Aviation Industry Safety Update

Intelligence, Safety and Risk Analysis Unit

1 July 2013 to 30 June 2014

CIVIL AVIATION AUTHORITY
OF NEW ZEALAND
Te Mana Rererangi Tūmatanui o Aotearoa

Table of Contents

Introduction and Executive Summary

Introduction

This safety report is produced using data from the Civil Aviation Authority Management Information System. It primarily covers the period from 1 July 2013 to 30 June 2014.[1] Note this is the fourth Aviation Safety Report that covers a 12 month period. Feedback suggests that a 'last 12 months' or 'per year' basis enables better comparisons between periods than the 6 monthly basis of the previous twice yearly summary reports.

Key Indicators

- Measures of industry activity such as numbers of aircraft, air transport flights, seat hours and total hours flown have continued to increase.
    - Aircraft on the Register decreased slightly by 0.59%
    - Air transport flights decreased slightly by 3.7% (excluding 130,000 thousand Part 115 flights, of which approximately 64% were parachute jumps),
    - Seat hours showed no significant change and,
    - Total hours flown showed no significant change.
- The number of organisational certificates issued has decreased by 5.1 % to 932.
- The number of aircraft movements at principal aerodromes has decreased by 3.1% in this period and the trend over three years reflects a downward trend in number of air transport flights from principal aerodromes.
- The number of accidents in the period was 112, up from 107 in the last period, and the trend is slightly up relative to the average of the last three years (106 accidents pa).
- There were 9 fatalities, 1 more than in the previous 12 months and, a significant improvement on the average of the last three years (17 fatalities pa).
- The accident, fatalities and social cost statistics continue to be led by private sport aircraft, private aircraft and private helicopters, but several accidents, fatal and non-fatal, have seen airline helicopters (part 135), approaching the level of social cost per seat hour associated with agricultural aeroplanes and helicopters, while Other Commercial Helicopter operations are running at twice the social cost per seat-hour of the agricultural sector but with some improvement just beginning to appear.
- The recent surge in the airspace rate that was apparent in the previous report is no longer evident. This period the number of airspace occurrences (all types) has increased by 2.1% on the last 12 months while the total flying hours in the same period increased by 1.4%.

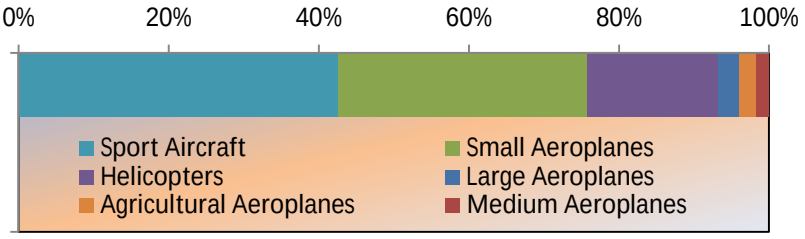
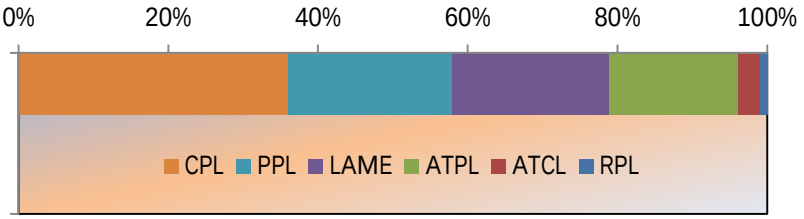
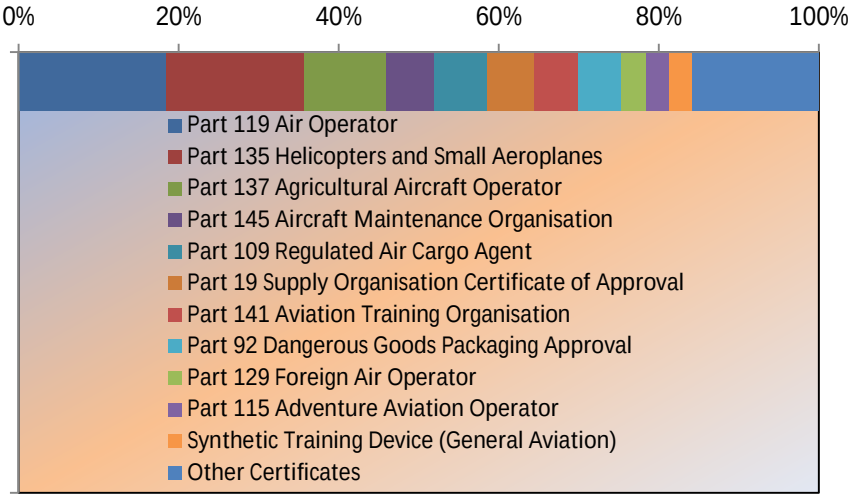
J.D. Stanton
Manager Intelligence Safety and Risk Analysis

[1] This report uses calendar years. Where quarters are referred to the first quarter is 1 January to 31 March.
Data in tables may not sum exactly to the total shown due to rounding

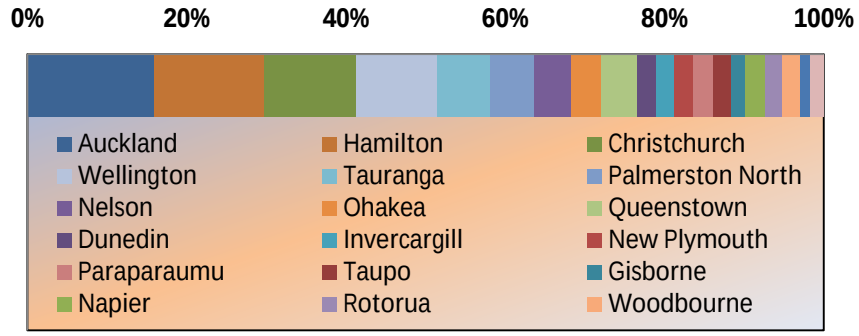
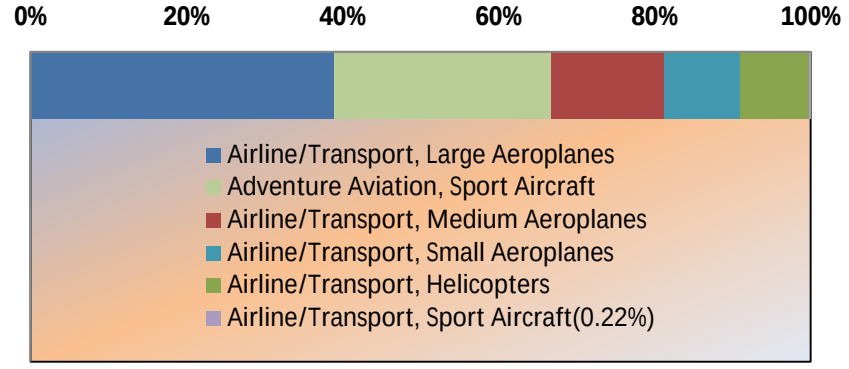
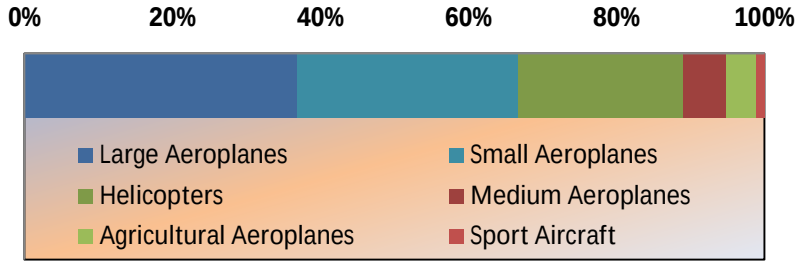
Executive Summary - Status as at 30 June 2014

This section is organised into three parts: Industry Size, Industry Activity and Safety Outcomes

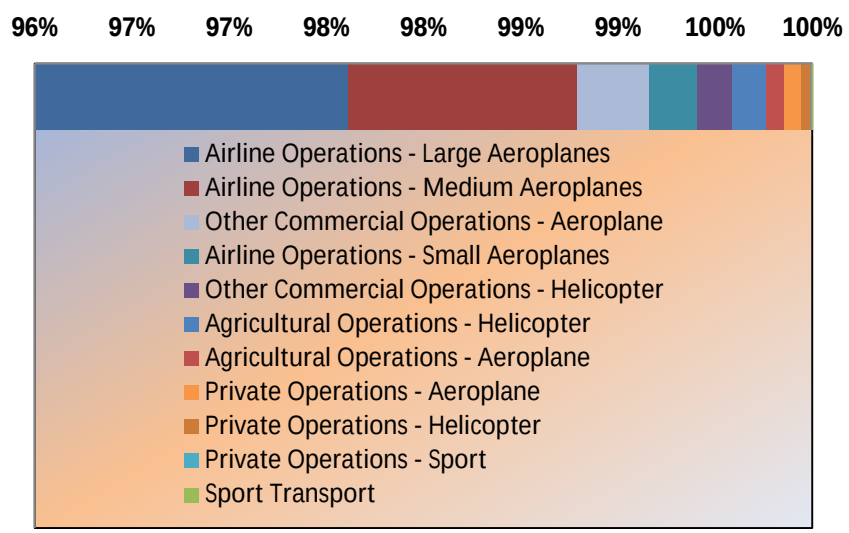
Part 1 - Industry Size
(See here for more information)

Measure	*Current Contributors*
Registered Aircraft as at 30 Jun 2014 **4,552** as at 30 Jun 2013 **4,579** 30 Jun average for 2010, 1011 & 012 **4,487.3**	
Licences on Issue as at 30 Jun 2014 **12,876** as at 30 Jun 2013 **13,373** 30 Jun average for 2010, 1011 & 012 **13,311.3**	
Certificates Current as as at 30 Jun 2014 **932** as at 30 Jun 2013 **982** 30 Jun average for 2010, 1011 & 012 **947.7**	

Part 2 - Industry Activity – Movements, Flights, Hours
(See here for more information)

Measure	*Current Contributors*
Aircraft Movements at Aerodromes Jul 2013 to Jun 2014 **971,000** Jul 2012 to Jun 2013 **1,001,244** Annual average Jul 2009 to Jun 2012 **1,056,788.7**	 **Aircraft Movements from Aerodromes** **Year ending Jun 2014, Percentages by Aerodrome**
Air Transport Flights (Thousands) Jul 2013 to Jun 2014 **466** (includes **130,000** Part 115 flights of which approximately **64%** were parachute jumps) Jul 2012 to Jun 2013 **469** (includes **120,000** Part 115 flights of which approximately **69%** were parachute jumps) Annual average Jul 2009 to Jun 2012 **370**	 **Air Transport Flights** **Year ending Jun 2014** **Percentages by Operation Type**
Hours Flown (all operations) (Thousands) Jul 2013 to Jun 2014 **933** Jul 2012 to Jun 2013 **930** Annual average Jul 2009 to Jun 2012 **940.0**	 **Hours Flown** **Year ending Jun 2014** **Percentages by Aircraft Type**

Part 2 - Industry Activity – Seat-Hours
(See here for more information)

Measure	*Current Contributors*
Seat-Hours (Millions) Jul 2013 to Jun 2014 **51** Jul 2012 to Jun 2013 **51** Annual average Jul 2009 to Jun 2012 **48**	 **Seat Hours Occupied for year ending Jun 2014** **Percentages by Safety Outcome Target Group** (Note the False Zero on the percentage scale, The Airline Operations – Large Aeroplanes group contributes 96.5% to the seat-hour total)

Hours and flights data is estimated because significant numbers of aircraft owners fail to comply with Rule Part 12.151 which requires owners to report this data either quarterly or annually. The same rule also allows owners of aircraft that do no Hire or Reward operations in any calendar year to report only at the end of that year so estimates are also required to allow for those aircraft. Based on the data as received by one month after the due date for the final quarter of the period, the extent of the estimation process is:

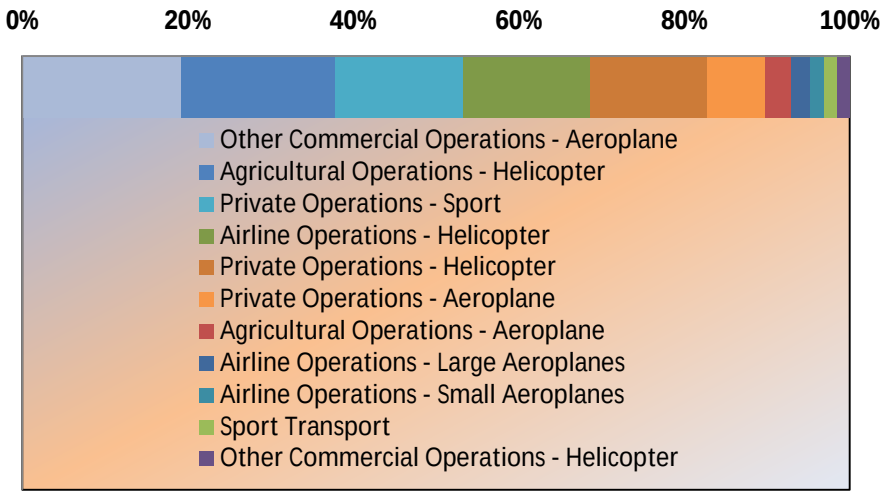
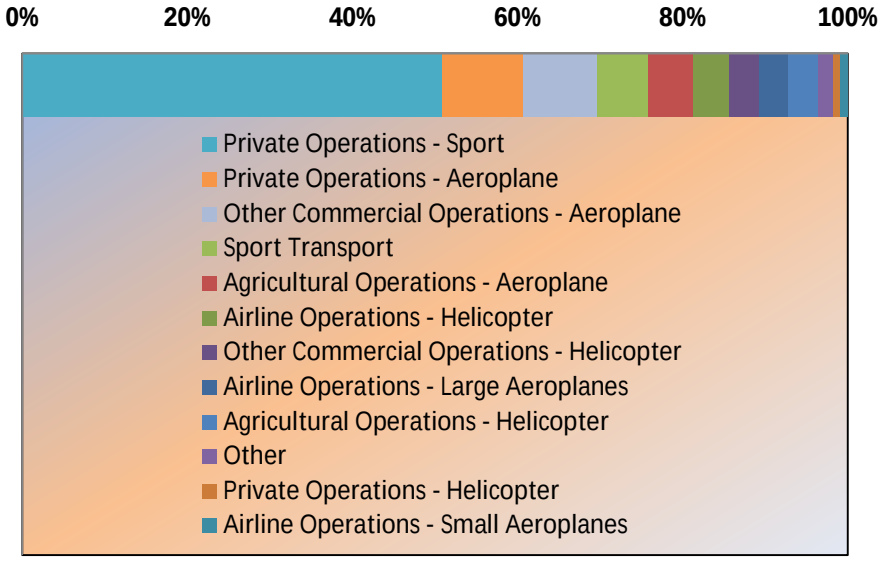
Reporting Period	Percentage of expected returns that were missing or that were not yet due and for which estimates were necessary
3 years to 30 June 2012	61%
1 year to 30 June 2013	60%
1 year to 30 June 2014	40%

The major contribution to the shortfall of data in the current period comes from the Small Aeroplanes category. Many of these aeroplanes are never operated for hire or reward and thus are permitted to make annual returns. As these returns are not due until 15 February of 2015 their activity data is not available for this report.

Estimates were based either on the average reported activity for aircraft of the same category and class or on previously reported or estimated activity for the same aircraft. The choice of estimating method was based on the response rate for each combination of aircraft category and aircraft class.

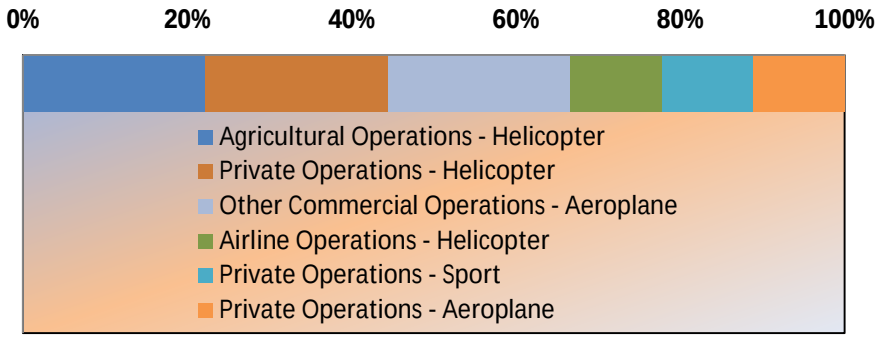
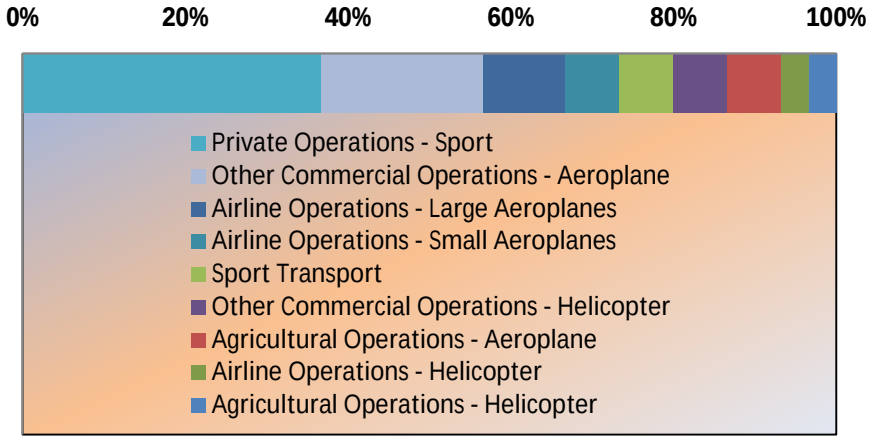
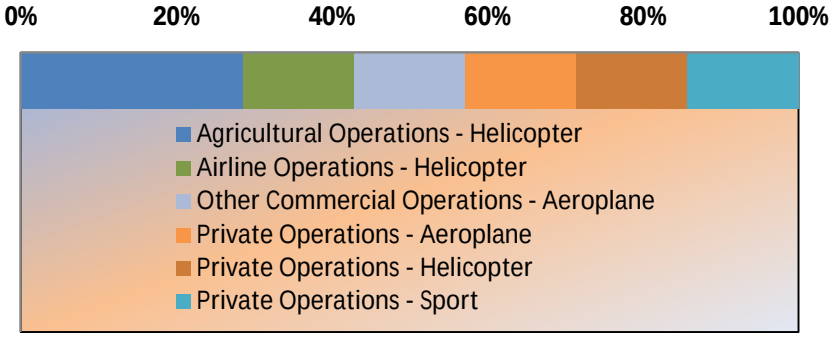
Part 3 - Safety Outcomes – Social Cost, Accidents

(See here for more information)

Measure	***Current Contributors***
Social Cost (2013 dollars) Jul 2013 to Jun 2014 **$M 57** Jul 2012 to Jun 2013 **$M 46** Annual average Jul 2009 to Jun 2012 **$M 80**	 **Social Cost for year ending Jun 2014** **Percentages by Safety Outcome Target Group**
Accidents Jul 2013 to Jun 2014 **112** Jul 2012 to Jun 2013 **108** Annual average Jul 2009 to Jun 2012 **107.3**	 **Accidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**

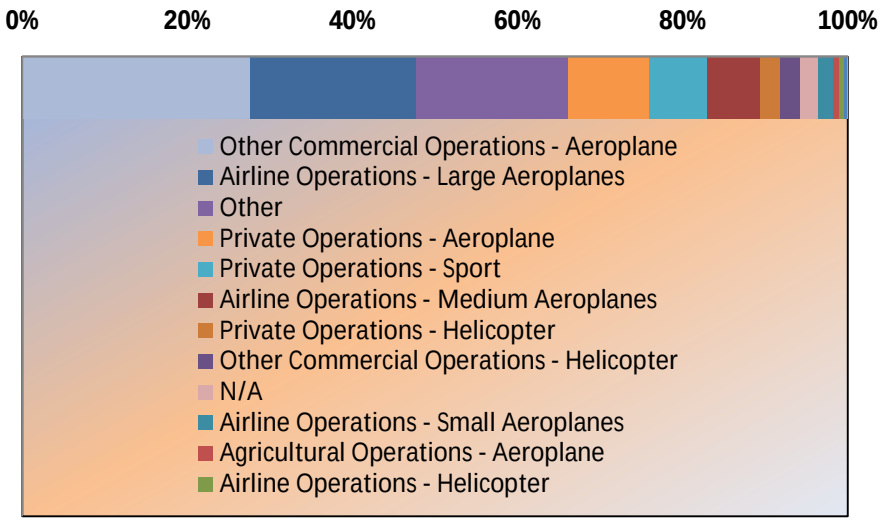
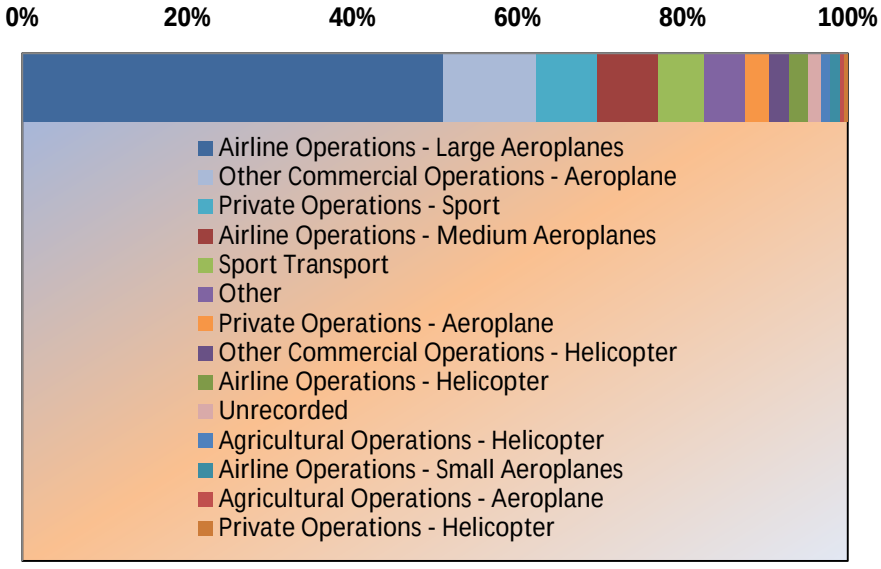
Part 3 - Safety Outcomes – Fatalities, Serious Injuries, Fatal Accidents

(See here for more information)

Measure	*Current Contributors*
Fatalities Jul 2013 to Jun 2014 **9** Jul 2012 to Jun 2013 **8** Annual average Jul 2009 to Jun 2012 **17.0**	 **Fatalities for year ending Jun 2014** **Percentages by Safety Outcome Target Group**
Serious Injuries Jul 2013 to Jun 2014 **30** Jul 2012 to Jun 2013 **20** Annual average Jul 2009 to Jun 2012 **17.7**	 **Serious Injuries for year ending Jun 2014** **Percentages by Safety Outcome Target Group**
Fatal Accidents Jul 2013 to Jun 2014 **7** Jul 2012 to Jun 2013 **6** Annual average Jul 2009 to Jun 2012 **8.7**	 **Fatal Accidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**

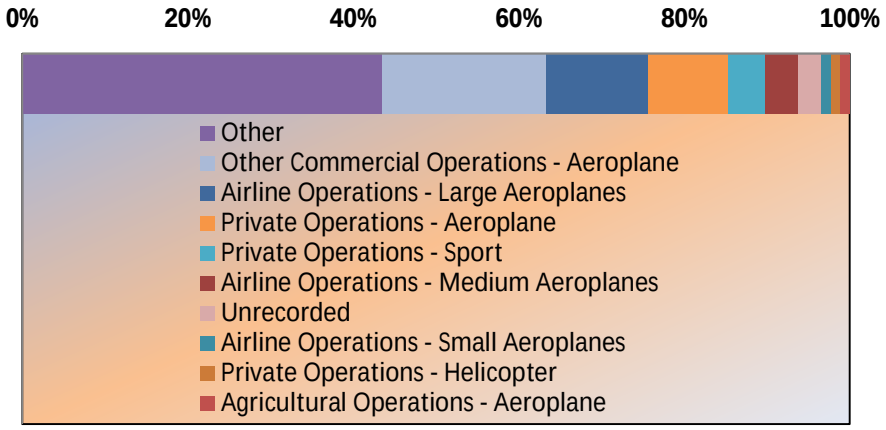
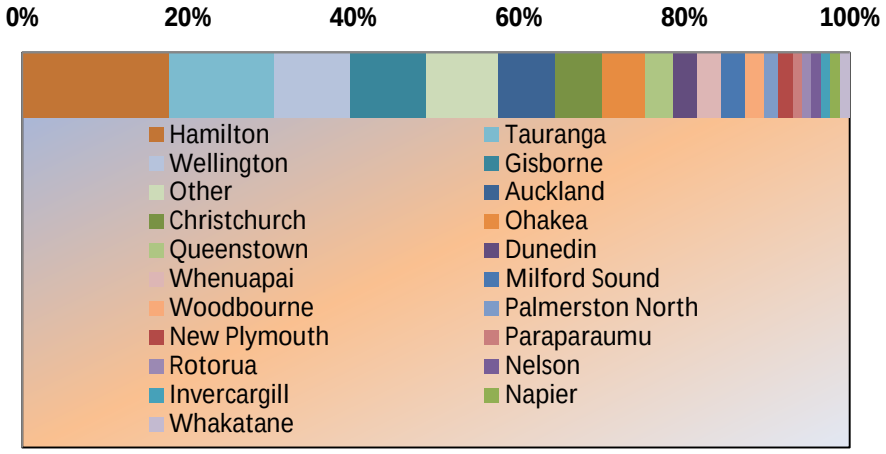
Part 3 - Safety Outcomes – Airspace & Operational Incidents

(See here for more information)

Measure	***Current Contributors***
Airspace Incidents Reported Jul 2013 to Jun 2014 **1387** (15 Critical) Jul 2012 to Jun 2013 **1359** (9 Critical) Annual average Jul 2009 to Jun 2012 **984.3** (17.0 Critical)	 **Airspace Incidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**
Operational Incidents Reported Jul 2013 to Jun 2014 **770** (8 Critical) Jul 2012 to Jun 2013 **.601** (11 Critical) Annual average Jul 2009 to Jun 2012 **712.0** (3.7 Critical)	 **Operational Incidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**

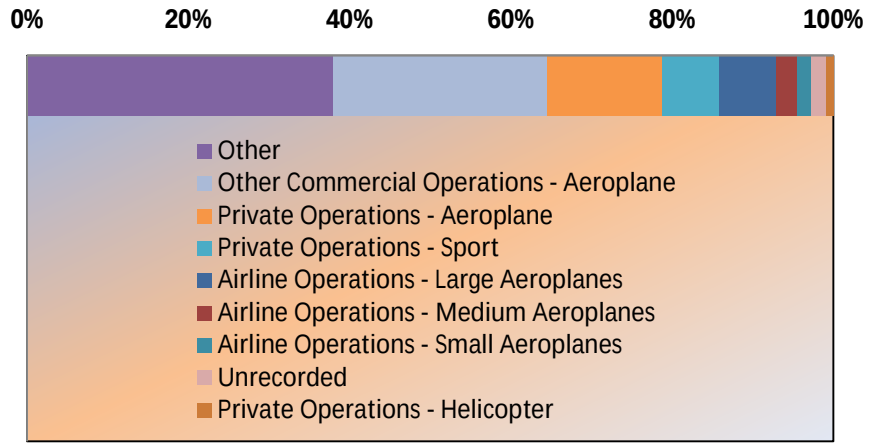
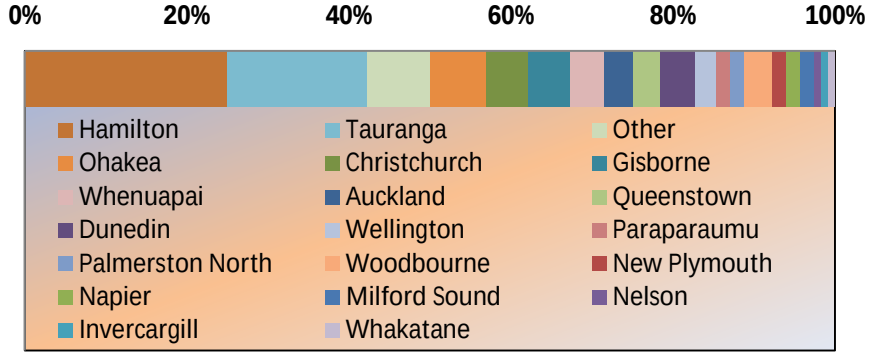
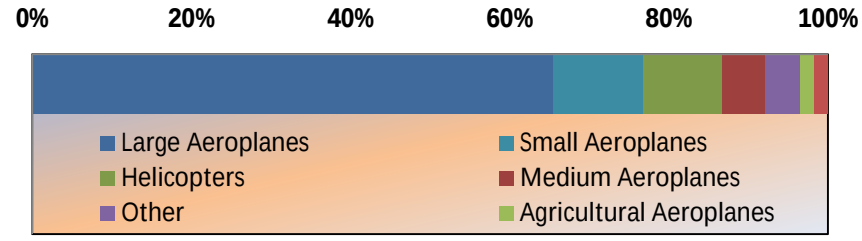
Part 3 - Safety Outcomes – Aerodrome Incidents

