	Note[1]: Not reportable by ATS when, for occurrences within the jurisdiction of an Aerodrome Operator, details of the occurrence and aircraft involved can be provided to the Aerodrome Operator (e.g. through the Airport Safety Officer) *An RRM.*
Emergency Operations	Any in-flight broadcast to Air Traffic Service authorities by the flight crew that declares an emergency (Mayday or PAN), or the declaration of an alert or distress phase by Air Traffic Service authorities (ALERFA or DETRESFA). ***OR*** Flight crew requests of assistance from an external source to determine their geographical location. ***OR*** The initiation of Aerodrome Emergency Procedures by the Pilot, Air Traffic Services or Airport Operators due to a threat to the safety of an aircraft that is on or in the vicinity of an aerodrome, and where rescue and/or firefighting services have become mobile in response **(not including local standby only).** **Note[1]:** Includes serious damage to, or destruction of, any property outside the aircraft caused by contact with the aircraft or anything that has become detached from the aircraft. **Note[2]: Does not** include the declaration of a PAN due to an on-board medical emergency. A passenger-related medical emergency is not a reportable occurrence for Airservices unless it relates to injury caused as a direct result of aircraft operation (in which case, it is an RRM). *An IRM.*
Facility Issue	A total or partial loss or degradation of the performance, of a facility or system. **Note[1]:** Must be reported regardless of the impact on safety. **Note:** Includes the failure or degradation of an airfield facility, including lighting or pavements. *An IRM if involving the failure of two or more related redundant systems for flight guidance or navigation. A RRM if otherwise.*
Fuel Dump/Vent	A pilot reported fuel dump or an Air Traffic Control/Public reported observation of an aircraft venting fuel *Not an IRM or RRM.*
Malfunction of Aircraft System	The malfunction of an aircraft system, if the malfunction affects the operation of the aircraft or results in difficulty controlling the aircraft **Note[1]:** Includes failure or degraded performance of any aircraft equipment component of the ATS surveillance system such as ADS-B transmitters or SSR transponders, and the transmission of incorrect Aircraft identification or Mode 3A that cannot be resolved by the pilot. **Note[2]:** Tyres are not classified as an aircraft system according to the ATSB. For Flat tyre occurrences, use Other – Safety Related where the aircraft was disabled on the runway, and Other – Non Safety Related when the aircraft was disabled elsewhere or still able to taxi. *An IRM if involving:* • *an uncontained engine failure;* • *a mechanical failure resulting in the shutdown of an engine;* • *serious effects on the operation of the aircraft; or* • *the failure of two or more related redundant systems for flight guidance or navigation* *A RRM if otherwise.*
Weather / Hazardous Conditions	A meteorological phenomena or hazardous condition that is observed or reported and causes difficulty controlling an aircraft

	Note[1]: Any weather phenomena that results in an aircraft deviating beyond approved tolerances or affects the safe operation of an aircraft and its passengers and crew. *An IRM.*
Aerodrome	
Curfew	An aircraft landing or taking-off during curfew periods in contravention of Airport Curfew Regulations *Not an IRM or RRM.*
Foreign Object Damage/Debris	Loose objects on the manoeuvring area of an aerodrome causing, or having the potential to cause, damage to an aircraft *Not an IRM or RRM.*
Go Around	The termination of an aircraft's final approach to land and the aircraft conducting a go around procedure **Note[1]:** Not reportable where an aircraft initiates a published missed approach procedure because visual flight could not be established by the minima. *Not an IRM or RRM.*
Near Collision on Ground	An aircraft or vehicle on the ground is required to manoeuvre to avoid a collision, or an avoidance manoeuvre would have been appropriate *An IRM.*
Critical Rejected Take-off	A take-off that is interrupted or prevented by a decision initiated either by the pilot involved or a controller after the aircraft has reached, or is near to take-off speed, height, or any combination thereof, relative to the type of aircraft operation **Note[1]:** Does not include rejected take-offs conducted at low to mid-range speeds, aircraft type dependant. *Not an IRM or RRM.*
Runway Excursion	An occurrence in which an aircraft veers off, undershoots, or overruns the runway surface during either take-off or landing. **Note[1]:** Over-running refers to either a landing or a rejected take-off where the aircraft continues beyond the effective operational length available for use by aircraft for landing at certified or registered aerodromes or the distance available for landing on an aircraft landing area. Under-shoot refers to a landing that touches down prior to the designated landing area on a runway within the aerodrome perimeter. *An IRM.*
Runway Incursion	Any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle, or person on the protected area of a surface designated for the landing and take-off of an aircraft **Note[1]:** Incorrect presence: The presence of an aircraft, vehicle or person within the confines of the protected area* of a surface designated for the landing and take-off of aircraft, which affects the safe operation of an arriving or departing aircraft, irrespective of having a clearance, or An aircraft, vehicle or person enters the protected area* of a surface designated for the landing and take-off of aircraft, without a clearance to do so, regardless of other aircraft operations. An aircraft or vehicle crosses an illuminated stop bar which protects the area of surface designated for the landing and take-off of an aircraft, irrespective of having a clearance.

	Note[2]: In the situation that published stop bar contingency procedures are implemented due to a stop bar switching fault, an aircraft or vehicle may be explicitly directed to cross an illuminated stop bar. This does not constitute a runway incursion. * Protected Area: A runway including the runway strip, or a helicopter landing site (HLS) marked as designated for the exclusive use of helicopters and subject to an ATC clearance for landing, take-off or entering. **Note[3]:** An ATS attributable runway incursion involving an arriving aircraft occurs when the aircraft has been cleared to land, and is past the Runway Incursion Threshold which is defined as: the runway threshold, where a separation standard is to be applied and the runway is still occupied, unless a separation standard continues to exist; or in all other cases that point on final approach where the arriving aircraft reaches an altitude of 400FT and the runway is still occupied. **Note[4]:** For circuit operations an ATS attributable runway incursion will occur when the arriving aircraft has turned final, is in receipt of a landing clearance and the runway is still occupied. **Note[5]:** If ATS issue a landing clearance to an arriving aircraft when there is an obstruction on the runway, other than an aircraft taking-off or landing, and the aircraft is not past the Runway Incursion Threshold as defined in Note 2, i.e. a runway incursion occurrence is not reportable, or for circuit operations, has not turned final, an ATS-attributable Information Error should be reported. *A RRM.*
Take-off/ Approach/Landing to/from Unauthorised Area	An aircraft takes-off, lands or attempts to land or take-off from an area other than that authorised by an ATC clearance for landing or departure *An IRM if involving:* • *a rejected take-off from a closed or occupied runway;* • *a take-off from a closed or occupied runway with marginal separation from an obstacle or obstacles; or* • *a landing on a closed or occupied runway*
Aircraft Separation/Confliction	
ACAS Resolution Advisory	A pilot report of an airborne collision avoidance system (ACAS) resolution advisory (RA) alert *An RRM.*
Aircraft Confliction	Two or more aircraft (including RPAS/model aircraft) coming into close proximity such that a threat to the safety of those aircraft may exist, in airspace where the aircraft are not subject to an ATC separation service and/or where separation responsibility is assigned to the pilot **Note[1]:** An Aircraft Confliction must be the primary occurrence type with the only exception being an Aircraft Accident. *An IRM.*
Aircraft in Critical Proximity	Aircraft in Critical Proximity applies, between aircraft in the air or on the ground, or between an aircraft and terrain or obstacle, when: • an evasive manoeuvre carried out to avoid a collision; or • two or more aircraft came within 250 FT vertically and 150 m horizontally; or • a pilot or controller believed a very high probability of collision existed. *An IRM.*

Ground Proximity (inc GPWS/MSAW)	A pilot report of a Ground Proximity Warning System (GPWS) alert, activation of a valid Minimum Safe Altitude Warning (MSAW), or the potential for flight into terrain to occur, or in circumstances where ATS issues vectors below MVA when it is not permissible by MATS. *An IRM if flight into terrain was narrowly avoided.* *A RRM if involving:* • *flight below the minimum altitude, except in accordance with a normal arrival or departure procedure; or* • *the activation of a GPWS*
Loss of Separation	An infringement of prescribed minimum separation: • between aircraft • between aircraft and objects, or • between aircraft and Prohibited or Restricted Areas, or airspace reservations. Separation: Separation is the concept of using approved separation standards, associated conditions and procedures to ensure spacing between aircraft is never less than a prescribed separation minimum. Controlled: If, in the lead up to the loss of separation, situational awareness relating to the relevant traffic exists but operational judgment or execution of actions is inappropriate, then the occurrence is a 'controlled' one. Uncontrolled: If, in the lead up to the loss of separation, situational awareness relating to the relevant traffic does not exist, then the occurrence is 'uncontrolled' **Note[1]:** Controlled or Uncontrolled categorisation is only to be applied to ATS Attributable occurrences. **Note[2]:** A Loss of Separation must be the primary occurrence type with the only exception being an Aircraft Accident. *An IRM.*
Inadequate Separation Assurance	A traffic scenario where separation exists but: • the conflict is not identified, and/or • separation is not planned or is inappropriately planned, and/or • the separation plan is not executed or is inappropriately executed, and/or • separation is not monitored or is inappropriately monitored. **Note[3]:** Applicable to 'ATS attributable' occurrences. *Not an IRM or RRM*

Miscellaneous	
Laser	A laser having been directed at an aircraft, ground vehicle or ATS facility. *Not an IRM or RRM*
Other – Safety Related	• Any circumstance whereby an ATS officer works without being appropriately licensed, including being out of recency. • The declaration of PAN due on-board medical emergency (non-crew related) • The receipt of incorrect or incomplete NOTAM requests that are corrected by the NOF. **Note[1]:** When incorrect or incomplete NOTAMs are issued this should be reported as an Information Error. • All other circumstances not defined as an occurrence type in which the safety of an aircraft or the integrity of the Air Traffic Service system may have been jeopardised. *Not an IRM or RRM.*

Other – Non-Safety Related	All other circumstances not defined as an occurrence type that the reporter believes should be reported to Airservices management *Not an IRM or RRM.*
Pilot Complaint/Report	A pilot complaint or report that is not related to another occurrence and the reporter anticipates that the information is required for stakeholder relationship management *Not an IRM or RRM.*
Variation to published ATS	The inability to provide ATS as published *Not an IRM or RRM.*
Operational Deviation	
Airspace Infringement	The unauthorised entry of an aircraft into airspace where a clearance is required, or to which entry is prohibited *Not an IRM or RRM.*
Operational Deviation	A non-adherence with the requirements of an air traffic management procedure or instruction issued by air traffic services or regulatory authorities, including AIP **Note[1]**: Requirements may include level, time or route adherence, and apply whether an aircraft is airborne or on the ground. **Note[2]**: This category applies to all instructions and procedures issued by air traffic services and applies to pilots or other persons (e.g. ground personnel) that are subject to requirements, clearance or instructions issued by air traffic services for the purpose of maintaining the safety of aviation operations. *Not an IRM or RRM.*
Operational Information	
Aeronautical Information Service (AIS) Information Error	Information flow within the Aeronautical Information Management system for the provision of Aeronautical Information Services (AIS) products and services that is late, incorrect, incomplete or absent. *An RRM.*
Flight Planning Error	Where a flight plan is filed incorrectly, incomplete or is absent **Note[1]**: The incorrect processing of a flight plan by ATS personnel is recorded as an Information Error. *Not an IRM or RRM.*
Callsign Confusion	When callsign confusion occurs or where two or more aircraft with similar callsigns are operating in the same airspace at the same time. *An RRM if involving the misinterpretation by a flight crew member of information or instructions.*
Failure to Pass Traffic	The failure of Air Traffic Services to provide adequate traffic information to a pilot in relation to other aircraft. The information may have been incomplete, incorrect, late or absent *Not an IRM or RRM.*
Information Error	Information flow within the ATS system or the provision of clearances or instructions to a pilot, is or could have been late, incorrect, incomplete or absent. Includes occasions when information flow is deficient within or between Air Traffic Services operating positions, including foreign and military Air Traffic Service providers.

