



**Civil Aviation Authority of Sri Lanka**

**AVIATION SAFETY NOTICE**

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- Recipients : 1. Holders of Air Operator Certificate issued by DGCA,  
2. Prospective applicants for Air Operator Certificate for commercial Air Transport Operations.
01. Subject : Crew Resource Management Training
02. Nature : Compulsory
03. Issue No : 01
04. Status : New
05. Effective Date : With immediate effect
06. Validity : Until further notice
07. Contact Person : Inquiries may be directed, preferably by letter to, Assistant Director Operations, Civil Aviation Authority, No. 64, Galle Road, Colombo 3, Sri Lanka. Telephone: 94 11 2 441 523
08. Availability : A copy of this document is available for reference at the technical library of the Civil Aviation Authority. Copies can be collected at reproduction cost.
09. Applicability : Holders of Air Operator Certificate issued by DGCA for commercial air transport operation.
10. Comments : Comments (if any) on the contents of this Aviation Safety Notice may be forwarded to the contact person. However the Aviation Safety Notice will come into effect on the date shown therein notwithstanding any objection or comment made by any person or party unless and until an amendment to the Aviation Safety Notice is issued afresh by the Director General.

11. Notice : Requirements for Flight Operations to be satisfied by holders of Air Operator Certificates issued by DGCA for operation of aircraft for commercial purposes is specified in the Attachment hereto.
12. Action Required : For strict compliance by the holders of Air Operator Certificates for Commercial Air Transport Operation.
13. Checklist : Not applicable

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## CREW RESOURCE MANAGEMENT TRAINING

### 1. PURPOSE

This ASN presents guidelines for developing, implementing, reinforcing, and assessing Crew Resource Management (CRM) training programs for flight crew members and other personnel essential to flight safety. These programs are designed to become an integral part of training and operations. Guidelines are primarily for those operators subject to States regulations. All air operators are required by regulations to provide CRM training for pilots and cabin crews. AOC holders and other individuals operating apart from commercial air transport operations should find these guidelines useful in addressing human performance issues. This ASN presents one way, but not necessarily the only way, that CRM training may be addressed. CRM training focuses on situation awareness, communication skills, teamwork, task allocation, and decision making within a comprehensive framework of standard operating procedures (SOP's).

### 2. DEFINITIONS

The human factors safety challenge and the CRM training response may be defined as follows.

- a. **Human Factors.** Human factors is a multidisciplinary field devoted to optimizing human performance and reducing human error. It incorporates the methods and principles of the behavioral and social sciences, engineering, and physiology. Human factors is the applied science that studies people working together in concert with machines. Human factors embraces variables that influence individual performance and variables that influence team or crew performance. It is recognized that inadequate system design or inadequate operator training can contribute to individual human error that leads to system performance degradation. Further, it is recognized that inadequate design and management of crew tasks can contribute to group errors that lead to system performance degradation.
- b. **Crew Resource Management (CRM) Training.** The application of team management concepts in the flight deck environment was initially known as Cockpit Resource Management. As CRM training programs evolved to include cabin crews, maintenance personnel and others, the phrase Crew Resource Management has been adopted.

- (1) As used in this ASN, CRM refers to the effective use of all available resources: human resources, hardware, and information. Other groups



routinely working with the cockpit crew, who are involved in decisions required to operate a flight safely, are also essential participants in an effective CRM process. These groups include but are not limited to:

- a) Aircraft dispatchers.
- (b) Cabin crews.
- (c) Maintenance personnel.
- (d) Air traffic controllers.

This ASN, however, does not address issues of CRM training for aircraft dispatchers, maintenance personnel and air traffic controllers.

- (2) CRM training is one way of addressing the challenge of optimizing the human/machine interface and accompanying interpersonal activities. These activities include team building and maintenance, information transfer, problem solving, decision making, maintaining situation awareness, and dealing with automated systems. CRM training is comprised of three components: initial indoctrination/awareness, recurrent practice and feedback, and continual reinforcement.

### **3. RELATED CIVIL AVIATION REGULATIONS**

ASN 047, ASN 050

### **4. RELATED READING MATERIAL**

- a. ASN 067, Standard Operating Procedures for Flightdeck Crew members.
- b. ASN 069, Communication and Coordination between Flight Crew members and Cabin crews.
- c. ASN 070, Line Operational Simulations: Line- Oriented Flight Training, Special Purpose Operational Training.
- d. Controlled Flight into Terrain, ALAR Education and Training Aid, Flight Safety Foundation and International Civil Aviation Organization (ICAO).
- e. ICAO Human Factors Training Manual, Document 9683, Part 2 Chapter 2, Crew Resource Management (CRM) Training. This document may be obtained from ICAO Document Sales Unit, Montreal, Quebec, Canada, 514-954-8022.



## 5. BACKGROUND

Investigations into the causes of air operator accidents have shown that human error is a contributing factor in 60 to 80 percent of all air operator incidents and accidents. Long term research has demonstrated that these events share common characteristics. Many problems encountered by flight crews have very little to do with the technical aspects of operating in a multi-person cockpit. Instead, problems are associated with poor group decision making, ineffective communication, inadequate leadership, and poor task or resource management. Pilot training programs historically focused almost exclusively on the technical aspects of flying and on an individual pilot's performance; they did not effectively address crew management issues that are also fundamental to safe flight.