(See here for more information)

Measure	***Current Contributors***
Aerodrome Incidents Reported Jul 2013 to Jun 2014 **177** (0 Critical) Jul 2012 to Jun 2013 **211** (3 Critical) Annual average Jul 2009 to Jun 2012 **151.0** (1.0 Critical)	 **Aerodrome Incidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**  **Aerodrome Incidents for year ending Jun 2014** **Percentages by Nearest Reporting Point**

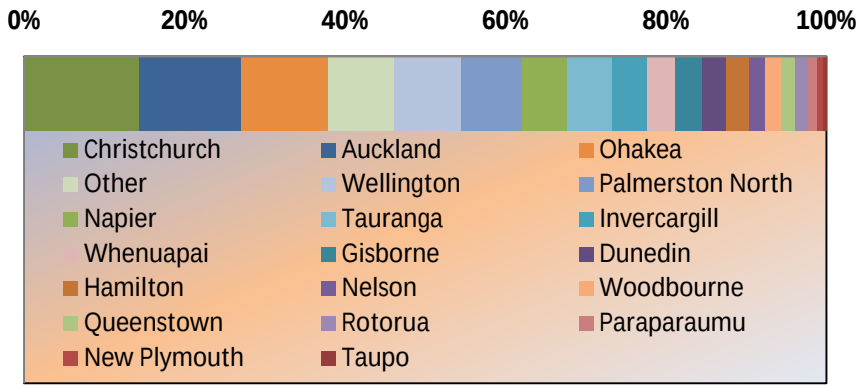
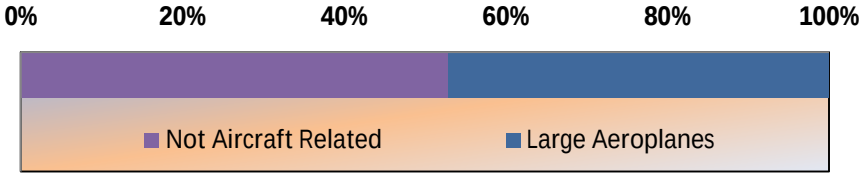
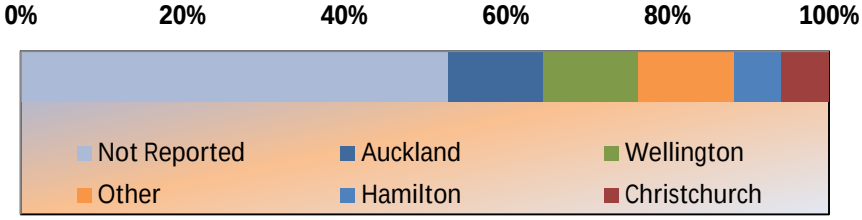
Part 3 - Safety Outcomes – Runway Incursions and Defect Incidents

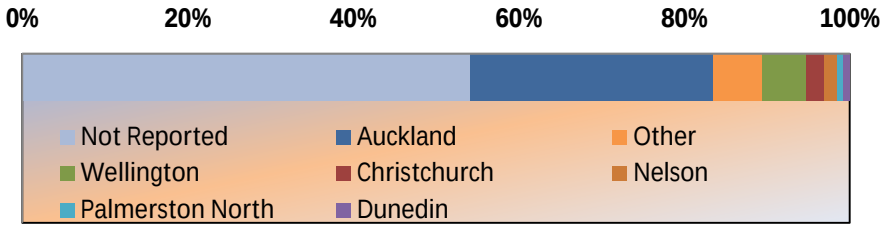
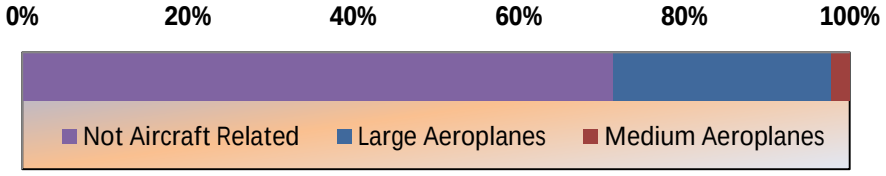
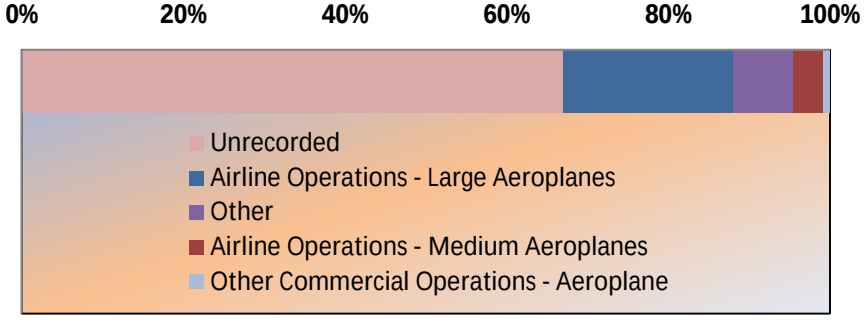
(See here for more information)

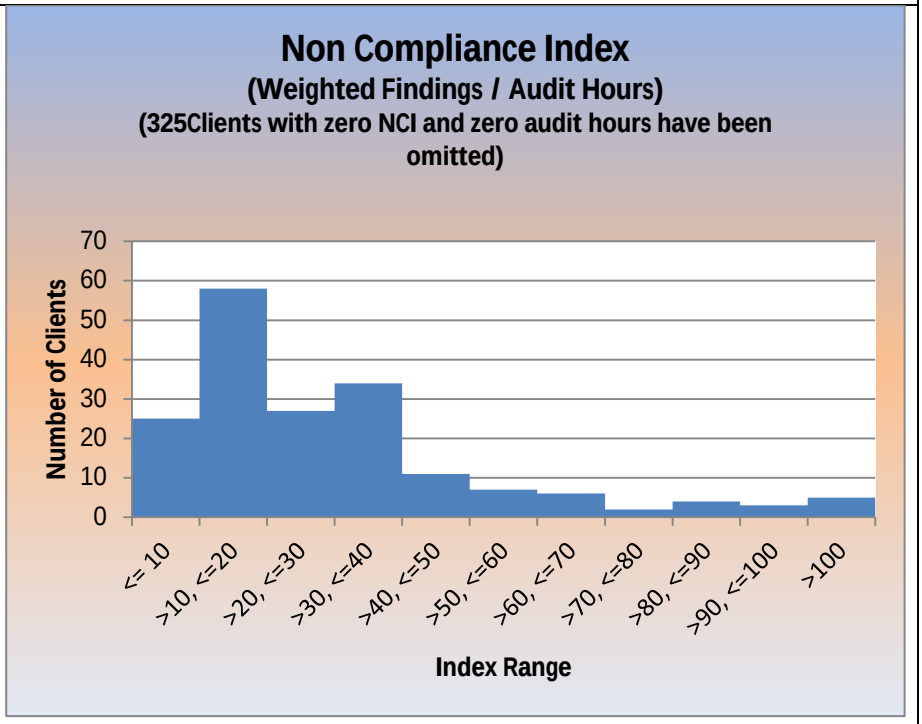
Measure	***Current Contributors***
Runway Incursions Reported Jul 2013 to Jun 2014 **113** (0 Critical) Jul 2012 to Jun 2013 **139** (3 Critical) Annual average Jul 2009 to Jun 2012 **90.3** (0.7 Critical)	 **Runway Incursions for year ending Jun 2014** **Percentages by Safety Outcome Target Group**  **Runway Incursions for year ending Jun 2014** **Percentages by Nearest Reporting Point**
Defect Incidents Reported Jul 2013 to Jun 2014 **1642** (2 Critical) Jul 2012 to Jun 2013 **1711** (4 Critical) Annual average Jul 2009 to Jun 2012 **1373.0** (2.0 Critical)	 **Defect Incidents for year ending Jun 2014** **Percentages by Aircraft Type**

Part 3 - Safety Outcomes – Bird Hazard Incidents, Security Incidents

(See here for more information)

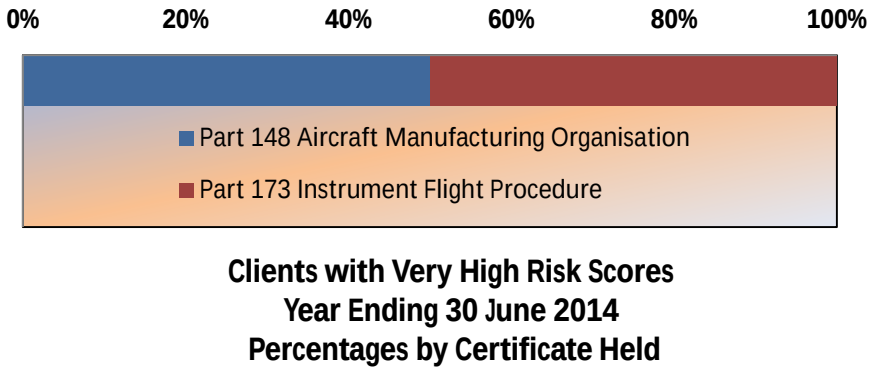
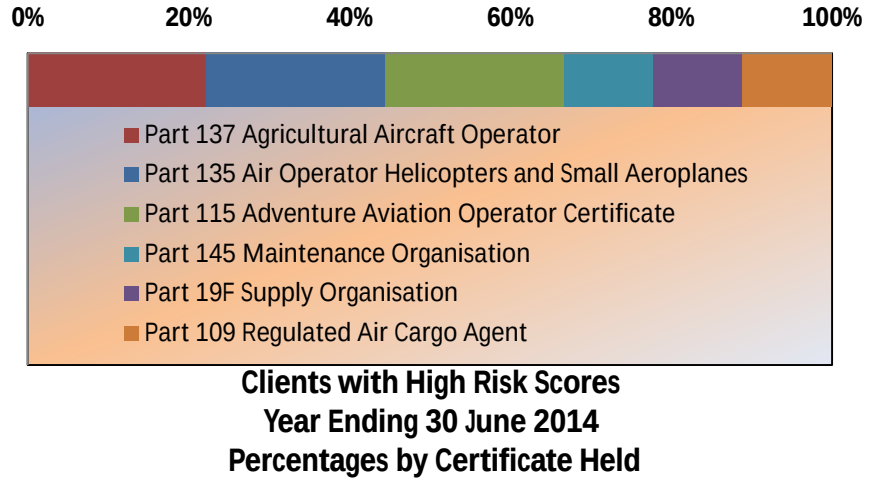
Measure	***Current Contributors***
Bird Hazard Incidents Reported Jul 2013 to Jun 2014 **1121** (446 Strikes) Jul 2012 to Jun 2013 **1370** (545 Strikes) Annual average Jul 2009 to Jun 2012 **1302.0** (474.3 Strikes) (No Bird Hazard incident reported during the period covered by this report was Critical)	 **Bird Hazard Incidents for year ending Jun 2014** **Percentages by Nearest Reporting Point**
Security Incidents Reported Jul 2013 to Jun 2014 **17** (0 Critical) Jul 2012 to Jun 2013 **19** (0 Critical) Annual average Jul 2009 to Jun 2012 **70.7** (0.0 Critical)	 **Security Incidents for year ending Jun 2014** **Percentages by Aircraft Type**  **Security Incidents for year ending Jun 2014** **Percentages by NRP**

Part 3 - Safety Outcomes – ARCs, Other Incidents	
Measure	***Current Contributors***
Aviation Related Concerns Reported Jul 2013 to Jun 2014 **864** (4 Critical) Jul 2012 to Jun 2013 **763** (1 Critical) Annual average Jul 2009 to Jun 2012 **716.7** (0.7 Critical)	· The coding of ARCs is such that no useful analysis is currently possible · 227 (32%) of ARCs received during the current period were actually Section 13A notifications that are treated as ARCs because there is no other procedure defined for processing them.
All Other Incidents Reported (Dangerous Goods, Facility Malfunction, Cargo Security, Promulgated Information) Jul 2013 to Jun 2014 **133** (0 Critical) Jul 2012 to Jun 2013 **118** (0 Critical) Annual average Jul 2009 to Jun 2012 **111.3** (0.3 Critical)	 **All Other Incidents for year ending Jun 2014** **Percentages by NRP**  **All Other Incidents for year ending Jun 2014** **Percentages by Aircraft Type**  **All Other Incidents for year ending Jun 2014** **Percentages by Safety Outcome Target Group**

Part 3 - Safety Outcomes – Non Compliance (See here for more information)	
Measure	***Current Contributors***
Median Non-Compliance Index Jul 2013 to Jun 2014 23.1 Jul 2012 to Jun 2013 21.2 Annual average Jul 2009 to Jun 2012 18.6 (but non audited clients were also included at this time)	

Part 3 - Safety Outcomes – Risk Scores

(See here for more information)

Measure	*Current Contributors*
Number of Clients with Risk Score of 'Very High' Jul 2013 to Jun 2014 **2** Jul 2012 to Jun 2013 **8** (Pt 115 Operations in their infancy) Annual average **7.3**	
Number of Clients with Risk Score of 'High' Jul 2013 to Jun 2014 **9** Jul 2012 to Jun 2013 **9** Annual average **9.3**	

All values quoted are based on data as reported to the CAA

Reporting rates vary widely depending on the nature and severity of incidents

Activity data reporting varies widely between sectors in both accuracy and completeness

Air Transport Flights and all Hours Flown values have been adjusted to allow for the probable activity levels of aircraft for which an expected Aircraft Operations Statistics return has not been received

Industry Size and Activity Data

Registered Aircraft

The following table summarises the number of aircraft on the register by Aircraft Category at 30 Jun 2014, 30 Jun 2013 and the average of the numbers at the end of each of the three years before that.

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Sport Aircraft	1949	1946	1883.7
Small Aeroplanes	1499	1533	1523.3
Helicopters	798	787	767.3
Large Aeroplanes	127	128	124.3
Agricultural Aeroplanes	102	106	109.3
Medium Aeroplanes	77	79	79.3
Total	4552	4579	4487.3

The total number of aircraft on the register has decreased by 27 aircraft (0.59%). In previous years sport aircraft numbers grew rapidly but this has slowed. The number of small aeroplanes has also plateaued after increasing through 2000-2008 and is now falling slightly. Helicopter numbers are increasing but more slowly than in previous years.

Licences

The following table summarises the number of airline transport, commercial, private and recreational pilot, air traffic controller, and aircraft maintenance engineer licences on the register at 30 Jun 2014, 30 Jun 2013 and the average of the numbers at the end of each of the three prior years.

Licences	30 Jun 2014	30 Jun 2013	Annual Average Jul 2009–Jun2012
CPL	4,642	4,771	4,564.7
PPL	2,816	3,193	3,606.0
LAME	2,699	2,639	2,519.0
ATPL	2,217	2,156	2,078.0
ATCL	381	367	366.0
RPL*	121*	247	177.7
Total	12,876	13,373	13,311.3

Note — the statistics above for pilot licences count only those with active class 1 or active class 2 medical certificates or, for RPL holders, a certificate, issued in accordance with the NZTA medical fitness standards that are applicable for a Class 2, 3, 4 or 5 driver licence with passenger endorsement. This means that for CPL and ATPL licences, the number with a class 2 medical only, must only be exercising PPL privileges (or not flying at all). The statistics for ATCL holders count only those with an active class 3 medical certificate.

These statistics show the number of licences held and slightly overestimate the number of licence holders, as each holder may hold more than one licence.

*The number of RPL licences reported above is inaccurate. An administrative procedural change has resulted in a temporary loss of some supporting data making an accurate count impossible at this time. Action to remedy this is under way. It is believed that the number of RPL licences is not showing a significant trend.

Certificated Operators

The following tables show the number of Civil Aviation Rule Part certificate holders at 30 Jun 2014, 30 Jun 2013 and the average of the numbers at the end of each of the three prior years.

Rule Part	30 Jun 2014	30 Jun 2013	Annual Average Jul 2009–Jun2012
Part 119 Air Operator	179	185	183.3
Part 137 Agricultural Aircraft Operator	99	103	103.7
Part 109 Regulated Air Cargo Agent	65	67	63.0
Part 145 Aircraft Maintenance Organisation	58	66	60.7
Part 19 Supply Organisation Certificate of Approval	57	58	59.7
Part 141 Aviation Training Organisation	53	57	56.3
Part 92 Dangerous Goods Packaging Approval	52	62	59.3
Part 129 Foreign Air Operator	30	31	32.7
Part 115 Adventure Aviation Operator	28	33	6.7
Part 139 Aerodromes	25	27	26.0
Part 148 Aircraft Manufacturing Organisation	20	20	22.0
Part 146 Aircraft Design Organisation	14	14	14.0
Part 149 Aviation Recreation Organisation	8	7	9.0
Pilotless Aircraft Authorisation	5	7	-
Part 173 Instrument Flight Procedure Service Organisation	4	3	3.0
Part 171 Aeronautical Telecommunication Service Organisation	2	2	2.0
Part 174 Meteorological Service Organisation	2	2	2.0
Australian AOC Operating with ANZA Privileges	2	2	1.7
Part 140 Aviation Security Service	1	1	1.0
Part 172 Air Traffic Service	1	1	1.0
Part 175 Aeronautical Information Service Organisation	1	1	1.3
Total	701	742	708.3

* Note:

- For organisations with Part 92 and for those with Part 172 certificates the figures show the total number of services that are certificated. This does not necessarily equate to the number of organisations that hold the certificate.

Part 119 Air Operator	30 Jun 2014	30 Jun 2013	Annual Average Jul 2009–Jun2012
Part 135 Helicopters and Small Aeroplanes	168	173	173.0
Part 108 Security Programme	18	19	18.0
Part 125 Medium Aeroplanes	14	16	15.0
Part 121 Large Aeroplanes	9	9	9.3

Part 129 Air Operator	30 Jun 2014	30 Jun 2013	Annual Average Jul 2009–Jun2012
Part 108 Security Programme	22	23	24.0

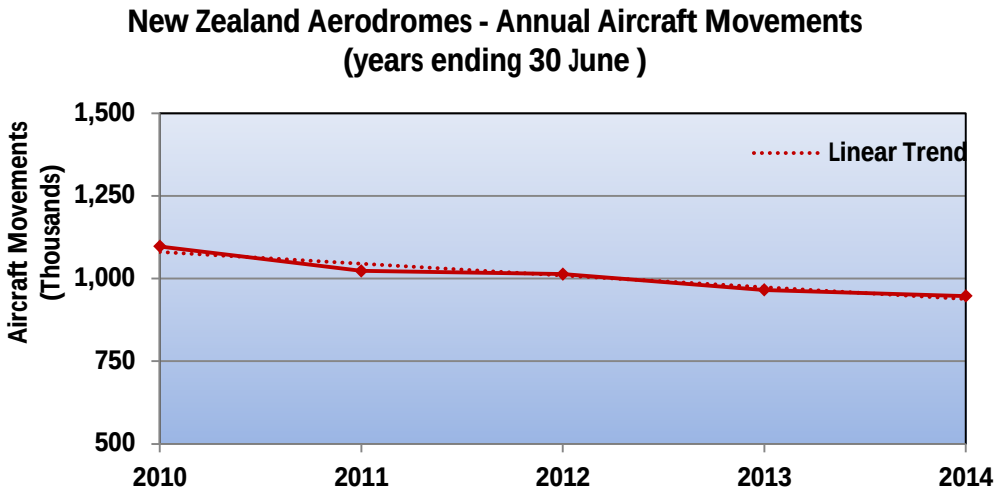
Aircraft Movements

Quarterly aircraft movement numbers are supplied to us by Airways Corporation for all aerodromes that they service, either by way of a control service or an information service. In addition Taupo airport voluntarily supplies movement information on a regular basis.

The following graph and table show the number of aircraft movements at the following aerodromes: Auckland, Christchurch, Dunedin, Gisborne, Hamilton, Invercargill, Milford Sound, Napier, Nelson, New Plymouth, Ohakea, Palmerston North, Paraparaumu, Queenstown, Rotorua, Taupo, Tauranga, Wellington, Whenuapai and Woodbourne.

Long-Term Change in Aircraft Movements

The following graph shows the annual number of aircraft movements for the five-year period ending 30 June 2014. Paraparaumu Airport has been omitted from this long term analysis because the available data is incomplete because there has only been a flight information service available since October 2011.



The average annual decrease in the number of aircraft movements was 3.6% from the year ended 30 June 2010 until the year ended 30 June 2014 during which 947041 movements were recorded.

Yearly Comparison

The following table shows the number of Aerodrome movements in the period 1 July 2013 to 30 June 2014, the previous year and the average of the movement numbers during the prior 3 years. For consistency Paraparaumu Airport movements have also been omitted from this table

Activity	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Aircraft Movements	947041	965605	1045315.3

Aircraft Movements at Aerodromes

The aerodromes are shown in descending order of the number of aircraft movements for the year ending 30 June 2014. The figures all relate to years ending 30 June.

Aerodrome	2010	2011	2012	2013	2014
Auckland	157,032	155,609	157,365	156,405	**155,093**
Hamilton	122,086	103,408	117,870	131,795	**134,701**
Christchurch	128,984	122,352	116,007	108,259	**111,140**
Wellington	110,817	106,426	105,323	101,279	**98,601**
Tauranga	93,360	76,784	72,158	73,193	**64,903**
Palmerston North	55,504	59,476	68,073	62,881	**53,753**
Nelson	49,813	50,610	50,295	46,531	**45,139**
Queenstown	44,831	41,406	43,943	42,070	**43,861**
Ohakea	68,597	56,850	44,154	27,459	**36,007**
Napier	25,661	27,725	25,720	23,963	**24,042**
Paraparaumu	6,305	0	30,151	35,639	**23,959**
Dunedin	46,661	35,213	28,236	23,300	**23,628**
New Plymouth	40,578	34,590	31,687	27,797	**23,402**
Taupo	29,370	27,224	26,558	24,146	**22,976**
Invercargill	26,251	29,483	31,268	25,230	**21,468**
Woodbourne	22,887	23,703	23,124	22,077	**21,229**
Rotorua	23,331	22,089	23,100	22,103	**21,204**
Gisborne	23,279	22,295	21,563	18,054	**17,149**
Whenuapai	13,642	14,981	14,107	15,145	**15,909**
Milford Sound	14,426	13,094	12,931	13,918	**12,836**

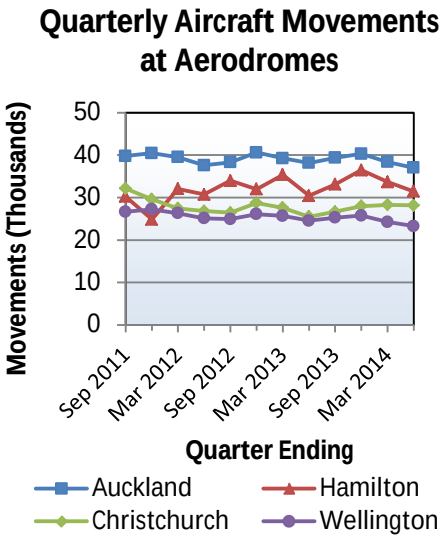
Data for Paraparaumu from October 2011 onwards has been supplied by Airways Corporation. The value for 2012 includes only the portion of 2011 for which the Information Service was active.

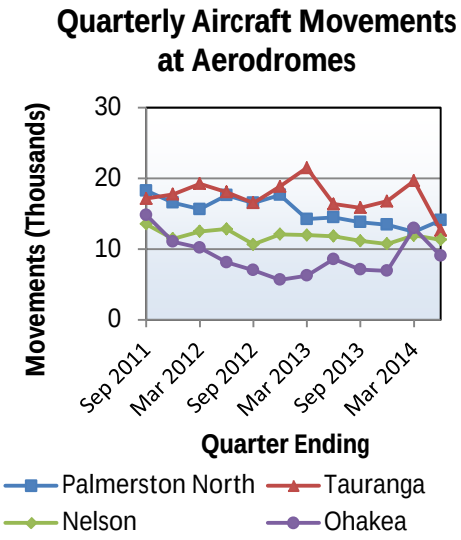
No information is available for Ardmore aerodrome although it is reported in the AIP as NZ's busiest aerodrome. The recent increase in movements at Hamilton is noteworthy and it is now the 2nd busiest aerodrome for which data is available.

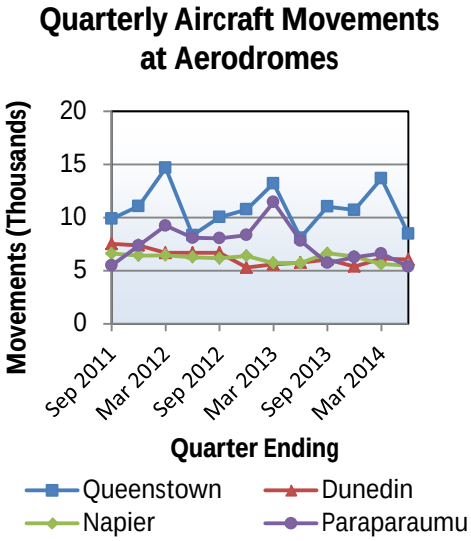
This data is graphed on the next page.

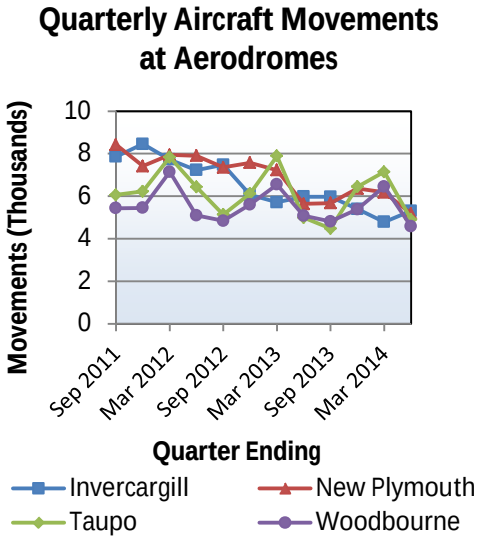
The aerodromes are grouped by the largest number of movements over the period

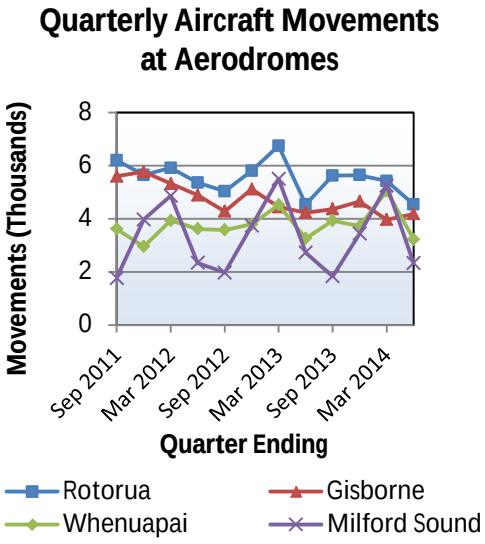
Note that the scales are different for each chart to prevent the smaller aerodromes' graphs becoming unreadable which would happen if all the charts had the same scales.