	Delivery Error: Delivery of operational information including hear back and/or read back errors, by ATS is absent, delayed, incorrect, or incomplete and is not immediately detected and rectified (see note below). Display Error: Operational information including inaccurate data transcription and/or data link driven data, displayed to ATS is incorrect, incorrectly interpreted and/or incorrectly entered into an ATS system and is not immediately detected and rectified (see note). **Note[1]:** Immediately in this context means detected and rectified by the ATS officer who **delivered/displayed the information and prior to any ATS officer or Pilot using the information for the provision of an operational service or detected and rectified in the Eurocat pre-active state**. *Not an IRM or RRM.*

ARFFS Occurrence Definitions

An ARFFS occurrence is any situation that affected or had the potential to affect operational safety. Within this context, operational safety refers to the overall level of safety applicable to the execution of the regulated functions of the ARFFS. Operational safety is a product of, and can be demonstrated by the effective management of operational risk.

WHS Occurrence Definitions

A WHS occurrence is any work related event resulting in, or having the potential for, death, injury, ill-health, incapacity, dangerous incident, damage or other loss. These may occur on our premises, or in other locations in the conduct of Airservices work-related activities (e.g. overseas, at other employer's premises or during work-related travel). WHS occurrences are categorised according to Table 3. Comcare notifiable occurrence are those categorised as Death, Serious injury or illness, or Dangerous incident.

Table 3 WHS Occurrence Categories

Occurrence Type	Definition
Death	An occurrence related to Airservices business that results in the death of one or more persons

Serious Injury or Illness	An occurrence related to Airservices business that:
	• results in an injury or illness to one or more persons, requiring the person to have:
	  • immediate treatment as an in-patient in a hospital; or
	  • immediate treatment for:
	    • the amputation of any part of his or her body; or
	    • a serious head injury; or
	    • a serious eye injury; or
	    • a serious burn; or
	    • the separation of his or her skin from an underlying tissue (such as degloving or scalping); or
	    • a spinal injury; or
	    • the loss of a bodily function; or
	    • serious lacerations; or
	  • medical treatment within 48 hours of exposure to a substance; or
	  • any infection to which the carrying out of work is a significant contributing factor, including any infection that is reliably attributable to carrying out work:
	    • that involves providing treatment or care to a person; or
	    • that involves contact with human blood or body substances; or
	    • that involves handling or contact with animals, animal hides, skins, wool or hair, animal carcasses or animal waste products; or
	• results in any of the following occupational zoonoses contracted in the course of work involving handling or contact with animals, animal hides, skins, wool or hair, animal carcasses or animal waste products:
	  • Q fever;
	  • Anthrax;
	  • Leptospirosis;
	  • Brucellosis;
	  • Hendra Virus;
	  • Avian Influenza;
	  • Psittacosis.

Dangerous Incident	An occurrence related to Airservices business that exposes a worker or any other person to a serious risk to a person's health or safety emanating from an immediate or imminent exposure to any of the following: • an uncontrolled escape, spillage or leakage of a substance • an uncontrolled implosion, explosion or fire

	• an uncontrolled escape of gas or steam • an uncontrolled escape of a pressurised substance • electric shock • the fall or release from a height of any plant, substance or thing • the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with the regulations • the collapse or partial collapse of a structure • the collapse or failure of an excavation or of any shoring supporting an excavation • the in rush of water, mud or gas in workings, in an underground excavation or tunnel • the interruption of the main system of ventilation in an underground excavation or tunnel For most hazards such as plant, or a structure collapsing, a person will need to be in the immediate vicinity to be exposed to a serious risk to their health and safety. However, some hazards such as an uncontrolled leak of a hazardous gas or a fire can travel towards a person and expose them to a serious risk to health and safety away from the original source. A dangerous incident includes both immediate serious risks to health or safety, and also a risk from an immediate exposure to a substance which is likely to create
Non Work Injury or Illness	An occurrence that is not related to Airservices business
Minor	Any other occurrence related to Airservices business

Occurrence Reporting Mechanisms and Timeframes

As required by SOC1.3, safety occurrences must be reported in accordance with the mechanisms and timeframes shown in Table 4.

Table 4 – Occurrence reporting mechanisms and timeframes

Occurrence Type	Reported to	Mechanism	Timeframe
All Safety Occurrences	Internal	CIRRIS	As soon as practicable
Immediately Reportable Matter (IRM)	Australian Transport Safety Bureau (ATSB)	By phone	As soon as practicable
		In writing	Within 72 hours
Routinely Reportable Matter (RRM)	ATSB	In writing	Within 72 hours
Comcare Notifiable Occurrence	Comcare	In writing or by phone	Immediately following making the site safe and rendering first aid as required
		In writing	Within 48 hours

Appendix C Compliance Mapping

7.1 ICAO Annex 19 – Appendix 2

1 Safety Policy and Objectives	
1.1 Management commitment	
1.1.1 The service provider shall define its safety policy in accordance with international and national requirements. The safety policy shall:	
a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture;	SCC1, SCC2
b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy;	SCC1
c) include safety reporting procedures;	SD1, SOC1, SOC2
d) clearly indicate which types of behaviours are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply;	SCC2
e) be signed by the accountable executive of the organization;	SCC1
f) be communicated, with visible endorsement, throughout the organization; and	SCC1, SCCR1
g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider.	CIS2
1.1.2 Taking due account of its safety policy, the service provider shall define safety objectives. The safety objectives shall:	
a) form the basis for safety performance monitoring and measurement as required by Appendix 2 reference 3.1.2;	SPA1
b) reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of the SMS;	CIS2
c) be communicated throughout the organization; and	SCCR1
d) be periodically reviewed to ensure they remain relevant and appropriate to the service provider.	CIS2
1.2 Safety accountability and responsibilities	
The service provider shall:	
a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS;	SA1
b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;	SA1, SA2
c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization;	SA1
d) document and communicate safety accountability, responsibilities and authorities throughout the organization; and	SA1, SCCR1
e) define the levels of management with authority to make decisions regarding safety risk tolerability.	SRM1

1.3 Appointment of key safety personnel	
The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.	SA1
1.4 Coordination of emergency response planning	
The service provider required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.	EPC1
1.5 SMS documentation	
1.5.1 The service provider shall develop and maintain an SMS manual that describes its:	
a) safety policy and objectives;	SCC1, SD2
b) SMS requirements;	SD2, All other requirements
c) SMS processes and procedures; and	SD1, SD2
d) accountability, responsibilities and authorities for SMS processes and procedures.	SA1, SD1, SD2
1.5.2 The service provider shall develop and maintain SMS operational records as part of its SMS documentation.	SD3
2. Safety risk management	
2.1 Hazard identification	
2.1.1 The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services.	SD1, SRM1
2.1.2 Hazard identification shall be based on a combination of reactive and proactive methods.	SRM1
2.2 Safety risk assessment and mitigation	
The service provider shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.	SD1, SRM1
3. Safety assurance	
3.1 Safety performance monitoring and measurement	
3.1.1 The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.	SPA1, SS1, SS2
3.1.2 The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization's safety objectives.	SPA1

3.2 The management of change	
The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.	SD1, MC1
3.3 Continuous improvement of the SMS	
The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.	CIS2
4. Safety promotion	
4.1 Training and education	
4.1.1 The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.	CC1
4.1.2 The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.	CC1
4.2 Safety communication	
The service provider shall develop and maintain a formal means for safety communication that:	
a) ensures personnel are aware of the SMS to a degree commensurate with their positions;	CC1, SCCR1
b) conveys safety-critical information;	SCCR1
c) explains why particular actions are taken to improve safety; and	SCCR1
d) explains why safety procedures are introduced or changed.	SD1, SCCR1

7.2 ICAO Annex 11 – Appendix 6

1 FRMS policy and documentation	
1.1 FRMS policy	
1.1.1 The air traffic services provider shall define its FRMS policy, with all elements of the FRMS clearly identified.	
1.1.2 The policy shall:	
a) define the scope of FRMS operations;	FFD2, FFD2.3
b) reflect the shared responsibility of management, air traffic controllers, and other involved personnel;	SA1, SA2, FFD1.4
c) clearly state the safety objectives of the FRMS;	SCC1, FFD Element Objective statement
d) be signed by the accountable executive of the organization;	FMK00122 Section 5
e) be communicated, with visible endorsement, to all the relevant areas and levels of the organization;	SCC1, SCCR1
f) declare management commitment to effective safety reporting;	SD1, SOC1, SOC2
g) declare management commitment to the provision of adequate resources for the FRMS;	SCC1
h) declare management commitment to continuous improvement of the FRMS;	CIS2
i) require that clear lines of accountability for management, air traffic controllers, and all other involved personnel are identified; and	SA1, SA2
j) require periodic reviews to ensure it remains relevant and appropriate.	CIS2
1.2 FRMS documentation	
An air traffic services provider shall develop and keep current FRMS documentation that describes and records:	
a) FRMS policy and objectives;	SCC1, SD2
b) FRMS processes and procedures;	SD2, SD3
c) accountabilities, responsibilities and authorities for these processes and procedures;	SA1, SD1, SD2, SA1, SA2
d) mechanisms for ongoing involvement of management, air traffic controllers, and all other involved personnel;	SD1, SA1, SA2
e) FRMS training programmes, training requirements and attendance records;	CC1, SD3, SD4
f) scheduled and actual duty and non-duty periods and break periods between times in position in a duty period with significant deviations and reasons for deviations noted; and	SD3, SD4
g) FRMS outputs including findings from collected data, recommendations, and actions taken.	PCA1, SD3, SD4
2 Fatigue risk management processes	
2.1 Identification of fatigue-related hazards	
An air traffic services provider shall develop and maintain three fundamental and documented processes for fatigue hazard identification:	

2.1.1 Predictive The predictive process shall identify fatigue hazards by examining air traffic controller scheduling and taking into account factors known to affect sleep and fatigue and their effects on performance. Methods of examination may include but are not limited to: a) air traffic services or industry operational experience and data collected on similar types of operations or from other industries with shift work or 24-hour operations; b) evidence-based scheduling practices; and c) bio-mathematical models.	SRM1, FFD2.1, FFD2.2, FFD2.1, FFD2.2, FFD2.3, FFD2.4, FFD2.8, FFD2.16
2.1.2 Proactive The proactive process shall identify fatigue hazards within current air traffic services operations. Methods of examination may include but are not limited to: a) self-reporting of fatigue risks; b) fatigue surveys; c) relevant air traffic controller performance data; d) available safety databases and scientific studies; e) tracking and analysis of differences in planned and actual worked times; and f) observations during normal operations or special evaluations.	SRM1, FFD2.16, SPA1, SS1, SS2, FFD2.18, FFD2.17, FFD2.18, FFD2.19, FFD2.20
2.1.3 Reactive The reactive process shall identify the contribution of fatigue hazards to reports and events associated with potential negative safety consequences in order to determine how the impact of fatigue could have been minimized. At a minimum, the process may be triggered by any of the following: a) fatigue reports; b) confidential reports; c) audit reports; and d) incidents.	SRM1, FFD2.16, SOC1, SOC2, SOC3, SOC4
2.2 Fatigue-related risk assessment	
2.2.1 An air traffic services provider shall develop and implement risk assessment procedures that determine when the associated risks require mitigation.	SRM1, FFD2.3
2.2.2 The risk assessment procedures shall review identified fatigue hazards and link them to: a) operational processes; b) their probability; c) possible consequences; and d) the effectiveness of existing preventive controls and recovery measures.	SRM1, FFD2.3, FFD2.8
2.3 Risk mitigation	