- a. SOP's have been identified as a persistent element in these problems, which sometimes have led to accidents. SOP's define the shared mental model upon which good crew performance depends. Too often well-established SOP's have been unconsciously ignored by pilots and others; in other cases they have been consciously ignored. In still other cases SOP's have been inadequately developed by the operator for use by its pilots or cabin crews, or a significant SOP has been omitted altogether from an operator's training program. Initiatives to improve SOP's and adherence to those SOP's are among the top-priority safety initiatives now being implemented by ICAO.
- b. Industry and government have come to consensus that training programs should place emphasis on the factors that influence crew coordination and the management of crew resources. The need for additional training in communication between cockpit crewmembers and cabin crews has been specifically identified.
- c. Coordinated efforts by representatives from the aviation community have produced valuable recommendations for CRM training programs. While compliance with this ASN is not mandatory, the recommendations which it contains provide a useful reference for understanding and applying the critical elements of CRM training.
- d. Continuing ICAO and CAASL measurements of the impact of CRM training show that after initial indoctrination, significant improvements in attitudes occur regarding crew coordination and flight deck management. In programs that also provide recurrent training and practice in CRM concepts, significant changes have been recorded in flight crew performance during Line Oriented Flight Training (LOFT) and during actual flight. CRM-trained crews operate more effectively as teams and cope more effectively with non-routine situations.
- e. Research also shows that when there is no effective reinforcement of CRM concepts by way of recurrent training, improvements in attitudes observed after initial indoctrination tend to disappear, and individuals' attitudes tend to revert to former levels.



## **6. THE MISSION OF CRM TRAINING**

CRM training has been conceived to prevent aviation accidents by improving crew performance through better crew coordination.

## **7. BASIC CONCEPTS OF CRM**

CRM training is based on an awareness that a high degree of technical proficiency is essential for safe and efficient operations. Demonstrated mastery of CRM concepts cannot overcome a lack of proficiency. Similarly, high technical proficiency cannot guarantee safe operations in the absence of effective crew coordination.

- a.** Experience has shown that lasting behavior changes in any environment cannot be achieved in a short time, even if the training is very well designed. Trainees need awareness, practice and feedback, and continuing reinforcement: in brief, time to learn attitudes and behaviors that will endure. In order to be effective, CRM concepts must be permanently integrated into all aspects of training and operations.
- b.** While there are various useful methods in use in CRM training today, certain essentials are universal:
  - (1) CRM training is most effective within a training program centered on clear, comprehensive standard operating procedures.
  - (2) CRM training should focus on the functioning of crew members as teams, not as a collection of technically competent individuals.
  - (3) CRM training should instruct crew members how to behave in ways that foster crew effectiveness.
  - (4) CRM training should provide opportunities for crew members to practice the skills necessary to be effective team leaders and team members.
  - (5) CRM training exercises should include all crew members functioning in the same roles (e.g., captain, first officer, and/or flight engineer, cabin crews) that they normally perform in flight.
  - (6) CRM training should include effective team behaviors during normal, routine operations.
- b.** Good training for routine operations can have a strong positive effect on how well individuals function during times of high workload or high stress. During emergency situations, it is highly unlikely (and probably undesirable) that any



crew member would take the time to reflect upon his or her CRM training in order to choose the appropriate behavior. But practice of desirable behaviors during times of low stress increases the likelihood that emergencies will be handled effectively.

**d.** Effective CRM has the following characteristics:

- (1) CRM is a comprehensive system of applying human factors concepts to improve crew performance.
- (2) CRM embraces all operational personnel.
- (3) CRM can be blended into all forms of aircrew training.
- (4) CRM concentrates on crew members' attitudes and behaviors and their impact on safety.
- (5) CRM uses the crew as the unit of training.
- (6) CRM is training that requires the active participation of all crew members. It provides an opportunity for individuals and crews to examine their own behavior, and to make decisions on how to improve cockpit teamwork.
  - (a) LOFT sessions provide an extremely effective means of practicing CRM skills and receiving reinforcement.
  - (b) Audiovisual (taped) feedback during debriefing of LOFT and other training is an excellent way for flight crew members to assess their skills as individuals and as team members. Bulk erasure of taped sessions is suggested to encourage candor among participants while assuring their privacy.
  - (c) In cases where simulators are not available, crew members can participate in group problem-solving activities designed to exercise CRM skills. Through taped feedback during debriefing, they can then assess the positive and negative behaviors of all crew members.
  - (d) Crew members may also participate in role-playing exercises. Such exercises permit practice in developing strategies for dealing with events or event sets, and enable analysis of behaviors shown while dealing with them. Again, taping the role-playing exercises is useful for assessment and feedback during debriefing. Crew members' abilities can be clearly observed in such areas as adherence to SOP's, decision making, teamwork, and leadership.



- (e) Attitude and/or personality measures can also be used to provide feedback to participants, allowing them to assess their own strengths and weaknesses.
- (7) Success of a CRM training program depends upon check pilot, instructors, and supervisors who are highly qualified in the operator's SOP's and specially trained in CRM.