Quarterly Aircraft Movements at Aerodromes
Movements (Thousands)
50
40
30
20
10
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Auckland
Hamilton
Christchurch
Wellington


Quarterly Aircraft Movements at Aerodromes
Movements (Thousands)
30
20
10
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Palmerston North
Tauranga
Nelson
Ohakea


Quarterly Aircraft Movements at Aerodromes
Movements (Thousands)
20
15
10
5
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Queenstown
Dunedin
Napier
Paraparaumu

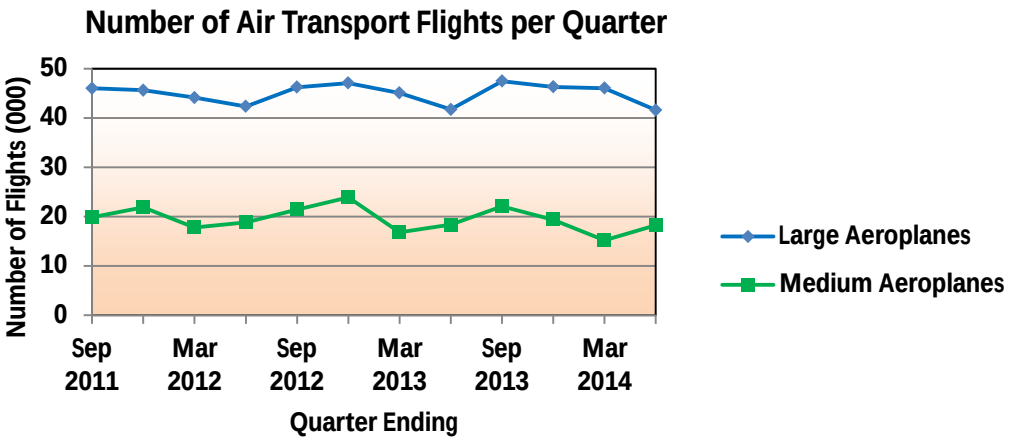

Quarterly Aircraft Movements at Aerodromes
Movements (Thousands)
10
8
6
4
2
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Invercargill
New Plymouth
Taupo
Woodbourne

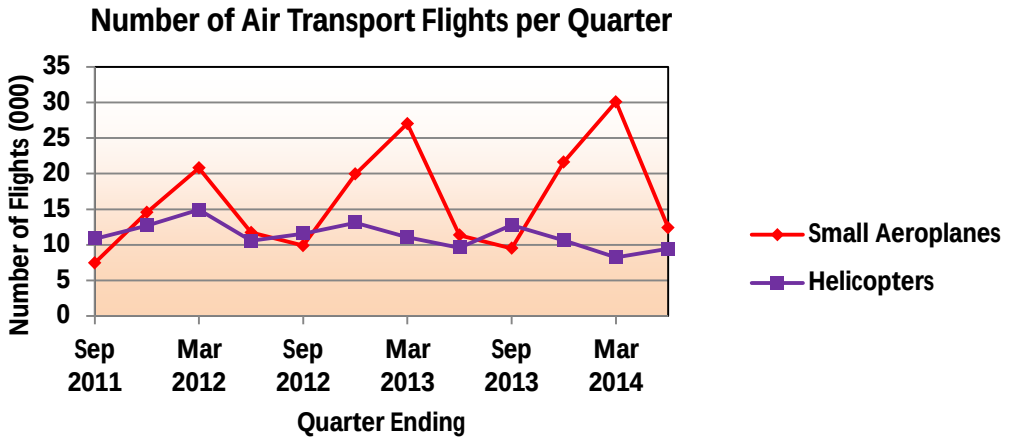

Quarterly Aircraft Movements at Aerodromes
Movements (Thousands)
8
6
4
2
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Rotorua
Gisborne
Whenuapai
Milford Sound

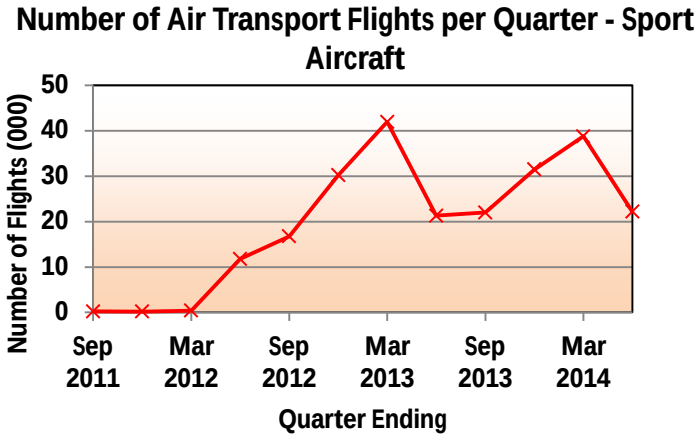
Air Transport Flights

Note that these graphs exclude foreign registered aircraft that are operated in New Zealand.

The following graphs show the estimated number of air transport flights per quarter during the three year period ending 30 June 2014. The estimates are based on the reported numbers of flights with an allowance for aircraft for which reports were not received

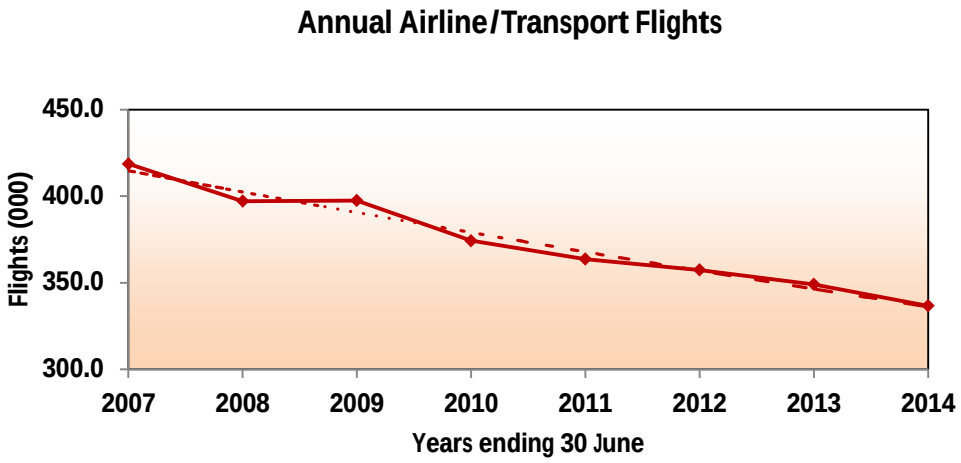






Long-Term Change in Airline/Transport Flights

The following graph shows the estimated number of airline/transport flights for the 7-year period ending 30 June 2014



The change in the estimated number of annual airline/transport flights across this period is equivalent to an annual decrease of 3.07%. The linear trend in these reported flights is equivalent to an annual decrease of 2.89%.

The table below shows that the reduction is driven by reduced reported air transport flights by medium and small aeroplanes, and helicopters.

Yearly Comparison

Number of Airline/Transport Flights

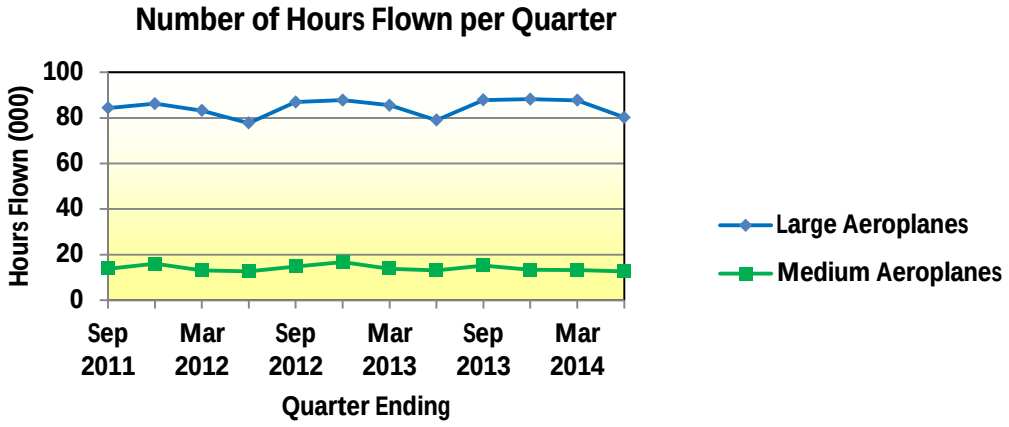
Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	181451	180171	178021.6
Medium Aeroplanes	67471	74813	77806.1
Small Aeroplanes	45631	47686	55435.2
Helicopters	41056	45328	53164.2
Sport Aircraft	1049	1040	725.7
Total	336658	349038	365152.8

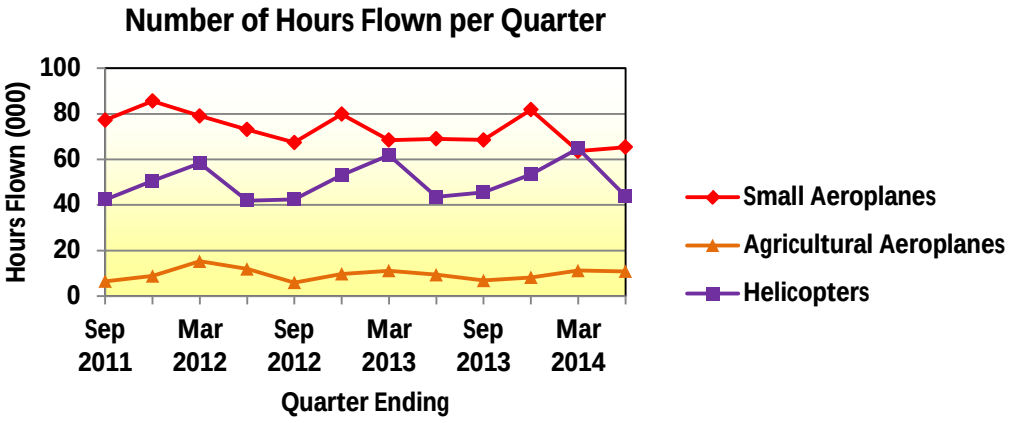
Adventure Aviation (Part 115) flights have been excluded from this comparison

Hours Flown

Note that these graphs exclude the aircraft statistics categories Sport Aircraft and Hang Gliders except where the aircraft are approved for use in Part 115 operations. Parachutes and foreign registered aircraft that are operated in New Zealand are also excluded.

The following graphs show the estimated number of hours flown per quarter during the three year period ending 30 June 2014. The estimates are based on the reported hours with an allowance for aircraft for which reports were not received. Insufficient data exists for the last two quarters so those values are forecasts.





Comment on Estimated Activity Data

Not all operators comply with the requirements of CAR 12.151 to report hours and flights data. An allowance is made for the 'missing' data by applying a statistical estimating process to each quarter's data. The following table shows the percentage of aircraft for which returns had been entered for the July 2013 to June 2014 period at the time of compilation, which is at least 5 weeks after the last of the returns was due.

Aircraft Category	Percentage of Expected Returns Received and Entered
Large Aeroplanes	82%
Sport Aircraft - Parachutes	73%
Sport Aircraft - Paragliders	70%
Medium Aeroplanes	69%
Sport Aircraft - Hang Gliders	63%
Agricultural Aeroplanes	61%
Helicopters	42%
Small Aeroplanes	31%
Sport Aircraft - Helicopters	30%
Sport Aircraft - Balloons	24%
Sport Aircraft - Aeroplanes	21%

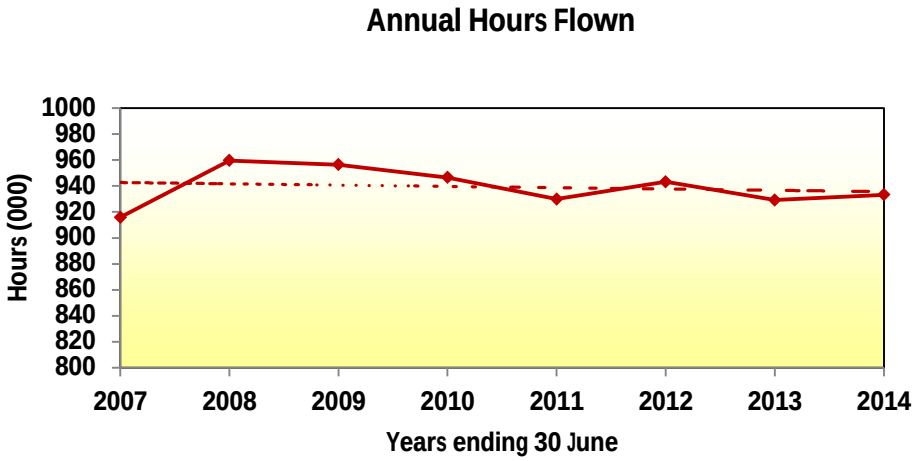
Helicopters and small aeroplanes are struggling to achieve a return rate of 50%.

A reminder letter sent on 2 May 2014 to 1556 operators to draw their attention to CAR 12.151 resulted in a large increase in the number of returns through May and June 2014.

Increasing use of email is now being made to issue reminders and a favourable response is immediately evident.

Long-Term Change in Hours Flown

The following graph shows the annual hours flown (includes the aircraft classes aeroplane, helicopter and balloon only; excludes other aircraft classes, hang gliders and parachutes) for the 7-year period ending 30 June 2014.



The change in the estimated number of annual hours flown across this period is equivalent to an annual increase of 0.27%. The linear trend in these reported hours is equivalent to an annual decrease of 0.11%.

Yearly Comparison

Hours Flown

Aircraft Category	Year Ending Dec 2013	Year Ending Dec 2012	Annual Average Jul 2009–Jun2012
Small Aeroplanes	339458.7	335249.9	346884.2
Large Aeroplanes	337486.8	336810.5	324277.0
Helicopters	200020.1	196738.5	187396.1
Medium Aeroplanes	65496.1	63505.5	58161.4
Agricultural Aeroplanes	40577.6	39570.5	36489.7
Sport Aircraft	9819.8	7395.9	5085.1
Total	992859.2	979270.7	958293.6

Seat-Hours

The following table indicates the size of the aviation industry as determined from Aircraft Operating Statistics in the relevant 2010 Safety Target Group categories for the year ending 30 June 2014. A seat-hours measure is used as an indication of person exposure. For each Safety Target Group the total number of hours flown is multiplied by the average number of seats and an appropriate load factor, to give the number of seat hours utilised by the group (person exposure). For Safety Target Groups that are not predominantly passenger carrying a surrogate of 500 kg of aircraft weight is used instead of seat hours. The values are millions of seat-hours.

Safety Outcome Target Group	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Airline Operations - Large Aeroplanes	**50.14 (96.5%)**	**49.32 (96.3%)**	47.19 (96.2%)
Airline Operations - Medium Aeroplanes	**0.63 (1.2%)**	**0.68 (1.3%)**	0.69 (1.4%)
Other Commercial Operations - Aeroplane	**0.29 (0.6%)**	**0.30 (0.6%)**	0.26 (0.5%)
Private Operations - Sport	**0.27 (0.5%)**	**0.27 (0.5%)**	0.22 (0.5%)
Airline Operations - Helicopter	**0.15 (0.3%)**	**0.13 (0.3%)**	0.12 (0.3%)
Airline Operations - Small Aeroplanes	**0.11 (0.2%)**	**0.12 (0.2%)**	0.11 (0.2%)
Sport Transport	**0.11 (0.2%)**	**0.10 (0.2%)**	0.10 (0.2%)
Agricultural Operations - Helicopter	**0.10 (0.2%)**	**0.10 (0.2%)**	0.10 (0.2%)
Other Commercial Operations - Helicopter	**0.05 (0.1%)**	**0.09 (0.2%)**	0.10 (0.2%)
Agricultural Operations - Aeroplane	**0.05 (0.1%)**	**0.04 (0.1%)**	0.04 (0.1%)
Private Operations - Helicopter	**0.04 (0.1%)**	**0.03 (0.1%)**	0.04 (0.1%)
Private Operations - Aeroplane	**0.03 (0.1%)**	**0.04 (0.1%)**	0.05 (0.1%)
Total (Millions of seat-hours)	**52 (100.0%)**	**51 (100.0%)**	**49 (100.0%)**

* most sport aircraft do not report hours or seats, so a standard estimate of seat hours offered is used as well as reported data for such aircraft in these groups.

Note that the percentages may not sum exactly to 100.0% due to rounding.

This table shows that approximately 96.5% of seat hours were offered by the Airline Operations – Large Aeroplanes group, approximately 1.2% by the Airline Operations – Medium Aeroplanes group, with the remaining 2.3% of seat hours offered being split between the other safety target groups.

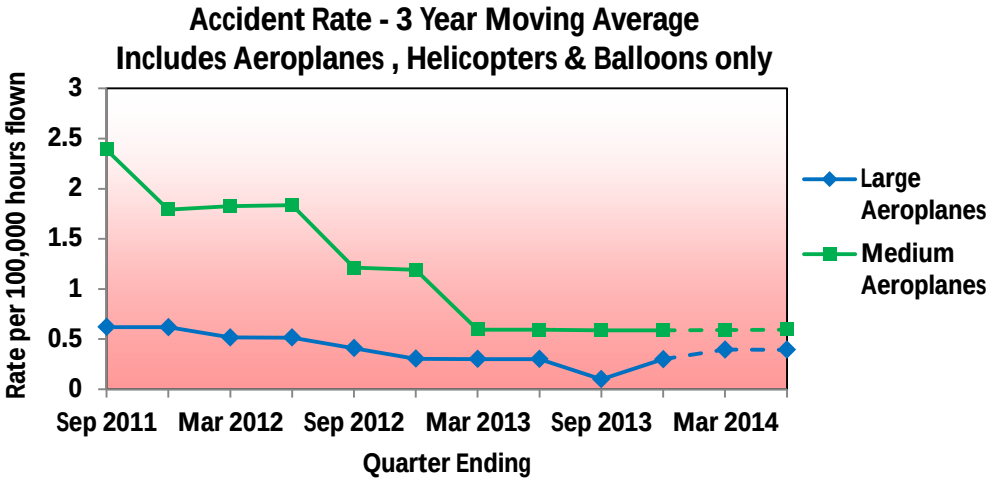
By comparison the 337,486 hours flown by the 127 large aircraft is similar to the 339,458 hours flown by the 1,499 small aeroplanes on the register. The difference in passenger exposure is largely a function of the seating capacity.

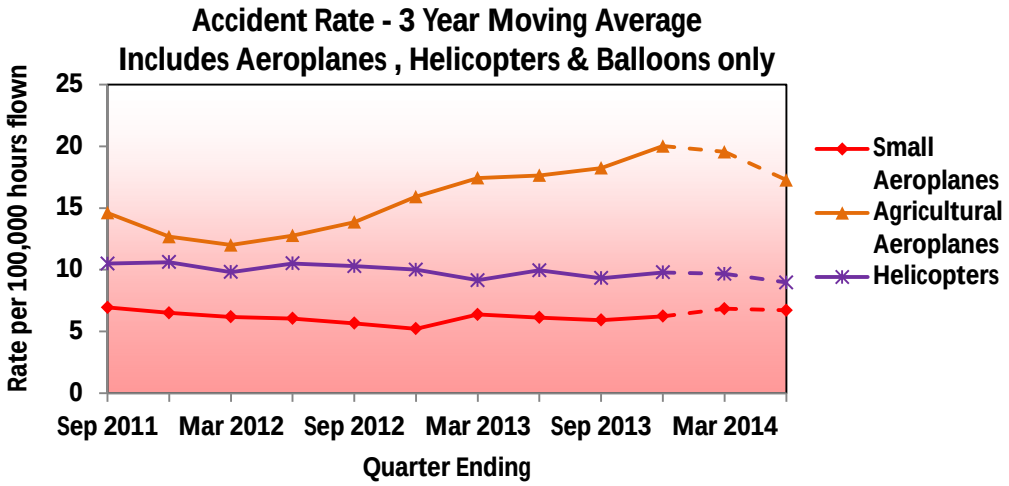
Occurrence Analysis

Aircraft Accidents

The following graphs show the aircraft accident rates (accidents per estimated 100,000 hours flown) three year moving average for the three-year period ending 30 June 2014 (excluding the aircraft statistics categories Sport Aircraft, Hang Gliders and Parachutes). Trends for each group are shown immediately following the group. Dashed segments indicate significant use of forecasting.

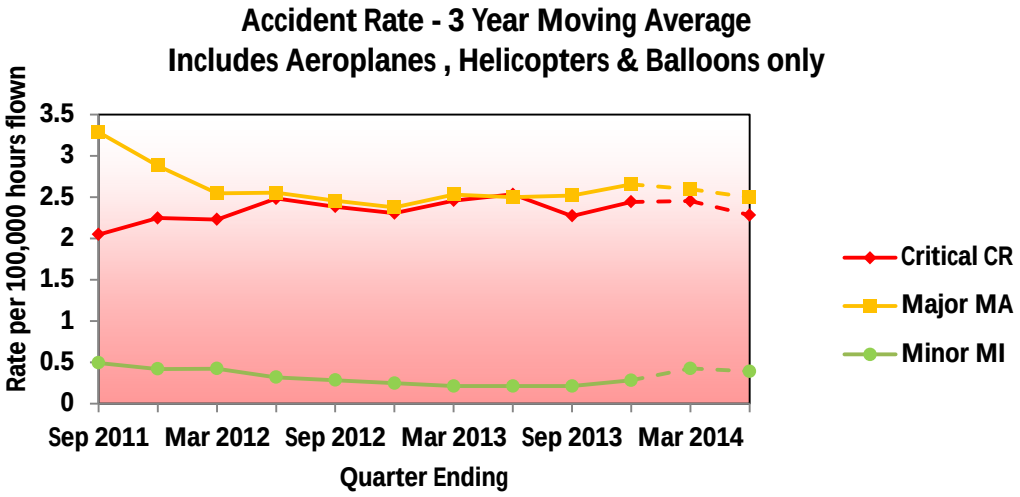
Breakdown by Aircraft Category





Aircraft Category	Straight Line Trend of 3 Year Moving Average
Large Aeroplanes	Trending Down
Medium Aeroplanes	Trending Down
Small Aeroplanes	Not Significant
Agricultural Aeroplanes	Trending Up
Helicopters	Not Significant

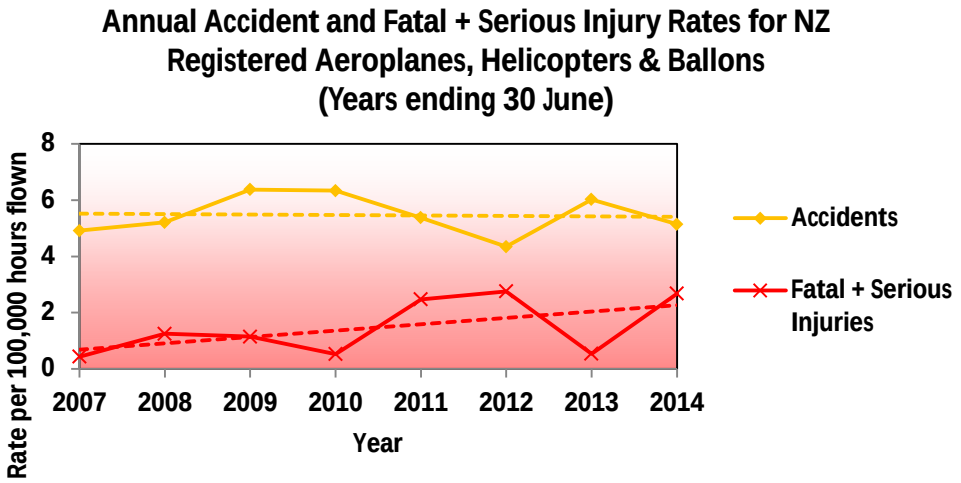
Breakdown by Severity



Severity	Straight Line Trend of 3 Year Moving Average
Critical	Not Significant
Major	Not Significant
Minor	Trending Down

Long-Term Accident Rate

The following graph shows the overall annual accident rate per 100,000 hours flown for the 7 year period ending 30 June 2014. Hang gliders and parachutes are excluded because no reliable activity data is available for those classes.



Note that this graph does not show a moving average and because it also includes some but not all sport aircraft it is not appropriate to compare it to the other accident rate graphs in the report.

Yearly Comparisons – counts, not rates

Critical Accidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Sport Aircraft	14	11	17.7
Helicopters	8	9	12.0
Small Aeroplanes	7	7	8.0
Hang Gliders	5	8	5.3
Parachutes	4	3	3.0
Agricultural Aeroplanes	2	3	1.7
Large Aeroplanes	1	0	0.0
Medium Aeroplanes	0	0	0.3
Unknown	0	0	0.0
Total	41	41	48.0

Major Accidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Sport Aircraft	25	15	16.0
Small Aeroplanes	11	13	11.0
Helicopters	5	12	7.7
Hang Gliders	4	2	4.7
Large Aeroplanes	2	0	0.7
Agricultural Aeroplanes	2	8	2.7
Unknown	2	0	0.0
Parachutes	1	4	4.0
Medium Aeroplanes	0	0	0.3
Total	52	54	47.0

Minor Accidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	4	2	1.0
Sport Aircraft	4	5	1.3
Hang Gliders	3	3	5.7
Parachutes	3	2	1.0
Agricultural Aeroplanes	2	0	0.7
Large Aeroplanes	1	0	1.0
Helicopters	1	0	0.0
Unknown	1	0	0.0
Medium Aeroplanes	0	0	0.3
Total	19	12	11.0

All Accidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Sport Aircraft	43	31	35.0
Small Aeroplanes	22	22	20.0
Helicopters	14	21	19.7
Hang Gliders	12	13	15.7
Parachutes	8	9	8.0
Agricultural Aeroplanes	6	11	5.0
Large Aeroplanes	4	0	1.7
Unknown	3	0	0.0
Medium Aeroplanes	0	0	1.0
Total	112	107	106.0

Safety Target Structure

The 2010 Safety Targets classify all New Zealand aviation under three broad group headings: Public Air Transport, Other Commercial Operations, and Non-commercial Operations. Thirteen further sub-groups enable differentiation between aeroplanes, helicopters, and sport aircraft, and also allow for different weight groups. This section presents the same accidents as the previous section but classified by type of operation (sector) rather than type of aircraft.

Number of Accidents

The following table shows, for each safety target group, the number of accidents each year for the one year period ending 30 June 2014, the previous year and the annual average for the three prior years. All aircraft types are included

Safety Outcome Target Group	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Private Operations - Sport	**57**	50	49.7
Private Operations - Aeroplane	**11**	12	7.3
Other Commercial Operations - Aeroplane	**10**	7	9.3
Sport Transport	**7**	4	10.3
Agricultural Operations - Aeroplane	**6**	11	4.7
Airline Operations - Helicopter	**5**	6	2.0
Airline Operations - Large Aeroplanes	**4**	0	1.7
Other Commercial Operations - Helicopter	**4**	3	6.0
Agricultural Operations - Helicopter	**4**	4	5.0
Other	**2**	1	1.3
Airline Operations - Small Aeroplanes	**1**	2	2.3
Private Operations - Helicopter	**1**	8	6.7
Airline Operations - Medium Aeroplanes	**0**	0	1.0
Total	**112**	**108**	**107.3**

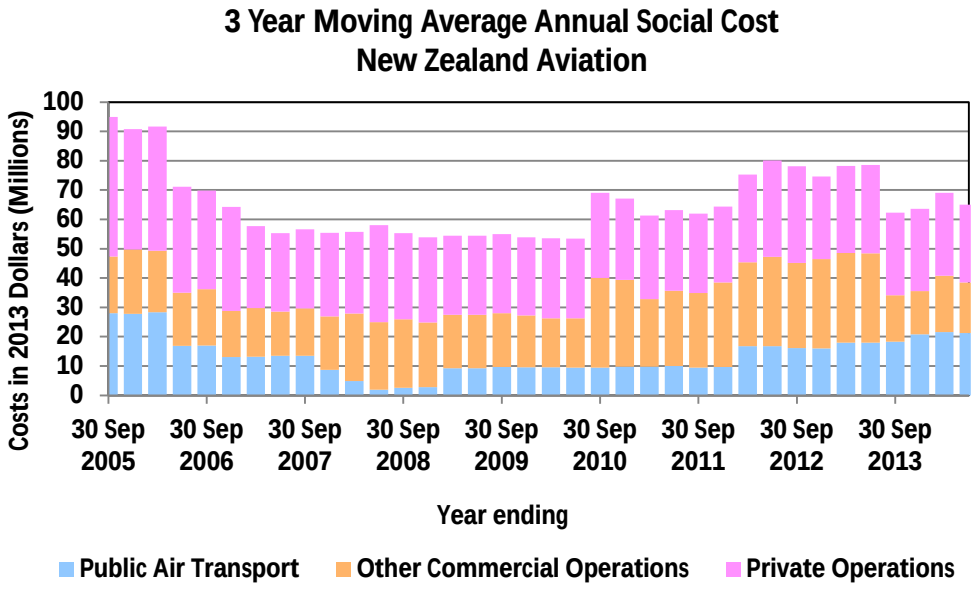
Social Cost

Social cost is the cost of fatal, serious and minor injuries and aircraft destroyed. The following table displays the social cost in millions of dollars (2013$) for each safety target group for the year ending 30 June 2014, the previous year and the annual average for the three prior years.