An air traffic services provider shall develop and implement fatigue risk mitigation procedures that: a) select the appropriate mitigation strategies; b) implement the mitigation strategies; and c) monitor the strategies' implementation and effectiveness.	SRM1, FFD2.8, FFD2.9, FFD2.11, FFD2.18, FFD2.19
3. FRMS safety assurance processes	
The air traffic services provider shall develop and maintain FRMS safety assurance processes to:	
a) provide for continuous FRMS performance monitoring, analysis of trends, and measurement to validate the effectiveness of the fatigue safety risk controls. The sources of data may include, but are not limited to: 1) hazard reporting and investigations; 2) audits and surveys; and 3) reviews and fatigue studies (both internal and external);	SD1, SPA1, SS1, SS2, FFD2.18, FFD2.17, FFD2.18, FFD2.19, FFD2.20
b) provide a formal process for the management of change. This shall include but is not limited to: 1) identification of changes in the operational environment that may affect the FRMS; 2) identification of changes within the organization that may affect the FRMS; and 3) consideration of available tools which could be used to maintain or improve FRMS performance prior to implementing changes; and	MC1, FFD2.18, FFD2.19
c) provide for the continuous improvement of the FRMS. This shall include but is not limited to: 1) the elimination and/or modification of preventive controls and recovery measures that have had unintended consequences or that are no longer needed due to changes in the operational or organizational environment; 2) routine evaluations of facilities, equipment, documentation and procedures; and 3) the determination of the need to introduce new processes and procedures to mitigate emerging fatigue-related risks.	CIS2, FFD2.19
4. FRMS promotion processes	
FRMS promotion processes support the ongoing development of the FRMS, the continuous improvement of its overall performance, and attainment of optimum safety levels. The following shall be established and implemented by the air traffic Service Provider as part of its FRMS:	
a) training programmes to ensure competency commensurate with the roles and responsibilities of management, air traffic controllers, and all other involved personnel under the planned FRMS; and	CC1, FFD 2.12, FFD 2.13, FFD 2.14, FFD 2.15
b) an effective FRMS communication plan that: 1) explains FRMS policies, procedures and responsibilities to all relevant stakeholders; and 2) describes communication channels used to gather and disseminate FRMS-related information.	SCCR1, FFD2.12, FFD2.13, FFD2.15

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Section 10.1: General	
10.1.1 Standard: Operational Risk Assessment	
10.1.1.1 A safety hazard analysis and risk assessment must be produced for ARFFS operational response at the location for which the licence is issued.	SRM2
10.1.1.2 Safety hazard analysis and risk assessment must be documented for validation.	SRM2, SD3
10.1.1.3 ARFFS staff must have the knowledge, equipment and training to effectively respond to any hazard on the aerodrome as a result of the risk assessment carried out for the aerodrome.	CC2
10.1.2 Standard: Safety Management System	
10.1.2.1 A Safety Management System (SMS) defines the policies, procedures and practices for managing the safety of the provision of services and any changes in their provision.	
10.1.2.2 Features of Safety Management System	
The necessary features of an SMS are:	
(a) the service provider's safety policy and objectives;	SCC1
(b) the organisational and staff responsibilities for safety matters;	SA1, SA2
(c) the establishment of the levels of safety that apply to the services, and the monitoring of the levels of safety achieved;	SPA1
(d) the process for internal safety reviews;	SD1, SS1, SS2
(e) the process for the internal reporting and management of safety concerns and incidents;	SD1, SOC1, SOC2
(f) the process for the identification, assessment, control and mitigation, of existing and potential safety hazards;	SD1, SRM1, SRM2
(g) the definition of the interface arrangements between internal functional groups; and	I1
(h) the processes for the management of change to existing services and systems.	SD1, MC1

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Section 3.1 Standards for the safety management system	
3.1.1 Necessary Features of Safety Management System	
3.1.1.1 The necessary features of an SMS are:	
(a) the service provider's safety policy and objectives; and	SCC1
(b) the organisational and staff responsibilities for safety matters; and	SA1, SA2
(c) the establishment of the levels of safety that apply to the services, and the monitoring of the levels of safety achieved; and	SPA1
(d) the process for internal safety reviews; and	SD1, SS1, SS2
(e) the process for the internal reporting and management of safety concerns and incidents; and	SD1, SOC1, SOC2
(f) the process for the identification, assessment, control and mitigation of existing and potential safety hazards in service provision; and	SD1, SRM1, SRM2
(g) the definition of the interface arrangements for safety management and the relative associated responsibilities and procedures with internal functional groups and with aerodrome operators and support service providers; and	I1
(h) the processes for the management of changes to existing services.	SD1, MC1
Section 3.2 Standards for safety case preparation	
3.2.1 Standards	
3.2.1.1 Safety cases are to be based on a recognised methodology for safety risk assessment.	SRM1, MC1
3.2.1.2 The safety risk assessment in a safety case:	
(a) identifies all potential safety hazards associated with the operation of each service, in normal and abnormal modes of operation;	SRM1, MC1
(b) assesses the safety risk of each hazard;	SRM1, MC1
(c) identifies the means of mitigation of unacceptable safety risks.	SRM1, MC1
3.2.1.4 A safety case is prepared to support a proposed new service, or a proposed change to an existing service, if:	
(a) the effect of the service or change would be that the service would not be in accordance with the certificate issued to the service provider under regulation 11.060 of CASR; or	MC1
(b) the new service or proposed change requires prior notification to CASA because of a requirement to do so in the service provider's safety management system.	MC1

7.5 CASR Manual of Standards 172

Section 6.1: General	
6.1.1 Features of Safety Management System	
6.1.1.1 A safety management system must have the following elements:	
(a) the ATS provider's safety policy and objectives;	SCC1
(b) the organisational and staff responsibilities for safety matters;	SA1, SA2
(c) the establishment of the levels of safety that apply to the services, and the monitoring of the levels of safety achieved;	SPA1
(d) the process for internal safety reviews;	SD1, SS1, SS2
(e) the process for the internal reporting and management of safety concerns and incidents;	SD1, SOC1, SOC2
(f) the process for the identification, assessment, control and mitigation of existing and potential safety hazards in service provision;	SD1, SRM1, SRM2
(g) the definition of the interface arrangements, for safety management and related responsibilities and procedures, with internal functional groups and with aerodrome operators and support service providers;	I1
(h) the processes for the management of changes to existing services;	SD1, MC1
(i) the processes for integrating the ATS provider's fatigue risk management system (the FRMS) into the safety management system.	FFD2
6.1.2 Safety Case Preparation	
6.1.2.1 A safety case must be based on a recognised methodology for safety risk assessment.	SRM1, MC1
6.1.2.2 The safety risk assessment in a safety case must:	
(a) identify all potential safety hazards associated with the operation of each service, in normal and abnormal modes of operation; and	SRM1, MC1
(b) assess the safety risk of each hazard; and	SRM1, MC1
(c) identify the means of mitigation of unacceptable safety risks.	SRM1, MC1
6.1.2.3 An existing air traffic service or facility that has a demonstrated history of safety operation for at least 2 years before the date of initial certification does not need to be covered by a baseline safety case.	MC1
6.1.2.4 A safety case must be prepared to support a new service or a proposed change to an existing service:	
(a) the effect of which would be that the service would no longer be in accordance with the certificate issued to the ATS provider under regulation 172.275 of CASR; or	MC1
(b) that requires prior notification to CASA because of a requirement to do so in the ATS provider's safety management system.	MC1

7.6 CASR Manual of Standards 173

Section 5.1: General	
5.1.1 Requirement	
5.1.1.1 A certified designer must establish and maintain a Safety Management System (SMS) in accordance with the following standards.	
5.1.2 Safety Management System-Standards	
5.1.2.1 A Safety Management System must define the policies, processes, and practices for managing the safety of all procedure design work.	All requirements
5.1.2.2 A Safety Management System that meets the following criteria is to be issued under the authority of the Chief Designer.	See below
5.1.2.3 The Safety Management System must	
(a) be a comprehensive and valid statement of the safety situation that applies in actual operations;	SRM2
(b) define the organisation's safety objectives;	All requirements
(c) present the safety situation in respect to compliance with all relevant CASA, ICAO, internal, and other safety related standards;	CIS1
(d) define the safety accountabilities of all personnel;	SA1, SA2
(e) be kept under review for effectiveness by all personnel;	CIS2
(f) include arrangements to encourage staff to identify safety hazards or concerns and suggest methods for enhancement of safety;	SCC2, SRM2, SOC2
(g) establish procedures for the communication and processing of safety concerns within the organisation;	SD1, SOC2, SCCR1
(h) define the interface arrangements between internal groups of the organisation;	I1
(i) be available to, and complied with, by all personnel of the organisation;	SA1, CIS3
(j) contain a safety hazard/risk analysis and risk control/mitigation assessment in accordance with an established methodology endorsed by CASA;	SRM1
(k) include a quality management system based on those elements of ISO 9001 relevant to instrument flight procedure design;	Refer to Quality Management System
(l) be documented in a manner that is readily available to all staff.	SD2, SD3, CIS3

7.7 CASR Part 175

175.225 AIS providers-safety management system	
(1) An AIS provider must have a safety management system that:	
(a) is a systemic approach to managing safety; and	All requirements
(b) integrates human factors principles; and	SRM3
(c) includes the matters mentioned in subregulation (2).	
(2) For paragraph (1)(c), the matters are the following:	
(a) organisational structures, accountabilities, policies and procedures necessary to manage safety in a systemic way;	SA1, SA2, SD1
(b) a statement of the provider's safety policy, objectives and planning, including details of the following:	
(i) the management commitment to, and responsibility for, safety;	SCC1, SA1, SA2
(ii) the safety accountabilities of managers;	SA1, SA2
(iii) the appointment of safety management personnel;	SA1
(iv) how human factors principles are integrated into the safety management system;	SRM3
(v) a safety management system implementation plan;	All requirements
(vi) relevant third party relationships and interactions;	I1
(vii) coordination of an emergency response plan;	EPC1
(viii) safety management system documentation;	SCC1, SA1, SD1, SD2, SD3, All other requirements
(c) a safety risk management process, including:	
(i) hazard identification processes; and	SD1, SRM1
(ii) risk assessment and mitigation processes;	SD1, SRM1
(d) a safety assurance system, including details of processes for:	
(i) safety performance monitoring and measurement; and	SD1, SPA1, SS1, SS2
(ii) internal safety investigation; and	SD1, SOC1, SOC2
(iii) management of change; and	SD1, MC1
(iv) continuous improvement of the safety management system;	SD1, CIS2
(e) a safety training and promotion system, including details of the following:	
(i) safety management system training and education;	CC1
(ii) safety management system safety communication.	SCCR1

