Adequate resourcing to support delivery of operational management activities.
Planned Actions	Operators to leverage technology to monitor actual operations against safety performance indicators. Operators to review staffing levels.
Benefits	Sufficient time dedicated by Operators to operational management, combined with a review of staffing levels.
Resource requirements	Part 135 Operators, Industry Groups.
Performance measures	Reduced the frequency of 'deficient or insufficient operational management' occurrences, and to minimise the impact of these occurrences. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



Regulator expectations for participants are unclear

5.1 – CAA's inconsistent application and messaging of requirements

Sector Risk

5. Regulator expectations for participants are unclear	
Risk	Some rules and guidance are unclear and not fit-for-purpose for all operations, leading to a lack of consistent standards and procedures, and increasing the risk of rule non-compliance.
Cause	5.1 – CAA's inconsistent application and messaging of requirements.
Control	<ul style="list-style-type: none"> •CAA core skills training programme. •Regular CAA internal auditing. •Regular feedback received by the CAA from the sector.
Action	<ul style="list-style-type: none"> •CAA is implementing the Regulatory Craft Programme which will be reviewing the CAA training programme to ensure this is fit-for-purpose. •CAA will communicate to the sector the current CAA core skills training programme. •CAA will continue internal audits and improvement tools e.g. use of the PDCA quality tool. •CAA will continue to consult via the established mechanisms on rules. •CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation.
Owner	CAA.
Status	Active (PDCAs). Scoping (all other actions)

Sector Implementation Plan

5.1	Regulator expectations for participants are unclear - CAA's inconsistent application and messaging of requirements
Plan Coordinator	CAA, Part 135 Operators.
Outcome	Consistent application and messaging of requirements
Planned Actions	<p>CAA is implementing the Regulatory Craft Programme which will be reviewing the CAA training programme to ensure this is fit-for-purpose.</p> <p>CAA will communicate to the sector the current CAA core skills training programme.</p> <p>CAA will continue internal audits and improvement tools e.g. use of the PDCA quality tool.</p> <p>CAA will continue to consult via the established mechanisms on rules.</p> <p>CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation.</p>
Benefits	Consistent application of standards and procedures, and improved rule compliance.
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



5.2 – Lack of guidance

Sector Risk

5. Regulator expectations for participants are unclear	
Risk	Some rules and guidance are unclear and not fit-for-purpose for all operations, leading to a lack of consistent standards and procedures, and increasing the risk of rule non-compliance.
Cause	5.2 - Lack of guidance.
Control	<ul style="list-style-type: none"> •Clear guidance available to the sector which align with rules. •Communication strategy between CAA and sector.
Action	<ul style="list-style-type: none"> •CAA to develop a framework to communicate available standards and obtain regular feedback on these. •CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation. •CAA to develop new advisory circulars and notices for areas where clear guidance doesn't currently exist.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

5.2	Regulator expectations for participants are unclear – Lack of guidance
Plan Coordinator	CAA, Part 135 Operators.
Outcome	Consistent application and messaging of requirements. Clear guidance available to the sector which align with rules. Reviewed communication strategy between CAA and sector.
Planned Actions	CAA to investigate the development of a framework to communicate available standards and obtain regular feedback on these. CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation. CAA to develop new advisory circulars and notices for areas where clear guidance doesn't currently exist.
Benefits	Improved guidance. Consistent application of standards and procedures, and improved rule compliance.
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



5.3 – Rules for fit-for-purpose

Sector Risk

5. Regulator expectations for participants are unclear	
Risk	Some rules and guidance are unclear and not fit-for-purpose for all operations, leading to a lack of consistent standards and procedures, and increasing the risk of rule non-compliance.
Cause	5.3 - Rules not fit-for-purpose.
Control	<ul style="list-style-type: none"> •Rules communicated to the sector for their awareness. •Rules regularly reviewed and updated to ensure these are fit-for-purpose.
Action	<ul style="list-style-type: none"> •CAA to develop a framework to communicate available standards and obtain regular feedback on these. •CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation. •CAA to develop new advisory circulars and notices for areas where clear guidance doesn't currently exist.
Owner	CAA and Industry Group.
Status	Scoping