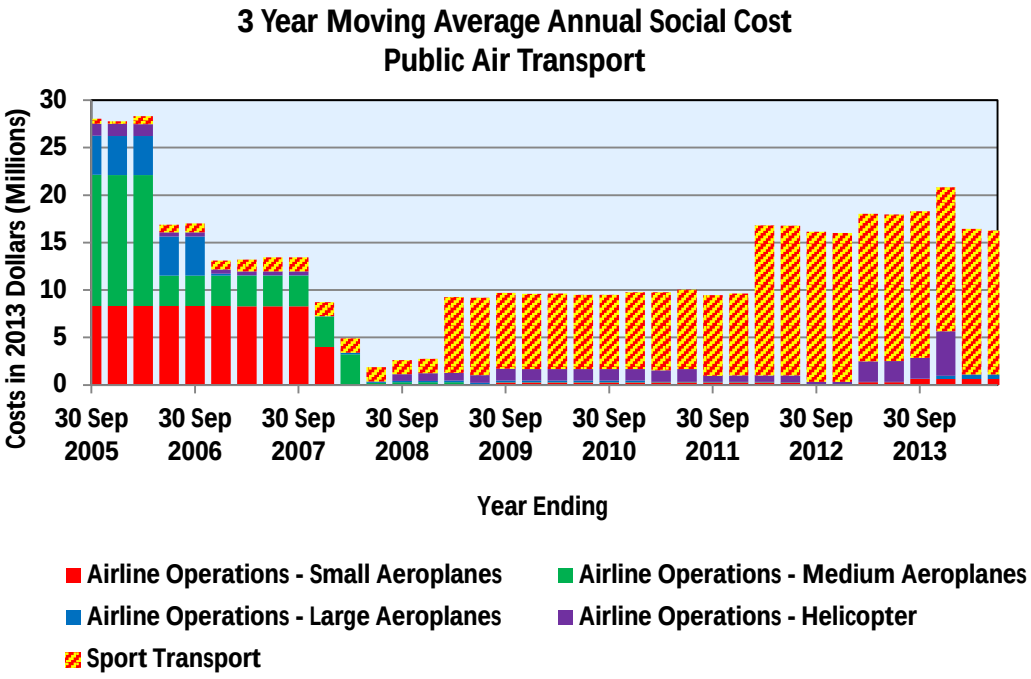
Safety Outcome Target Group	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Other Commercial Operations - Aeroplane	**11.02**	0.19	16.40
Agricultural Operations - Helicopter	**10.68**	0.00	2.24
Private Operations - Sport	**8.85**	18.92	24.70
Airline Operations - Helicopter	**8.80**	5.76	0.68
Private Operations - Helicopter	**8.06**	5.17	3.19
Private Operations - Aeroplane	**4.04**	0.36	4.84
Agricultural Operations - Aeroplane	**1.75**	5.55	0.57
Airline Operations - Large Aeroplanes	**1.33**	0.05	0.02
Airline Operations - Small Aeroplanes	**0.98**	0.72	0.26
Sport Transport	**0.91**	0.66	15.81
Other Commercial Operations - Helicopter	**0.84**	0.35	11.21
Airline Operations - Medium Aeroplanes	**0.00**	0.00	0.02
Other	**0.00**	8.06	0.00
Total	**57.28**	45.8	79.93

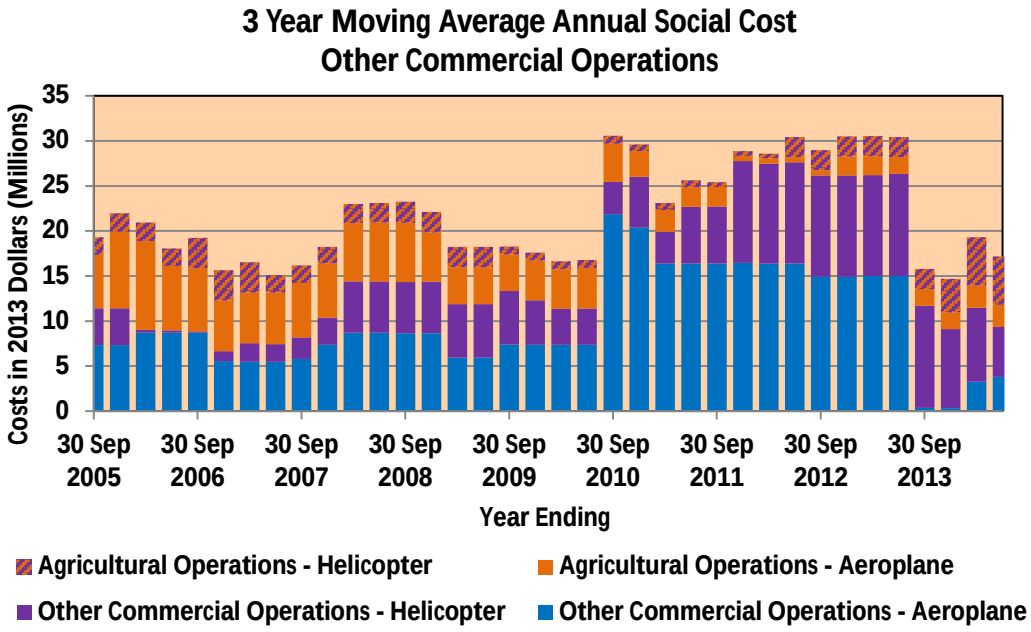
The following charts show the annual social cost (3 year moving average) for each Safety Target Group for the period 1 October 2005 30 June 2014. Social cost is the cost of fatal, serious and minor injuries, and aircraft destroyed, expressed in 2013 dollars. Note that the Sport groups include hang gliders and parachutes.

The first chart shows a breakdown into the three major groups, Public Air Transport, Other Commercial and Private operational.

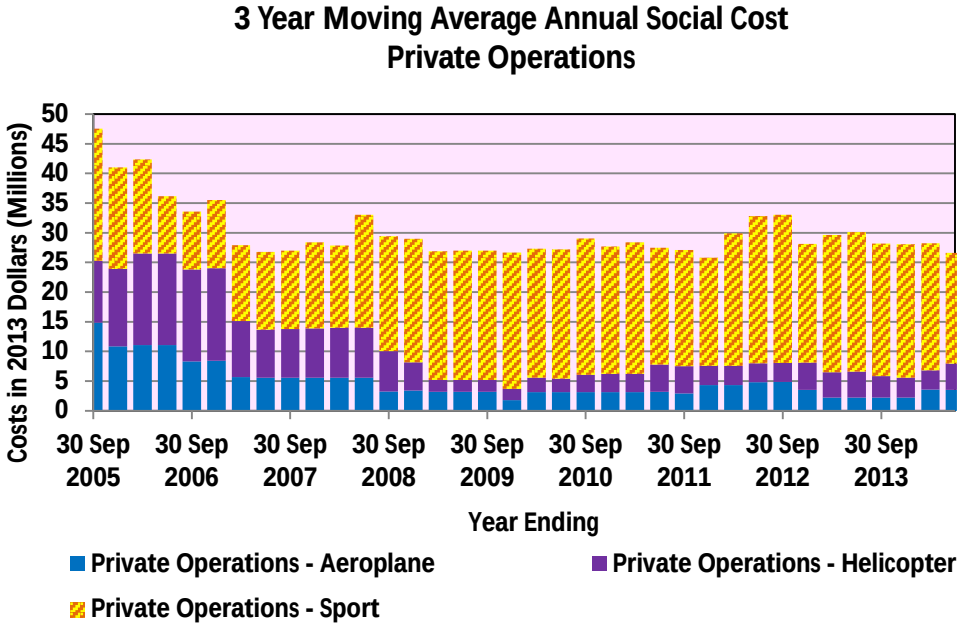


The next three charts show breakdowns of each of the major groups into their individual Safety Outcome Target Groups



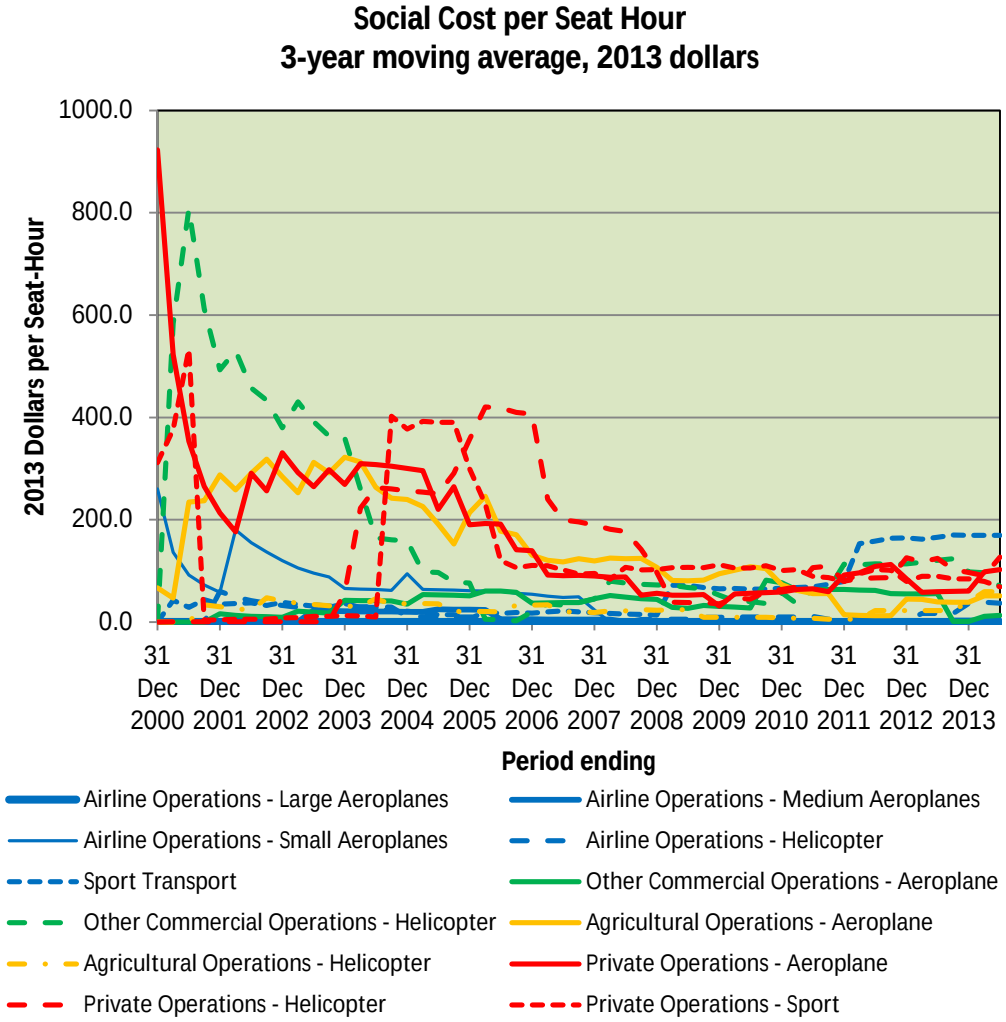


The sudden drop to zero for the 'Other Commercial Aeroplane' series is due to the Fox Glacier accident dropping out of the 3 year averaging process. Note that Other Commercial – Helicopters (purple) remains a significant component of social cost.

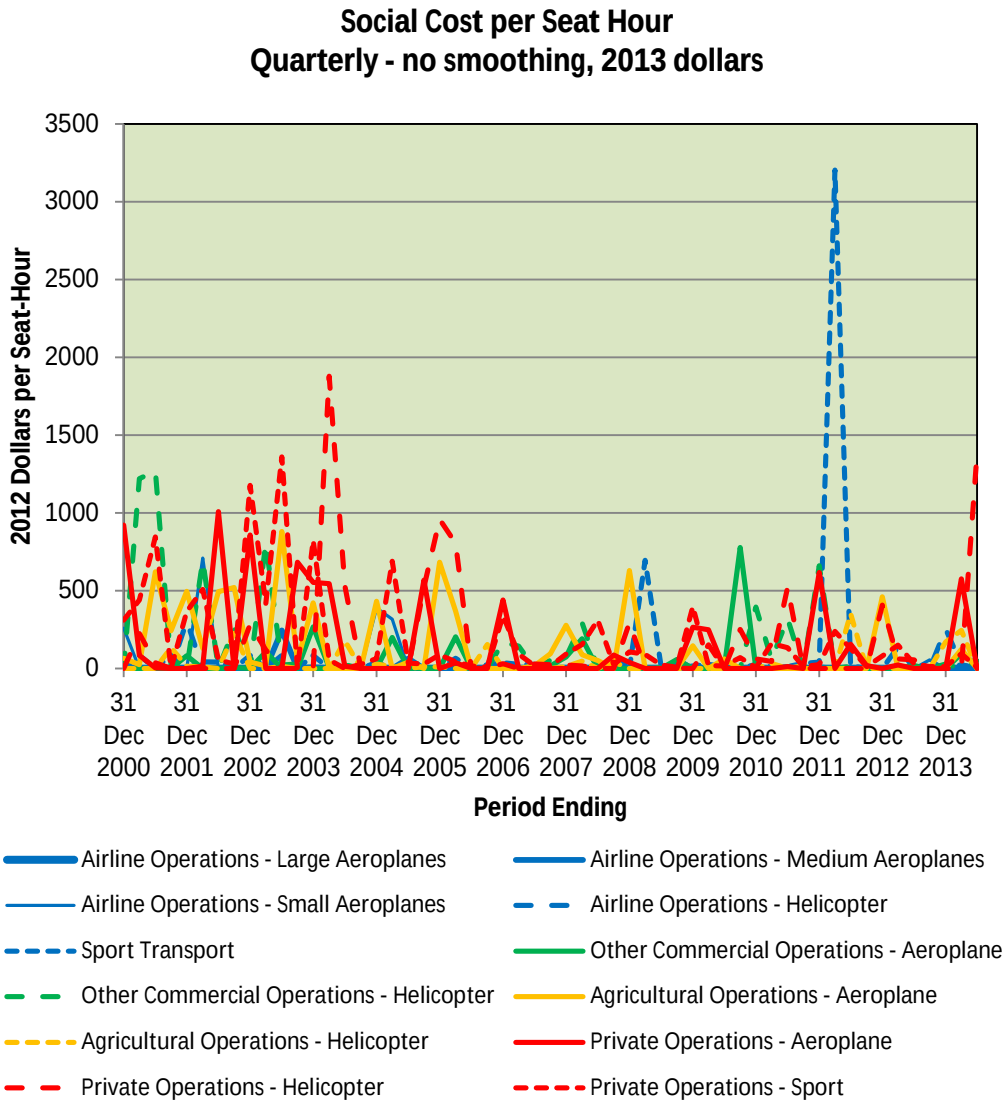


Note 'Private Operations –Sport' includes the aircraft types microlight, amateur-built, parachute and paraglider and accordingly represents a large number of aircraft.

The following graph illustrates an apparent steady decline in the Social Cost **per Seat-Hour** (three year moving average) over the period since the 3rd quarter of 2000. Since the 4th quarter of 2008 the decline has become relatively indiscernible and it may be that social cost levels have reached or are approaching a practical minimum for the current intervention practices. The recent increase in 'Sport Transport (Pt 115) is still showing the effect of the Carterton Balloon Accident (3 year averaging).



However the use of 3-year moving average smoothing to render the graphs more readable has the side effect of masking any abrupt changes in the data. The following graph of the same data with all the smoothing removed shows that major unexpected downturns can occur with no prior warning from this kind of analysis.


Social Cost per Seat Hour
Quarterly - no smoothing, 2013 dollars
2012 Dollars per Seat-Hour
3500
3000
2500
2000
1500
1000
500
0
31 Dec 2000
31 Dec 2001
31 Dec 2002
31 Dec 2003
31 Dec 2004
31 Dec 2005
31 Dec 2006
31 Dec 2007
31 Dec 2008
31 Dec 2009
31 Dec 2010
31 Dec 2011
31 Dec 2012
31 Dec 2013
Period Ending
Airline Operations - Large Aeroplanes
Airline Operations - Medium Aeroplanes
Airline Operations - Small Aeroplanes
Airline Operations - Helicopter
Sport Transport
Other Commercial Operations - Aeroplane
Other Commercial Operations - Helicopter
Agricultural Operations - Aeroplane
Agricultural Operations - Helicopter
Private Operations - Aeroplane
Private Operations - Helicopter
Private Operations - Sport

Safety Outcome Targets

Each target group has its own target level expressed as social cost per unit of passenger exposure, the unit being one seat hour. For target groups that are not predominantly passenger carrying a surrogate of 500 kg of aircraft weight is used instead of passenger exposure. These outcome targets represent the maximum level of social cost considered acceptable for each group.

The table below shows the average Safety Outcomes in 2013 dollars per seat-hour (including the cost of aircraft destroyed) for the three year period ending 30 June 2014. Target groups highlighted in yellow are groups where major safety improvements need to be achieved as the sector is significantly above the target level. Red text has been used to draw attention to groups with significant recent safety failures (accidents).

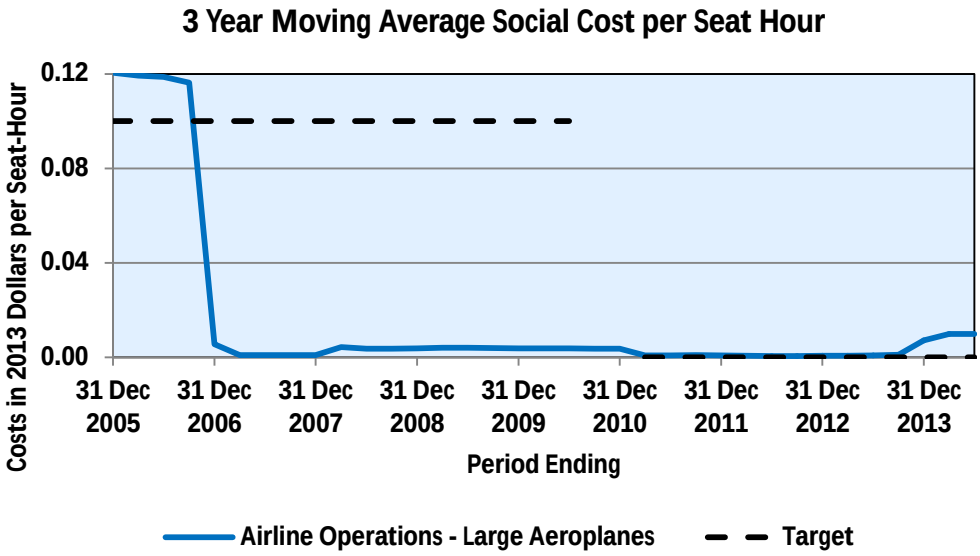
Safety Target Group	Current Estimate	Target
Airline Operations — Large Aeroplanes	0.01	0.00
Airline Operations — Medium Aeroplanes	0.00	0.02
Airline Operations — Small Aeroplanes	5.54	2.34
Airline Operations — Helicopter	36.79	6.50
Sport Transport	169.64	13.00
Other Commercial Operations — Aeroplane	13.09	6.50
Other Commercial Operations — Helicopter	69.88	6.50
Agricultural Operations — Aeroplane	51.08	14.00
Agricultural Operations — Helicopter	59.37	8.56
Private Operations — Aeroplane	102.49	10.00
Private Operations — Helicopter	126.71	10.00
Private Operations — Sport	68.92	20.00

Current Estimate:

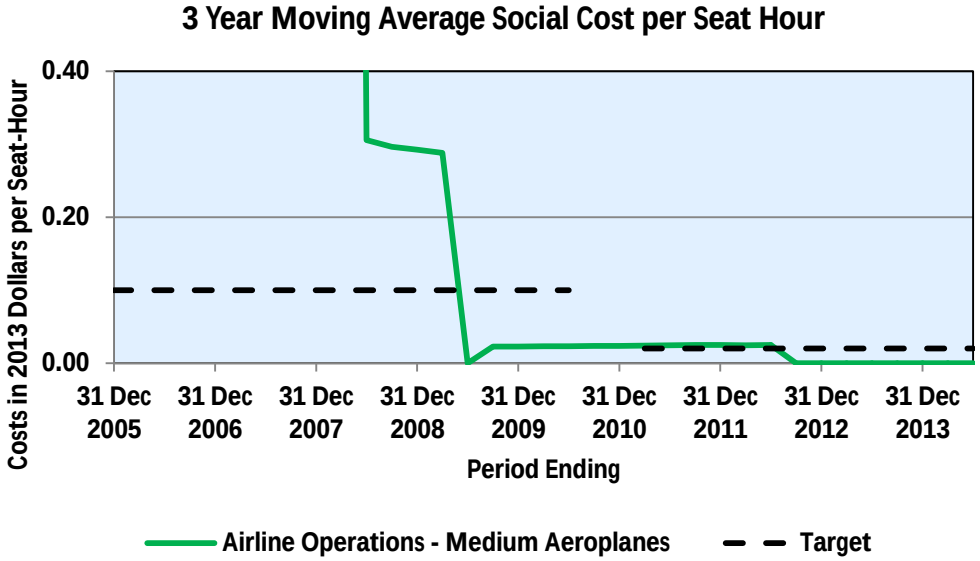
This is the estimated social cost of injuries and aircraft destroyed per seat hour for the three year period. Note: Aviation Safety reports prior to July to December 2008 used a 10 year averaging period for large and medium aeroplanes and a one year period for all others.

Safety Target Graphs

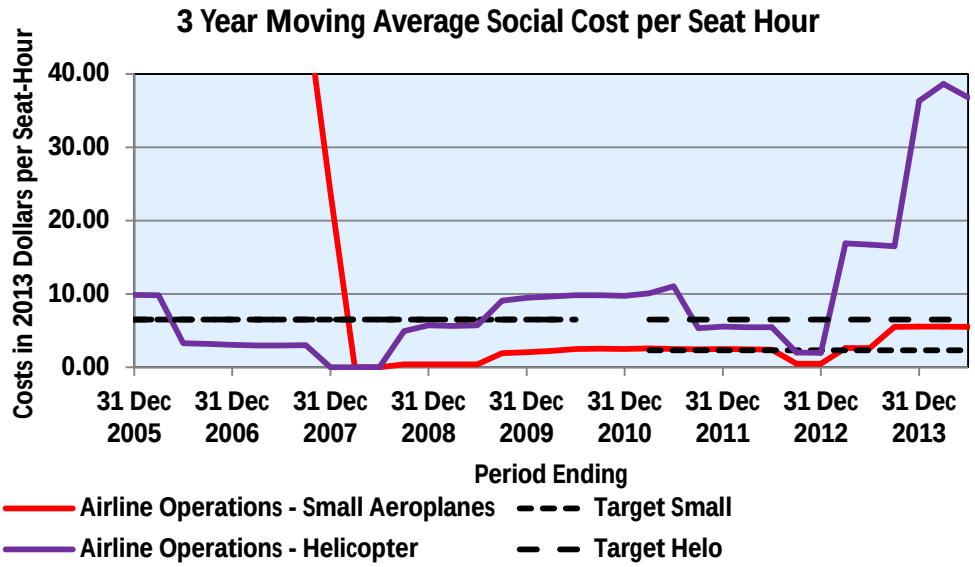
Graphs displaying the Safety Outcome Targets and the quarterly progress of Safety Outcomes derived using 3 year averages are shown on the following pages. These graphs span the period from 1 October 2005 when Social Cost targets were introduced to 30 June 2014 when the current targets are due for review.



The outcome for Airline Operations – Large Aeroplanes remained well below the initial target level of $0.10 per seat hour of exposure from late 2006 until the targets were revised in 2011. The new target appears on the graph as 0 but is actually $0.0034 and the current performance has been significantly below the target until recently. One recent serious injury and one incident where significant damage occurred has now taken the figure above the target. There is no significant recent trend either up or down. 0 fatal, 3 serious and 14 minor injuries were reported in this group during the 3 year period ending 30 June 2014.

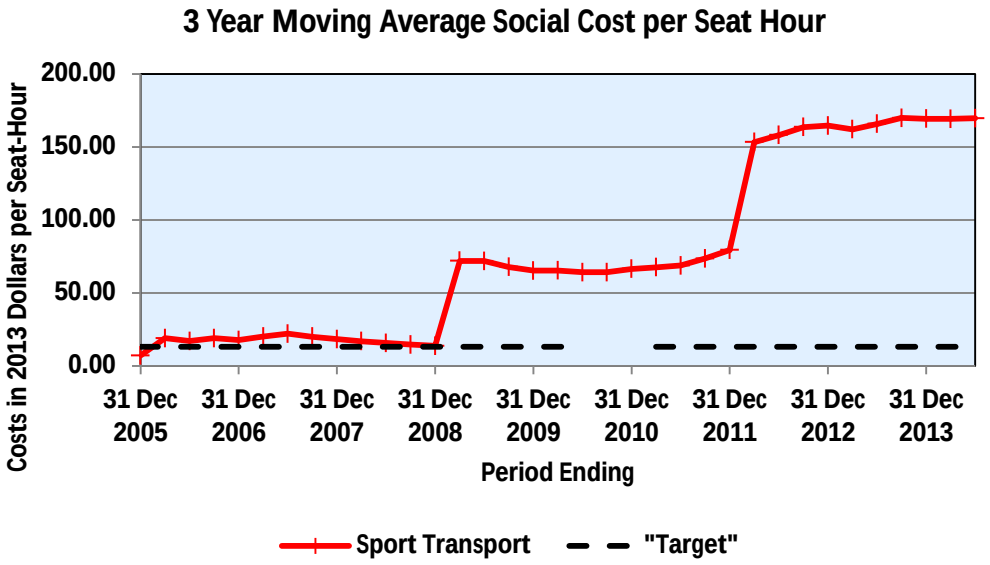


The outcome for Airline Operations – Medium Aeroplanes dropped below the initial target during the second quarter of 2009 and is trending down. The outcome is now below the new target of $0.02 per seat hour. No fatal, no serious and no minor injuries were reported in this group during the 3 year period ending 30 June 2014.



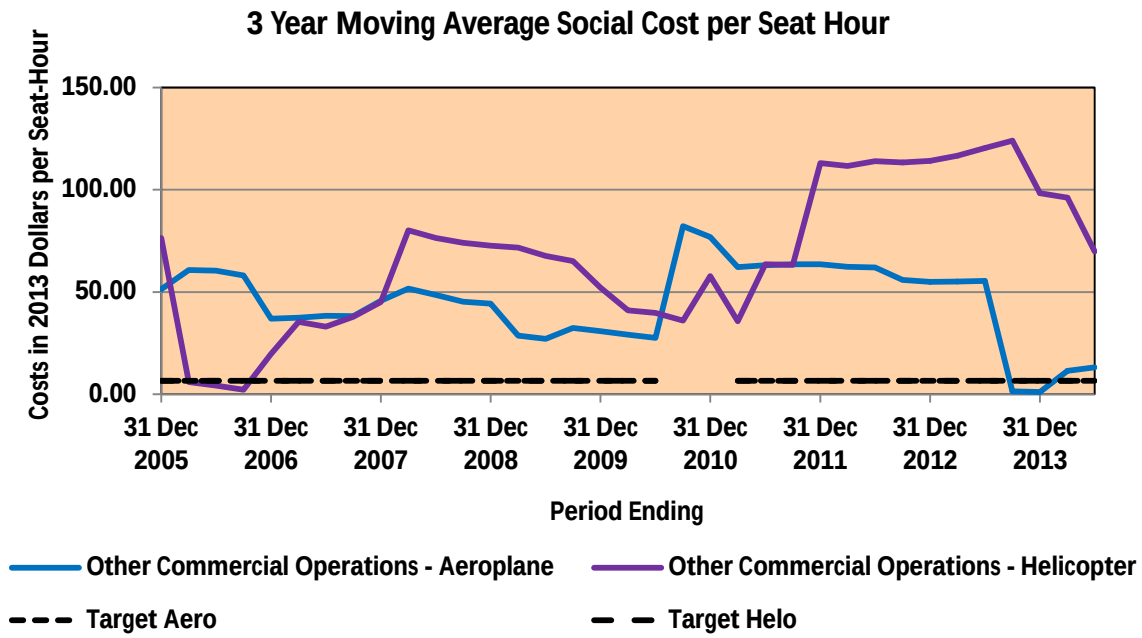
The outcome for Airline Operations – Small Aeroplanes shows a significant long term downward trend from the high starting point of $45.64 per seat-hour of exposure in the three years to September 2007. The safety outcome for this group has been below the initial target level since the January to March 2008 quarter but exceeded the new target of $2.34 by a very small amount until the July to August quarter of 2012 when it fell below the target where it remained until the January to March quarter of 2013 when it again exceeded the target which it has continued to do. No fatal, serious or minor injuries were reported in this group during the 3 year period ending 30 June 2014.