7.8 Marine Safety (Domestic Commercial Vessel) National Law Act 2012

Part 3-General safety duties relating to domestic commercial vessels	
Division 1-Duties of owners	
12 Duty of owners of domestic commercial vessels to ensure safety of vessels, marine safety equipment and operations	
(1) An owner of a domestic commercial vessel must, so far as reasonably practicable, ensure the safety of: (a) the vessel; and (b) marine safety equipment that relates to the vessel; and (c) the operation of the vessel.	SA2, All other requirements
(2) Without limiting subsection (1), an owner of a domestic commercial vessel contravenes that subsection if: (a) the owner does not provide or maintain the vessel so that the vessel is, so far as reasonably practicable, safe; or (b) the owner does not implement and maintain a safety management system that ensures that the vessel and the operations of the vessel are, so far as reasonably practicable, safe; or	SA2, All other requirements
(c) the owner does not provide, so far as reasonably practicable, such information, instruction, training or supervision to people on board the vessel as is necessary to ensure their safety.	SA1, SA2, CC2, SCCR1
(3) Without limiting subsection (1), an owner of a domestic commercial vessel contravenes that subsection if: (a) the owner operates the vessel, or causes or allows the vessel to be operated; and (b) the vessel is an unsafe vessel.	SA1
(4) Without limiting subsection (1), an owner of a domestic commercial vessel contravenes that subsection if the owner prevents or restricts the master of the vessel from making or implementing a decision that, in the professional opinion of the master, is necessary for the safety of a person or the vessel.	SA1, SA2, CC1, CC2
Division 2-Duties of designers, builders, suppliers, etc	
13 Duty relating to design, manufacture etc. of domestic commercial vessels	
A person who designs, commissions, constructs, manufactures, supplies, maintains, repairs or modifies a domestic commercial vessel, or marine safety equipment that relates to such a vessel, must: (a) ensure, so far as reasonably practicable, that the vessel or equipment is safe if used for a purpose for which it was designed, commissioned, constructed, manufactured, supplied, maintained, repaired or modified, as the case may be; and	SA2, All other requirements
(b) either: (i) carry out, or arrange the carrying out of, such testing and examination as may be necessary for compliance with paragraph (a); or (ii) ensure that such testing and examination has been carried out; and	SPD2

(c) take such action as is necessary to ensure that there will be available, in connection with the use of the vessel or equipment, adequate information about: (i) the use for which the vessel or equipment was designed, commissioned, constructed, manufactured, supplied, maintained, repaired or modified, as the case may be; and (ii) the results of any testing or examination referred to in paragraph (b); and (iii) any conditions necessary to ensure the vessel or equipment is safe if it is used for a purpose for which it was designed, commissioned, constructed, manufactured, supplied, maintained, repaired or modified, as the case may be.	SD3, CIS3, SCCR1
Division 3-Duties of masters	
16 Duty of masters of domestic commercial vessels to ensure safety of vessels, marine safety equipment and operations	
(1) The master of a domestic commercial vessel must, so far as reasonably practicable, ensure the safety of: (a) the vessel; and (b) marine safety equipment that relates to the vessel; and (c) the operation of the vessel.	SA2, All other requirements
(2) Without limiting subsection (1), the master of a domestic commercial vessel contravenes that subsection if the master does not, so far as reasonably practicable, implement and comply with the safety management system for the vessel and the operations of the vessel.	SA1, SA2, CC1, CC2
(3) Without limiting subsection (1), the master of a domestic commercial vessel contravenes that subsection if: (a) the master operates the vessel, or causes or allows the vessel to be operated; and (b) the vessel is an unsafe vessel.	SA1
(4) Without limiting subsection (1), the master of a domestic commercial vessel contravenes that subsection if, when carrying out duties as master or doing anything in relation to the vessel, the master interferes with or misuses anything provided on the vessel in the interests of the safety of the vessel.	SA1, SA2, CC1, CC2
17 Duty of masters of domestic commercial vessels to take reasonable care for safety of persons	
(1) The master of a domestic commercial vessel must, when carrying out duties as master of the vessel: (a) take reasonable care for his or her own safety; and (b) take reasonable care for the safety of persons who may be affected by his or her acts or omissions. (2) The master of a domestic commercial vessel must not unreasonably place the safety of another person at risk when carrying out duties as master of the vessel.	SA1, SA2, CC1, CC2

Division 4-Duties of crew	
19 Duty of crew of domestic commercial vessels to take reasonable care for safety of persons, etc.	
(1) A member of the crew of a domestic commercial vessel, when carrying out duties as a member of the crew, must: (a) take reasonable care for his or her own safety; and (b) take reasonable care for the safety of persons who may be affected by his or her acts or omissions; and (c) comply with any reasonable and lawful directions of the master of the vessel or a supervisor (2) A member of the crew of a domestic commercial vessel must not interfere with or misuse anything provided on the vessel in the interests of the safety of the vessel (3) A member of the crew of a domestic commercial vessel must not unreasonably place the safety of another person at risk when carrying out duties as a member of the crew. (4) Without limiting subsection (1), a member of the crew of a domestic commercial vessel contravenes that subsection if the member of the crew prevents or restricts the master of the vessel from making or implementing a decision that, in the professional opinion of the master, is necessary for the safety of a person or the vessel.	SA1, SA2, CC1, CC2
Division 6-Other duties	
23 Duty of persons relating to safety of persons on domestic commercial vessels, etc.	
(1) A person embarking on, on board or disembarking from a domestic commercial vessel must take reasonable care for his or her own safety. (2) Without limiting subsection (1), a person contravenes that subsection if the person prevents or restricts the master of the vessel from making or implementing a decision that, in the professional opinion of the master, is necessary for the safety of the person (3) A person must take reasonable care that his or her acts and omissions do not adversely affect the safety of another person if that other person: (a) is on board a domestic commercial vessel; or (b) is taking an action connected with a domestic commercial vessel. (4) Without limiting subsection (3), a person contravenes that subsection if the person prevents or restricts the master of the vessel from making or implementing a decision that, in the professional opinion of the master, is necessary for the safety of another person referred to in that subsection.	SA1, SA2, CC1, CC2
Part 4—Vessel identifiers and certificates for vessels and seafarers	
Division 3—Certificates of operation	
48 Issue of certificate of operation	
(5) Conditions prescribed by the regulations or imposed by the National Regulator on a certificate of operation may include, but are not limited to, conditions relating to the following for each vessel to which the certificate relates (e) safety management systems;	

Part 5-Assistance and reporting requirements	
88 Reporting of marine incidents to National Regulator (owner)	
(1) The owner of a domestic commercial vessel commits an offence if: (a) the vessel is involved in a marine incident that involves: (i) the death of a person; or (ii) serious injury to a person; or (iii) the loss of a vessel; or (iv) the loss of a person from the vessel; or (v) significant damage to a vessel; and (b) neither the owner nor the master of the vessel reports the incident to the National Regulator as soon as reasonably practicable, having regard to the circumstances, after the owner becomes aware of the incident. (2) The owner of a domestic commercial vessel commits an offence if: (a) the vessel is involved in a marine incident; and (b) neither the owner nor the master of the vessel gives a written report of the incident, in the form approved by the National Regulator, to the National Regulator within 72 hours after the owner becomes aware of the incident	SA1, SOC1
89 Reporting of marine incidents to National Regulator (master)	
(1) The master of a domestic commercial vessel commits an offence if: (a) the vessel is involved in a marine incident that involves: (i) the death of a person; or (ii) serious injury to a person; or (iii) the loss of a vessel; or (iv) the loss of a person from a vessel; or (v) significant damage to a vessel; and (b) neither the master nor the owner of the vessel reports the incident to the National Regulator as soon as reasonably practicable after the master becomes aware of the incident, having regard to the circumstances. (2) The master of a domestic commercial vessel commits an offence if: (a) the vessel is involved in a marine incident; and (b) neither the master nor the owner of the vessel gives a written report of the incident, in the form approved by the National Regulator, to the National Regulator within 72 hours after the master becomes aware of the incident.	SA1, SOC1

7.9 Duties of the Work Health and Safety Act 2011

Part 2 – Health and Safety Duties	
Persons Conducting a Business or Undertaking (PCBU) – meaning Airservices as a business entity	
17 Management of risks A duty imposed on a person to ensure health and safety requires the person: (a) to eliminate risks to health and safety, so far as is reasonably practicable; and (b) if it is not reasonably practicable to eliminate risks to health and safety, to minimise those risks so far as is reasonably practicable.	SRM1, SRM3
19 A PCBU must ensure, as far as is reasonably practicable, the health and safety of team members and others (s19).	All requirements
More specifically, a PCBU must: • provide a safe work environment	SRM3
• provide and maintain safe plant and procedures	SPD2, SD1, SRM3
• ensure that plant and chemicals are used, transported and stored safely	SRM3
• provide adequate facilities for the welfare of team members	FFD1
• provide adequate information, training, instruction and supervision.	SA1, CC1, CC2, SCCR1
• monitor the health of team members	SRM3, SS1, SS2
• if accommodation owned by the PCBU is provided to team members, ensure that the accommodation is maintained in a safe condition [19(4)[1]]	SRM3
• consult with team members	SCCR1
• not charge a worker for anything done or provided in relation to work health and safety.	SCC1
20 Persons with Management or Control of a Workplace	
A person with management or control of a workplace must ensure, so far as is reasonably practicable, that the workplace, any entries or exits and anything arising from the workplace are safe.	SA1, SRM3, EPC1
27 Officers	
An officer of a PCBU must exercise due diligence to ensure that they comply with their duties or obligations.	SCC2, SA1, SPA1, SS1
29 Team members and Others at Workplaces	
A worker or person at a workplace must: • take reasonable care of their own health and safety and that of others • comply with reasonable instructions given by the PCBU • co-operate with any reasonable health and safety policy or procedure at the workplace.	SA1

21 Managers or Controllers of Fixtures, Fittings or Plant at a Workplace	
A person with management or control of fixtures, fittings or plant at a workplace must ensure, so far as is reasonably practicable, that the fixtures, fittings and plant are safe.	SRM3
22 Designers	
A designer of plant, substances or structures must: • ensure, so far as is reasonably practicable that the plant, substance or structure is designed without risks	SPD2, SRM3
• carry out, or arrange any necessary calculations, analysis, testing or examination	SPD2
• provide required information.	SCCR1
23 Manufacturers Note: This duty relates to situations where plant or equipment is created or modified by Airservices staff	
A manufacturer must: • ensure, so far as is reasonably practicable that the plant, substance or structure is manufactured without risks	SPD2, SRM3
• carry out or arrange any necessary calculations, analysis, testing or examination	SPD2
• provide required information.	SCCR1
24 Importers	
An importer of plant, substances or structures must: • ensure, so far as is reasonably practicable, that the plant, substance or structure is without risks	SPD2, SRM3
• carry out or arrange any necessary calculations, analysis, testing or examination	SPD2
• provide required information.	SCCR1
25 Suppliers	
A supplier of plant, substances or structures must: • ensure, so far as is reasonably practicable, that the plant, substance or structure is without risks	SPD2, SRM3
• carry out or arrange any necessary calculations, analysis, testing or examination	SPD2
• provide required information.	SCCR1