## 8. FUNDAMENTALS OF CRM TRAINING IMPLEMENTATION

Research programs and airline operational experience suggest that the greatest benefits are achieved by adhering to the following practices:

- a. Assess the Status of the Organization before Implementation.** It is important to know how widely CRM concepts are understood and practiced before designing specific training. Surveys of crew members, management, training, and standards personnel, observation of crews in line observations, and analysis of incident/accident reports can provide essential data for program designers.
- b. Get Commitment from All Managers, Starting with Senior Managers.** CRM programs are received much more positively by operations personnel when senior managers, flight operations managers, and flight standards officers conspicuously support CRM concepts and provide the necessary resources for training. Flight operations manuals and training manuals should embrace CRM concepts by providing crews with necessary policy and procedures guidance centered on clear, comprehensive SOP's. A central CRM concept is communication. It is essential that every level of management support a safety culture in which communication is promoted by encouraging appropriate questioning. It should be made perfectly clear in pilots' manuals, and in every phase of pilot training, that appropriate questioning is encouraged and that there will be no negative repercussions for appropriate questioning of one pilot's decision or action by another pilot.
- c. Customize the Training to Reflect the Nature and Needs of the Organization.** Using knowledge of the state of the organization, priorities should be established for topics to be covered including special issues, such as the effects of mergers or the introduction of advanced technology aircraft. Other special issues might include topics specific to the particular type of operation, such as the specific characteristics that exist in commuter operations, in long-haul international operations or night operations. This approach increases the relevance of training for crew members.
- d. Define the Scope of the Program and an Implementation Plan.** Institute special CRM training for key personnel including check pilot, supervisors, and instructors. It is highly beneficial to provide training for these groups before beginning training for crew members. CRM training may be expanded to combine



pilots and cabin crews. It is also helpful to develop a long term strategy for program implementation.

- e. Communicate the Nature and Scope of the Program Before Startup.** Training departments should provide crews, managers, training, and standards personnel with a preview of what the training will involve together with plans for initial and continuing training. These steps can prevent misunderstandings about the focus of the training or any aspect of its implementation.
- f. Institute Quality Control Procedures.** It has proved helpful to monitor the delivery of training and to determine areas where training can be strengthened. Monitoring can be initiated by providing special training to program instructors (often called facilitators) in using surveys to collect systematic feedback from participants in the training.

## 9. COMPONENTS OF CRM TRAINING

The topics outlined below have been identified as critical components of effective CRM training. They do not represent a fixed sequence of phases, each with a beginning and an end. Ideally, each component is continually renewed at every stage of training.

### a. Initial Indoctrination/Awareness.

- (1) Indoctrination/awareness typically consists of classroom presentations and focuses on communications and decision making, interpersonal relations, crew coordination, leadership, and adherence to SOP's, among others. In this component of CRM training, the concepts are developed, defined, and related to the safety of line operations. This component also provides a common conceptual framework and a common vocabulary for identifying crew coordination problems.
- (2) Indoctrination/awareness can be accomplished by a combination of training methods. Lectures, audiovisual presentations, discussion groups, role-playing exercises, computer-based instruction, and videotaped examples of good and poor team behavior are commonly used methods.
- (3) Initiating indoctrination/awareness training requires the development of a curriculum that addresses CRM skills that have been demonstrated to influence crew performance. To be most effective, the curriculum should define the concepts involved and relate them directly to operational issues that crews encounter. Many organizations have found it useful to survey crew members. Survey data have helped identify embedded attitudes regarding crew coordination and cockpit management. The data have also helped to identify operational problems and to prioritize training issues.



- (4) Effective indoctrination/awareness training increases understanding of CRM concepts. That understanding, in turn, often influences individual attitudes favorably regarding human factors issues. Often the training also suggests more effective communication practices.
- (5) It is important to recognize that classroom instruction alone does not fundamentally alter crew member attitudes over the long term. The indoctrination/awareness training should be regarded as a necessary first step towards effective crew performance training.

**b. Recurrent Practice and Feedback.**

- (1) CRM training must be included as a regular part of the recurrent training requirement. Recurrent CRM training should include classroom or briefing room refresher training to review and amplify CRM components, followed by practice and feedback exercises such as LOFT, preferably with taped feedback; or a suitable substitute such as role-playing in a flight training device and taped feedback. It is recommended that these recurrent CRM exercises take place with a full crew, each member operating in his or her normal crew position. A complete crew should always be scheduled, and every attempt should be made to maintain crew integrity. Recurrent training LOFT which includes CRM should be conducted with current line crews, and preferably not with instructors or check pilot as stand-ins.
- (2) Recurrent training with performance feedback allows participants to practice newly improved CRM skills and to receive feedback on their effectiveness. Feedback has its greatest impact when it comes from self-critique and from peers, together with guidance from a facilitator with special training in assessment and debriefing techniques.
- (3) The most effective feedback refers to the coordination concepts identified in Indoctrination/ Awareness training or in recurrent training. Effective feedback relates to specific behaviors. Practice and feedback are best accomplished through the use of simulators or training devices and videotape. Taped feedback, with the guidance of a facilitator, is particularly effective because it allows participants to view themselves from a third person perspective. This view is especially compelling in that strengths and weaknesses are captured on tape and vividly displayed. Stop action, replay, and slow motion are some of the playback features available during debriefing. Behavioral patterns and individual work styles are easily seen, and appropriate adjustments are often self-evident.

**c. Continuing Reinforcement.**

- (1) No matter how effective each curriculum segment is (the classroom, the role-playing exercises, the LOFT, or the feedback), one-time exposures are simply



not sufficient. The attitudes and norms that contribute to ineffective crew coordination may have developed over a crew member's lifetime. It is unrealistic to expect a short training program to reverse years of habits. To be maximally effective, CRM should be embedded in every stage of training, and CRM concepts should be stressed in line operations as well.