Sector Implementation Plan

5.3	Regulator expectations for participants are unclear – Rules not fit-for-purpose
Plan Coordinator	CAA, Part 135 Operators.
Outcome	Reviewed Rules fit-for-purpose, communicated to the sector for their awareness, and regularly reviewed and updated.
Planned Actions	CAA to investigate the development of a framework to communicate available standards and obtain regular feedback on these. CAA will continue with ACAG Rule prioritisation, IAP (Issues Assessment Panel), and AC (Advisory Circular) prioritisation. CAA to develop new advisory circulars and notices for areas where clear guidance doesn't currently exist.
Benefits	Improved Rules fit-for-purpose
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



Ineffective relationship, including communication and engagement, between the regulator and the sector

6.1a – Fear of reprisals

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.1a – Fear of reprisals.
Control	Independent industry body.
Action	<ul style="list-style-type: none"> • CAA to communicate to sector the avenues available for providing feedback, including the Ombudsman. • CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes.
Owner	CAA.
Status	Active

Sector Implementation Plan

6.1a	Ineffective relationship, including communication and engagement, between the regulator and the sector - Fear of reprisals
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Completed communication to sector detailing the avenues available for providing feedback. Enhanced communication around the nature of regulatory actions taken.
Planned Actions	CAA to communicate to sector the avenues available for providing feedback, including the Ombudsman. CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes.
Benefits	Improved confidence by the sector in the CAA, and improved knowledge and insight by the regulator into sector performance.
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Improved relationship. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



6.1b – Fear of reprisals

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.1b – Fear of reprisals.
Control	Effective communication between and within regulator and sector.
Action	<ul style="list-style-type: none"> •CAA to review current communications strategy with the sector. •CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants. •CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes. •CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting. •CAA to share incident data with industry.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

6.1b	Ineffective relationship, including communication and engagement, between the regulator and the sector - Fear of reprisals
Plan Coordinator	CAA, Part 135 Operators, Industry Groups
Outcome	Completed review of communications strategy with the sector. Enhanced communication around the nature of regulatory actions taken.
Planned Actions	<p>CAA to review current communications strategy with the sector.</p> <p>CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.</p> <p>CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes.</p> <p>CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting.</p> <p>CAA to share incident data with industry.</p>
Benefits	Improved confidence by the sector in the CAA, and improved knowledge and insight by the regulator into sector performance.
Resource requirements	CAA, Part 135 Operators, Industry Groups
Performance measures	Improved relationship. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



6.1c – Fear of reprisals

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.1c – Fear of reprisals.
Control	Just culture.
Action	CAA to promote and educate the sector on Just Culture, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

6.1c	Ineffective relationship, including communication and engagement, between the regulator and the sector - Fear of reprisals
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Part 135 Operators and CAA senior leadership will demonstrate evidence of adopting and promoting an ongoing just and fair culture within their respective organisations, and invest in sufficient management systems to promote and implement a just and fair culture.
Planned Actions	CAA to promote and educate the sector on Just Culture in CAA training courses, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency.
Benefits	Improved confidence by the sector in the CAA. Improved knowledge of a just and fair culture by CAA and the sector. Improved knowledge and insight by the regulator into sector performance. Positive shift in related Part 135 SRP Action Survey responses.
Resource requirements	CAA, Part 135 Operators. Industry Groups
Performance measures	Increased reporting of occurrences. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



6.2a – Perceived lack of just culture in CAA

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.2a – Perceived lack of just culture in CAA.
Control	Effective communication between and within regulator and sector.
Action	<ul style="list-style-type: none"> • CAA to review current communications strategy with the sector. • CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants. • CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy consideration and avoiding prejudicing existing legal processes. • CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting. • CAA to promote and educate the sector on Just Culture, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

6.2a	Ineffective relationship, including communication and engagement, between the regulator and the sector - Perceived lack of just culture in CAA
Plan Coordinator	CAA, Part 135 Operators, Industry Groups.
Outcome	Completed review of the current communication strategy. Consider establishing a Part 135 sector reference group. Completed review of the Regulatory Operating Model (ROM). And changes communicated to the sector.
Planned Actions	<p>CAA to review current communications strategy with the sector.</p> <p>CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.</p> <p>CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy consideration and avoiding prejudicing existing legal processes.</p> <p>CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting.</p> <p>CAA to promote and educate the sector on Just Culture, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency.</p>
Benefits	Demonstrated effective communication between and within regulator and sector, and the implementation of initiatives to improve effective and efficient communication, which reflects a just and fair culture.
Resource requirements	CAA, Part 135 Operators, Industry Groups.
Performance measures	Improved communication between and within regulator and sector, and the implementation of initiatives to improve effective and efficient communication, which reflects a just and fair culture. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