7.10 Transport Safety Investigation Act 2003

PART 3--REPORTING OF ACCIDENTS ETC.	
Division 1--Compulsory reporting	
18 Immediate reports	
(1) If a responsible person has knowledge of an immediately reportable matter, then the person must report it to a nominated official as soon as is reasonably practicable, by the means prescribed by the regulations and including those of the particulars prescribed by the regulations that are known to the responsible person. Penalty: Imprisonment for 12 months.	SOC1, SOC3
(2) Subsection (1) does not apply if the person believes, on reasonable grounds, that another responsible person has, or other responsible persons have, already reported the matter, or will as soon as is reasonably practicable report the matter, to a nominated official with all the particulars prescribed by the regulations. Note: A defendant bears an evidential burden in relation to the matter in subsection (2). See subsection 13.3(3) of the Criminal Code .	SOC1, SOC3
(3) Subsection (1) does not apply if: Note: A defendant bears an evidential burden in relation to the matter in subsection (3). See subsection 13.3(3) of the Criminal Code .	SOC1, SOC3
(a) the person has already reported the matter under the Navigation Act 2012 or the Protection of the Sea (Prevention of Pollution from Ships) Act 1983 ; or	SOC1, SOC3
(b) the person believes, on reasonable grounds, that another responsible person has already reported, or will as soon as is reasonably practicable report, the matter under either of those Acts.	SOC1, SOC3
19 Written reports within 72 hours	
(1) If a responsible person has knowledge of an immediately reportable matter or a routine reportable matter, then the person must within 72 hours give a written report of the matter (containing the particulars prescribed by the regulations) to a nominated official. Penalty: 30 penalty units.	SOC1, SOC3
(2) Subsection (1) does not apply if the person believes, on reasonable grounds, that another responsible person has already given such a report to a nominated official. Note: A defendant bears an evidential burden in relation to the matter in subsection (2). See subsection 13.3(3) of the Criminal Code.	SOC1, SOC3

(3) Subsection (1) does not apply if: Note: A defendant bears an evidential burden in relation to the matter in subsection (3). See subsection 13.3(3) of the Criminal Code.	SOC1, SOC3
(a) the person has already reported in writing on the matter under the Navigation Act 2012 or the Protection of the Sea (Prevention of Pollution from Ships) Act 1983 ; or	SOC1, SOC3
(b) the person believes, on reasonable grounds, that another responsible person has already reported in writing on the matter under either of those Acts.	SOC1, SOC3
(4) The Chief Commissioner may, by notice in writing to a responsible person, require the person to give the Chief Commissioner a written report in relation to an immediately reportable matter or a routine reportable matter within the period specified in the notice, by the means prescribed and including the particulars prescribed by the regulations.	SCCR2, SCCR4
PART 4--INVESTIGATIONS AND REPORTS	
Division 1--Investigations	
24 Offence to hinder etc. an investigation	
(1) A person commits an offence if: Penalty: Imprisonment for 12 months.	SA1, EPC1
(a) the person engages in conduct; and	
(b) the person is reckless as to whether the conduct will adversely affect an investigation:	
(i) that is being conducted at that time; or	
(ii) that could be conducted at a later time into an immediately reportable matter; and	
(c) the conduct has the result of adversely affecting such an investigation (whether or not the investigation had commenced at the time of the conduct); and	
(d) the conduct is not authorised by the Chief Commissioner.	
(2) Subsection (1) does not apply if the conduct was necessary: Note: A defendant bears an evidential burden in relation to the matter in subsection (2). See subsection 13.3(3) of the Criminal Code .	SA1, EPC1
(a) to ensure the safety of persons, animals or property; or	
(b) to remove deceased persons or animals from an accident site; or	
(c) to move a transport vehicle, or the wreckage of a transport vehicle, to a safe place; or	
(d) to protect the environment from significant damage or pollution.	

(3) Subsection (1) does not apply if the conduct was: Note: A defendant bears an evidential burden in relation to the matter in subsection (3). See subsection 13.3(3) of the Criminal Code.	SA1, EPC1
(a) the withdrawal of the person's consent to the Chief Commissioner entering premises under section 34; or	
(b) the refusal to give any assistance to the Chief Commissioner (in relation to that entry) after the withdrawal of that consent.	
(5) In this section: "conduct " includes omission.	SA1, EPC1
Division 2--Investigation reports	
25A Responses to reports of, or containing, safety recommendations	
(1) This section applies if:	PCA1
(a) the ATSB publishes a report under section 25 in relation to an investigation; and	
(b) the report is, or contains, a recommendation that a person, unincorporated association, or an agency of the Commonwealth or of a State or Territory, take safety action.	
(2) The person, association or agency to whom the recommendation is made must give a written response to the ATSB, within 90 days of the report being published, that sets out:	PCA1, SCCR2
(a) whether the person, association or agency accepts the recommendation (in whole or in part); and	
(b) if the person, association or agency accepts the recommendation (in whole or in part)--details of any action that the person, association or agency proposes to take to give effect to the recommendation; and	
(c) if the person, association or agency does not accept the recommendation (in whole or in part)--the reasons why the person, association or agency does not accept the recommendation (in whole or in part).	
(3) A person commits an offence if: Penalty: 30 penalty units.	PCA1, SCCR2
(a) the person is someone to whom a recommendation is made in a report published under section 25; and	
(b) the person fails to give a written response to the ATSB within 90 days setting out the things required by paragraphs (2)(a), (b) and (c) (as applicable).	
(5) An offence against subsection (3) that would otherwise be committed by an unincorporated association is taken to have been committed by each member of the association's committee of management, at the time the offence is committed, who:	
(a) made the relevant omission; or	
(b) aided, abetted, counselled or procured the relevant omission; or	

(c) was in any way knowingly concerned in, or party to, the relevant omission (whether directly or indirectly or whether by any act or omission of the member).	
26 Draft reports	
(1) The ATSB may provide a draft report, on a confidential basis, to any person whom the ATSB considers appropriate, for the purpose of:	PCA1, SCCR2
(a) allowing the person to make submissions to the ATSB about the draft report; or	
(b) giving the person advance notice of the likely form of the published report.	
(2) A person who receives a draft report under subsection (1) or (4) must not: Penalty: (a) in the case of a contravention of paragraph (a) - 20 penalty units; or (b) in the case of a contravention of paragraph (b) - imprisonment for 2 years.	SCCR3
(3) Strict liability applies to the element of the offence against subsection (2) that the draft report is received under subsection (1) or (4).	SCCR3
(4) Subsection (2) does not apply to any copying or disclosure that is necessary for the purpose of: Note: A defendant bears an evidential burden in relation to a matter in subsection (4). See subsection 13.3(3) of the Criminal Code.	SCCR3
(a) preparing submissions on the draft report; or	
(b) taking steps to remedy safety issues that are identified in the draft report.	
(5) A person who receives a draft report under subsection (1) or (4) cannot be required to disclose it to a court.	SCCR3
(6) A person who receives a draft report under subsection (1) or (4) is not entitled to take any disciplinary action against an employee of the person on the basis of information in the report.	SCC2
PART 5--INVESTIGATION POWERS	
Division 2--Requirement to attend before ATSB	
32 ATSB may require persons to attend and answer questions etc.	
(1) Where the ATSB considers it necessary to do so for the purposes of an investigation, the ATSB may:	SCCR2, SCCR4
(a) require a person to attend before the ATSB and answer questions put by any person relating to matters relevant to the investigation; or	
(b) require a person to produce specified evidential material to the ATSB.	

(4) When a person attends before the ATSB under paragraph (1)(a), the ATSB may require the questions to be answered on oath or affirmation. For that purpose, the ATSB may:	SCCR2, SCCR4
(a) require the person to take an oath or make an affirmation that the answers the person will give to the questions will be true; and	
(b) administer an oath or affirmation to the person.	
(5) A person to whom a requirement is given in accordance with this section must not: Penalty: 30 penalty units. Note: Self-incrimination is not an excuse for failing to answer a question. See section 47.	SA1, SCCR2, SCCR4
(a) fail to attend before the ATSB in accordance with the requirement; or	
(b) refuse to take an oath or make an affirmation when required by the ATSB to do so; or	
(c) refuse or fail to answer a question lawfully put to the person; or	
(d) fail to produce to the ATSB the specified evidential material in accordance with the requirement.	
(6) Strict liability applies to the element of the offence against subsection (5) that the requirement is given in accordance with this section.	SA1, SCCR2, SCCR4
(7) A person who attends before the ATSB in accordance with a requirement under paragraph (1)(a) or (b) is entitled to be paid, in relation to that attendance, fees and allowances for expenses fixed by, or calculated in accordance with, the regulations.	SCCR2, SCCR4
36 Powers after entering premises Special premises	
(3) If the premises are special premises and entry is not under an investigation warrant, the Chief Commissioner may also:	
(a) require a person on the premises to answer questions or produce evidential material; and	SA1, SCCR2, SCCR4
(b) seize that evidential material, or any other evidential material found on the premises, if the material is directly relevant to the investigation concerned and the Chief Commissioner believes, on reasonable grounds, that it is necessary to seize the material in order to prevent it being interfered with or to prevent its concealment, loss, deterioration or destruction.	SA1, SCCR2, SCCR4
Entry under an investigation warrant	
(4) If the entry is under an investigation warrant, the Chief Commissioner may also:	
(a) require a person on the premises to answer questions or produce evidential material to which the warrant relates; and	SA1, SCCR2, SCCR4

(b) seize that evidential material or any other evidential material found on the premises to which the warrant relates.	SA1, SCCR2, SCCR4
Offence	
(5) A person commits an offence if the person refuses or fails to comply with a requirement under subsection (3) or (4). Penalty: 30 penalty units. Note: Self-incrimination is not an excuse for failing to answer a question. See section 47.	SA1, SCCR2, SCCR4
(6) Strict liability applies to the element of the offence against subsection (5) that the requirement is under subsection (3) or (4).	SA1, SCCR2, SCCR4
37 Occupier to provide Chief Commissioner with facilities and assistance	
The occupier of premises in relation to which an investigation warrant is being executed must provide the Chief Commissioner and any person assisting the Chief Commissioner with all reasonable facilities and assistance for the effective exercise of their powers. Penalty: 30 penalty units.	SA1, SCCR2, SCCR4
Division 6--Securing accident sites	
44 Securing accident sites	
(2) A person commits an offence if: Penalty: 10 penalty units.	SCC2.1, SCC2.3 SA1
(a) while the perimeter is secured, a person enters the accident site, or remains on the accident site; and	
(b) the person does not have the permission of the Chief Commissioner to do so.	
(3) Subsection (2) does not apply if the person entered the accident site, or remained on the accident site: Note: A defendant bears an evidential burden in relation to the matter in subsection (3). See subsection 13.3(3) of the Criminal Code .	SA1, EPC1
(a) to ensure the safety of persons, animals or property; or	
(b) to remove deceased persons or animals from the accident site; or	
(c) to move a transport vehicle, or the wreckage of a transport vehicle, to a safe place; or	
(d) to protect the environment from significant damage or pollution.	
Division 7--Miscellaneous	
47 Self-incrimination not an excuse	
(1) A person is not excused from answering a question or producing evidential material in response to a requirement under this Part on the ground that the answer, or the production of the material, might tend to incriminate the person or make the person liable to a penalty.	SA1, SCCR2, SCCR4
(2) However, if the person is an individual, then:	SA1, SCCR2, SCCR4