- (2) CRM should become an inseparable part of the organization's culture.
- (3) There is a common tendency to think of CRM as training only for captains. This notion misses the essence of the CRM training mission: the prevention of crew-related accidents. CRM training works best in the context of the entire crew. Training exercises are most effective if all crew members work together and learn together. In the past, much of the flight crew training has been segmented by crew position. This segmentation has been effective for meeting certain training needs such as seat dependent technical training and upgrade training, but segmentation is not appropriate for most CRM training.
- (4) Reinforcement can be accomplished in many areas. Training such as joint cabin and cockpit crew training in security can deal with many human factors issues.

## 10. SUGGESTED CURRICULUM TOPICS

The topics outlined below have been included in many current CRM programs. Specific content of training and organization of topics should reflect an organization's unique culture and specific needs. Appendix 1 offers a set of behavioral markers fitting subtopics within each topic cluster. Sometimes overlapping, these markers may be helpful in curriculum development and in LOFT design. Appendix 2 gives additional CRM training topics.

- a. **Communications Processes and Decision Behavior.** This topic includes internal and external influences on interpersonal communications. External factors include communication barriers such as rank, age, gender, and organizational culture, including the identification of inadequate SOP's. Internal factors include speaking skills, listening skills and decision making skills, conflict resolution techniques, and the use of appropriate assertiveness and advocacy. The importance of clear and unambiguous communication must be stressed in all training activities involving pilots and cabin crews. The greater one's concern in flight-related matters, the greater is the need for clear communication. More specific subtopics include the following:

- (1) Briefings. Training in addressing both operational and interpersonal issues, and training in establishing and maintaining open communications. Briefings should reaffirm established SOP's.



- (2) Inquiry/Advocacy/Assertion. Training in the potential benefits of crew members advocating the course of action that they feel is best, even though it may involve conflict with others.
- (3) Crew Self-Critique (Decisions and Actions). Illustrating the value of review, feedback, and critique focusing on the process and the people involved. One of the best techniques for reinforcing effective human factors practices is careful debriefing of activities, highlighting the processes that were followed. Additionally, it is essential that each crew member be able to recognize good and bad communications, and effective and ineffective team behavior.
- (4) Conflict Resolution. Demonstrating effective techniques of resolving disagreements among crew members in interpreting information or in proposing courses of action. Demonstrating effective techniques for maintaining open communication while dealing with conflict.
- (5) Communications and Decision making. Demonstrating effective techniques of seeking and evaluating information. Showing the influence of biases and other cognitive factors on decision quality. There are benefits in providing crews with operational models of this group decision process. Crews may refer to these models to make good choices in situations when information is incomplete or contradictory.

**b. Team Building and Maintenance.** This topic includes interpersonal relationships and practices. Effective leadership/follower-ship and interpersonal relationships are key concepts to be stressed. Curricula can also include recognizing and dealing with diverse personalities and operating styles. Subtopics include:

- (1) Leadership/Follower-ship/Concern for Task. Showing the benefits of the practice of effective leadership through coordinating activities and maintaining proper balance between respecting authority and practicing assertiveness. Staying centered on the goals of safe and efficient operations.
- (2) Interpersonal Relationships/Group Climate. Demonstrating the usefulness of showing sensitivity to other crew members' personalities and styles. Emphasizing the value of maintaining a friendly, relaxed, and supportive yet task oriented tone in the cockpit and aircraft cabin. The importance of recognizing symptoms of fatigue and stress, and taking appropriate action.
- (3) Workload Management and Situation Awareness. Stressing the importance of maintaining awareness of the operational environment and anticipating contingencies. Instruction may address practices (for example, vigilance, planning and time management, prioritizing tasks, and avoiding distractions) that result in higher levels of situation awareness. The following operational practices may be included:



- (a) Preparation/Planning/Vigilance. Issues include methods to improve monitoring and accomplishing required tasks, asking for and responding to new information, and preparing in advance for required activities.
  - (b) Workload Distribution/Distracted Avoidance. Issues involve proper allocation of tasks to individuals, avoidance of work overloads in self and in others, prioritization of tasks during periods of high workload, and preventing nonessential factors from distracting attention from adherence to SOP's, particularly those relating to critical tasks.
- (4) Individual Factors/Stress Reduction. Training in this area may include describing and demonstrating individual characteristics that can influence crew effectiveness. Research has shown that many crew members are unfamiliar with the negative effects of stress and fatigue on individual cognitive functions and team performance. Training may include a review of scientific evidence on fatigue and stress and their effects on performance. The content may include specific effects of fatigue and stress in potential emergency situations. The effects of personal and interpersonal problems and the increased importance of effective interpersonal communications under stressful conditions may also be addressed. Training may also include familiarization with various countermeasures for coping with stressors. Additional curriculum topics may include examination of personality and motivation characteristics, self-assessment of personal style, and identifying cognitive factors that influence perception and decision making.

## 11. SPECIALIZED TRAINING IN CRM CONCEPTS

As CRM programs have matured, some organizations have found it beneficial to develop and implement additional courses dealing with issues specific to their operations.

- a. After all current crew members have completed the Initial Indoctrination/Awareness component of CRM training, arrangements are needed to provide newly hired crew members with the same material. A number of organizations have modified their CRM initial courses for inclusion as part of the initial training and qualification for new hire crew members.
- b. Training for upgrading to captain provides an opportunity for specialized training that deals with the human factors aspects of command. Such training can be incorporated in the upgrade process.
- c. Training involving communications and the use of automation can be developed for crews operating aircraft with advanced technology cockpits, or for crews transitioning into them.