6.2b – Perceived lack of just culture in CAA

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.2b – Perceived lack of just culture in CAA.
Control	Relationship managers.
Action	CAA to review relationship management as part of the wider communications and stakeholder engagement strategy.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

6.2b	Ineffective relationship, including communication and engagement, between the regulator and the sector - Perceived lack of just culture in CAA
Plan Coordinator	CAA, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Completed review of the current communication strategy.
Planned Actions	CAA to review relationship management as part of the wider communications and stakeholder engagement strategy.
Benefits	Demonstrated effective communication between and within regulator and sector, and the implementation of initiatives to improve effective and efficient communication, which reflects a just and fair culture.
Resource requirements	CAA, Part 135 Operators, Industry Groups.
Performance measures	Improved communication between and within regulator and sector, and the implementation of initiatives to improve effective and efficient communication, which reflects a just and fair culture. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



6.3 – Ineffective communications approach

Sector Risk

6. Ineffective relationship, including communication and engagement, between the regulator and the sector	
Risk	Operators have a fear of reprisal from reporting incidents or concerns, and a perceived absence of just culture and effective communication by the CAA, leading to under-reporting of issues and non-compliances; and impaired knowledge and insight by the regulator into sector performance.
Cause	6.3 – Ineffective communications approach.
Control	Effective communication between and within regulator and sector.
Action	<ul style="list-style-type: none"> • CAA to review current communications strategy with the sector. • CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants. • CAA and Operators to consider greater use of Local User Groups • CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes. • CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting. • CAA to share incident data with industry.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

6.3	Ineffective relationship, including communication and engagement, between the regulator and the sector - Ineffective communications approach
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Effective communication and engagement, and improved relationship with open reporting of issues and improved knowledge.
Planned Actions	<p>CAA to review current communications strategy with the sector.</p> <p>CAA to consider establishing a Part 135 sector reference group to enhance involvement and engagement with sector participants.</p> <p>CAA and Operators to consider greater use of Local User Groups</p> <p>CAA to enhance communication around the nature of actions taken (fines, court prosecutions etc.) and the reasons why these were taken, subject to privacy considerations and avoiding prejudicing existing legal processes.</p> <p>CAA to confirm that no prosecution action or infringement notice issued as a result of self-reporting.</p> <p>CAA to share incident data with industry.</p>
Benefits	Improved relationships. Improved confidence by the sector in the CAA, and improved knowledge and insight by the regulator into sector performance.
Resource requirements	CAA, Part 135 Operators, Industry Groups.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



Airborne conflict in controlled and uncontrolled airspace

7.1 – Density of aircraft within confined airspace, and visiting or itinerant pilots not following correct procedures

Sector Risk

7. Airborne conflict in controlled and uncontrolled airspace	
Risk	Airborne conflict is the dangerous proximity to airborne objects or aircraft while in flight.
Cause	7.1 – Density of aircraft within confined airspace, and visiting or itinerant pilots not following correct procedures.
Control	Awareness of Local Procedures.
Action	<ul style="list-style-type: none"> • Increase understanding of local procedures especially amongst itinerant pilots through the promulgation of procedures in the AIP, aerodrome websites, pilot briefings, etc. • Create MBZs, assign common radio frequencies in the areas of greatest need, and rationalise frequencies to ease radio congestion as part of the regular Airspace Review process. • Greater use of aerodrome / airspace local user groups to facilitate change and implementation. • Improve RTF discipline e.g. reduce RTF chatter, use of both radios appropriately through education utilising local user groups.
Owner	Operators, CAA, and Local User Groups
Status	Scoping