(a) the answer or the production of the material; and	
(b) any information or thing (including any document) obtained as a direct or indirect result of the answer or the production of the material;	
are not admissible in evidence against the person in any civil or criminal proceedings.	
(3) Subsection (2) does not prevent an answer being admitted in evidence in criminal proceedings in respect of the falsity of the answer.	SA1, SCCR2, SCCR4
(4) Subsections (2) and (3) have effect despite anything else in this Act.	SA1, SCCR2, SCCR4
PART 6--PROTECTION OF OBR INFORMATION AND RESTRICTED INFORMATION	
Division 1--OBR information	
53 Copying or disclosing OBR information	
(1) A person commits an offence if: Penalty: Imprisonment for 2 years.	SCCR2, SCCR4
(a) the person makes a copy of information; and	
(b) the information is OBR information.	
(2) A person commits an offence if: Penalty: Imprisonment for 2 years.	
(a) the person discloses information to any person or to a court; and	
(b) the information is OBR information.	
(3) Subsection (1) or (2) does not apply to:	
(a) anything done by a person in performing functions or exercising powers under, or in connection with, this Act or the regulations; or	
(b) copying or disclosure for the purposes of the investigation of any offence against a law of the Commonwealth, a State or a Territory; or	
(c) disclosure of OBR information to a court in criminal proceedings against a person who is not a crew member; or	
(d) disclosure to a court in civil proceedings where:	
(i) the ATSB issues a certificate under section 50 in relation to the OBR information; and	
(ii) the court makes a public interest order under subsection (4) of this section in relation to the OBR information; or	

(e) disclosure of OBR information in respect of which a coroner has made a determination under subsection 59(2). Note: A defendant bears an evidential burden in relation to a matter in subsection (3). See subsection 13.3(3) of the Criminal Code .	
(6) If a person is prohibited by this section from disclosing OBR information, then:	
(a) the person cannot be required by a court to disclose the information; and	
(b) any information disclosed by the person in contravention of this section is not admissible in any civil or criminal proceedings (other than proceedings against the person under this section).	
54 OBR information no ground for disciplinary action	
A person is not entitled to take any disciplinary action against an employee of the person on the basis of OBR information.	SCC2
Non-staff members	
(3) A person who has, or had, access to restricted information under section 62 must not: Penalty: Imprisonment for 2 years.	SCCR2, SCCR4
(a) make a record of the information; or	
(b) disclose the information to any person or to a court.	
Division 2 – Restricted information	
60 Limitations on disclosure etc. of restricted information	
Defences	
(4) Subsection (1), (2) or (3) does not apply to: Note: A defendant bears an evidential burden in relation to a matter in subsection (4). See subsection 13.3(3) of the Criminal Code .	SCCR2, SCCR4
(a) anything done by a person in performing functions or exercising powers under, or in connection with, this Act or the regulations; or	
(b) disclosure to a court in criminal proceedings for an offence against this Act; or	
(c) disclosure to a court in civil proceedings where:	
(i) the ATSB issues a certificate under subsection (5); and	
(ii) the court makes an order under subsection (6).	
Certificate	
(5) The ATSB may issue a certificate in relation to restricted information, stating that the disclosure of the information is not likely to interfere with any investigation.	SCCR2, SCCR4
Courts	
(8) If a person is prohibited by this section from disclosing restricted information, then:	SCCR2, SCCR4

(a) the person cannot be required by a court to disclose the information; and	
(b) any information disclosed by the person in contravention of this section is not admissible in any civil or criminal proceedings (other than proceedings against the person under this section).	

7.11 Transport Safety Investigation Regulations 2021

PART 2--AIRCRAFT OPERATIONS	
11A Reportable matters—Category A (passenger transport) aircraft operations	
(1) For the purposes of the definition of immediately reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category A (passenger transport) aircraft operation are prescribed:	SOC1, SOC3
(a) an aircraft accident;	
(b) a reportable serious aircraft incident;	
(c) a loss of a separation standard between aircraft;	
(d) a declaration of an emergency in relation to the aircraft;	
(e) a serious property damage incident (external).	
(2) For the purposes of the definition of routine reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category A (passenger transport) aircraft operation are prescribed:	
(a) an aircraft incident;	
(b) an aircraft incident (external).	
11B Reportable matters – Category B (commercial non-passenger) aircraft operations	
(1) For the purposes of the definition of immediately reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category B (commercial non-passenger) aircraft operation are prescribed:	SOC1, SOC3
(a) an aircraft accident;	
(b) a loss of a separation standard between aircraft;	
(c) a serious property damage incident (external).	
(2) For the purposes of the definition of routine reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category B (commercial non-passenger) aircraft operation are prescribed:	
(a) a reportable serious aircraft incident;	
(b) a declaration of an emergency in relation to the aircraft;	
(c) an aircraft incident (external).	
11C Reportable matters—Category C (non-commercial) aircraft operations	
(1) For the purposes of the definition of immediately reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category C (non-commercial) aircraft operation are prescribed:	SOC1, SOC3
(a) an aircraft accident mentioned in paragraph (a) (fatal aircraft-related injuries), (b) (serious aircraft-related injuries) or (d) (missing aircraft) of the definition of aircraft accident in section 6 of this instrument;	

(b) a loss of a separation standard between aircraft;	
(c) a serious property damage incident (external).	
(2) For the purposes of the definition of routine reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category C (non-commercial) aircraft operation are prescribed:	
(a) an aircraft accident, other than an aircraft accident of a kind mentioned in paragraph (1)(a) of this section;	
(b) a reportable serious aircraft incident;	
(c) a declaration of an emergency in relation to the aircraft;	
(d) an aircraft incident (external).	
11D Reportable matters—Category D (type 2 RPA and certain uncrewed balloons) aircraft operations	
(1) For the purposes of the definition of immediately reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category D (type 2 RPA and certain uncrewed balloons) aircraft operation are prescribed:	SOC1, SOC3
(b) a serious property damage incident (external).	
(2) For the purposes of the definition of routine reportable matter in subsection 3(1) of the Act, the following investigable matters involving an aircraft engaged in a Category D (type 2 RPA and certain uncrewed balloons) aircraft operation are prescribed:	
(a) an aircraft accident, other than an aircraft accident of a kind mentioned in paragraph (1)(a) of this section;	
(b) a loss of a separation standard between aircraft.	
13 Aircraft operations – Responsible persons (Act s 3)	
For the purposes of the definition of responsible person in subsection 3 (1) of the Act, the following persons are responsible persons in relation to reportable matters:	SOC1, SOC3
(a) a crew member of the aircraft concerned;	
(b) the owner or operator of the aircraft;	
(c) a person performing an air traffic control service in relation to the aircraft;	
(d) a person performing a dedicated aerodrome rescue or firefighting service in relation to the aircraft;	
(e) a person who:	
(i) is licensed as an aircraft maintenance engineer under the Civil Aviation Regulations 1988 or the Civil Aviation Safety Regulations 1998 ; and	
(ii) does any work in relation to the aircraft;	
(f) a member of the ground handling crew in relation to the aircraft;	
(g) a member of the staff of the Civil Aviation Safety Authority;	
(h) the operator of an aerodrome.	

(i) a sport aviation body (within the meaning of the Civil Aviation Safety Regulations 1998) that administers aviation activities in relation to the aircraft.	
14 Aircraft operations – Particulars for immediate reports (Act s 18)	
Subsection (1) For the purposes of subsections 18 (1) and (2) of the Act, the particulars in the following table are prescribed in relation to an immediately reportable matter of a kind referred to in subsection 11A(1), 11B(1), 11C(1) or 11D(1) of this instrument.	SOC1, SOC3
(1) The type, model, nationality, registration marks and flight number (if any) of the aircraft the subject of the immediately reportable matter;	
(2) The type of aircraft operation that the aircraft was engaged in at the time of the immediately reportable matter	
(3) The name and contact details of the operator of the aircraft	
(4) The nature of the immediately reportable matter	
(5) A description of the damage to the aircraft or any other property	
(6) A description of any dangerous goods on board the aircraft	
(7) Whether a person died, or was seriously injured, as a result of the immediately reportable matter	
(8) Where the immediately reportable matter occurred (including a description of the location, or the geographical coordinates);	
(9) The aircraft's place of departure and destination	
(10) The day and local time when the immediately reportable matter occurred	
(11) A description of the following in relation to the immediately reportable matter:	
(a) what happened;	
(b) how and why it happened.	
Subsection (2) When making the report, the responsible person must give the nominated official:	
(a) the responsible person's name; and	
(b) a method of contacting the person that will enable the person to be promptly contacted for an inquiry into the matter.	
15 Aircraft operations – particulars for written reports (Act s 19)	
Subsection (1) For the purposes of subsections 19(1) and (4) of the Act and subject to subsection (2) of this section, the particulars in the following table are prescribed in relation to an immediately reportable matter or a routine reportable matter of a kind referred to in section 11A, 11B, 11C or 11D of this instrument:	SOC1, SOC3
(1) The name and contact details of the person making the report	
(2) The person's role in relation to the aircraft concerned	
(3) The type, model, nationality, registration marks and flight number (if any) of the aircraft	

(4) The name of the owner of the aircraft	
(5) The name and contact details of the operator of the aircraft	
(6) If the aircraft was under hire when the reportable matter occurred, the name of the hirer	
(7) The name and nationality of the pilot, and the type and licence number of the licence held by the pilot	
(8) The name and nationality of each other flight crew member (if any), and the type and licence number of the licence held by each of them;	
(8A) The Aviation Reference Number (within the meaning of the Civil Aviation Safety Regulations 1998) of each person mentioned in item 7 or 8 of this table (if the person has an Aviation Reference Number)	
(9) The day and local time when the reportable matter occurred	
(10) If, when the reportable matter occurred, the aircraft was in flight:	
(a) the place where the flight started; and	
(b) the place where the flight ended, or was intended to end; and	
(c) the purpose of the flight	
(11) Unless the reportable matter occurred at an airport, the location of the aircraft immediately after the occurrence of the reportable matter, including the geographical coordinates of that location;	
(12) The number of persons on board the aircraft when the reportable matter occurred;	
(13) The nature of the reportable matter, including:	
(a) its outcome or effect on the flight of the aircraft; and	
(b) the phase of the aircraft's flight when the matter occurred; and	
(c) the weather conditions; and	
(d) the airspace designation; and	
(e) the altitude at which the matter occurred; and	
(f) if the matter occurred at, or in relation to, an airport, the name of the airport; and	
(g) if the matter occurred on, or in relation to, a runway—the runway number; and	
(h) if the matter involved a collision with an animal or bird, the nature of the collision; and	
(i) the causes of the occurrence (if known), including any human performance issues; and	
(j) any safety action carried out to prevent a recurrence of the matter; and	
(k) the nature and extent of any damage to the aircraft;	
(14) The physical characteristics of the area where the reportable matter occurred (e.g., the terrain, vegetation cover, and existence and location of any buildings, runways or aerodromes)	
(15) The flight rules under which the aircraft was operating at the time of the reportable matter	
(16) The type of aircraft operation the aircraft was engaged in at the time of the reportable matter;	

(17) If the matter resulted in a death or serious injury, and the aircraft carried an emergency locator transmitter -- whether the emergency locator transmitter was fixed or portable and whether it was activated at the time the immediately reportable matter occurred	
(18) if the aircraft's pilot has died:	
(a) the pilot's date of birth; and	
(b) the pilot's total flying hours on all aircraft and flying hours on the same type of aircraft;	
(19) If any crew members have died or been seriously injured as a result of the reportable matter: (a)how many; and (b) their names and nationalities; and (c) descriptions of their injuries.	
(20) If any passengers have died or been seriously injured as a result of the reportable matter: how many; and their names and nationalities; and descriptions of their injuries.	
(21) If any other persons have died or been seriously injured as a result of the reportable matter: (a) how many; and (b) their names and nationalities; and (c) descriptions of their injuries.	
Subsection (2) For the purposes of subsections 19(1) and (4) of the Act, a report that is only for an aircraft incident (external) involving a collision with an animal or a bird must contain as many of the following particulars as are within the knowledge of the person making the report:	
(a) the name and contact details of the person making the report;	
(b) the day and local time when the reportable matter occurred;	
(c) the nature of the reportable matter, including:	
(i) if the matter occurred at, or in relation to, an airport, the name of the airport, and if it occurred on, or in relation to, a runway, the runway number; and	
(ii) the nature and extent of any damage to the aircraft;	
(d) any other information that the person making the report considers appropriate.	
PART 5--GENERAL	
40 – Immediate reports (Act s 18)	
For the purposes of subsection 18(1) of the Act, if a responsible person has knowledge of an immediately reportable matter, the person must report it to a nominated official as soon as is reasonably practicable by telephone or, if telephone communication is not reasonably available, by another form of telecommunication or radio communication	SOC1, SOC3
41 – Written reports Required by Chief Commissioner (Act s 19)	
For subsection 19 (4) of the Act, the following means are prescribed:	SOC1, SOC3

(a) email in plain, computer-readable text;	
(b) electronic lodgement using the internet;	
(c) data transfer in a format approved by the ATSB;	
44 – Recordings that are not on-board recordings (OBRs) (Act s 48)	
Subsection (1) For the purposes of section 48 of the Act, a recording is not an on-board recording for the purposes of the Act if the recording is:	SCCR2, SCCR4
(a) an oral communication recorded by an air traffic service or a certified air/ground radio service (within the meaning of the Civil Aviation Safety Regulations 1998) for the purpose of directing or monitoring the progress of an aircraft; or	
(b) an oral communication recorded by the Australian Maritime Safety Authority.	