The outcome for Airline Operations – Helicopter exceeded the target level until the second quarter of 2006 and it has done so again since the 3rd quarter of 2009. A small upward trend is evident. The new target of $6.50 per seat hour is the same as the old value and was achieved again from the 3rd quarter of 2011 until the 1st quarter of 2013 when two fatal injuries caused the target to be exceeded. **2 fatal**, 2 serious and 7 minor injuries were reported in this group during the 3 year period ending 30 June 2014.



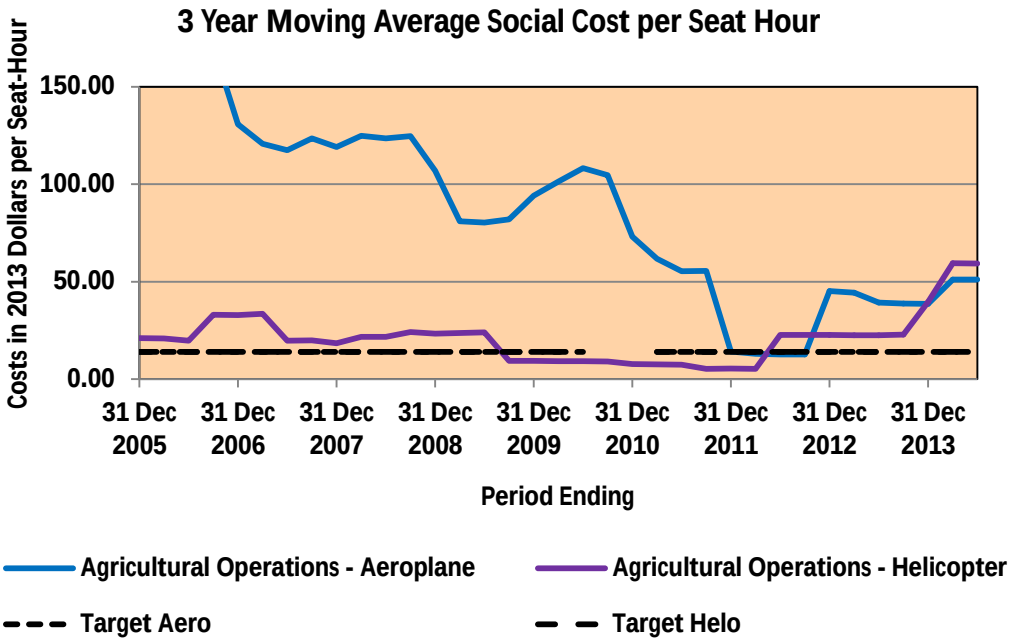
Two hang glider, two microlight and one glider fatalities during the first quarter of 2009 and 11 balloon fatalities in 2012 have contributed to a significant increase in the upward trend displayed by this group. The outcome exceeds the target of $13.00 by a large margin. **11 fatal**, 6 serious and 15 minor injuries were reported in this group during the 3 year period ending 30 June 2014. 17 accidents were reported as occurring during this 3 year period.

Note that this group includes hang gliders and parachutes used on Part 115 air transport operations.



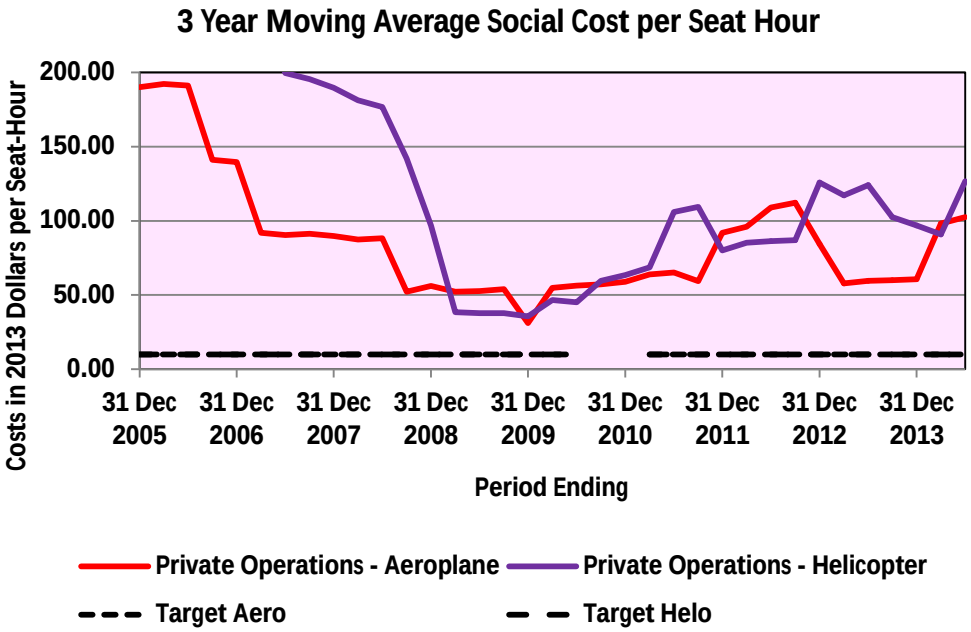
The outcome for Other Commercial Operations – Aeroplane briefly fell below the target of $6.50 per seat hour as a result of the Fox Glacier accident with 7 fatalities that worked its way out of the 3 year averaging period. Unfortunately 2 recent fatalities have reversed this trend. **2 fatal,** 6 serious and 1 minor injuries were reported in this group during the 3 year period ending 30 June 2014.

The outcome for Other Commercial Operations – Helicopter turned sharply upwards during the first quarter of 2008 and again in the 3rd quarter of 2011. It remains well above the target level of $6.50 per seat hour. **3 fatal**, 3 serious and 6 minor injuries were reported in this group during the 3 year period ending 30 June 2014.



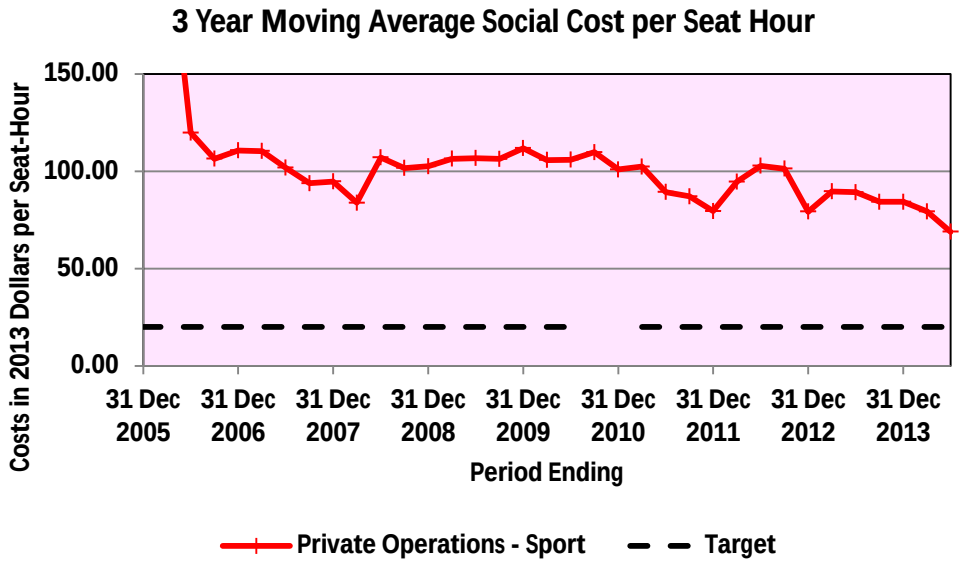
The outcome for Agricultural Operations – Aeroplanes has been well above the target level of $14.00 per seat hour but has been steadily trending down and this group achieved its target in the 4th quarter of 2011. A fatality in the 4th quarter of 2012 again took the outcome above the target. **1 fatal,** 3 serious and 1 minor injury were reported in this group during the 3 year period ending 30 June 2014.

The outcome for Agricultural Operations – Helicopter was below the target level of $8.56 per seat hour from the 3rd quarter of 2009 until the 2nd quarter of 3011 but a fatality during that quarter resulted in the target again being exceeded from the 2nd quarter of 2012. **3 fatal**, 1 serious and 1 minor injury were reported in this group during the 3 year period ending 30 June 2014.



The outcome for Private Operations – Aeroplanes had been slowly trending down since late 2005 but remained well above the target of $10.00 per seat hour. The downward trend reversed in the first quarter of 2010 and an upward trend has continued since then. **2 fatal**, 5 serious and 1 minor injuries were reported in this group during the 3 year period ending 30 June 2014.

The outcome for Private Operations – Helicopters was trending down from early 2006 but remained above the target of $10.00 per seat hour. From the first quarter of 2009 the downward trend has reversed. **3 fatal**, no serious and 2 minor injuries were reported in this group during the 3 year period ending 30 June 2014.

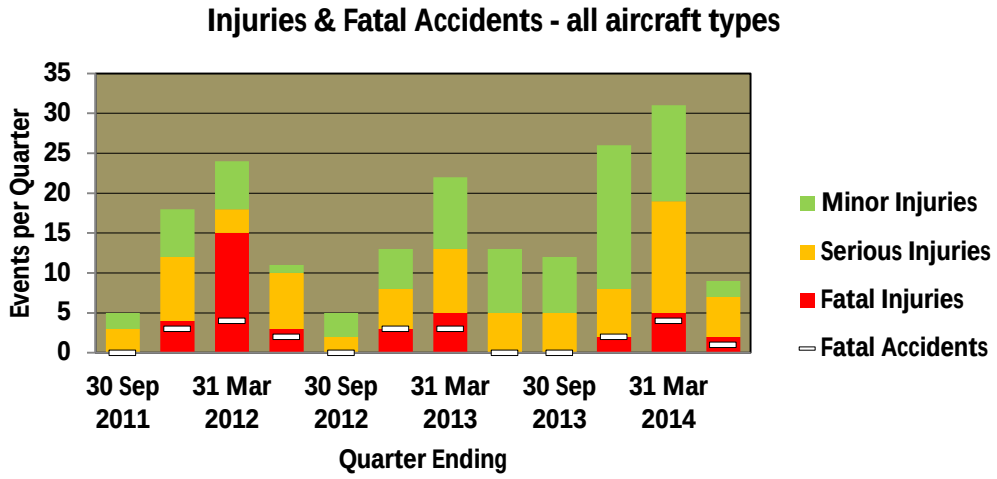


The outcome for Private Operations – Sport is well above the target level of $20.00 per seat hour and shows no significant trend. **10 fatal**, 39 serious and 31 minor injuries were reported in this group during the 3 year period ending 30 June 2014.

Note that this group includes hang gliders and parachutes used on private operations.

Injury Accidents

The following chart shows the number of injuries, broken down by severity (fatal, serious or minor) in each quarter of the 3-year period ending 30 June 2014. All aircraft types are included. The chart also shows the number of fatal accidents.



A breakdown of the same three years' data by Safety Outcome Target Group is shown in the table below.

Safety Target Group	Injuries			Fatal Accidents
	Fatal	Serious	Minor	
Airline Operations — Large Aeroplanes	0	3	14	0
Airline Operations — Medium Aeroplanes	0	0	0	0
Airline Operations — Small Aeroplanes	0	3	0	0
Airline Operations — Helicopter	2	2	7	2
Sport Transport	11	6	15	1
Other Commercial Operations — Aeroplane	2	6	1	1
Other Commercial Operations — Helicopter	3	3	6	2
Agricultural Operations — Aeroplane	1	3	1	1
Agricultural Operations — Helicopter	3	1	1	3
Private Operations — Aeroplane	2	5	1	2
Private Operations — Helicopter	3	0	2	2
Private Operations — Sport	10	39	31	7
Other	2	0	0	1

Yearly Comparison

The following table displays the number of fatalities for each safety target group for the year ending 30 June 2014, the previous year and the average of the three prior years.

Safety Outcome Target Group	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Other Commercial Operations - Aeroplane	**2**	0	4.00
Agricultural Operations - Helicopter	**2**	0	0.33
Private Operations - Helicopter	**2**	1	0.33
Airline Operations - Helicopter	**1**	1	0.00
Private Operations - Aeroplane	**1**	0	1.00
Private Operations - Sport	**1**	3	5.33
Airline Operations - Large Aeroplanes	**0**	0	0.00
Airline Operations - Medium Aeroplanes	**0**	0	0.00
Airline Operations - Small Aeroplanes	**0**	0	0.00
Sport Transport	**0**	0	3.67
Other Commercial Operations - Helicopter	**0**	0	2.33
Agricultural Operations - Aeroplane	**0**	1	0.00
Other	**0**	2	0.00
Total	**9**	8	17.00

Groups that showed increased numbers of fatalities for the period were:

Other Commercial Aeroplane Operations,
Agricultural Helicopter Operations,
Private Aeroplane and Private Helicopter Operations.

The following groups had a reduced number of fatalities relative to the previous period.

Private Sport Operations
Agricultural Aeroplane Operations

Flight Phase

The following table shows the flight phase recorded for accidents for the year ending 30 June 2014, the previous year and the average of the three prior years. The figures include all aircraft types.

Flight Phase	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Landing	48	44	37.3
Takeoff	20	9	20.7
Cruise	11	12	11.0
Approach	8	6	5.7
Climb	7	5	6.3
Unknown	6	8	8.3
Taxiing	4	3	3.7
Agricultural Manoeuvres	2	3	3.0
Descent	2	6	3.3
Hover	2	2	4.0
Aerobatics	1	0	0.3
Hover Taxi	1	2	0.0
Circuit	0	0	0.7
Holding	0	0	0.0
Parked	0	8	3.0
Total	112	108	107.3

The most common phase of flight during which accidents occurred in the year ending 30 June 2014 was the Landing phase (43%)

The most common event descriptor associated with Landing phase accidents during the year ending 30 June 2014 was 'Hard Landing' (20%)

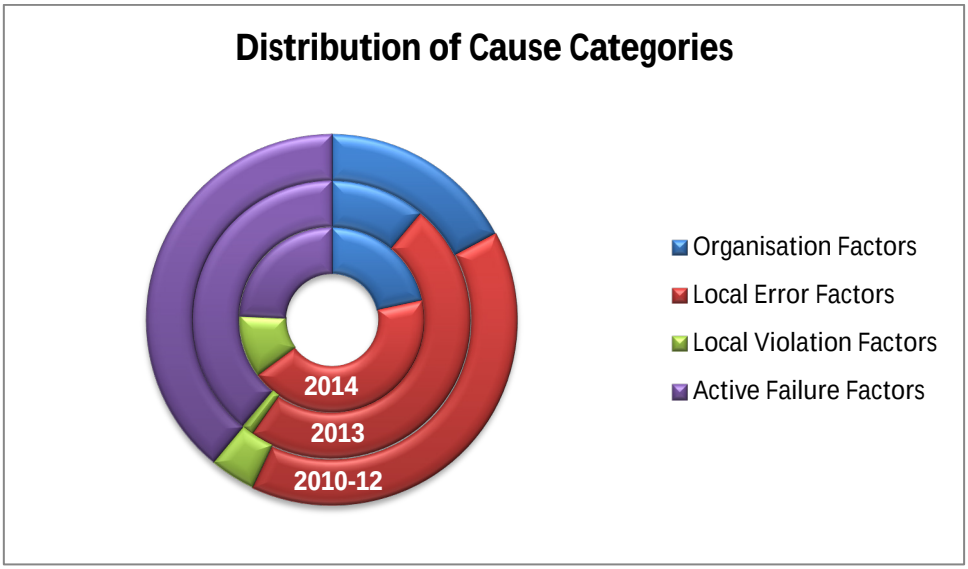
The most common causes (at 10.2% each) recorded for Landing phase accidents during the year ending 30 June 2014 were 'Local Error Factors - RISK MISPERCEPTION' and 'Active Failure Factors - STATE CHANGE NOT DETECTED "INFORMATION"'

This ratio of accident by flight phase is largely unchanged from previous years and reflects the fact that landing is the highest risk phase of flight.

Accident Causal Factors

Causal factors have been assigned to 20 (18%) of the 112 accidents that were reported as occurring during the year ending 30 June 2014. This compares with 38% for the same period in the previous year and an average of 68% over the prior three years. In making this comparison it is important to remember that the assignment of causal factors is an outcome of an investigation and for the current period may not be completed in time for inclusion in this report

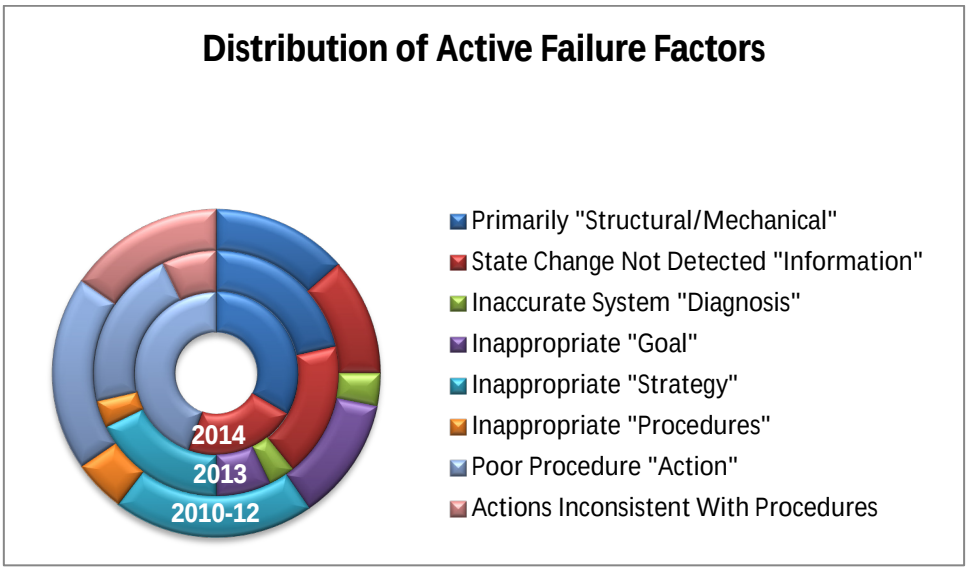
The following chart shows the distribution of cause categories (groupings of causal factors) recorded for accidents that occurred during the year ending 30 June 2014, the same period for the previous year and the average for the three years before that.



Active Failure Factors

The Active Failure cause category has been further analysed on the grounds that whatever precursor latent failures may exist and be discovered during a subsequent investigation, at least one 'Unsafe Act' (e.g. Omitted checklist item, Exceeded ability etc.) must occur for an accident to result. These unsafe acts are collectively grouped as Active Failure Factors.

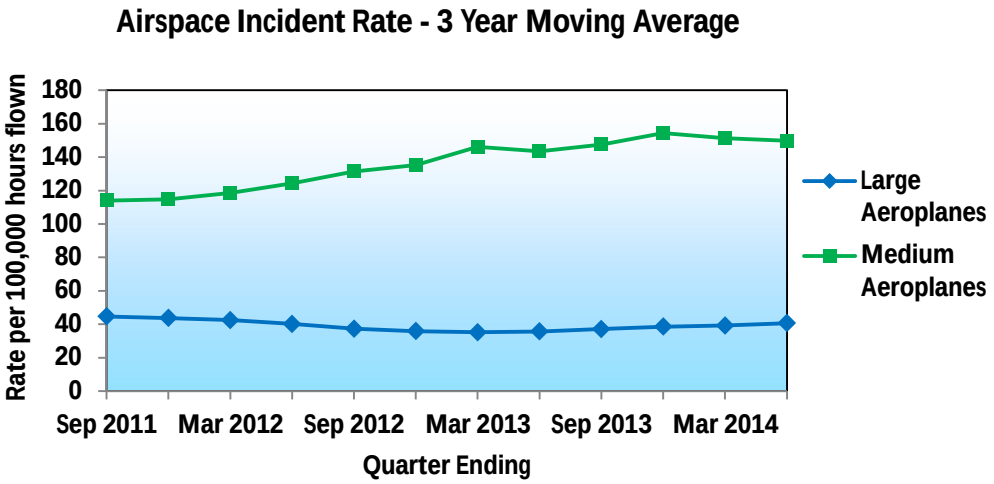
The following chart shows the distribution of Active Failure causes during the same periods as above.

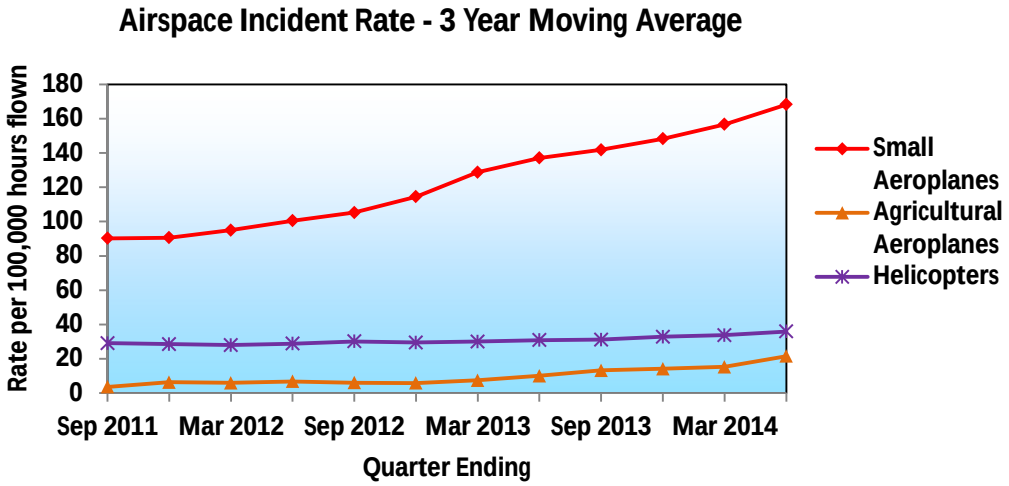


Airspace Incidents

The following graphs show the airspace incident reporting rates (incidents per 100,000 hours flown) three year moving average for the three-year period ending 30 June 2014 (excluding the Sport Aircraft category). The graphs do not differentiate between incidents that are pilot or ATS attributable.

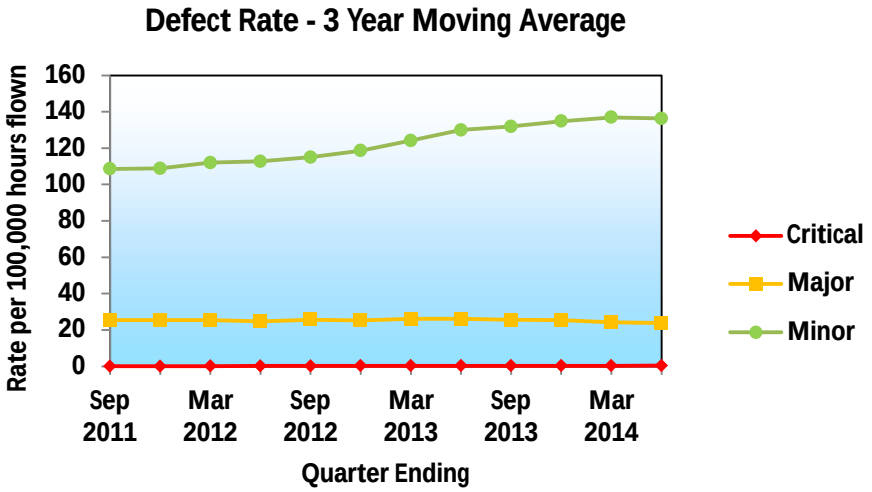
Breakdown by Aircraft Category





Aircraft Category	Straight Line Trend of 3 Year Moving Average
Large Aeroplanes	Not Significant
Medium Aeroplanes	Trending Up
Small Aeroplanes	Trending Up
Agricultural Aeroplanes	Trending Up
Helicopters	Trending Up

Breakdown by Severity



Severity	Straight Line Trend of 3 Year Moving Average
Critical	Trending Down
Major	Not Significant
Minor	Trending Up

The upward trend in minor airspace incidents is under investigation

Yearly Comparisons

By Aircraft Category

Critical Airspace Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	5	6	9.0
Not Recorded	4	0	2.3
Helicopters	3	1	2.3
Medium Aeroplanes	1	1	0.3
Sport Aircraft	1	1	1.7
Agricultural Aeroplanes	1	0	0.3
Large Aeroplanes	0	0	1.0
Total	15	9	17.0

Major Airspace Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	51	78	61.0
Not Recorded	36	42	42.7
Large Aeroplanes	14	14	12.7
Helicopters	13	18	9.3
Medium Aeroplanes	10	5	11.0
Sport Aircraft	6	9	11.0
Agricultural Aeroplanes	0	1	0.3
Total	130	167	148.0

Minor Airspace Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	447	453	262.3
Not Recorded	447	376	300.7
Large Aeroplanes	131	125	116.3
Sport Aircraft	82	70	39.3
Helicopters	63	59	42.3
Medium Aeroplanes	58	95	56.3
Agricultural Aeroplanes	14	5	2.0
Total	1242	1183	819.3

All Airspace Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	503	537	332.3
Not Recorded	487	418	345.7
Large Aeroplanes	145	139	130.0
Sport Aircraft	89	80	52.0
Helicopters	79	78	54.0
Medium Aeroplanes	69	101	67.7
Agricultural Aeroplanes	15	6	2.7
Total	1387	1359	984.3

By Nearest Airways Monitored Aerodrome

All Airspace Incidents	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Hamilton	**181**	**265**	129.0
Not Reported	**160**	**171**	110.7
Other	**127**	**132**	132.7
Auckland	**122**	**110**	105.7
Christchurch	**121**	**85**	73.3
Tauranga	**98**	**86**	48.3
Wellington	**81**	**71**	64.3
Palmerston North	**78**	**48**	39.0
Queenstown	**51**	**51**	39.7
Nelson	**45**	**31**	40.3
Dunedin	**40**	**45**	18.3
Ohakea	**40**	**33**	29.0
Rotorua	**38**	**37**	34.0
Paraparaumu	**36**	**34**	20.0
New Plymouth	**33**	**16**	19.3
Napier	**31**	**32**	15.7
Woodbourne	**31**	**23**	17.7
Gisborne	**23**	**24**	9.3
Taupo	**23**	**33**	21.0
Whenuapai	**15**	**19**	7.7
Invercargill	**6**	**6**	5.7
Whakatane	**4**	**4**	2.7
Milford Sound	**3**	**3**	1.0
Total	**1387**	**1359**	**984.3**

The relative positions of Hamilton and Auckland compared with their movements (page 24) is likely to reflect the involvement of training aircraft in airspace occurrences as Hamilton is reporting a much greater number of airspace occurrences despite comparable aircraft movements.

Airspace Incident Attributability

Introduction

Airspace incidents are categorised as

- ATS or
- Pilot or
- ATS and pilot attributable.

The categorisation is based on the result of an investigation if available otherwise it is based on the descriptor assignment.

For the purposes of this analysis airspace incidents have been divided into those that have been identified to have an ATS-attributable element and those that have a pilot-attributable element. Accordingly there is some overlap in the number of occurrences reported where both ATS and pilot elements are involved.

Note: ATS-attributable airspace occurrences include those that are attributable to both New Zealand and external ATS organisations. External ATS organisations are included where information coordination problems have arisen or where a New Zealand registered aircraft has reported a conflict in non-NZ airspace.

Descriptors

Occurrence descriptors have been established for 1378 of the 1387 reported airspace incidents in the period Year Ending 30 June 2014. This means that most but not quite all airspace incidents are accounted for in the following attributability graphs.

Note: each airspace incident may have more than one airspace incident descriptor.