Sector Implementation Plan

7.1	Airborne conflict in controlled and uncontrolled airspace - Density of aircraft within confined airspace, and visiting or itinerant pilots not following correct procedures
Plan Coordinator	Part 135 Operators, Local User Groups, CAA ASU
Outcome	Improved communication resulting in pilots having an improved awareness of local procedures, following correct procedures, and thus reduced risk of airborne conflict and serious incidents
Planned Actions	<p>Increase understanding of local procedures especially amongst itinerant pilots through the promulgation of procedures in the AIP, aerodrome websites, pilot briefings, etc.</p> <p>Create MBZs, assign common radio frequencies in the areas of greatest need, and rationalise frequencies to ease radio congestion as part of the regular Airspace Review process.</p> <p>Greater use of aerodrome / airspace local user groups to facilitate change and implementation.</p> <p>Improve RTF discipline e.g. reduce RTF chatter, use of both radios appropriately through education utilising local user groups.</p>
Benefits	Pilots will have an improved awareness of local procedures, following correct procedures, and thus reducing the risk of airborne conflict and serious incidents. Safer skies.
Resource requirements	CAA, Part 91 and Part 119 Operators, Aerodrome Operators, Local User Groups.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020



7.2 – Lack of knowledge and/or understanding by some Unmanned Aircraft Systems (UAS) operators of hazards and rules

Sector Risk

7. Airborne conflict in controlled and uncontrolled airspace	
Risk	Airborne conflict is the dangerous proximity to airborne objects or aircraft while in flight.
Cause	7.2 – Lack of knowledge and/or understanding by some Unmanned Aircraft Systems (UAS) operators of hazards and rules.
Control	Awareness of rules.
Action	<ul style="list-style-type: none"> • CAA to review current communications strategy with UAS operators, to raise awareness of rules e.g. pamphlets to overseas visitors. • CAA to conduct further data analysis to identify UAS use, incidents and near misses.
Owner	CAA.
Status	Active

Sector Implementation Plan

7.2	Airborne conflict in controlled and uncontrolled airspace - Lack of knowledge and/or understanding by some Unmanned Aircraft Systems (UAS) operators of hazards and rules
Plan Coordinator	CAA, Special Flight Operations and Recreational Aviation Unit, Part 91 Operators, Industry Groups.
Outcome	Improved awareness of rules, resulting in UAS operators following correct procedures, and thus reduced risk of airborne conflict and serious incidents.
Planned Actions	CAA to review current communications strategy with UAS operators, to raise awareness of rules e.g. pamphlets to overseas visitors. CAA to conduct further data analysis to identify UAS use, incidents and near misses.
Benefits	Increased knowledge and/or understanding by Unmanned Aircraft Systems (UAS) operators of hazards and rules. Following the rules, and thus reducing the risk of airborne conflict and serious incidents. Safer skies.
Resource requirements	CAA ISRA, CAA
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



7.3 – UAS difficult to see, both visibly and electronically

Sector Risk

7. Airborne conflict in controlled and uncontrolled airspace	
Risk	Airborne conflict is the dangerous proximity to airborne objects or aircraft while in flight.
Cause	7.3 – UAS difficult to see, both visibly and electronically.
Control	Continual review and refinement of UAS rules.
Action	CAA to continually consider and implement development of regulation to reflect changing UAS design and functionality, and align with best international practice.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

7.3	Airborne conflict in controlled and uncontrolled airspace - UAS difficult to see, both visibly and electronically
Plan Coordinator	Manager Special Flight Operations and Recreational Aviation, Manager Aeronautical Services, Part 135, 91 Operators, Industry Groups. e.g. Aviation New Zealand, NZHA, AAA, etc.
Outcome	Improved rules, resulting in UAS operators following implemented rules that effectively manage and mitigate the emerging risks and risk causes (e.g. UAS difficult to see, both visibly and electronically), and thus reduced risk of airborne conflict and serious incidents.
Planned Actions	CAA to continually consider and implement development of regulation to reflect changing UAS design and functionality, and align with best international practice. CAA to work with other agencies in the UAS arena.
Benefits	Rules fit for purpose, thus reducing the risk of airborne conflict and serious incidents. Safer skies.
Resource requirements	CAA, Part 135, 101,102 Operators, Industry Groups.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020



7.4 - The increasing use of Unmanned Aircraft Systems (UAS) and Visual Flight Rules (VFR) flights in uncontrolled airspace, along with the absence of a standardised traffic collision avoidance system (TCAS) and a common frequency for communication of Visual Flight Rules (VFR)/IFR traffic, and ineffective pilot education is leading to a higher likelihood of incidents / accidents and near misses with IFR flights and VFR flights