## 12. ASSESSMENT OF CRM TRAINING PROGRAMS

It is vital that each program be assessed to determine if it is achieving its goals. Each organization should have a systematic assessment program. Assessment should track the effects of the training program so that critical topics for recurrent training may be identified and continuous improvements may be made in all other respects. Assessment of the training program should include observation of the training process by program administrators and self-reports by participants using standard survey methods.

- a. The emphasis in this assessment process should be on crew performance. The essential areas of CRM-related assessment include communications processes, decision making, team building and maintenance, workload management, and situation awareness, always in balance with traditional technical proficiency. An additional function of such assessment is to determine the impact of CRM training and organization-wide trends in crew performance.
- b. For optimal assessment, data on crew members' attitudes and behavior should be collected before CRM indoctrination and again at intervals after the last component of CRM training, to determine both initial and enduring effects of the program. The goal should be to obtain an accurate picture of the organization's significant corporate personality traits before formal adoption of CRM training, and to continue to monitor those traits after implementation.
- c. Reinforcement and feedback are essential to effective CRM training programs. Crew members must receive continual reinforcement to sustain CRM concepts. Effective reinforcement depends upon usable feedback to crew members on their CRM practices and on their technical performance.
- d. Usable feedback requires consistent assessment. Crew members and those involved in training and evaluation should be able to recognize effective and ineffective CRM behaviors. CRM concepts should be critiqued during briefing/debriefing phases of all training and checking events.
- e. To summarize, the assessment program should:
  - (1) Measure and track the organization's corporate culture as it is reflected in attitudes and norms.
  - (2) Identify topics needing emphasis within the CRM program.
  - (3) Ensure that all check pilot, supervisors, and instructors are well prepared and standardized.



### 13. THE CRITICAL ROLE OF CHECK PILOT AND INSTRUCTORS

- a. The success of any CRM training program ultimately depends on the skills of the people who administer the training and measure its effects. CRM instructors, check pilots, supervisors, and course designers must be skilled in all areas related to the practice and assessment of CRM. These skills comprise an additional level to those associated with traditional flight instruction and checking.
- b. Gaining proficiency and confidence in CRM instruction, observation, and measurement requires special training for instructors, supervisors, and check pilots in many CRM training processes. Among those processes are role-playing simulations, systematic crew-centered observation, administering LOFT programs, and providing usable feedback to crews.
- c. Instructors, supervisors, and check pilots also require special training in order to calibrate and standardize their own skills.
- d. Instructors, supervisors, and check pilot should use every available opportunity to emphasize the importance of crew coordination skills. The best results occur when the crews examine their own behavior with the assistance of a trained instructor who can point out both positive and negative CRM performance. Whenever highly effective examples of crew coordination are observed, it is vital that these positive behaviors be discussed and reinforced. Debriefing and critiquing skills are important tools for instructors, supervisors, and check pilots. (Behavioral markers of effective LOFT debriefings are shown in Appendix 3.)
- e. Feedback from instructors, supervisors, and check pilot is most effective when it refers to the concepts that are covered in the initial indoctrination/awareness training. The best feedback refers to instances of specific behavior, rather than behavior in general.

### 14. EVOLVING CONCEPTS OF CRM

- a. **Joint CRM Training.** More and more carriers are discovering the value of revising CRM training to reach various employee groups, and sometimes to combine those groups during training. Their objective is to improve the effectiveness and safety of the entire operations team as a working system.
  - (1) Cabin crew are probably the most obvious of the groups other than pilots who may profit from CRM training. Joint CRM training for pilots and cabin crews has been practiced for years. One fruitful activity in joint training has been that each group learns of the other group's training in shared issues. The joint training has revealed inconsistencies between training for one group and training on the same topic for another group. Examples of shared issues include delays, the use of personal electronic



devices in the cabin, and evacuation and ditching. When inconsistencies are identified between the contents of pilots' manuals and cabin crews' manuals, for instance, or between widely-held ideas or attitudes in those two populations, those inconsistencies are brought out into the open and often resolved. Other specific topics for joint training include:

- (a) Pre-flight briefings.
  - (b) Post incident/accident procedures.
  - (c) Sterile cockpit procedures.
  - (d) Notification procedures pre-takeoff and pre-landing.
  - (e) Procedures for turbulence and other weather.
  - (f) Security procedures.
  - (g) Passenger-handling procedures.
  - (h) In-flight medical problems.
  - (i) Smoke/fire procedures.
  - (j) Passenger-related regulations such as those relating to smoking, exit row seating, and carry-on baggage.
  - (k) Authority of the pilot in command.
- (2) CRM principles are made more relevant for pilots and cabin crews by treating those principles in a familiar job-related context. Furthermore, each group should benefit from concurrent training in CRM that is complemented by usable knowledge of the other's job.
- (3) Communication and coordination problems between cockpit crew members and cabin crew continue to challenge air operators and the CAASL. Other measures with positive CRM training value for flight crews are being considered, such as:
- (a) Requiring cockpit observation flights for all new-hire cabin crews.
  - (b) Providing experienced flight crew members to teach new-hire cabin crew orientation classes.