Yearly Comparison

The following table shows the assignment of airspace occurrence descriptors that are associated with airspace incidents that have an ATS-attributable component.

Descriptor	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
ATS coordination deficiency	117	115	79.7
ATS clearance/instruction deficiency	86	117	57.0
ATS flight information deficiency	15	16	12.0
ATS flight planning system deficiency	6	26	14.3
Total	224	274	163

The following table shows the assignment of airspace occurrence descriptors that are associated with airspace incidents that have a pilot-attributable component.

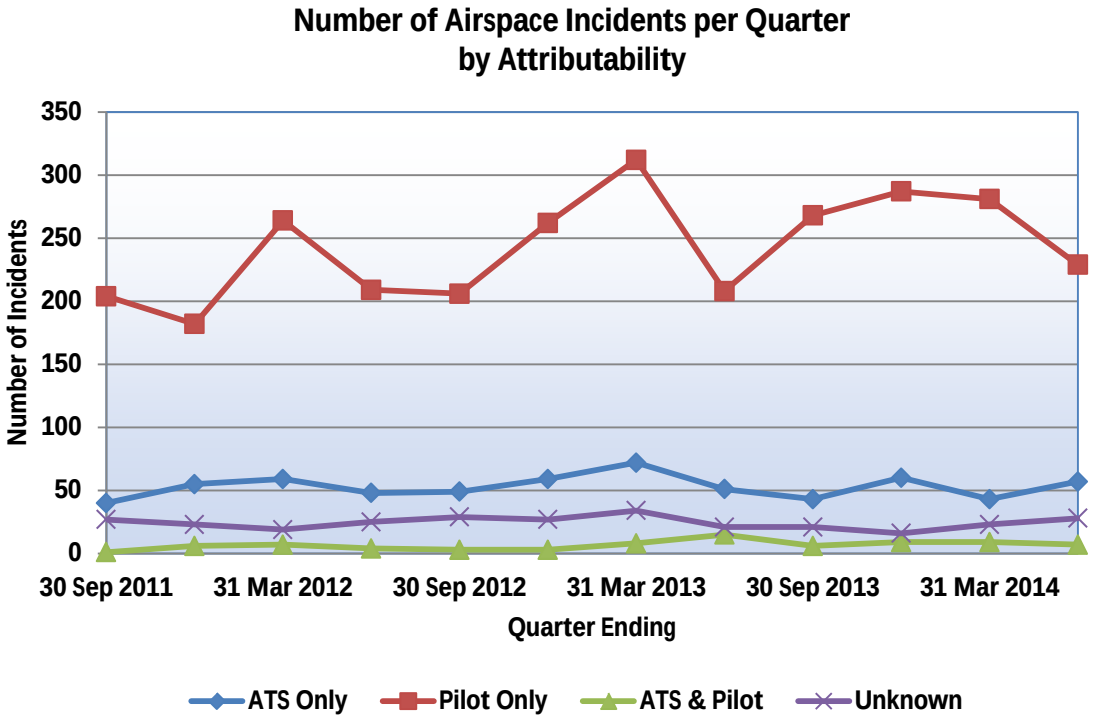
Descriptor	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Unauth airspace incursion	439	368	292.7
Breach of other clearance	354	316	174.0
Unauth altitude penetration	191	187	90.0
Pilot position reporting deficiency	123	85	61.0
Pilot flight planning deficiency	32	25	21.0
Pilot readback deficiency	3	7	4.3
Flight assist	1	4	4.3
Total	1143	992	448

The following table shows the assignment of airspace occurrence descriptors that could be associated with any airspace incident.

Descriptor	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Traffic collision avoidance system	77	77	101.0
Other	59	34	33.7
Loss of separation	56	62	47.0
Near collision	17	12	32.0
Short term conflict alert	5	5	3.3
Controller/pilot datalink communications	0	2	0.0
Reduced vertical separation minima	0	2	1.3
Total	214	194	139

Trend

The following graph shows the quarterly numbers of airspace incident reports and their attributability for the three year period ending 30 June 2014.



Quarterly ASP incident report numbers show an upward trend for incidents attributable to pilot only and to ATS & pilot. Incidents attributable to ATS only and where attributability is unknown show neither an upward nor a downward trend

The number of "unknown" attributable airspace incidents reflects difficulties with coding of reports received by the CAA. Note that there is often a time delay between incidents occurring, being investigated, and attributability being assigned to either ATS or Pilot.

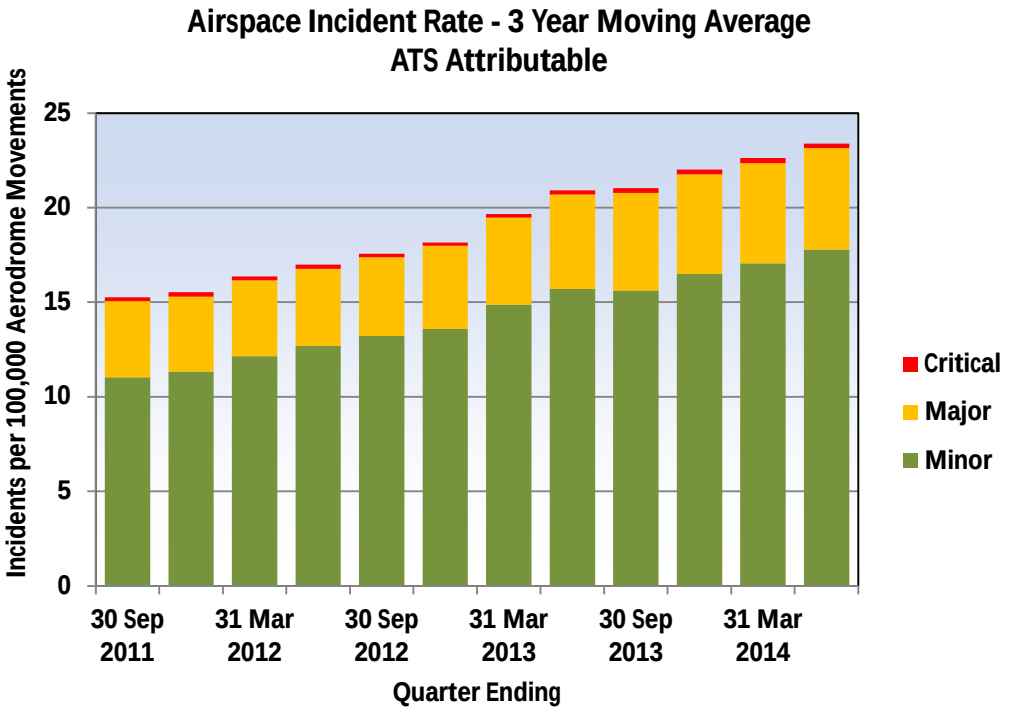
The following table shows the attributability of airspace incidents.

Attributability	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Pilot Only	1065	988	722.0
ATS Only	203	231	173.7
Unknown	88	111	80.3
ATS & Pilot	31	29	8.3
Total	1387	1359	984

ATS Attributable ASP Incidents

Occurrence Trend

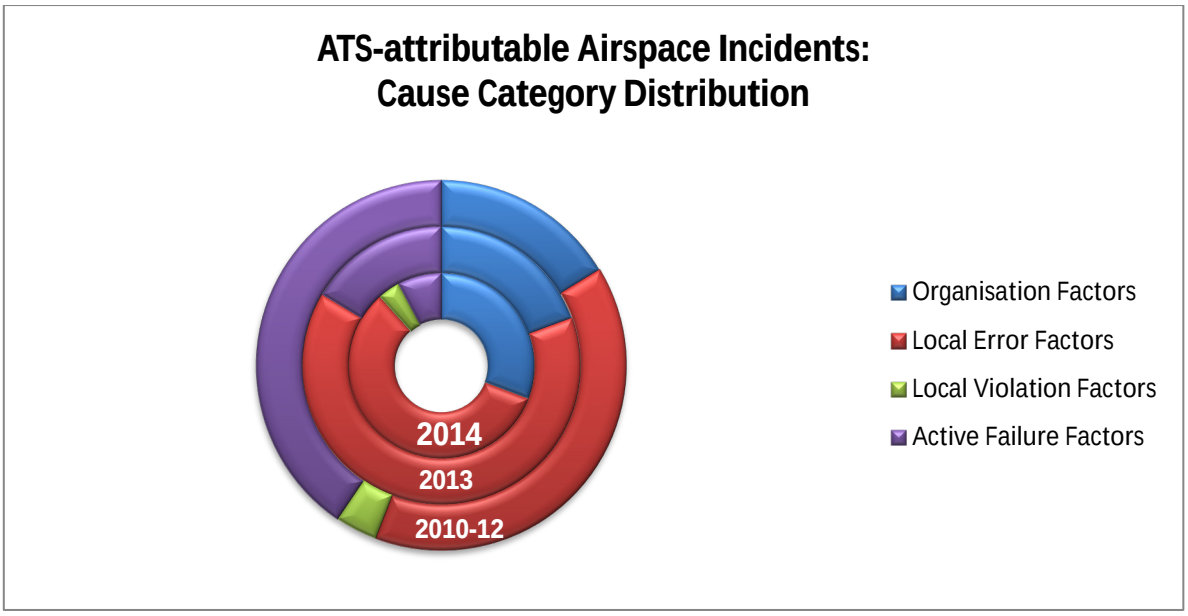
The following chart shows the airspace incident reporting rate for Air Traffic Service (ATS)-attributable incidents. The values are incidents per 100,000 reported aircraft movements, 12 month moving average for the 3 year period ending 30 June 2014.



The ATS-attributable airspace incident rate over the three year period is trending upwards.

Causal Factors

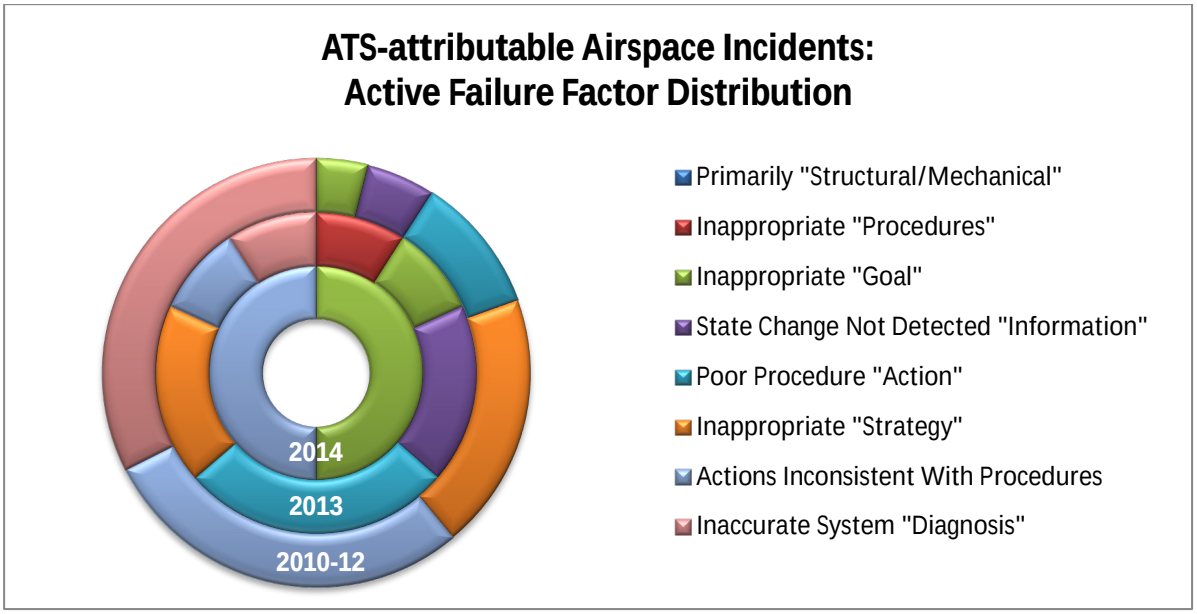
The following chart shows the distribution of cause categories (groupings of causal factors) recorded for ATS-attributable airspace incidents that occurred during the year ending 30 June 2014, the same period for the previous year and the average for the three years before that.



Active Failure Factors

The Active Failure cause category has been further analysed on the grounds that whatever precursor latent failures may exist and be discovered during a subsequent investigation, at least one 'Unsafe Act' (e.g. Omitted checklist item, Exceeded ability etc.) must occur for an accident to result. These unsafe acts are collectively grouped as Active Failure Factors.

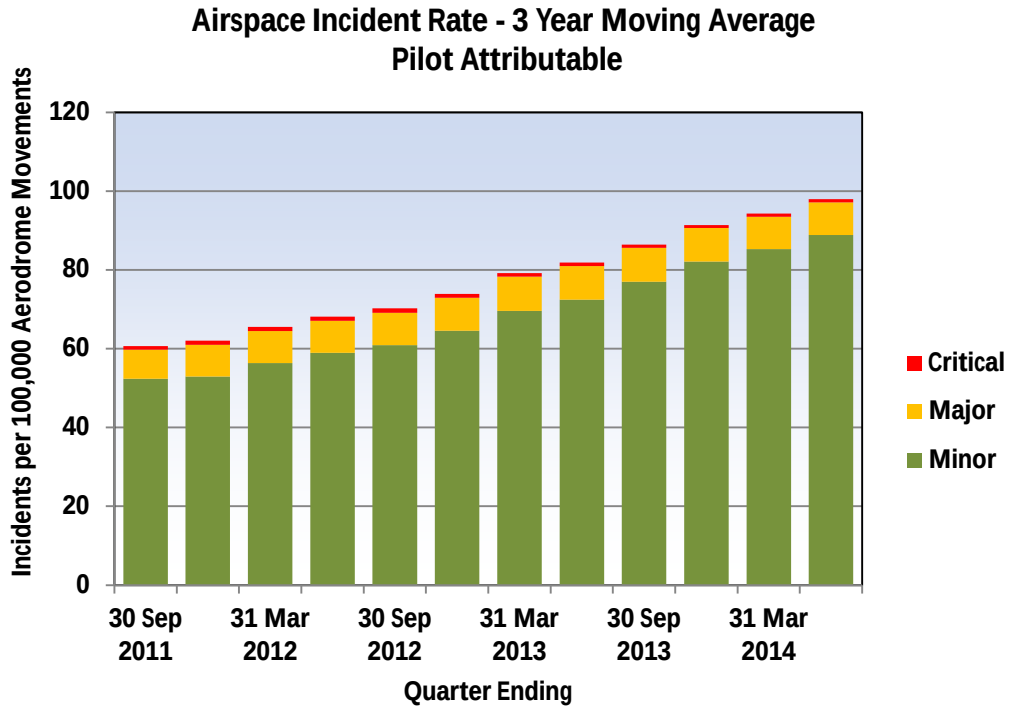
The following chart shows the distribution of Active Failure causes during the same periods as above.



Pilot Attributable ASP Incidents

Occurrence Trend

The following graph shows the airspace incident reporting rate for pilot attributable incidents. The values are incidents per 100,000 reported aircraft movements, 12 month moving average for the three-year period ending 30 June 2014.

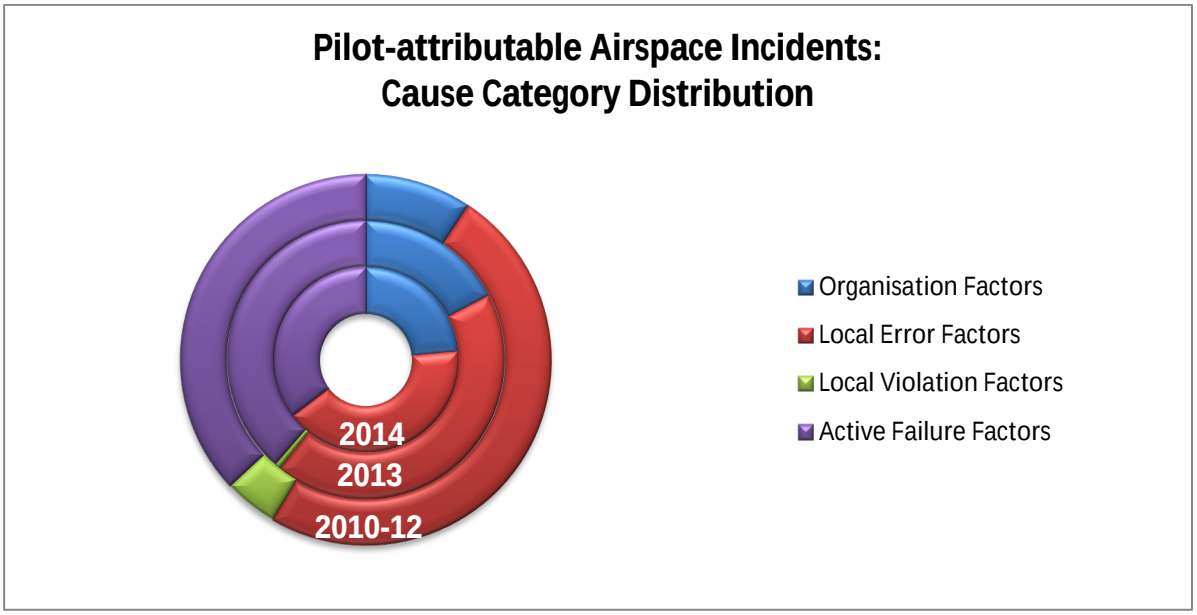


The Pilot attributable airspace incident rate over the three year period is trending upwards.

In early 2011 a system of follow-up letters was introduced for operators of aircraft who didn't report Airspace incidents that were reported by the ATS provider. Since the introduction of this system there has been a noticeable increase in the number of Airspace incidents that are reported by both parties.

Causal Factors

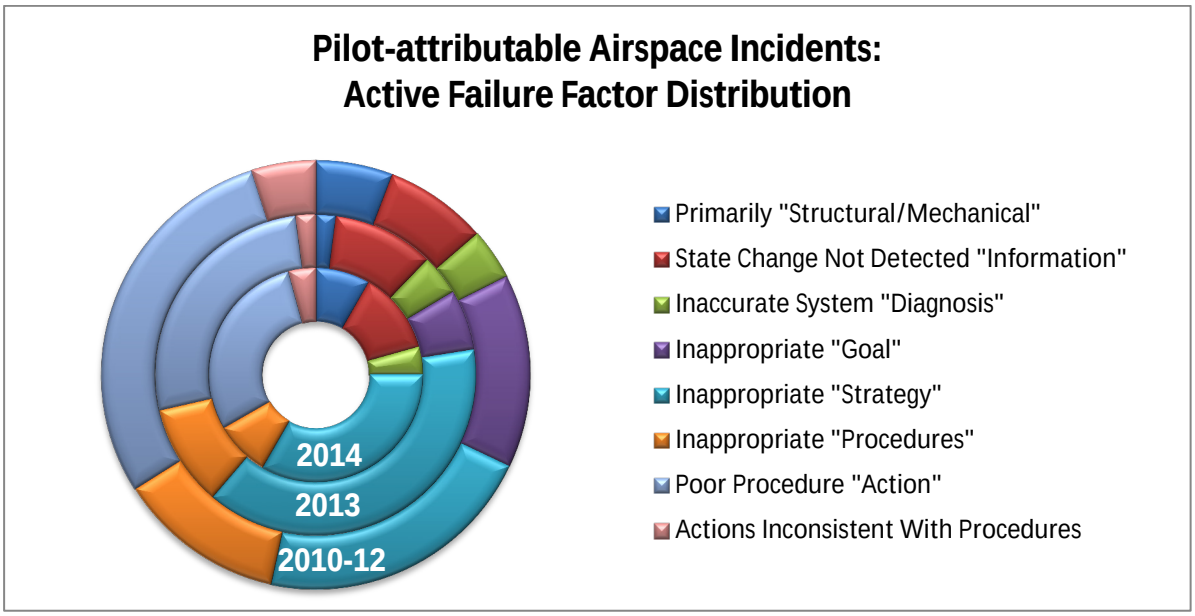
The following charts show the distribution of cause categories (groupings of causal factors) recorded for Pilot attributable airspace incidents that occurred during the year ending 30 June 2014, the same period for the previous year and the average for the three years before that.



Active Failure Factors

The Active Failure cause category has been further analysed on the grounds that whatever precursor latent failures may exist and be discovered during a subsequent investigation, at least one 'Unsafe Act' (e.g. Omitted checklist item, Exceeded ability etc.) must occur for an incident to result. These unsafe acts are collectively grouped as Active Failure Factors.

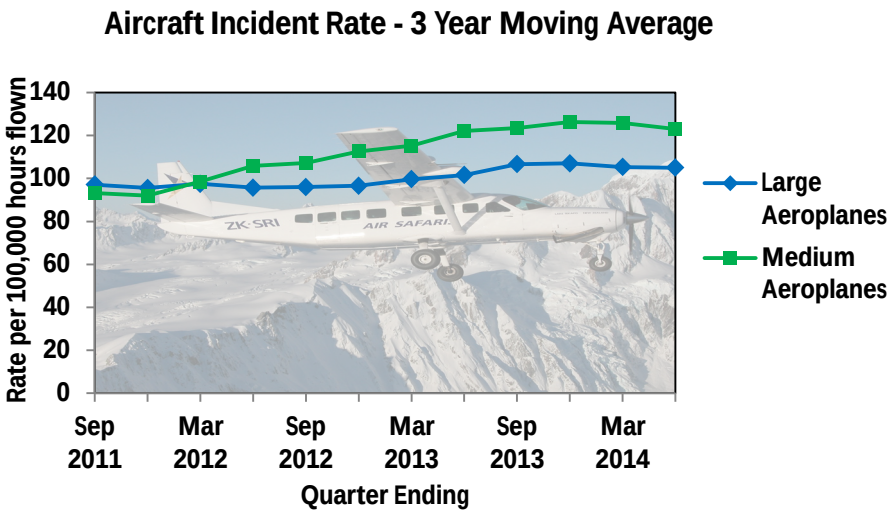
The following chart shows the distribution of Active Failure causes during the same periods as above.

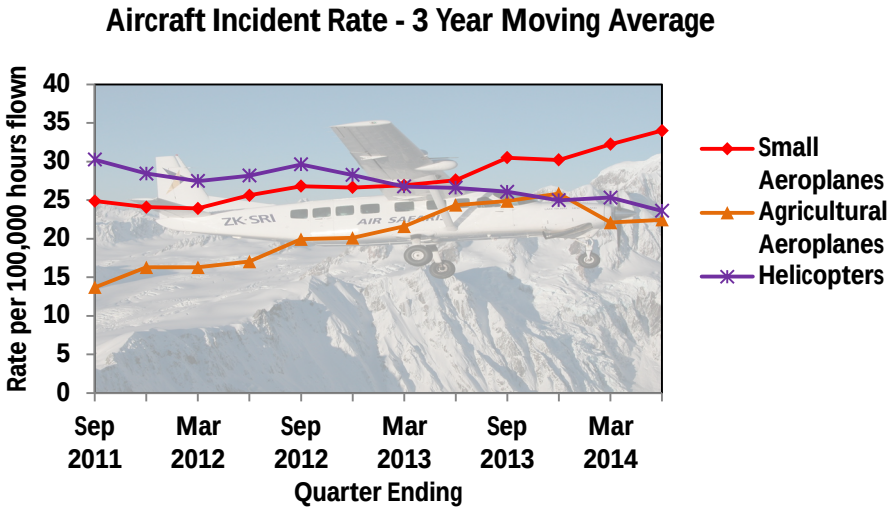


Operational (Aircraft) Incidents

The following graphs show the reported operational incident rates (incidents per 100,000 hours flown) three year moving average for the three-year period ending 30 June 2014.

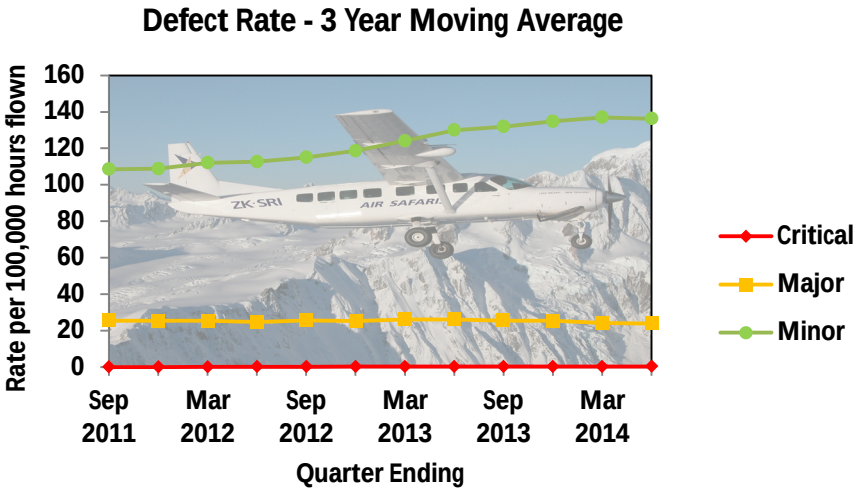
Breakdown by Aircraft Category





Aircraft Category	Straight Line Trend of 3 Year Moving Average
Large Aeroplanes	Not Significant
Medium Aeroplanes	Trending Up
Small Aeroplanes	Trending Up
Agricultural Aeroplanes	Trending Up
Helicopters	Trending Down

Breakdown by Severity



Severity	Straight Line Trend of 3 Year Moving Average
Critical	Trending Up
Major	Trending Up
Minor	Not Significant

Yearly Comparisons

Critical Operational Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Helicopters	4	4	1.0
Not Recorded	2	3	0.3
Large Aeroplanes	1	0	0.7
Small Aeroplanes	1	1	1.0
Medium Aeroplanes	0	0	0.7
Sport Aircraft	0	0	0.0
Agricultural Aeroplanes	0	3	0.0
Total	8	11	3.7

Major Operational Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	21	27	20.7
Large Aeroplanes	19	35	21.0
Helicopters	19	18	15.0
Sport Aircraft	11	10	8.7
Not Recorded	10	15	16.3
Medium Aeroplanes	3	10	6.7
Agricultural Aeroplanes	3	1	3.0
Total	86	116	91.3

Minor Operational Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	328	379	288.0
Not Recorded	118	81	163.3
Small Aeroplanes	95	44	63.0
Sport Aircraft	56	34	12.0
Medium Aeroplanes	50	69	50.3
Helicopters	26	18	36.7
Agricultural Aeroplanes	3	8	3.7
Total	676	633	617.0

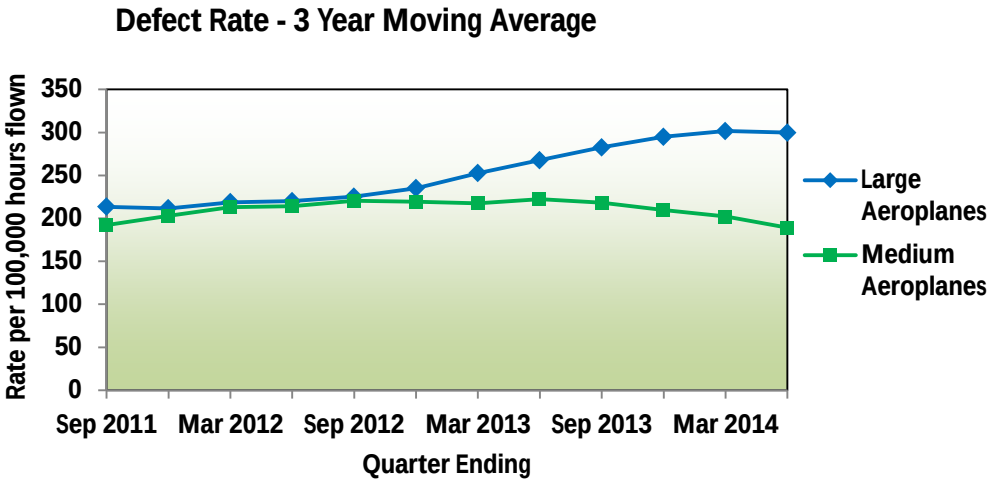
All Operational Incidents

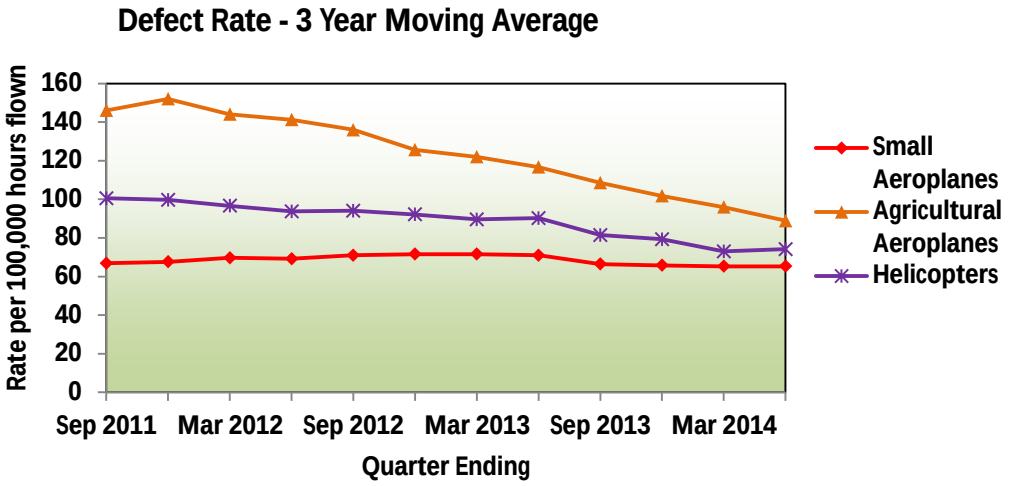
Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	348	414	309.7
Not Recorded	130	99	180.0
Small Aeroplanes	117	72	84.7
Sport Aircraft	67	44	20.7
Medium Aeroplanes	53	79	57.7
Helicopters	49	40	52.7
Agricultural Aeroplanes	6	12	6.7
Total	770	760	712.0

Defect Incidents

The following graphs show the aircraft defect incident reporting rates (incidents reported per 100,000 hours flown) three year moving average for the three-year period ending 30 June 2014.