Sector Risk

7. Airborne conflict in controlled and uncontrolled airspace	
Risk	Airborne conflict is the dangerous proximity to airborne objects or aircraft while in flight.
Cause	7.4 - The increasing use of Unmanned Aircraft Systems (UAS) and Visual Flight Rules (VFR) flights in uncontrolled airspace, along with the absence of a standardised traffic collision avoidance system (TCAS) and a common frequency for communication of Visual Flight Rules (VFR)/IFR traffic, and ineffective pilot education is leading to a higher likelihood of incidents / accidents and near misses with IFR flights and VFR flights.
Control	Ongoing analysis to assess IFR and VFR related risk.
Action	CAA to conduct further ongoing analysis to assess the size of this risk, and develop associated action plan (as required).
Owner	CAA.
Status	Scoping

Sector Implementation Plan

7.4 Airborne conflict in controlled and uncontrolled airspace	
Plan Coordinator	CAA
Outcome	Analysis of the risk
Planned Actions	CAA will conduct further ongoing analysis to assess the size of this risk, and develop an associated action plan (as required).
Benefits	Increased knowledge and/or understanding of the risk, combined with an associated action plan, assists in making appropriate risk management decisions to reduce the risk of airborne conflict and serious incidents. Safer skies.
Resource requirements	CAA, Airways, Industry Groups.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



Flying when unfit to fly

8.1a – Commercial pressure to fly

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.1a – Commercial pressure to fly.
Control	Consider financial position as part of surveillance/certification activity.
Action	CAA to review current certification processes and develop a method of gaining assurance that applicants are sufficiently resourced to conduct safe operations.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

8.1a	Flying when unfit to fly – Commercial pressure to fly
Plan Coordinator	Deputy Director General Aviation, Deputy Director Air Transport and Airworthiness, Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Better managed and resourced organisations more able to conduct safe operations.
Planned Actions	Review current certification processes and develop a method of gaining assurance that applicants are sufficiently resourced to conduct safe operations. Consider enhancing/implementing processes to more accurately determine financial position as part of surveillance/certification activity.
Benefits	A more transparent and effective process whereby operators are able to demonstrate financial position to CAA, and increased assurance by CAA that operators are sufficiently resourced and financially robust to conduct safe operations, leading to a reduced risk of a major accident or degraded safety performance.
Resource requirements	CAA, Operators safety and finance staff, and Industry Groups and consultants/accountants.
Performance measures	Increased assurance that operators are sufficiently resourced to conduct safe operations, leading to a reduced risk of a major accident or degraded safety performance. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2019



8.1b – Commercial pressure to fly

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.1b – Commercial pressure to fly.
Control	Implementation of SMS, and CAA certification surveillance of flight and duty limitations and flight crew rostering.
Action	<ul style="list-style-type: none"> • Operators to submit implementation plan by 30 July 2018 for assessment by CAA. • Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. • CAA to provide support and guidance for participants, including outreach and communications. • CAA project to review fatigue management. • CAA interim policy on assessment of flight and duty schemes. • CAA to develop expertise and tools to effectively and consistently certify flight and duty schemes and audit for compliance. • CAA to promote flight crew fatigue management training as part of flight crew training programmes. • Operators to adhere to AC119-2 or develop equivalent (and engage a fatigue expert).
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

8.1b	Flying when unfit to fly – Commercial pressure to fly
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate level of fitness of staff when flying, capable of addressing any 'fatigue risk management' issue that could potentially affect safe operations i.e. poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, and/or adversely influences flight decision-making and the safety of operations. 'Present and suitable' fatigue risk management, moving to 'in operation and effective'.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. Operators to adhere to AC119-2 or develop equivalent (and engage a fatigue expert).
Benefits	Reduce the frequency of 'fatigue' occurrences, and to minimise the impact of these occurrences. Improved physical or mental state (e.g. eliminate/minimise fatigue, alcohol, drugs, and stress) and/or improved management of commercial pressures, resulting in improved flight decision-making and the safety of operations.
Resource requirements	Part 135 Operators, CAA
Performance measures	Improved flight decision-making and the safety of operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



8.1c – Commercial pressure to fly

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.1c – Commercial pressure to fly.
Control	Just culture.
Action	<ul style="list-style-type: none"> • CAA to promote and educate the sector on Just Culture, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency. • Operators to adopt Just Culture approach.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