- b. Error Management.** It is now understood that pilot errors cannot be entirely eliminated. It is important, therefore, that pilots develop appropriate error management skills and procedures. It is certainly desirable to prevent as many errors as possible, but since they cannot all be prevented, detection and recovery from errors should be addressed in training. Evaluation of pilots should also consider error management (error prevention, detection, and recovery). Evaluation should recognize that since not all errors can be prevented, it is important that errors be managed properly.
- c. Advanced Crew Resource Management.** CRM performance requirements or procedures need to be integrated into the SOP's of air operators. Specific callouts, checks, and guidance need to be included in normal checklists, quick-reference handbooks, abnormal/emergency procedures, manuals, and job aids. This integration captures CRM principles into explicit procedures used by flight crews.
- d. Culture Issues.** While individuals and even teams of individuals may perform well under many conditions, they are subject to the influence of at least three cultures - the professional cultures of the individuals themselves, the cultures of their organizations, and the national cultures surrounding the individuals and their organizations. If not recognized and addressed, factors related to culture may degrade crew performance. Hence, effective CRM training must address culture issues as appropriate in each training population.

## 15. SUMMARY

Effective Crew Resource Management begins in initial training; it is strengthened by recurrent practice and feedback; and it is sustained by continuing reinforcement that is part of the corporate culture and embedded in every stage of training.



## APPENDIX 1

### CREW PERFORMANCE MARKER CLUSTERS

Italicized Markers apply to Advanced Technology Flight Decks. These behavioral markers are provided to assist organizations in program and curriculum development and to serve as guidelines for feedback. They are **not** presented as a **checklist** for evaluating individual crew members.

#### 1. COMMUNICATIONS PROCESSES AND DECISION BEHAVIOR CLUSTER

- a. Briefings.** An effective briefing is interesting and thorough. It addresses coordination, planning, and problems. Although briefings are primarily a captain's responsibility, other crew members may add significantly to planning and should be encouraged to do so.

Behavioral Markers.

- (1) The briefing establishes an environment for open/interactive communications (for example, the captain calls for questions or comments, answers questions directly, listens with patience, does not interrupt or "talk over," does not rush through the briefing, and makes eye contact as appropriate).
- (2) The briefing is interactive and emphasizes the importance of questions, critique, and the offering of information.
- (3) The briefing establishes a "team concept" (for example, the captain uses "we" language, encourages all to participate and to help with the flight).
- (4) The briefing covers pertinent safety and operational issues.
- (5) The briefing identifies potential problems such as weather, delays, and abnormal system operations.
- (6) The briefing provides guidelines for crew actions centered on SOP's; division of labor and crew workload is addressed.
- (7) The briefing includes the cabin crew as part of the team.
- (8) The briefing sets expectations for handling deviations from standard operating procedures.
- (9) *The briefing establishes guidelines for the operation of automated systems (for example, when systems will be disabled; which programming actions must be verbalized and acknowledged).*



(10) *The briefing specifies pilot flying and pilot not flying duties and responsibilities with regard to automated systems.*

**b. Inquiry/Advocacy/Assertion.** These behaviors relate to crew members' promoting the course of action that they feel is best, even when it involves conflict with others.

Behavioral Markers.

- (1) Crew members speak up and state their information with appropriate persistence until there is some clear resolution.
- (2) "Challenge and response" environment is developed.
- (3) Questions are encouraged and are answered openly and non defensively.
- (4) Crew members are encouraged to question the actions and decisions of others.
- (5) Crew members seek help from others when necessary.
- (6) *Crew members question status and programming of automated systems to confirm situation awareness.*

**c. Crew Self-Critique Regarding Decisions and Actions.** These behaviors relate to the effectiveness of a group and/or an individual crew member in critique and debriefing. Areas covered should include the product, the process, and the people involved. Critique may occur during an activity, and/or after completing it.

Behavioral Markers.

- (1) Critique occurs at appropriate times, which may be times of low or high workload.
- (2) Critique deals with positive as well as negative aspects of crew performance.
- (3) Critique involves the whole crew interactively.
- (4) Critique makes a positive learning experience. Feedback is specific, objective, usable, and constructively given.
- (5) Critique is accepted objectively and non defensively.

**d. Communications/Decisions.** These behaviors relate to free and open communication. They reflect the extent to which crew members provide necessary information at the appropriate time (for example, initiating checklists



and alerting others to developing problems). Active participation in the decision process is encouraged. Decisions are clearly communicated and acknowledged. Questioning of actions and decisions is considered routine.

Behavioral Markers.

- (1) Operational decisions are clearly stated to other crew members.
- (2) Crew members acknowledge their understanding of decisions.
- (3) “Bottom lines” for safety are established and communicated.
- (4) The “big picture” and the game plan are shared within the team, including cabin crews and others as appropriate.
- (5) Crew members are encouraged to state their own ideas, opinions, and recommendations.
- (6) Efforts are made to provide an atmosphere that invites open and free communications.
- (7) *Initial entries and changed entries to automated systems are verbalized and acknowledged.*

## 2. TEAM BUILDING AND MAINTENANCE CLUSTER

- a. Leadership Follower-ship/Concern for Tasks.** These behaviors relate to appropriate leadership and follower-ship. They reflect the extent to which the crew is concerned with the effective accomplishment of tasks.

Behavioral Markers.

- (1) All available resources are used to accomplish the job at hand.
- (2) Flight deck activities are coordinated to establish an acceptable balance between respect for authority and the appropriate practice of assertiveness.
- (3) Actions are decisive when the situation requires.
- (4) A desire to achieve the most effective operation possible is clearly demonstrated.
- (5) The need to adhere to standard operating practices is recognized.