7.12 Safety Rehabilitation and Compensation Act 1988

Part III-Rehabilitation	
Division 3-Rehabilitation programs	
36 Assessment of capability of undertaking rehabilitation program	FFD1
37 Provision of rehabilitation programs	
39 Compensation payable in respect of certain alterations etc.	
40 Duty to provide suitable employment	
41 Rehabilitation authorities to comply with guidelines	
41A Delegation by rehabilitation authority	
Part IX—Miscellaneous	
109 Determinations to be in writing	SD3
121A Confidential commercial information not to be published	SCCR3
Part X—Transitional provisions	
Division 1—Preliminary	
124 Application of Act to pre-existing injuries	FFD1

s 22

1.6 Administrative reporting

1.6.1 Network Operations Report

1.6.1.1 Submitting a NOR

Submit a Network Operations Report (NOR) at the end of each morning and evening shift for the following locations:

a) Sydney;

b) Brisbane;

c) Melbourne; and

d) Perth.

See Network Operations Report User Guide (ATS-GUIDE-0057).

1.6.2 Occurrence notification

1.6.2.1 Reportable occurrences

The following reportable occurrences require directed notification and submission of details via CIRRIS:

a) Immediately reportable matters (Transport Safety Investigation Regulations);

b) Routinely reportable matters (Transport Safety Investigation Regulations);

c) Malicious radio interference;

d) Unauthorised laser illumination event;

e) Unauthorised RPAS operations and incidents; and

f) RVSM height deviations.

Report other events as directed in Air Traffic Management Safety Occurrence Management (AA-PROC-SAF-0040)

Refer AIP ENR 1.14 - Air Traffic Incidents and MATS Chapter 4.5 - Reporting.

g) The responsibility and method for reporting RPAS related occurrences is the same as for conventionally piloted aircraft.

1.6.2.1.1 No CIRRIS report required

The following are not reportable occurrences, and a CIRRIS report is not required when relevant coordination and Airways Operations Journal (AOJ) entry are completed:

a) Aircraft failure to report arrival with JRCC coordination complete and the aircraft is subsequently reported to be safe;
b) Aircraft not in normal communication with ATS but flight proceeds without further incident; and
c) ELT report but no evidence that it is due to aircraft distress.

Note: *CIRRIS report should be recorded when other factors exist relevant to safety of aircraft or integrity of ATS system.*

1.6.2.2 Quarantine of facilities after immediately notifiable incidents

The ATMD may quarantine an Airservices owned, leased, or operated aeronautical system when:

a) in the opinion of the ATMD, the system has been implicated in an Immediately Reportable Matter (IRM); or
b) if directed by an ATSB investigator.

Refer to Checking of an Aeronautical System after an Accident or Incident (C-PROC0171) for quarantine and notification procedures.

1.6.2.3 Notification to FIR Operational Command Authority (OCA)

Notify the ATMD of:

a) an immediately reportable occurrence; and
b) unusual events which may cause adverse media reporting or industry response.

1.6.2.4 Responsibility for occurrence submission

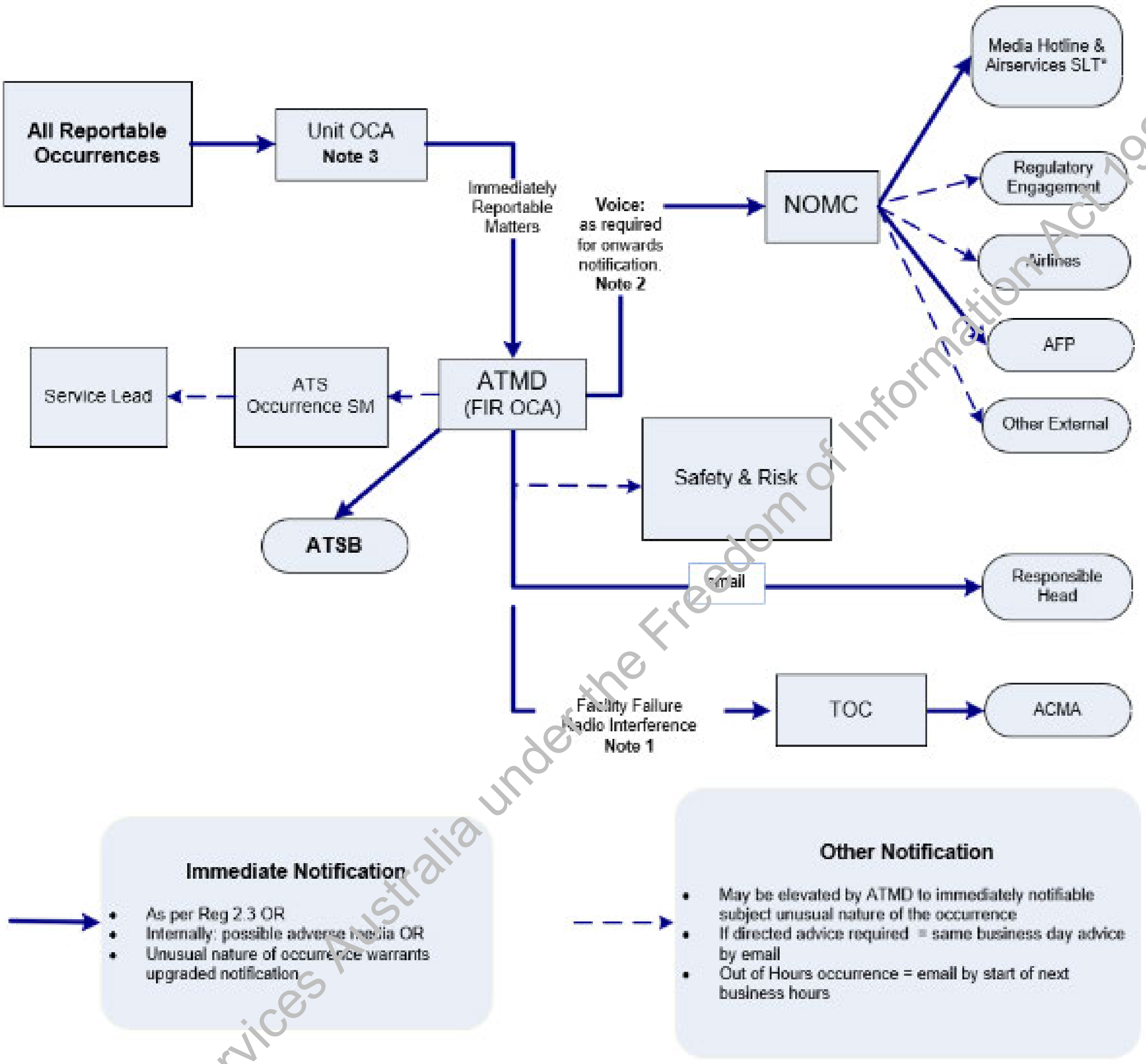
The unit OCA initiating the notification or report must ensure that relevant details are submitted to CIRRIS.

1.6.2.4.1 Occurrence reporting form

When direct entry of the relevant details into CIRRIS is impractical, or when requested by the Supervisor:

1) use the Occurrence Reporting Form (ATS-FORM-0045);
2) give the form to the applicable Supervisor for review and entry into CIRRIS; and
3) forward the form to *_MG_CIRRIS_ATS_Contingency* if CIRRIS is unavailable.

1.6.2.5 Notification process



Note 1: Facility Failure: complete ATS Occurrence for any facility failure resulting in missed approach.
TOC Team Leader Notification: when facility failure results in an ATS Occurrence Report, Significant Adverse safety or adverse publicity.

Radio Interference: if required, request TOC Team Leader advise ACMA

Note 2: Laser Reports: NOMC advises AFP. AFP advises State Police and Dept of Infrastructure.

Note 3: When Unit OCA occupies Prime Position refer 1.7.1.4.2 for OCA escalation.

* SLT = Airservices Senior Leadership Team (as required)
ACMA = Australian Communications and Media Authority

Appendix B Occurrence Definitions

Air Traffic Services Occurrence Definitions

An ATS occurrence is any event that affected or could have affected ATS operational safety. ATS occurrences are categorised according to Table 2. The circumstances under which each occurrence category would constitute an ATSB Immediately Reportable Matter (IRM) or Routine Reportable Matter (RRM) are defined in the *Transport Safety Investigation Regulations* and Aeronautical Information Publication (AIP) Enroute (ENR) 1.14. If an occurrence meets the criteria for both an IRM and RRM, it is considered an IRM.

If more than one occurrence type needs to be recorded in CIRRIS, the primary occurrence type must be selected in the following order of priority:

1. The occurrence type that is classified as an IRM.
2. The occurrence type that is classified as an RRM.
3. If neither applies, or both occurrence types are IRMs or RRMs, choose the occurrence type with the highest potential risk.

Table 2 – ATS occurrence categories

Occurrence Type	Definition
Abnormal Operations	
Aircraft Accident	An occurrence associated with the operation of an aircraft where: • a person is fatally or seriously injured as a result of being associated with the operation of the aircraft, or • the aircraft is destroyed, or sustains serious damage or structural failure, as a result of an occurrence associated with the operation of the aircraft, or • any property is destroyed or seriously damaged as a result of an occurrence associated with the operation of the aircraft, or • the aircraft is missing, or • the aircraft is completely inaccessible. **Note[1]:** An Aircraft Accident must be the primary occurrence type.
Animal Strike	A collision between an aircraft and an animal or in the case of a bird, where the aircraft is in flight, or taking off or landing anywhere. **Note[1]:** Not reportable by ATS when, for occurrences within the jurisdiction of an Aerodrome Operator, details of the occurrence and aircraft involved can be provided to the Aerodrome Operator (e.g. through the Airport Safety Officer).
Emergency Operations	Any in-flight broadcast to Air Traffic Service authorities by the flight crew that declares an emergency (MAYDAY or PAN), or the declaration of an alert or distress phase by Air Traffic Service authorities (ALERFA or DETRESFA). ***OR*** The initiation of Aerodrome Emergency Procedures by the Pilot, Air Traffic Services or Airport Operators due to a threat to the safety of an aircraft that is on or in the vicinity of an aerodrome, and where rescue and/or firefighting services have become mobile in response (not including local standby only). **Note[1]:** Includes flight crew incapacitation events. A passenger-related medical emergency is **not reportable** unless it relates to injury caused as a direct result of aircraft operation.
Facility Issue	A total or partial loss or degradation of the performance, of a facility or system.