8.1c	Flying when unfit to fly – Commercial pressure to fly
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Part 135 Operators and CAA senior leadership will demonstrate evidence of adopting and promoting an ongoing just and fair culture within their respective organisations, and invest in sufficient management systems to promote and implement a just and fair culture.
Planned Actions	CAA to promote and educate the sector on Just Culture, including a rewrite of the Regulatory Operating Model (ROM) and the ROM being made available to industry to promote transparency. Operators to adopt Just Culture approach.
Benefits	Improved confidence by the sector in the CAA. Improved knowledge of a just and fair culture by CAA and the sector. Improved knowledge and insight by the regulator into sector performance. Positive shift in related Part 135 SRP Action Survey responses.
Resource requirements	CAA, Part 135 Operators. Industry Groups
Performance measures	Increased reporting of occurrences. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



8.2a – Operational demands exceed capability / competence

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.2a – Operational demands exceed capability / competence.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> •Operators to submit implementation plan by 30 July 2018 for assessment by CAA. •Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. •CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

8.2a	Flying when unfit to fly – Operational demands exceed capability / competence
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate level of fitness of staff when flying, capable of addressing any 'Operational demands exceed capability / competence' issue that could potentially affect safe operations i.e. poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, and/or adversely influences flight decision-making and the safety of operations.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of 'Operational demands exceed capability / competence' occurrences, and to minimise the impact of these occurrences. Improved physical or mental state (e.g. eliminate/minimise fatigue, alcohol, drugs, and stress) and/or improved management of commercial pressures, resulting in improved flight decision-making and the safety of operations.
Resource requirements	Part 135 Operators, CAA
Performance measures	Improved flight decision-making and the safety of operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



8.2b – Operational demands exceed capability / competence

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.2b – Operational demands exceed capability / competence.
Control	Adherence to Standard Operating Procedures (SOPs).
Action	<ul style="list-style-type: none"> •Operators to develop, and continually review and update, SOPs which are tailored to their unique operations and organisation. This should include operator internal reporting, operator monitoring, and associated management action to address procedural drift. •Industry group to develop a mechanism for sharing 'best practice' SOPs between Operators. •CAA to provide guidelines on the process for developing SOPs, and the associated benefits of the use of SOPs.
Owner	Operators, Industry Group and CAA.
Status	Scoping

Sector Implementation Plan

8.2b	Flying when unfit to fly – Operational demands exceed capability / competence
Plan Coordinator	Part 135 Operators, CAA, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Operators will demonstrate evidence of implemented SOPs tailored to their unique operation.
Planned Actions	<p>Operators to develop, and continually review and update, SOPs which are tailored to their unique operations and organisation. This should include operator internal reporting, operator monitoring, and associated management action to address procedural drift.</p> <p>Industry group to develop a mechanism for sharing 'best practice' SOPs between Operators.</p> <p>CAA to provide guidelines on the process for developing SOPs, and the associated benefits of the use of SOPs.</p>
Benefits	Reduce the frequency of 'operational demands exceed capability / inadequate competency' occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of SOPs and associated benefits e.g. implemented and effective SOPs.
Resource requirements	Operators safety and training staff. CAA flight operations staff, and industry groups.
Performance measures	Evidence that the effective management of flight crew competency is included as part of the operators Safety Management System, and that there is an application of SOPs tailored to their unique operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020



8.3 – Poor physiological and/or psychological health

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.3 – Poor physiological and/or psychological health.
Control	Comprehensive health management framework across the sector.
Action	<ul style="list-style-type: none"> •CAA to educate sector that all medical records can be obtained by the CAA for monitoring purposes. •Operators develop peer support and mentoring programme. •Operators perform health checks, and day-to-day monitoring. •CAA to investigate ‘good practice’ fatigue management and develop guidelines for sector. •Operators to inform their flight crew members about assistance available to them such as Association support, Peer Assistance network, insurance cover. •MoT ‘Clear Heads’ initiative.
Owner	CAA and Operators.
Status	Scoping