- (6) Group climate appropriate to the operational situation is continually monitored and adjusted (for example, social conversation may occur during low workload, but not high).
- (7) Effects of stress and fatigue on performance are recognized.
- (8) Time available for the task is well managed.
- (9) *Demands on resources posed by operation of automated systems are recognized and managed.*
- (10) *When programming demands could reduce situation awareness or create work overloads, levels of automation are reduced appropriately.*

**b. Interpersonal Relationships/Group Climate.** These behaviors relate to the quality of interpersonal relationships and the pervasive climate of the flight deck.

Behavioral Markers.

- (1) Crew members remain calm under stressful conditions.
- (2) Crew members show sensitivity and ability to adapt to the personalities of others.
- (3) Crew members recognize symptoms of psychological stress and fatigue in self and in others (for example, recognizes when he/she is experiencing “tunnel vision” and seeks help from the team; or notes when a crew member is not communicating and draws him/her back into the team).
- (4) **“Tone” in the cockpit is friendly, relaxed, and supportive.**
- (5) During times of low communication, crew members check in with others to see how they are doing.

### **3. WORKLOAD MANAGEMENT AND SITUATION AWARENESS CLUSTER**

**a. Preparation/Planning/Vigilance.** These behaviors relate to crews’ anticipating contingencies and the various actions that may be required. Excellent crews are always “ahead of the curve” and generally seem relaxed. They devote appropriate attention to required tasks and respond without undue delay to new developments. (They may engage in casual social conversation during periods of low workload and not necessarily diminish their vigilance.)



Behavioral Markers.

- (1) Demonstrating and expressing situation awareness; for example, the “model” of what is happening is shared within the crew.
- (2) Active monitoring of all instruments and communications and sharing relevant information with the rest of the crew.
- (3) Monitoring weather and traffic and sharing relevant information with the rest of the crew.
- (4) Avoiding “tunnel vision” caused by stress; for example, stating or asking for the “big picture.”
- (5) Being aware of factors such as stress that can degrade vigilance and watching for performance degradation in other crew members.
- (6) Staying “ahead of the curve” in preparing for planned situations or contingencies, so that situation awareness and adherence to SOP's are assured.
- (7) Ensuring that cockpit and cabin crew members are aware of plans.
- (8) Including all appropriate crew members in the planning process.
- (9) *Allowing enough time before maneuvers for programming of the flight management computer.*
- (10) *Ensuring that all crew members are aware of initial entries and changed entries in the flight management system.*

**b. Workload Distributed/Distractions Avoided.** These behaviors relate to time and workload management. They reflect how well the crew manages to prioritize tasks, share the workload, and avoid being distracted from essential activities.

Behavioral Markers.

- (1) Crew members speak up when they recognize work overloads in themselves or in others.
- (2) Tasks are distributed in ways that maximize efficiency.
- (3) Workload distribution is clearly communicated and acknowledged.
- (4) Non operational factors such as social interaction are not allowed to interfere with duties and should **not** take place between **10 000 ft** above ground.



- (5) Task priorities are clearly communicated.
- (6) Secondary operational tasks (for example, dealing with passenger needs and communications with the company) are prioritized so as to allow sufficient resources for primary flight duties.
- (7) *Potential distractions posed by automated systems are anticipated, and appropriate preventive action is taken, including reducing or disengaging automated features as appropriate.*



## APPENDIX 2

### APPROPRIATE CRM TRAINING TOPICS

#### 1. BACKGROUND INFORMATION

- a. Findings coming from accident investigations have consistently pointed to the fact that human errors contribute to most aviation accidents.
- b. Research findings suggest that CRM training can result in significant improvements in flight crew performance. CRM training is seen as an effective approach to reducing human errors and increasing aviation safety.
- c. Aviation safety information is readily available through the World Wide Web. Many websites contain valuable source materials and reference materials that may be helpful in developing CRM training. Websites commonly link to other websites containing related material. Some of the aviation related websites are included in the following:

- (1) International Civil Aviation Organization (ICAO)  
<http://www.icao.org>
- (2) National Aeronautics and Space Administration (NASA),  
<http://www.nasa.gov>
- (3) National Transportation Safety Board (NTSB),  
<http://www.nts.gov>
- (4) Federal Aviation Administration (FAA),  
<http://www.faa.gov>.
- (5) Civil Aviation Safety Authority of Australia (CASA)  
<http://www.casa.gov.au>
- (6) Transport Canada  
<http://www.tc.gc.ca/en.menu.htm>

#### 2. TRAINING TOPICS, PRINCIPLES, AND TECHNIQUES

It is recommended that CRM training include the curriculum topics described in paragraph 10 of this ASN and the following topics, principles, and techniques:

- a. Theory and practice in using communication, decision making, and team building techniques and skills.