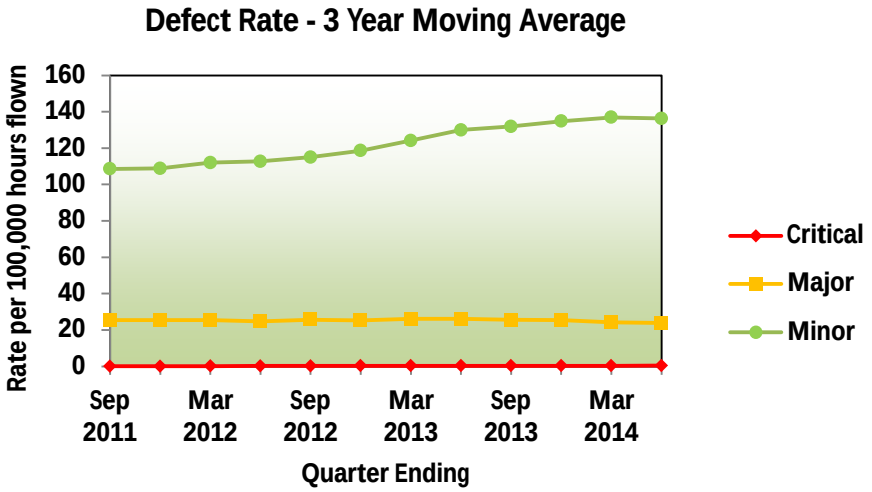
Breakdown by Aircraft Category





Aircraft Category	Straight Line Trend of 3 Year Moving Average
Large Aeroplanes	Trending Up
Medium Aeroplanes	Not Significant
Small Aeroplanes	Not Significant
Agricultural Aeroplanes	Trending Down
Helicopters	Trending Down

Breakdown by Severity



Severity	Straight Line Trend of 3 Year Moving Average
Critical	Trending Up
Major	Not Significant
Minor	Trending Up

Yearly Comparisons

Critical Defect Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Small Aeroplanes	1	1	0.3
Helicopters	1	0	0.3
Agricultural Aeroplanes	0	2	0.3
Sport Aircraft	0	1	0.0
Medium Aeroplanes	0	0	0.7
Large Aeroplanes	0	0	0.3
Not Recorded	0	0	0.0
Total	2	4	2.0

Major Defect Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	71	89	98.3
Helicopters	51	59	33.0
Small Aeroplanes	40	63	64.7
Medium Aeroplanes	20	39	18.3
Not Recorded	10	13	7.0
Sport Aircraft	9	8	14.7
Agricultural Aeroplanes	4	8	16.7
Total	205	279	252.7

Minor Defect Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	1005	1075	613.3
Small Aeroplanes	144	140	163.7
Helicopters	110	87	142.0
Medium Aeroplanes	70	69	97.7
Not Recorded	63	29	44.0
Agricultural Aeroplanes	25	16	38.3
Sport Aircraft	18	12	19.3
Total	1435	1428	1118.3

All Defect Incidents

Aircraft Category	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	1076	1164	712.0
Small Aeroplanes	185	204	228.7
Helicopters	162	146	175.3
Medium Aeroplanes	90	108	116.7
Not Recorded	73	42	51.0
Agricultural Aeroplanes	29	26	55.3
Sport Aircraft	27	21	34.0
Total	1642	1711	1373.0

ATA Chapters

Defect Incidents reported as occurring during the year ending 30 June 2014 were associated with the following ATA component code chapters.

Large Aeroplanes

Chapter 21 (AIR CONDITIONING - GENERAL) was the most common with 142 defects, the same as in the previous period.
The next most common chapter was Chapter 49 (AUXILIARY POWER - GENERAL) with 125 defects, the same as in the previous period.

Medium Aeroplanes

Chapter 32 (LANDING GEAR (LG) - GENERAL) was the most common with 20 defects, the same as in the previous period.
The next most common chapter was Chapter 27 (AEROPLANE FLIGHT CONTROL - GENERAL) with 15 defects, the same as in the previous period.

Small Aeroplanes

Chapter 32 (LANDING GEAR (LG) - GENERAL) was the most common with 36 defects, down from 37 in the previous period.
The next most common chapter was Chapter 74 (IGNITION SYSTEM) with 19 defects, the same as in the previous period.

Agricultural Aeroplanes

Chapter 27 (AEROPLANE FLIGHT CONTROL - GENERAL) was the most common with 6 defects, the same as in the previous period.
The next most common chapter was Chapter 25 (AIRCRAFT FURNISHING - GENERAL) with 6 defects, the same as in the previous period.

Helicopters

Chapter 63 (MAIN ROTOR DRIVE - GENERAL) was the most common with 19 defects, down from 20 in the previous period.
The next most common chapter was Chapter 25 (AIRCRAFT FURNISHING - GENERAL) with 13 defects, the same as in the previous period.

Sport Aircraft

Chapter 23 (COMMUNICATION SYSTEMS - GENERAL) was the most common with 3 defects, the same as in the previous period.
The next most common chapter was Chapter 78 (ENGINE EXHAUST SYSTEM) with 2 defects, the same as in the previous period.

Defect Incident Rates

Summary of Defect Rate Standard

Three levels have been defined for categorising quarterly defect rates. The current levels are:

Normal – less than 4.25 defect incidents per 1,000 hours flown.

Alert – between 4.25 and 6 defect incidents per 1,000 hours flown.

High – above 6 defect incidents per 1,000 hours flown.

The current levels were set in July 2002. They are based on data from the three years to 30 June 2002, excluding B747-200 aircraft since that type was removed from service during the quarter 1 July to 30 September 1999.

CAA Actions

The following table shows how the current values of defect rates will be used to determine CAA action.

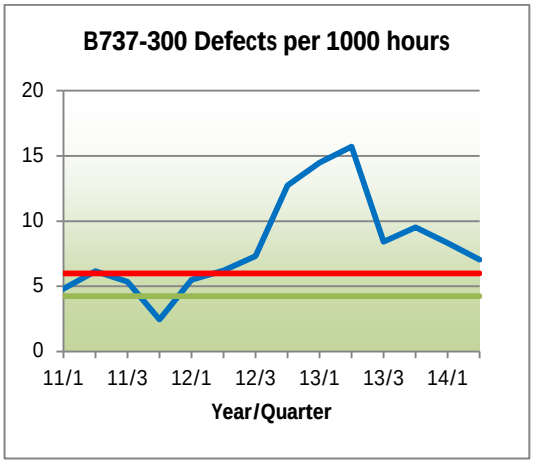
Defect Rate	CAA Action
Normal	Monitor
Alert	Notify appropriate General Manager
High	Notify appropriate General Manager

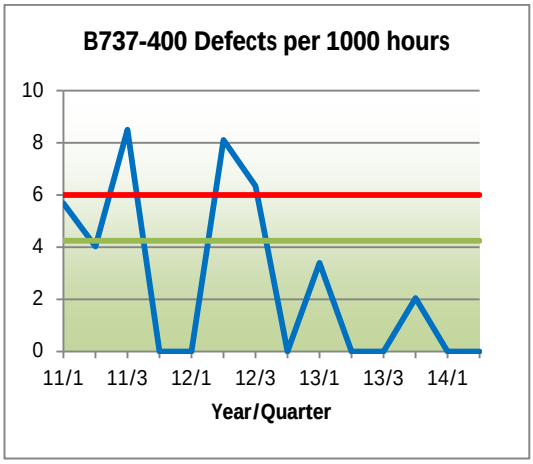
The timing of defect reports is often considerably later than what is mandated by Rule Part 12 and likewise a small number of operators of large and medium aeroplanes are persistently late with their hours and flights data returns. As a result the last two quarters of following defect rate graphs are based on forecasts of hours flown and must be interpreted with caution.

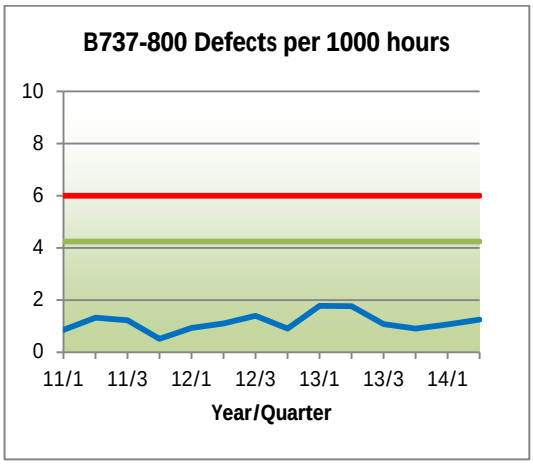
Analysis

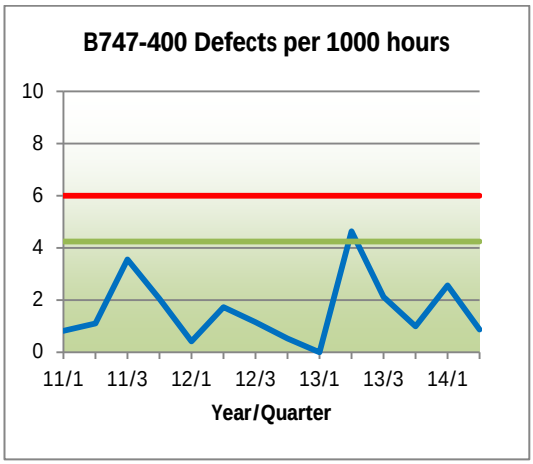
The top line on each graph shows the High defect rate. The next line shows the Alert defect rate. The Manager Airline Maintenance is notified of all high and alert rates on a quarterly basis.

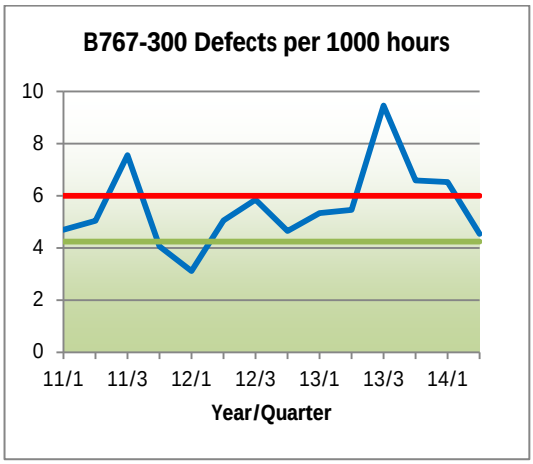
Large Aeroplanes

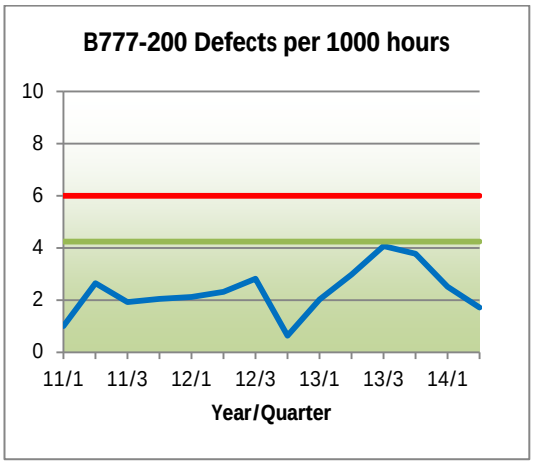


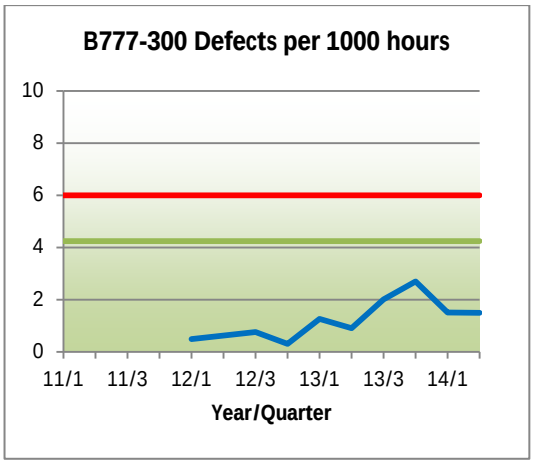


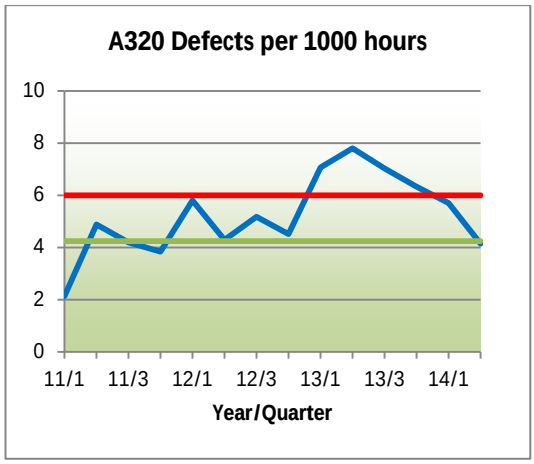


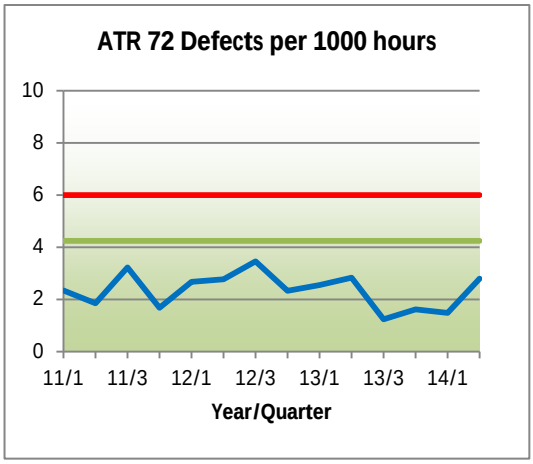


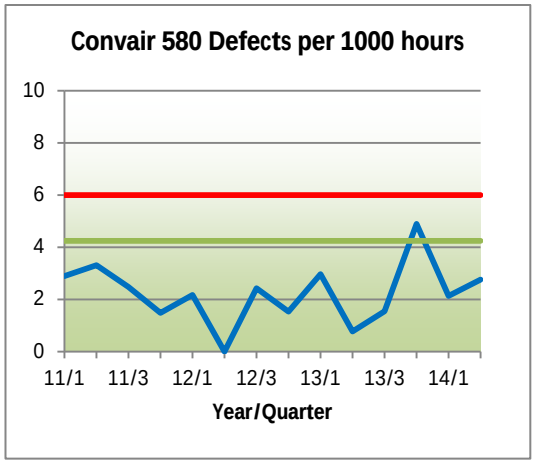


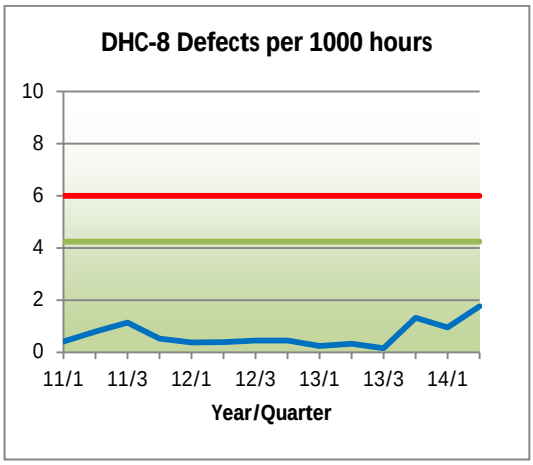



B777-300 Defects per 1000 hours
10
8
6
4
2
0
11/1
11/3
12/1
12/3
13/1
13/3
14/1
Year/Quarter

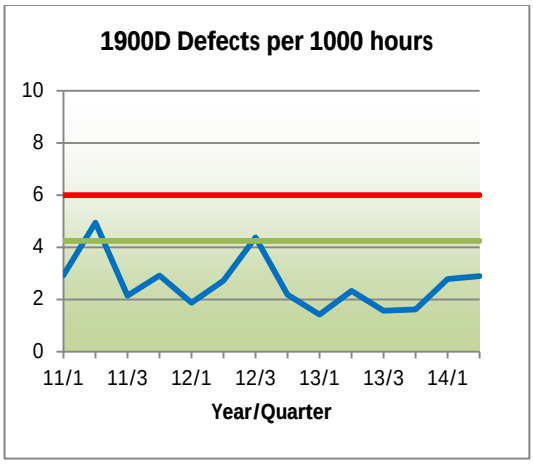

A320 Defects per 1000 hours
10
8
6
4
2
0
11/1
11/3
12/1
12/3
13/1
13/3
14/1
Year/Quarter

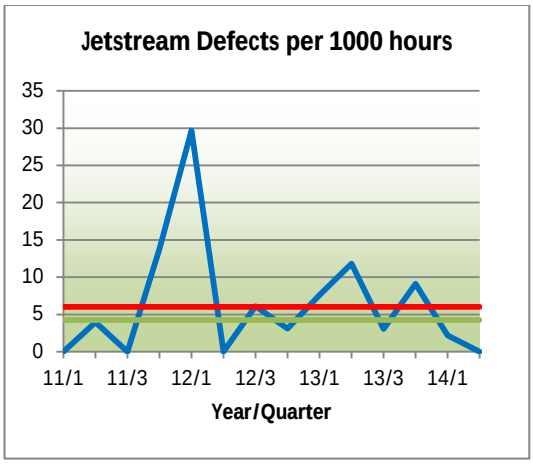

ATR 72 Defects per 1000 hours
10
8
6
4
2
0
11/1
11/3
12/1
12/3
13/1
13/3
14/1
Year/Quarter

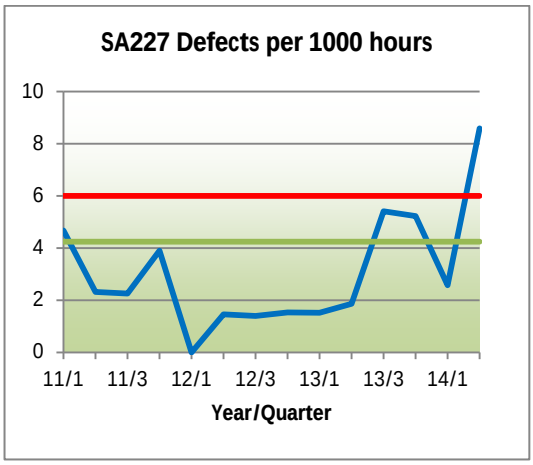

Convair 580 Defects per 1000 hours
10
8
6
4
2
0
11/1
11/3
12/1
12/3
13/1
13/3
14/1
Year/Quarter


DHC-8 Defects per 1000 hours
10
8
6
4
2
0
11/1
11/3
12/1
12/3
13/1
13/3
14/1
Year/Quarter

Medium Aeroplanes







Bird Incident Rates

Bird occurrence reporting rates are measured quarterly by aerodrome. This is achieved by querying the database for the number of bird hazard incidents reported at aerodromes by quarter. The results of this query are then divided by the aircraft movements at each aerodrome and multiplied by 10,000 to give incidents per 10,000 aircraft movements. Aircraft movements at aerodromes are obtained from the ACNZ, and, where available, from individual airport companies.

12-Month Moving Average Strike Rate

Incidents are categorised as strikes or near-strikes depending on whether or not actual contact occurred between the aircraft and one or more birds.

The following table shows the 12-month moving average **strike** rates for identified aerodromes for each quarter of the three year period ending 30 June 2014.

	Quarter											
Aerodrome	**11/3**	**11/4**	**12/1**	**12/2**	**12/3**	**12/4**	**13/1**	**13/2**	**13/3**	**13/4**	**14/1**	**14/2**
Chatham Islands	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	10.0	10.0	10.0	20.0
Kerikeri	10.0	12.5	8.8	7.5	8.8	10.0	10.0	13.8	10.0	10.0	11.3	10.0
Westport	4.8	4.8	14.5	14.5	14.5	14.5	4.8	4.8	4.8	4.8	4.8	9.7
Whenuapai	11.2	10.9	14.2	14.9	14.2	12.1	7.1	6.6	5.2	5.2	8.8	8.2
Gisborne	5.7	5.8	7.1	7.4	7.4	7.1	7.5	7.2	7.7	6.8	6.4	7.6
Napier	6.2	9.1	7.5	9.3	11.9	8.7	11.8	11.7	9.0	9.4	6.2	7.1
Invercargill	7.2	6.8	5.9	3.8	1.9	2.5	3.8	3.6	3.4	2.2	2.3	6.5
Dunedin	4.9	6.2	5.4	5.3	4.4	5.1	4.1	6.0	7.5	6.2	8.1	6.3
Ohakea	2.9	3.1	3.3	2.9	2.5	2.6	3.7	2.2	4.0	3.8	3.9	6.1
Whakatane	5.0	4.2	3.3	3.3	2.5	2.5	4.2	3.3	5.0	5.0	4.2	5.8
Whangarei	7.5	8.3	8.3	6.8	5.3	4.5	2.3	3.8	6.8	7.5	7.5	5.3
Woodbourne	4.6	4.6	3.8	4.3	4.4	5.3	7.2	10.4	9.5	8.7	7.4	4.7
Palmerston North	2.8	2.1	1.9	2.6	3.6	4.3	4.4	5.1	5.2	5.7	6.8	4.7
Rotorua	2.6	3.1	3.5	2.2	2.3	2.3	4.4	6.3	6.6	6.2	6.1	4.7
Timaru	10.0	8.8	6.3	2.5	2.5	3.8	3.8	5.0	6.3	6.3	6.3	3.8
Hokitika	3.6	0.0	3.6	3.6	3.6	3.6	0.0	0.0	3.6	3.6	3.6	3.6
Wanganui	2.9	3.9	2.6	1.9	2.5	3.4	3.1	6.3	6.9	5.6	5.5	3.4
Christchurch	3.2	3.3	3.2	3.9	4.1	3.7	3.7	3.4	2.9	3.2	3.7	3.4
Tauranga	2.2	1.2	1.4	1.9	2.2	2.5	2.3	2.0	2.3	2.8	3.1	3.4
Nelson	2.3	2.6	2.4	2.4	3.0	3.1	4.8	5.6	4.3	3.9	3.9	3.3
Paraparaumu	0.4	0.0	1.1	1.3	1.2	2.1	1.4	2.2	2.7	2.2	2.3	2.5
Wellington	1.3	2.2	2.6	3.0	3.7	3.3	3.2	3.1	2.8	2.7	2.9	2.3
Queenstown	1.2	2.4	2.3	3.6	5.0	5.7	5.7	4.3	3.3	2.3	2.3	2.3
Auckland	2.7	3.3	3.3	3.2	3.0	2.4	2.5	3.3	3.4	3.4	2.9	2.0
New Plymouth	4.7	3.7	4.4	3.2	3.3	3.9	5.0	6.8	6.9	6.4	3.8	1.7
Hamilton	1.5	1.4	1.3	1.2	1.2	1.4	1.4	1.2	1.0	1.3	1.3	1.7
Taupo	5.7	4.5	2.7	2.3	2.3	2.7	1.2	1.7	2.1	1.3	1.3	1.7
Manapouri	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Overall	3.4	3.5	3.4	3.5	3.6	3.6	3.7	4.0	4.0	3.8	3.9	3.5

Data with a pink background is based on CAA estimates of aircraft movements for the aerodrome because the CAA has either no data or incomplete data for that aerodrome.

Analysis

Each aerodrome is assigned a risk category based on the most recent 12 month average bird strike rate per 10,000 aircraft movements. These categories are:

Low	where the rate is less than 5 strikes per 10,000 movements
Medium	where the rate is not less than 5 strikes per 10,000 movements but less than 10 strikes per 10,000 movements
High	where the rate is not less than 10 strikes per 10,000 movements.

Each aerodrome is also assigned a trend category based on a straight line approximation to the 3 year history of bird strike rates. These categories are:

Trending down	where the 3 year decrease exceeds 20% of the average
Constant	where the 3 year change is between + and – 20% of the average
Trending up	where the 3 year increase exceeds 20% of the average

The CAA then determines what if any actions are required based on the combination of the above categories

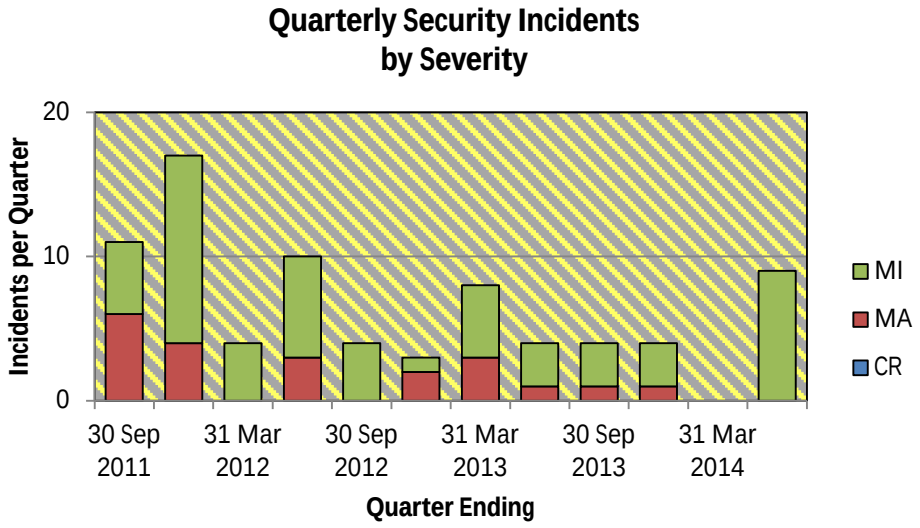
Details as at 30 June 2014 for individual aerodromes are shown in the following table.

Aerodrome	Risk Category	Trend
Auckland	Low	Constant
Chatham Islands	High	Upward
Christchurch	Low	Constant
Dunedin	Medium	Upward
Gisborne	Medium	Upward
Hamilton	Low	Constant
Hokitika	Low	Upward
Invercargill	Medium	Downward
Kerikeri	High	Upward
Manapouri	Low	Constant
Napier	Medium	Constant
Nelson	Low	Upward
New Plymouth	Low	Constant
Ohakea	Medium	Upward
Palmerston North	Low	Upward
Paraparaumu	Low	Upward
Queenstown	Low	Constant
Rotorua	Low	Upward
Taupo	Low	Downward
Tauranga	Low	Upward
Timaru	Low	Downward
Wanganui	Low	Upward
Wellington	Low	Constant
Westport	Medium	Downward
Whakatane	Medium	Upward
Whangarei	Medium	Downward
Whenuapai	Medium	Downward
Woodbourne	Low	Upward

Security Incidents

A security incident is defined as an incident that involves unlawful interference

The following chart shows the reported security incidents by quarter over the three year period ending 30 June 2014



Note: none of the incidents reported as occurring during this period has been assessed as Critical.