	Note[1]: Must be reported regardless of the impact on safety. **Note[2]**: Includes the failure or inadequacy of aerodrome infrastructure.
Fuel Dump/Vent	A pilot reported fuel dump or an Air Traffic Control/Public reported observation of an aircraft venting fuel.
Malfunction of Aircraft System	The malfunction of an aircraft system, if the malfunction affects or could affect the safe operation of the aircraft or results in difficulty controlling or navigating the aircraft. **Note[1]**: Includes failure or degraded performance of any aircraft equipment component of the ATS surveillance system such as ADS-B transmitters or SSR transponders, and the transmission of incorrect Aircraft identification or Mode 3A that cannot be resolved by the pilot.
Weather/Hazardous Conditions	A meteorological phenomena or hazardous condition that is observed or reported and causes difficulty controlling an aircraft. **Note[1]**: Any weather phenomena that results in an aircraft deviating beyond approved tolerances or affects the safe operation of an aircraft and its passengers and crew.
Foreign Object Damage/Debris	Loose objects on the manoeuvring area of an aerodrome causing, or having the potential to cause, damage to an aircraft.
Critical Rejected Take-off	A take-off that is interrupted or prevented by a decision initiated either by the pilot involved or a controller after the aircraft has reached, or is near to take-off speed, height, or any combination thereof, relative to the type of aircraft operation. **Note[1]**: Does not include rejected take-offs conducted at low to mid-range speeds, aircraft type dependant.
Runway Excursion	An occurrence in which an aircraft veers off, undershoots, or overruns the runway surface during either take-off or landing. **Note[1]**: Over-running refers to either a landing or a rejected take-off where the aircraft continues beyond the effective operational length available for use by aircraft for landing at certified or registered aerodromes or the distance available for landing on an aircraft landing area. Under-shoot refers to a landing that touches down prior to the designated landing area on a runway within the aerodrome perimeter.
Aircraft Separation/Confliction	
ACAS Resolution Advisory	A pilot report of an airborne collision avoidance system (ACAS) resolution advisory (RA) alert.
Aircraft Confliction	Two or more aircraft (including RPAS/model aircraft) coming into close proximity such that a threat to the safety of those aircraft may exist, in airspace where the aircraft are not subject to an ATC separation service. **Note[1]**: An Aircraft Confliction must be the primary occurrence type with the only exception being an Aircraft Accident.
Aircraft in Critical Proximity	Aircraft in Critical Proximity applies, between aircraft in the air or on the ground, or between an aircraft and terrain or obstacle, when: • an evasive manoeuvre carried out to avoid a collision; or • two or more aircraft came within 250 FT vertically and 150 m horizontally; or • a pilot or controller believed a very high probability of collision existed.
Ground Proximity (inc. GPWS/MSAW)	A pilot report of a Ground Proximity Warning System (GPWS) alert (excluding spurious alerts in visual conditions), activation of a valid Minimum Safe Altitude Warning (MSAW), or the potential for flight into terrain to occur, or in circumstances where ATS issues vectors below MVA when it is not permissible by MATS.
Loss of Separation	An infringement of a prescribed separation standard between: • aircraft

	• aircraft and objects, or • aircraft and Prohibited or Restricted Areas, or airspace reservations. Separation: Separation is the concept of using approved separation standards, associated conditions and procedures to ensure spacing between aircraft is never less than a prescribed separation minimum. Controlled: If, in the lead up to the loss of separation, situational awareness relating to the relevant traffic exists but operational judgment or execute on of actions is inappropriate, then the occurrence is a 'controlled' one. Uncontrolled: If, in the lead up to the loss of separation, situational awareness relating to the relevant traffic does not exist, then the occurrence is 'uncontrolled'. **Note[1]:** Controlled or Uncontrolled categorisation is only to be applied to ATS Attributable occurrences. **Note[2]:** A Loss of Separation must be the primary occurrence type with the only exception being an Aircraft Accident. **Note[3]:** This includes an infringement of a prescribed runway separation standard, in which case a Runway Incursion should also be reported as a secondary type.
Near Collision on Ground	An aircraft or vehicle on the ground is required to manoeuvre to avoid a collision, or an avoidance manoeuvre would have been appropriate.
Runway Incursion	Any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle, or person on the protected area of a surface designated for the landing and take-off of an aircraft. **Note[1]:** Incorrect presence means: • the presence of an aircraft, vehicle or person within the confines of the protected area* of a surface designated for the landing and take-off of aircraft, which affects the safe operation of an arriving or departing aircraft, irrespective of having a clearance, or • an aircraft, vehicle or person enters the protected area* of a surface designated for the landing and take-off of aircraft, without a clearance to do so, regardless of other aircraft operations. • an aircraft or vehicle crosses an illuminated stop bar which protects the area of surface designated for the landing and take-off of an aircraft, irrespective of having a clearance. * Protected Area: A runway including the runway strip, or a helicopter landing site (HLS) marked as designated for the exclusive use of helicopters and subject to an ATC clearance for landing, take-off or entering. **Note[2]:** In the situation that published stop bar contingency procedures are implemented due to a stop bar switching fault, an aircraft or vehicle may be explicitly directed to cross an illuminated stop bar. This does not constitute a runway incursion. **Note[3]:** An ATS attributable runway incursion involving an arriving aircraft occurs when the aircraft has been cleared to land, and is past the Runway Incursion Threshold which is defined as: • the runway threshold, where a separation standard is to be applied and the runway is still occupied, unless a separation standard continues to exist; or in all other cases, that point on final approach where the arriving aircraft reaches an altitude of 400FT and the runway is still occupied. • for circuit operations, the arriving aircraft has turned final, is in receipt of a landing clearance and the runway is still occupied. **Note[4]:** If ATS issue a landing clearance to an arriving aircraft when there is an obstruction on the runway, other than an aircraft taking-off or landing, and the aircraft is not past the Runway Incursion Threshold as defined in Note 3, an ATS attributable Information Error should be reported.
Inadequate Separation Assurance	A traffic scenario where separation exists but: • the conflict is not identified, and/or • separation is not planned or is inappropriately planned, and/or

	• the separation plan is not executed or is inappropriately executed, and/or • separation is not monitored or is inappropriately monitored. **Note**[3]**:** Applicable to 'ATS attributable' occurrences.
Miscellaneous	
Laser	A laser having been directed at an aircraft, ground vehicle or ATS facility.
Other – Safety Related	• Any circumstance whereby an ATS officer works without being appropriately licensed, including being out of recency. • The receipt of incorrect or incomplete NOTAM requests that are corrected by the NOF. **Note**[1]**:** When incorrect or incomplete NOTAMs are issued this should be reported as an Information Error. All other circumstances not defined as an occurrence type in which the safety of an aircraft or the integrity of the Air Traffic Service system was jeopardised.
Other – Non-Safety Related	All other circumstances not defined as an occurrence type that the reporter believes should be reported to Airservices management.
Pilot Complaint/Report	A pilot complaint or report that is not related to another occurrence and the reporter anticipates that the information is required for stakeholder relationship management.
Variation to Published ATS	The inability to provide ATS as published.
Go Around	The termination of an aircraft's final approach to land and the aircraft conducting a go around procedure. **Note**[1]**:** Not reportable where an aircraft initiates a published missed approach procedure because visual flight could not be established by the minima.
Operational Deviation	
Curfew	An aircraft landing or taking-off during curfew periods in contravention of Airport Curfew Regulations.
Take-off/ Approach/Landing to/from Unauthorised Area	An aircraft takes-off, lands, approaches or attempts to land or take-off from an area other than that authorised by an ATC clearance for landing or departure.
Airspace Infringement	The unauthorised entry of an aircraft into airspace where a clearance is required, or to which entry is prohibited.
Operational Deviation	A non-adherence with the requirements of an air traffic management procedure or instruction issued by air traffic services or regulatory authorities, including AIP. **Note**[1]**:** Requirements may include level, time or route adherence, and apply whether an aircraft is airborne or on the ground. **Note**[2]**:** This category applies to all instructions and procedures issued by air traffic services and applies to pilots or other persons (e.g. ground personnel) that are subject to requirements, clearance or instructions issued by air traffic services for the purpose of maintaining the safety of aviation operations.
Operational Information	
Aeronautical Information Service (AIS) Information Error	Information flow within the Aeronautical Information Management system for the provision of Aeronautical Information Services (AIS) products and services that is late, incorrect, incomplete or absent.
Flight Planning Error	Where a flight plan is filed incorrectly, incomplete or is absent.

	Note[1]: The incorrect processing of a flight plan by ATS personnel is recorded as an Information Error.
Callsign Confusion	When callsign confusion occurs or where two or more aircraft with similar callsigns are operating in the same airspace at the same time.
Information Error	Information flow within the ATS system or the provision of clearances, traffic information or instructions to a pilot, is or could have been late, incorrect, incomplete or absent. Includes occasions when information flow is deficient within or between Air Traffic Services operating positions, including foreign and military Air Traffic Service providers. Delivery Error: Delivery of operational information including hear back and/or read back errors, by ATS is absent, delayed, incorrect, or incomplete and is not immediately detected and rectified (see note below). Display Error: Operational information including inaccurate data transcription and/or data link driven data, displayed to ATS is incorrect, incorrectly interpreted and/or incorrectly entered into an ATS system and is not immediately detected and rectified (see note). **Note[1]:** Immediately in this context means detected and rectified by the ATS officer who **delivered/displayed the information and prior to any ATS officer or Pilot using the information for the provision of an operational service or detected and rectified in the Eurocat pre-active state**.

ARFFS Occurrence Definitions

An ARFFS occurrence is any situation that affected or had the potential to affect operational safety. Within this context, operational safety refers to the overall level of safety applicable to the execution of the regulated functions of the ARFFS. Operational safety is a product of, and can be demonstrated by the effective management of operational risk.

Primary Occurrence Types available in CIRRIS

Primary Occurrence Type

- Abnormal Operations
  - Aircraft Accident
  - Animal Strike
  - Critical Rejected Take-off
  - Emergency Operations
  - Facility Issue
  - Foreign Object Damage/Debris
  - Fuel Dump
  - Malfunction of Aircraft System
  - Runway Excursion
  - Weather/Hazardous Conditions
- Aircraft Separation/Confliction
  - ACAS Resolution Advisory
  - Aircraft Confliction
  - Ground Proximity (including GPWS/MSAW)
  - Inadequate Separation Assurance
  - Loss of Separation
  - Near Collision on Ground
  - Runway Incursion

Primary Occurrence Type

- ○ Near Collision on Ground
- ○ Runway Incursion
- ○ Miscellaneous
  - ○ Go Around
  - ○ Laser
  - ○ Other - Non Safety Related
  - ○ Other - Safety Related
  - ○ Pilot Complaint/Report
  - ○ Variation to Published ATS
- ○ Operational Deviation
  - ○ Airspace Infringement
  - ○ Curfew
  - ○ Operational Deviation
  - ○ Take-off/Approach/Landing to/from Unauthorised Area
- ○ Operational Information
  - ○ AIS Information Error
  - ○ Callsign Confusion
  - ○ Flight Planning Error
  - ◉ **Information Error**

Aircraft or Vehicle types below:

Civil Australian Registered

Unknown Aircraft

Civil Foreign Registered

Ground Vehicle

Military

Not Applicable

RPAS (UAV) / Model Aircraft