Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

.

•

1

# Aircrew Fatigue Management in the New Zealand Aviation Industry

A thesis presented in partial fulfilment of the requirements for the degree of Master of Aviation at Massey University, Wellington Campus New Zealand

> Denise Kuraem Ratieta 2005

#### ABSTRACT

In the past two decades, fatigue has been widely studied and has proven scientifically to be a threat to flight operations and aircrews, as evidenced in disastrous aviation accidents. Internationally, it is recognised that the prevention or minimization of fatigue requires a collaborative approach, hence not just individuals. However, because of individual differences in coping with fatigue, the complex factors associated with fatigue, and the dynamics in aviation operations, it has proven unrealistic to expect to have a "one size fits all" policy to manage fatigue.

Nevertheless, with increased competition in the aviation domain, aircrews are increasingly made to work according to organisational requirements through rosters or schedules that function in "24/7" settings. Such arrangements have been, and are still being mandated by flight and duty time limitations in civil aviation rules elsewhere. With increased knowledge on the effects of fatigue in the cause of accidents and incidents, it has for some time been known that the historical prescriptive approach does not address potential fatigue-related factors. Australia and New Zealand Civil Aviation Authorities have led the way in developing an alternative approach in the management of fatigue, in a move to operate beyond mandated flight and duty time limitations. Such an approach does not intend to breach current prescriptive rules, but rather incorporate industry views by establishing an alternative strategy in managing aircrew fatigue considered best for the operation, organisation and the pilot.

Given the minimal information available on fatigue management in the New Zealand Aviation Industry, this study was initiated to gather perceptions from management, rostering staff and pilots on how their organisations are currently managing fatigue, via a questionnaire.

Results of the study showed that 33% of participants reported maintaining AC119-2 in meeting their flight and duty time limits, 9% indicated using AC119-2 with

ü

dispensations, 11% stated that they have an accredited fatigue management scheme, 10% indicated "don't know" and 38% reported using "other" methods as an alternative to mandated flight and duty time rules. The high percentage of participants opting for "other" methods is an indication that participants are not confident in positively identifying constructive strategies existing within their organisation. This reveals that knowledge on current rules and guidelines pertaining to flight and duty time limitations is lacking.

The main implication of the study is that knowledge on prescribed flight and duty time limitations (AC119-2) and fatigue management (AC119-03) in the aviation industry requires substantial enhancement to ensure an effective and sustainable non-prescriptive approach in the management of fatigue. The study further suggests that more informed education on AC119-2 could be advocated in the industry as a starting point, which may form a strong and mature basis for the development of successful and effective fatigue management schemes. These suggestions warrant a participatory and combined effort involving the New Zealand Civil Aviation Authority and the New Zealand Aviation Industry.

#### ACKNOWLEDGEMENTS

Many thanks to my Supervisors, Professor Philippa Gander and Dr. Leigh Signal for their exceptional guidance, wisdom and patience throughout the completion of this thesis. The support provided by the Australian Transport Safety Bureau has offered an excellent opportunity for me and those involved to study and provided insight on aircrew fatigue management that could be useful for the New Zealand Aviation Industry and the New Zealand Civil Aviation Authority. Further, I would like to thank the Government of the Republic of Kiribati and Air Kiribati Limited for providing additional support and in particular the Chief Secretary, Mrs Makurita Baaro and her team for their understanding. Particular thanks to my colleagues at the Sleep/Wake Research Centre, Ally, Heather, Margo, Riz, Sarah-Jane, Noemie, and Nat for their encouragement and friendliness. Special thanks to Dr. Kara Mihaere for her endless assistance to me in formatting and providing tremendous help and assistance. Her exceptional willingness and patience throughout the process, even when she had to go through an ordeal over the loss of her beloved sister, gave me strength and hope. Also thanks to Pavan Sharma at the Wellington Student Learning Centre for sharing his editing skills and advice. Heartfelt thanks to Nei Anna and Neil Whitley, the Itinteang, Kaitara and Sinclair families and all of the Kiribati Wellington Community members for their support they had given me and my family ever since we first arrived in New Zealand. And last, but not least, my warm thanks to my family Daisy, Daniel, Stella, little Francis, my husband Kuraem and my mother for believing in me.