Sector Implementation Plan

8.3	Flying when unfit to fly – Poor physiological and/or psychological health
Plan Coordinator	Part 135 Operators, CAA, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, NZALPA, etc.
Outcome	An effective and comprehensive health management framework across the sector.
Planned Actions	<p>CAA to educate sector that all medical records can be obtained by the CAA for monitoring purposes.</p> <p>Operators develop peer support and mentoring programme.</p> <p>Operators perform health checks, and day-to-day monitoring.</p> <p>CAA investigate ‘good practice’ fatigue management and develop guidelines for sector.</p> <p>Operators to inform their flight crew members about assistance available to them such as Association support, Peer Assistance network, insurance cover.</p> <p>MoT ‘Clear Heads’ initiative.</p>
Benefits	Improved physiological and/or psychological health, and in turn improving both flight crew health and safety.
Resource requirements	CAA, Part 135 Operators, Associations e.g. NZALPA, etc.
Performance measures	Implemented framework. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020



8.4a – Procedural shift

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.4a – Procedural shift.
Control	Adherence to Standard Operating Procedures (SOPs).
Action	<ul style="list-style-type: none"> •Operators to develop, and continually review and update, SOPs which are tailored to their unique operations and organisation. This should include operator internal reporting, operator monitoring, and associated management action to address procedural drift. •Industry group to develop a mechanism for sharing ‘best practice’ SOPs between Operators. •CAA to work with examiners to provide external touchpoint.
Owner	Operators, Industry Group and CAA.
Status	Scoping

Sector Implementation Plan

8.4a	Flying when unfit to fly – Procedural shift
Plan Coordinator	Part 135 Operators, CAA, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Operators will demonstrate evidence of implemented SOPs tailored to their unique operation.
Planned Actions	<p>Operators to develop, and continually review and update, SOPs which are tailored to their unique operations and organisation. This should include operator internal reporting, operator monitoring, and associated management action to address procedural drift.</p> <p>Industry group to develop a mechanism for sharing ‘best practice’ SOPs between Operators.</p> <p>CAA to work with examiners to provide external touchpoint.</p>
Benefits	Reduce the frequency of ‘procedural shift’ occurrences, and to minimise the impact of these occurrences. Improved knowledge and skills of flight crew, and improved standard of SOPs and associated benefits e.g. implemented and effective SOPs.
Resource requirements	Operators safety and training staff. CAA flight operations staff, and industry groups.
Performance measures	Evidence that the effective management of flight crew competency, including procedural drift, is included as part of the operators Safety Management System, and that there is an application of SOPs tailored to their unique operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020



8.4b – Procedural shift

Sector Risk

8. Flying when unfit to fly	
Risk	Poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, influences flight decision-making and the safety of operations.
Cause	8.4b – Procedural shift.
Control	Implementation of SMS.
Action	<ul style="list-style-type: none"> •Operators to submit implementation plan by 30 July 2018 for assessment by CAA. •Operators to implement 'present and suitable' SMS prior to their approved SMS certification date. •CAA to provide support and guidance for participants, including outreach and communications.
Owner	CAA, Operators and Industry Training Providers.
Status	Active

Sector Implementation Plan

8.4b	Flying when unfit to fly – Procedural shift
Plan Coordinator	Part 135 Operators, Industry Groups e.g. Aviation New Zealand, NZHA, AAA.
Outcome	Operators will demonstrate evidence of an implemented 'present and suitable' SMS prior to their approved SMS certification date, with an appropriate level of fitness of staff when flying, capable of addressing any procedural shift that could potentially affect safe operations i.e. poor physical or mental state (e.g. fatigue, alcohol, drugs, or stress) and/or commercial pressures, and/or adversely influences flight decision-making and the safety of operations.
Planned Actions	Operators to submit implementation plan by 30 July 2018 for assessment by CAA. Operators to implement 'present and suitable' SMS prior to their approved SMS certification date.
Benefits	Reduce the frequency of 'procedural shift' occurrences, and to minimise the impact of these occurrences. Improved physical or mental state (e.g. eliminate/minimise fatigue, alcohol, drugs, and stress) and/or improved management of commercial pressures, resulting in improved flight decision-making and the safety of operations.
Resource requirements	Part 135 Operators, CAA
Performance measures	Improved flight decision-making and the safety of operations. Positive shift in related Part 135 SRP Action Survey responses.
Timing	December 2020



Flying un-airworthy aircraft

9.1 – Ineffective maintenance management

Sector Risk

9. Flying un-airworthy aircraft	
Risk	Inability to attract, retain and adequately train Licenced Aircraft Maintenance Engineers (LAME), and the absence of standardised aircraft maintenance management, leads to impaired maintenance capacity and capability, along with reduced aircraft safety.
Cause	9.1 – Ineffective maintenance management.
Control	Maintenance course and guidance.
Action	<ul style="list-style-type: none"> •CAA to develop a ‘How to become an engineer’ booklet, and develop a communication strategy to publish this, subject to prioritisation. •Maintenance courses are currently available for inspectors.
Owner	CAA.
Status	Scoping