- b.** Theory and practice in using proper supervision techniques, i.e., captains working with first officers.
- c.** Theory and practice in selecting and using interventions needed to correct flying errors made by either pilot, especially during critical phases of flight. These interventions may include, but not be limited to, communication, assertion, decision-making, risk assessment, and situation awareness skills.
- d.** During Line Operational Simulation training, information, and practice of non flying pilot functions, i.e., monitoring and challenging pilot functions, and monitoring and challenging errors made by other crew members for flight engineers, first officers, and captains. Training will alert flight crews of hazards caused by tactical decision errors which are actually errors of omission. Practice in monitoring, challenging, and mitigating errors, especially during taxi operations, should be included. These skills are important to minimize procedural errors that may occur as a result of inadequately performed checklists.
- e.** Training for check pilot in methods which can be used to enhance the monitoring and challenging functions of both captains and first officers. The check pilot training should include the message that appropriate questioning among pilots is a desirable CRM behavior and part of the corporate safety culture; further, that such questioning is encouraged, and that there will be no negative repercussions for appropriate questioning of one pilot's decision or action by another pilot.
- f.** Training for new first officers in performing the non flying pilot role to establish a positive attitude toward monitoring and challenging errors made by the flying pilot. Training should stress that appropriate questioning is encouraged as a desirable CRM behavior, and that there will be no negative repercussions for appropriate questioning of one pilot's decision or action by another pilot.
- g.** Training for captains in giving and receiving challenges of errors. Training should stress that appropriate questioning is encouraged as a desirable CRM behavior, and that there will be no negative repercussions for appropriate questioning of one pilot's decision or action by another pilot.
- h.** Factual information about the detrimental effects of fatigue and strategies for avoiding and countering its effects.
- i.** Training for crew members which identifies conditions in which additional vigilance is required, such as holding in icing or near convective activity. Training should emphasize the need for maximum situation awareness and the appropriateness of sterile cockpit discipline, regardless of altitude.
- j.** Training that identifies appropriate levels of automation to promote situation awareness and effective management of workload.



- k.** Use of autopilot in in-flight icing. All flight crew members should clearly understand their aircraft's susceptibility to in-flight icing and should monitor in-flight ice accretion by all means available. One effective means of monitoring ice accretion might be to disconnect the autopilot at intervals, if doing so is consistent with the approved procedures contained in the airplane flight manual.
- l.** Training for crew members in appropriate responses when passengers intimidate, abuse, or interfere with crew member performance of safety duties. Training should address crew coordination and actions, which might defuse the situation.
- m.** Line-oriented flight training (LOFT) or special purpose operational training (SPOT) for cockpit crewmembers, which addresses appropriate responses to the effects of pitot-static system anomalies, such as a blocked pitot tube. Emphasis should be on situation awareness, inquiry/advocacy/assertion, and crew coordination, when flight instruments act abnormally.
- n.** LOFT or SPOT (Special Purpose Operational Training) for cockpit crew members that contain a controlled flight into terrain scenario. Emphasis should be on prevention through effective communication and decision behavior. The importance of immediate, decisive, and correct response to a ground proximity warning should also be addressed.
- o.** Training for pilots in recognizing cues that indicate lack or loss of situation awareness in themselves and in others, and training in countermeasures to restore that awareness. Training should emphasize the importance of recognizing each pilot's relative experience level, experience in specific duty positions, preparation level, planning level, normal communication style and level, overload state, and fatigue state. Pilots should assess these characteristics actively and continuously, in their fellow crew members and in themselves. Training should also emphasize the importance that improper procedures, adverse weather, and abnormal or malfunctioning equipment may have in reducing situation awareness.
- p.** Training in communication of time management information among flight crew and cabin crew members during an emergency. Training should stress that the senior or lead cabin crew can effectively brief other cabin crews and passengers and prepare the cabin only if the time available in the emergency is clearly communicated by the flight crew. Other information elements that are vital in effective time management are the nature of the emergency and any special instructions relating to the planned course of action.

### **3. APPROPRIATE TRAINING INTERVENTIONS**

- a.** The most effective CRM training involves active participation of all crew members. LOFT sessions give each crew member opportunities to practice CRM skills through interactions with other crew members. If the training is videotaped,



feedback based on crew members' actual behavior, during the LOFT, provides valuable documentation for the LOFT debrief.

**b.** CRM training can be presented using a combination of the following training interventions:

- (1) Operator in-house courses.
- (2) Training center courses.
- (3) Special Purpose Operational Training.
- (4) LOFT sessions.
- (5) Computer Based Training courses.



## APPENDIX 3

### LOFT DEBRIEFING PERFORMANCE INDICATORS

The effective Line-Oriented Flight Training (LOFT) facilitator leads the flight crew through a self-critique of their own behavior and of their crew performance during the simulation. The debriefing and crew analysis include both technical and CRM discussion topics. Positive points of crew performance are discussed, as well as those needing improvement. At the conclusion of the session, key learning points are summarized covering all participants, including the instructor. A strong sense of training accomplishment and learning is taken away from the session.

1. The following performance markers may be used to evaluate the LOFT facilitator's performance in the debrief/critique phase of LOFT.
  - a. Actively states the debriefing and critique agenda and solicits topics from the crew on items that they would like to cover; sets time limits.
  - b. Asks the crew for their appraisal of the mission overall.
  - c. States his/her own perceptions of the LOFT while guarding against making the crew defensive. Comments are as objective as possible and focus on performance.
  - d. Shows appropriate incidents using videotape of the LOFT session, including examples of technical and CRM performance, and selects tape segments for discussion illustrating behaviors that feature the crew performance markers.
  - e. Effectively blends technical and CRM feedback in the debriefing; does not preach to the crew, but does not omit items worthy of crew discussion.
  - f. Is patient and is constructive in probing into key areas where improvement is needed.
  - g. Ensures that all crew members participate in the discussion, and effectively draws out quiet or hostile crew members.
  - h. Provides a clear summary of key learning points.
  - i. Asks the crew for specific feedback on his/her performance.
  - j. Is effective in both technical and CRM debriefing.