# TABLE OF CONTENTS

Abstract	ii
Acknowledgements	iv
Table of Contents	v
Table of Appendices	vi
List of Tables	/ii
List of Figures	xī
Introduction	İIJ
Chapter One: Background and Literature Review	1
1.2 Fatigue in Aviation Operations	2
1.3 Underlying Biological Factors	13
1.4 Work-Related Factors	28
1.5 Individual Differences	34
1.6 What is Being Done to Manage Fatigue?	35
1.7 A Conceptual Framework for Fatigue Management	15
1.8 Aims of the Present Study	19
Chapter Two: Methods	50
2.1 Participants	50
2.2 The Questionnaire	50
2.3 Procedure	53
2.4 Analyses	j4
Chapter Three: Results 5	56
3.1 Participants	56
3.2 Organisations 5	57
3.3 Fatigue Management Strategies 6	5
3.4 Other Comments	)4
Chapter Four: Discussion	96
4.1 Limitations of the Present Study	)6
4.2 Strengths of the Study	<del>)</del> 7
4.3 Overview of Findings	<del>}</del> 8
4.4 Specific Findings 10	0
4.5 Summary	1
4.6 Future Recommendations 11	2
References 11	4

### TABLE OF APPENDICES

Appendix A: The Questionnaire	131
Appendix B: 1 <sup>st</sup> Letter to Chief Pilot	136
Appendix C: 1 <sup>st</sup> Letter to Particpants	138
Appendix D: Reminder Postcards	140
Appendix E: 2 <sup>nd</sup> Letter to Chief Pilot	141
Appendix F: 2 <sup>nd</sup> Letter to Participants	142
Appendix G: Promotional Article	143
Appendix H: Additional Results	145

## LIST OF TABLES

Table 3.1	Breakdown of roles 56
Table 3.2	Breakdown of roles by Operator 57
Table 3.3	Breakdown of multiple roles
Table 3.4	Number of people and pilots employed 58
Table 3.5	Breakdown of organisations by rule/s
Table 3.6	Proportion of Operators reporting types of flight rules they operate under.
Table 3.7	Comparison of pilot and management views on the number of fatigue management strategies their organisations are using
Table 3.8	Other fatigue management strategies reported by Part 121 participants 73
Table 3.9	Other fatigue management strategies reported by Part 125 participants 73
Table 3.10	Other fatigue management strategies reported by Part 135 participants 73
Table 3.11	Participants' ratings on how well they thought their organisation manages fatigue, where 0=0mm (not at all well) and 100=100mm (extremely well)74
Table 3.12	Median reported for pilots and management on how well they thought their organisation manages fatigue, where 0=0mm (not at all well) and 100=100mm (extremely well)
Table 3.13	A summary of responses from Part 121 participants in relation to who is responsible for fatigue management in their organisation
Table 3.14	A summary of responses from Part 125 participants on who is responsible for fatigue management in their organisation
Table 3.15	A summary of responses from Part 135 participants in relation to who is responsible for fatigue management in their organisation
Table 3.16	A summary of responses from Part 121 participants on the sources of information on fatigue management
Table 3.17	A summary of responses from Part 125 participants on the sources of information on fatigue management
Table 3.18	A summary of responses from Part 135 participants on the sources of information on fatigue management

- Table 3.19
   A summary of responses from Part 121 participants on positive benefits of their organisations' fatigue management strategies

   84

- Table 3.30 A summary of responses from Part 135 participants on help, advice and resources that would assist in managing fatigue in their organisation..... 92
- Table 3.31
   A summary of responses from Part 135 participants on the help, advice and resources that would assist in managing fatigue in their organisation.