Sector Implementation Plan

9.1	Flying un-airworthy aircraft - Ineffective maintenance management
Plan Coordinator	CAA, Part 135 Operators, Maintenance Organisations, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, Service IQ, etc.
Outcome	Aircraft engineering portrayed as an attractive career to ensure sufficient maintenance capacity and capability to safeguard effective maintenance management and airworthy aircraft.
Planned Actions	CAA to develop a ‘How to become an engineer’ booklet, and develop a communication strategy to publish this, subject to prioritisation. Maintenance courses are currently available for inspectors.
Benefits	Improved capacity and capability, along with improved aircraft safety.
Resource requirements	CAA, Engineering staff, Industry Groups, Part 135 Operators.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2019



9.2 – Lack of industry attractiveness

Sector Risk

9. Flying un-airworthy aircraft	
Risk	Inability to attract, retain and adequately train Licenced Aircraft Maintenance Engineers (LAME), and the absence of standardised aircraft maintenance management, leads to impaired maintenance capacity and capability, along with reduced aircraft safety.
Cause	9.2 – Lack of industry attractiveness.
Control	Workforce management strategy in place.
Action	<ul style="list-style-type: none"> •Maintenance organisations to work with Operators to gradually increase fees for engineers. •CAA increases promotion of maintenance engineering as a career path. •Sector to develop ‘Engineer of the Year’ awards.
Owner	Maintenance organisations, CAA and Operators.
Status	Scoping

Sector Implementation Plan

9.2	Flying un-airworthy aircraft - Lack of industry attractiveness
Plan Coordinator	Part 135 Operators, CAA, Maintenance Organisations , Industry Groups e.g. Aviation New Zealand, NZHA, AAA, Service IQ, etc.
Outcome	Aircraft engineering portrayed as an attractive career to ensure sufficient maintenance capacity and capability to safeguard effective maintenance management and airworthy aircraft.
Planned Actions	Maintenance organisations to work with Operators to gradually increase fees for engineers. CAA increases promotion of maintenance engineering as a career path. Sector to develop ‘Engineer of the Year’ awards.
Benefits	Improved maintenance capacity and capability, along with improved aircraft safety.
Resource requirements	Engineers, Maintenance organisations, Employers of maintenance engineers, Part 135 CEOs.
Performance measures	Positive shift in related Part 135 SRP Action Survey responses. Increase in the number of LAMEs.
Timing	June 2020



9.3 – Lack of training and appropriate skillsets

Sector Risk

9. Flying un-airworthy aircraft	
Risk	Inability to attract, retain and adequately train Licenced Aircraft Maintenance Engineers (LAME), and the absence of standardised aircraft maintenance management, leads to impaired maintenance capacity and capability, along with reduced aircraft safety.
Cause	9.3 – Lack of training and appropriate skillsets.
Control	Licenced Aircraft Maintenance Engineer training and apprenticeship programmes.
Action	<ul style="list-style-type: none"> • Training providers to incorporate Licenced Aircraft Maintenance Engineer into syllabus. • Industry to investigate reinstating maintenance apprenticeships.
Owner	Training providers and Operators.
Status	Scoping

Sector Implementation Plan

9.3	Flying un-airworthy aircraft - Lack of training and appropriate skillsets
Plan Coordinator	Part 135 Operators, Training Providers, Industry Groups e.g. Aviation New Zealand, NZHA, AAA, Service IQ, etc.
Outcome	Ability to attract, retain and adequately train Licenced Aircraft Maintenance Engineers (LAME)
Planned Actions	Training providers to incorporate Licenced Aircraft Maintenance Engineer into their syllabus. Industry to investigate reinstating maintenance apprenticeships.
Benefits	Improved maintenance capacity and capability, along with improved aircraft safety.
Resource requirements	Engineers, Maintenance organisations, Employers of maintenance engineers, Part 135 CEOs.
Performance measures	Increase in the number of Licenced Aircraft Maintenance Engineers. Positive shift in related Part 135 SRP Action Survey responses.
Timing	June 2020