   94
- Table 4.1
   Ongoing education for pilots provided from Part 121 participants
   145
- Table 4.3
   Ongoing education for pilots provided from Part 135 participants
   145
- Table 4.5Ongoing education for people in management provided from Part 125<br/>participants.146

Table 4.6	Ongoing education for management provided from Part 135 participants
Table 4.7	Ongoing education for rostering staff on fatigue management provided from Part 121 participants
Table 4.8	Ongoing education for rostering staff on fatigue management provided from Part 125 participants
Table 4.9	Ongoing education for rostering staff on fatigue management provided from Part 135 participants
Table 4.10	Monitoring of pilots' flight and duty times provided from Part 125 participants
Table 4.11	Monitoring of pilots' flight and duty times provided from Part 135 participants
Table 4.12	Monitoring of pilots' workload provided from Part 121 participants 149
Table 4.13	Monitoring of pilots' workload provided from Part 125 participants 149
Table 4.14	Monitoring of pilots' workload provided from Part 135 participants 149
Table 4.15	The occurrence reporting system that asks about fatigue provided from Part 121 participants
Table 4.16	The occurrence reporting system that asks about fatigue provided from Part 125 participants
Table 4.17	The occurrence reporting system that asks about fatigue provided from Part 135 participants
Table 4.18	Identification and management of fatigued pilots provided from Part 121 participants
Table 4.19	Identification and management of fatigued pilots provided from Part 125 participants
Table 4.20	Identification and management of fatigued pilots provided from Part 135 participants
Table 4.21	Ongoing review of the processes used for fatigue management provided from Part 121 participants
Table 4.22	Ongoing review of the processes used for fatigue management provided from Part 125 participants
Table 4.23	Ongoing review of the processes used for fatigue management provided from Part 131 participants
Table 4.24	A system allowing feedback from pilots on fatigue-related issues provided from Part 121 participants

Table 4.25	A system allowing feedback from pilots on fatigue-related issues provided from Part 125 participants
Table 4.26	Examples for a system allowing feedback from pilots on fatigue-related issues provided from Part 135 participants
Table 4.27	Software used to assist with rostering provided from Part 121 participants
Table 4.28	Software used to assist with rostering provided from Part 125 participants
Table 4.29	Software used to assist with rostering provided from Part 135 participants 154

### LIST OF FIGURES

Figure 1.1	Latent failure model of human error causation, "the Swiss Cheese", by James Reason (1990). Adapted from Shappell & Wiegmann (2000) 11
Figure 1.2	Daily rhythms of a domestic airline pilot before, during, and after a 3-day trip
Figure 1.3	Number of hours slept by American adults (Sleep in America poll, 2005)
Figure 1.4	A conceptual model linking work schedules, intensity of work, long work hours and fatigue (Schuster & Rhodes, 1985)
Figure 1.5	A conceptual fatigue risk trajectory model, designed by Dawson et al. (2004) and based on Reason's hazard control framework (1997) 45
Figure 1.6	The components of the Fatigue Management Program (Rhodes et al., 2002)
Figure 3.1	The proportion of Part 121 Operators engaged in different types of operation
Figure 3.2	The proportion of Part 125 Operators engaged in different types of operation
Figure 3.3	The proportion of Part 135 Operators engaged in different types of operation
Figure 3.4	Proportion of Operators using different types of aircraft in their operation (jet, turbo, piston and all)
Figure 3.5	Proportion of Operators using different types of aircraft in their operation (multi-engine, single engine and all)
Figure 3.6	Proportion of Operators using different types of aircraft in their operation (rotary, fixed and all)
Figure 3.7	Types of Airspace
Figure 3.8	Proportion of Part 121 Operators operating to different aerodromes65
Figure 3.9	Proportion of Part 125 Operators operating to different aerodromes65
Figure 3.10	Proportion of Part 135 Operators operating to different aerodromes65
Figure 3.11	Proportion of Operators reporting number of strategies used in their organisation
Figure 3.12	The proportion of Operators reporting each fatigue management strategy

Figure 3.13	Proportion of Part 121 and 125 Operators showing difference in views in relation to fatigue management strategies used in their organisation 70
Figure 3.14	Proportion of Part 135 Operators showing difference in views in relation to fatigue management strategies used in their organisation
Figure 3.15	Operators reporting how their organisation meets the flight and duty time limits