Yearly Comparison

The following table shows a breakdown by location (nearest staffed aerodrome) of the security incidents reported as occurring during the year ending 30 June 2014, the previous year and the average for the three prior years.

Location (Aerodrome)	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Not Reported	9	5	17.3
Auckland	2	5	29.7
Wellington	2	2	7.7
Other	2	2	3.3
Christchurch	1	1	6.7
Hamilton	1	0	1.3
Gisborne	0	3	0.7
Nelson	0	1	1.3
Queenstown	0	0	2.0
Dunedin	0	0	0.7
Milford Sound	0	0	0.0
Rotorua	0	0	0.0
Palmerston North	0	0	0.0
Total	17	19	70.7

The following table shows a breakdown by Aircraft Statistics Category of the security incidents reported as occurring during the year ending 30 June 2014, the previous year and the average for the three prior years.

Aircraft Type	Year Ending Jun 2014	Year Ending Jun 2013	Annual Average Jul 2009–Jun2012
Large Aeroplanes	8	6	9.0
Medium Aeroplanes	0	4	1.0
Small Aeroplanes	0	1	0.3
Helicopters	0	0	0.0
Sport Aircraft	0	0	0.0
Agricultural Aeroplanes	0	0	0.0
Parachutes	0	0	0.0
Hang Gliders	0	0	0.0
Other	9	8	60.3
Total	17	19	70.7

The large drop in the number of recorded security incidents is at least partly due to a correction in the way we interpret the definition of a security incident. No attempt has been made at this time to re-assess historic data.

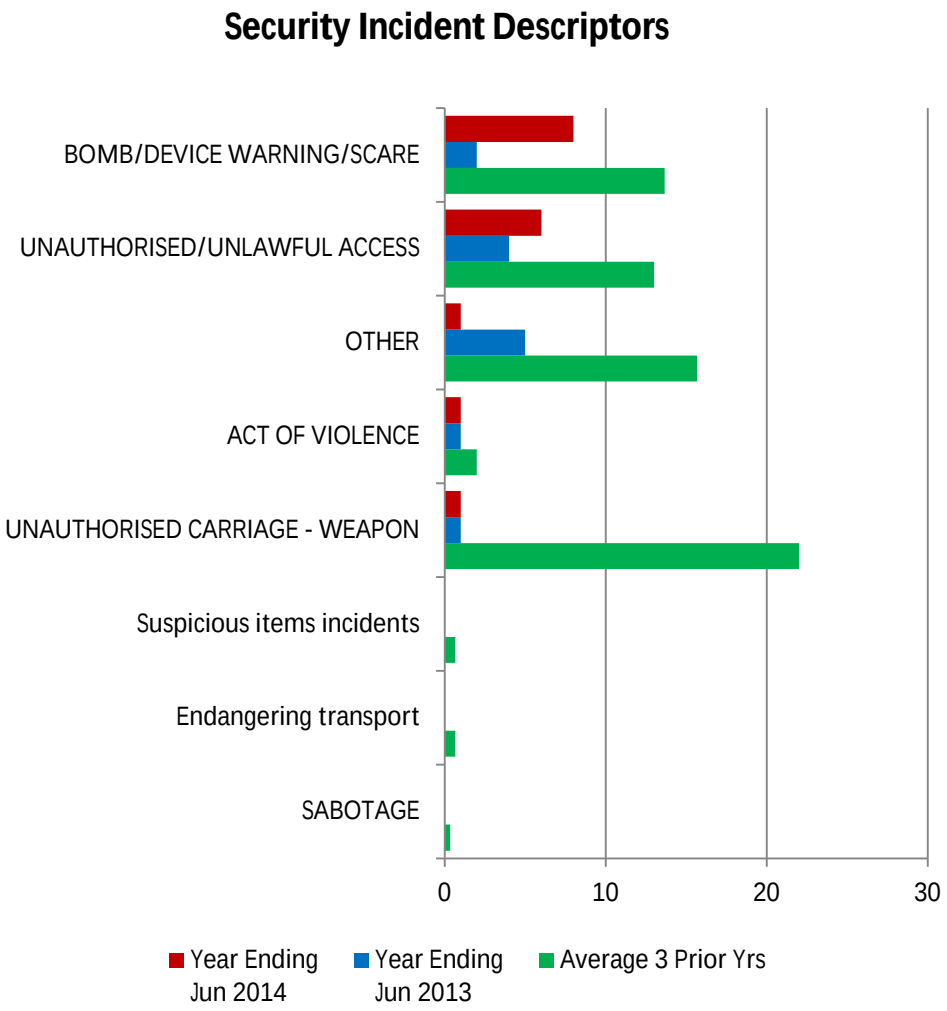
Descriptors and Causal Factors

The most common descriptor (8) recorded for Security Incidents during the year ending 30 June 2014 was 'BOMB/DEVICE WARNING/SCARE'

No causal factors have been recorded for security incidents that occurred during the Year Ending 30 June 2014.

Descriptors

The following chart shows the numbers of each occurrence descriptor that has been recorded for security incidents reported as occurring during the year ending 30 June 2014, the previous year and the average for the three prior years.



Aerodrome Incidents

Runway Incursions

Runway incursion rates are calculated by dividing the total number of reported Aerodrome Incidents that have any of the five runway incursion descriptors by the total number of reported movements for the same aerodrome over the same period. The result is tabulated and graphed as runway incursions per 100,000 movements.

Usable data is available only from the 4th quarter of 2008 so the current report is limited to displaying 2 year moving average values. When enough data has been collected this table will be modified to show three year moving average values. When movement data becomes available from additional certificated aerodromes they will also be included.

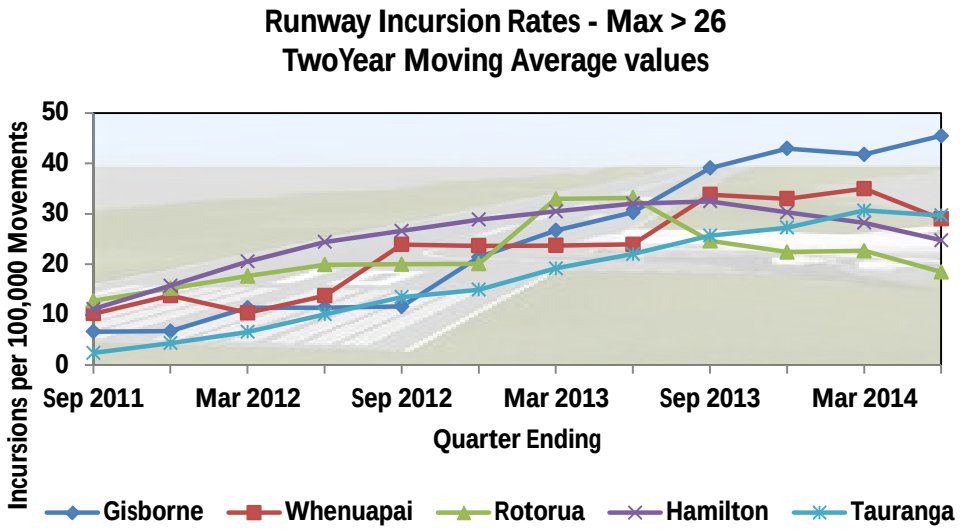
Clearly the number of runway incursions is low with many certificated aerodromes having no such incidents reported at all. With such low numbers caution needs to be exercised in drawing statistical conclusions.

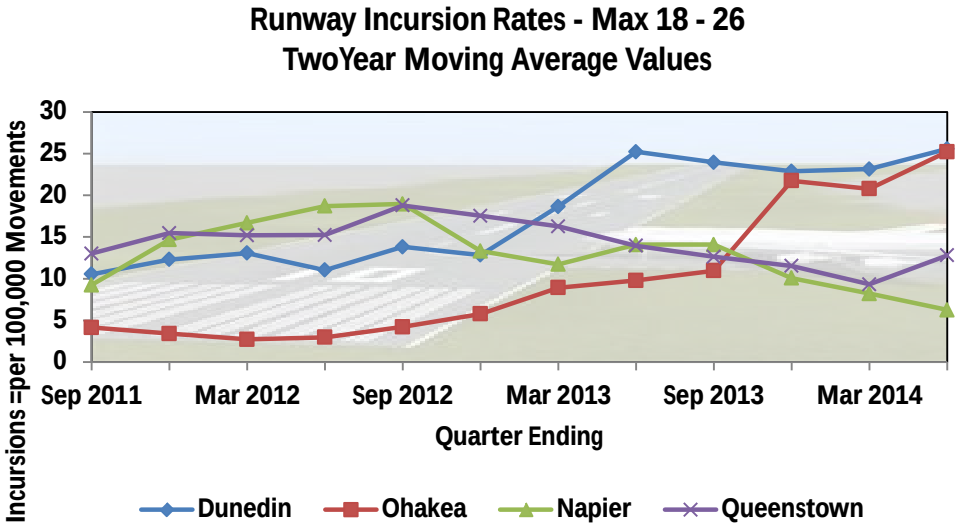
The following table shows 2 year moving average values of reported quarterly runway incursion rates for all certificated aerodromes for which adequate movement data is available.

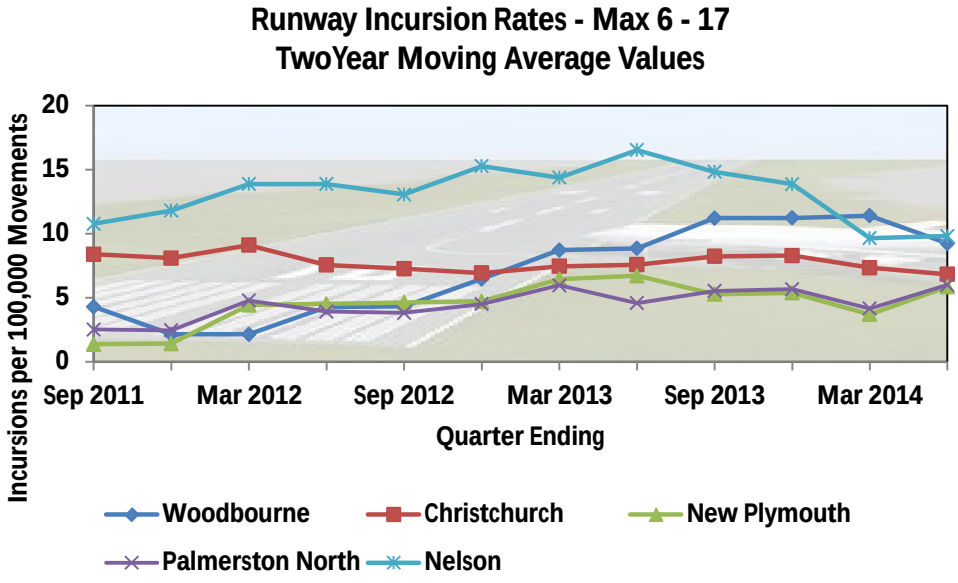
Aerodrome	11/3	11/4	12/1	12/2	12/3	12/4	13/1	13/2	13/3	13/4	14/1	14/2
Gisborne	6.6	6.7	11.4	11.4	11.6	21.4	26.7	30.3	39.1	42.9	41.8	45.5
Whenuapai	10.2	13.8	10.3	13.8	23.9	23.7	23.7	23.9	33.8	33.0	35.0	29.0
Rotorua	12.8	15.2	17.7	19.9	20.0	20.1	33.0	33.2	24.6	22.4	22.7	18.5
Hamilton	11.1	15.7	20.5	24.4	26.6	28.9	30.5	32.0	32.5	30.3	28.2	24.8
Tauranga	2.4	4.3	6.6	10.1	13.5	15.0	19.2	22.0	25.7	27.3	30.7	29.7
Dunedin	10.5	12.3	13.1	11.0	13.8	12.8	18.7	25.2	24.0	22.9	23.1	25.6
Ohakea	4.1	3.4	2.7	3.0	4.2	5.8	8.9	9.8	11.0	21.8	20.8	25.2
Napier	9.2	14.7	16.7	18.7	18.9	13.3	11.7	14.1	14.1	10.1	8.2	6.2
Queenstown	13.0	15.5	15.2	15.2	18.8	17.5	16.3	14.0	12.6	11.5	9.3	12.8
Nelson	10.8	11.8	13.9	13.9	13.1	15.3	14.4	16.5	14.8	13.9	9.7	9.8
Woodbourne	4.3	2.2	2.1	4.3	4.3	6.5	8.7	8.8	11.2	11.2	11.4	9.2
Christchurch	8.4	8.1	9.1	7.6	7.3	6.9	7.5	7.6	8.2	8.3	7.3	6.8
New Plymouth	1.4	1.4	4.4	4.5	4.6	4.7	6.5	6.7	5.3	5.4	3.7	5.9
Palmerston North	2.5	2.5	4.8	3.9	3.8	4.5	6.0	4.6	5.5	5.7	4.2	6.0
Wellington	4.6	3.7	3.3	4.3	4.3	3.4	3.9	5.3	4.9	3.9	4.5	4.5
Auckland	5.1	4.8	4.1	2.9	2.9	2.9	2.6	3.2	2.2	3.2	3.5	3.5
Invercargill	1.7	1.7	1.6	1.6	3.3	3.4	1.7	1.8	1.8	3.9	4.1	4.3
Taupo	3.5	1.8	1.8	1.9	1.9	3.9	1.9	2.0	2.0	2.0	2.1	2.1
Overall	8.4	9.2	11.3	13.8	14.3	14.7	15.3	14.8	15.3	15.7	13.9	12.9

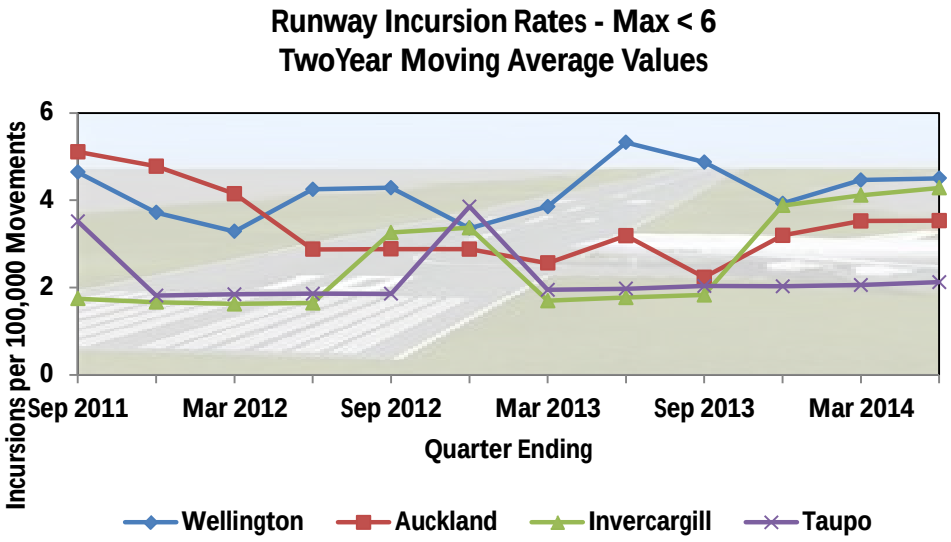
By way of comparison, National Transportation Safety Board data puts the runway incursion rate in the United States at about 6 runway incursions per 100,000 tower operations during the 4 calendar years 2005 – 2008 with an improving outlook for 2009.

The charts on the next 2 pages show the above data in a graphical way. Aerodromes have been grouped in an arbitrary way to keep the number of lines on each chart roughly equal. The grouping is based on the largest value reported over the period covered.


Runway Incursion Rates - Max > 26
TwoYear Moving Average values
Incursions per 100,000 Movements
50
40
30
20
10
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Gisborne
Whenuapai
Rotorua
Hamilton
Tauranga


Runway Incursion Rates - Max 18 - 26
TwoYear Moving Average Values
Incursions =per 100,000 Movements
30
25
20
15
10
5
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Dunedin
Ohakea
Napier
Queenstown


Runway Incursion Rates - Max 6 - 17
TwoYear Moving Average Values
Incursions per 100,000 Movements
20
15
10
5
0
Sep 2011
Mar 2012
Sep 2012
Mar 2013
Sep 2013
Mar 2014
Quarter Ending
Woodbourne
Christchurch
New Plymouth
Palmerston North
Nelson



Occurrences — General

The following table shows the number of occurrences (excluding Non-Reportable Occurrences) that were registered on the CAA database during each of the 12 months of the reporting period.

Month	ACC	ADI	ARC	ASP	BRD	DEF	DGD	HGA	INC	NIO	PAA	PIO	SEC
Jul - 2013	7	18	79	106	90	148	7	1	80	7	0	1	0
Aug - 2013	5	20	85	138	80	136	5	0	69	4	0	2	2
Sep - 2013	2	15	61	90	71	174	4	1	67	2	0	1	2
Oct - 2013	10	13	58	147	108	187	4	0	90	6	0	1	2
Nov - 2013	12	23	88	142	80	140	8	2	65	3	1	1	1
Dec - 2013	8	17	72	86	63	111	7	0	42	4	0	0	0
Jan - 2014	13	14	80	131	111	176	16	2	61	1	0	3	1
Feb - 2014	14	10	74	95	85	106	13	3	57	2	0	1	0
Mar - 2014	14	15	95	135	103	117	9	1	56	3	3	0	0
Apr - 2014	5	12	71	75	99	127	5	2	62	4	1	0	2
May - 2014	2	15	77	125	148	137	4	0	60	2	0	3	2
Jun - 2014	4	8	53	114	93	113	2	0	55	2	3	2	4
Total	**96**	**180**	**893**	**1384**	**1131**	**1672**	**84**	**12**	**764**	**40**	**8**	**15**	**16**

ACC	Accident	**DGD**	Dangerous Goods Incident
ADI	Aerodrome Incident	**HGA**	Hang Glider Accident
ARC	Aviation Related Concern	**INC**	Aircraft Incident
ASP	Airspace Incident	**NIO**	Facility Malfunction Incident
BRD	Bird Incident	**PAA**	Parachute Accident
CSI	Cargo Security Incident	**PIO**	Promulgated Information Incident
DEF	Defect Incident	**SEC**	Security Incident

Causal Factor Summary

Introduction

The following section presents an summary of occurrence causes recorded during the year ending 30 June 2014 as determined by safety investigations.

The causal factor summary is grouped into three parts, each dealing with a unique sector of the aviation industry:

- Aircraft Flight Operations (Aircraft Operator Organisations and Flight Crew);
- Aircraft Maintenance Operations (Aircraft Maintenance/Design Organisations and Maintenance Engineers);
- Air Traffic Services and Personnel (Air Traffic Service Organisations and Air Traffic Service personnel).

The first two sections are further sub-grouped by Aircraft Category, namely:

- Large Aeroplanes;
- Medium Aeroplanes;
- Other Aeroplanes, Helicopters and Sport; and
- "Unknown".

A discussion of the Reason Model – Latent Failure Model used by the CAA for causal factor identification is provided in the appendix.

Please note that the following abbreviations apply:

ACC	Accident	**DGD**	Dangerous Goods Incident
ADI	Aerodrome Incident	**HGA**	Hang Glider Accident
ARC	Aviation Related Concern	**INC**	Aircraft Incident
ASP	Airspace Incident	**NIO**	Facility Malfunction Incident
BRD	Bird Incident	**PAA**	Parachute Accident
CSI	Cargo Security Incident	**PIO**	Promulgated Information Incident
DEF	Defect Incident	**SEC**	Security Incident

Aircraft Flight Operations

The following section summarises causal factors identified from investigation of occurrences that occurred during the year ended 30 June 2014 and which have been attributed to aircraft flight operations (the aircraft operator, organisation or flight crew). The number of times particular causal factors have been identified is reported by occurrence type.

Large Aeroplanes

Category	Cause	ACC	ADI	ASP	DEF	INC
Active Failure	PRIMARILY "STRUCTURAL/MECHANICAL"			1	9	
	POOR PROCEDURE "ACTION"		1	7		1
	INACCURATE SYSTEM "DIAGNOSIS"				1	2
	STATE CHANGE NOT DETECTED "INFORMATION"				1	2
	ACTIONS INCONSISTENT WITH PROCEDURES			1		1
	INAPPROPRIATE "STRATEGY"			1		1
Organisation	INADEQUATE CONTROL AND MONITORING	2		5		
	INADEQUATE PROCEDURES			1	4	1
	INADEQUATE TRAINING			2	1	2
	INADEQUATE COMMUNICATIONS					1
	INADEQUATE RESOURCE MANAGEMENT			1		
Task/Environment Error	HOSTILE ENVIRONMENT	1				
	INADEQUATE CHECKING			1		
	INEXPERIENCE (NOT LACK OF TRAINING)					1
	LACK OF KNOWLEDGE					1
	PSYCHOLOGICAL OTHER			1		
	TASK UNFAMILIARITY			1		
	TIME SHORTAGE				2	
Task/Environment Violation	OTHER VIOLATION ENFORCING CONDITION			1		

Medium Aeroplanes

Category	Cause	ASP
Active Failure	ACTIONS INCONSISTENT WITH PROCEDURES	1
Task/Environment Error	INADEQUATE CHECKING	2
	NEGATIVE TASK TRANSFER (HABITS)	1

Unknown Aircraft Category

Category	Cause	ARC	ASP	INC
Active Failure	ACTIONS INCONSISTENT WITH PROCEDURES		2	2
	INACCURATE SYSTEM "DIAGNOSIS"			2
	INAPPROPRIATE "GOAL"			1
	PRIMARILY "STRUCTURAL/MECHANICAL"			1
Organisation	INADEQUATE CONTROL AND MONITORING	1	1	
	INADEQUATE PLANNING	1		
	INADEQUATE TRAINING		1	
Task/Environment Error	TASK UNFAMILIARITY	5	1	
	INADEQUATE CHECKING		1	
	INEXPERIENCE (NOT LACK OF TRAINING)		1	
	PHYSIOLOGICAL OTHER			1
	TASK OVERLOAD	1		

Other Aeroplanes, Helicopters and Sport Aircraft

Category	Cause	ACC	ADI	ARC	ASP	DEF	INC
Active Failure	PRIMARILY "STRUCTURAL/MECHANICAL"	5			1	13	
	POOR PROCEDURE "ACTION"	4			5		4
	ACTIONS INCONSISTENT WITH PROCEDURES				7		4
	INAPPROPRIATE "STRATEGY"				4	2	3
	INAPPROPRIATE "PROCEDURES"				4		1
	INACCURATE SYSTEM "DIAGNOSIS"				1		3
	STATE CHANGE NOT DETECTED "INFORMATION"	3					1
	INAPPROPRIATE "GOAL"	1			2		
Organisation	INADEQUATE PROCEDURES						2
	INADEQUATE PLANNING	1		1			
	INADEQUATE CONTROL AND MONITORING	1					
	INADEQUATE TRAINING						1
	OTHER ORGANISATION FACTOR					1	
	UNSUITABLE EQUIPMENT						1
Task/Environment Error	INADEQUATE CHECKING	2			8		6
	RISK MISPERCEPTION	3			1		2
	HOSTILE ENVIRONMENT	1			1		
	INEXPERIENCE (NOT LACK OF TRAINING)	1					2
	INTERPRETATION DIFFICULTIES				3		
	NEGATIVE TASK TRANSFER (HABITS)	1			1		1
	INFORMATION OVERLOAD				1		1
	LACK OF KNOWLEDGE		1				1
	POOR INSTRUCTIONS/PROCEDURES	1					1
	POOR SYSTEM FEEDBACK	1			1		
	TASK OVERLOAD	1			1		
	TASK UNFAMILIARITY	1			1		
	OTHER ERROR ENFORCING CONDITION					1	
	TIME SHORTAGE	1					
Task/Environment Violation	HAZARD MISPERCEPTION	1		1			1
	OTHER VIOLATION ENFORCING CONDITION	3					

Aircraft Maintenance Operations

The following section summarises causal factors identified from investigation of occurrences that occurred during the year ended 30 June 2014 and have been attributed to aircraft maintenance operations (the aircraft operator, aircraft maintenance organisation or maintenance engineer). The number of times particular causal factors have been identified is reported by occurrence type.

Large Aeroplanes

Category	Cause	DEF	INC
Active Failure	POOR PROCEDURE "ACTION"	5	
	INAPPROPRIATE "PROCEDURES"	4	
	ACTIONS INCONSISTENT WITH PROCEDURES	1	
	INAPPROPRIATE "STRATEGY"	1	
	STATE CHANGE NOT DETECTED "INFORMATION"		1
Organisation	DESIGN DEFICIENCIES	1	
	INADEQUATE PROCEDURES	3	
Task/Environment Error	INADEQUATE CHECKING	4	
	TASK OVERLOAD	2	
	FATIGUE - OTHER	1	
	MONOTONY/BOREDOM	1	
	NEGATIVE TASK TRANSFER (HABITS)	1	
	OTHER ENVIRONMENTAL FACTOR (EG WEATHER)	1	
	OTHER ERROR ENFORCING CONDITION	1	
	POOR INSTRUCTIONS/PROCEDURES	1	
	TIME SHORTAGE	**1**	
Task/Environment Violation	COMPLACENCY (IE IT CAN'T HAPPEN)	1	

Medium Aeroplanes

Category	Cause	DEF
Active Failure	POOR PROCEDURE "ACTION"	1
	PRIMARILY "STRUCTURAL/MECHANICAL"	1

Other Aeroplanes, Helicopters and Sport Aircraft

Category	Cause	DEF	INC
Active Failure	PRIMARILY "STRUCTURAL/MECHANICAL"	6	
Organisation	INADEQUATE PROCEDURES	5	1
	DESIGN DEFICIENCIES	3	
	INADEQUATE COMMUNICATIONS	2	
	INADEQUATE CONTROL AND MONITORING	1	
	INADEQUATE RESOURCE MANAGEMENT	1	
	INAPPROPRIATE GOALS OR POLICIES	1	
	UNSUITABLE EQUIPMENT	1	
Task/Environment Error	INADEQUATE CHECKING	3	2
	INTERPRETATION DIFFICULTIES	1	

Unknown Aircraft Category

Category	Cause	ARC	DEF	INC
Active Failure	PRIMARILY "STRUCTURAL/MECHANICAL"		1	
Organisation	INADEQUATE PROCEDURES		6	
Task/Environment Error	LACK OF KNOWLEDGE			1
	POOR INSTRUCTIONS/PROCEDURES	2		

Air Traffic Services and Personnel

The following tables summarise causal factors identified from investigation of occurrences that occurred during the year ended 30 June 2014 and which have been attributed to air traffic services or personnel. The number of times particular causal factors have been identified is reported by occurrence type.

Air Traffic Service Providers

Category	Cause	ADI	ASP	INC
Organisation	DESIGN DEFICIENCIES		5	
	INADEQUATE PROCEDURES	1	2	
	INADEQUATE TRAINING		2	
	OTHER ORGANISATION FACTOR		2	
	INADEQUATE CONTROL AND MONITORING		1	
	INAPPROPRIATE GOALS OR POLICIES		1	
Task/Environment Error	INADEQUATE CHECKING		1	
	OTHER ERROR ENFORCING CONDITION		3	
	PHYSIOLOGICAL OTHER		3	
	POOR INSTRUCTIONS/PROCEDURES		2	
	POOR SIGNAL:NOISE		1	
	PSYCHOLOGICAL OTHER		2	1
	RISK MISPERCEPTION		3	
	TIME SHORTAGE		1	
	VISUAL ILLUSION		1	

Air Traffic Service Personnel

Category	Cause	ASP
Active Failure	INAPPROPRIATE "GOAL"	1
Task/Environment Error	INADEQUATE CHECKING	1
	OTHER ERROR ENFORCING CONDITION	1
Task/Environment Violation	PERCEIVED LICENSE TO BEND RULES	1

Client Risk Assessment

Introduction

The CAA's client risk assessment system came into operation in February 2007.

The system measures a series of factors, rated using a scale of 1 to 5 where 1 is an exemplary rating. It is a qualitative rating and relates solely to the interaction the CAA staff member is having with the client at that time, or to changes in the organisation recorded in the CAA database.

Risk profiles can be generated at any time, including at the end of every audit.

The combined ratings form a risk assessment used to help decide the depth and frequency of inspection and monitoring for each client.

Results are in the form of a percentage of the maximum possible score (if all factors had been rated 5), and are divided into bands of low, moderate, high and very high:

Low: <=16%

Moderate: 16-26%

High: 26-36%

Very High: >36%

Clients can have several risk profiles current at one time, one for each activity. Each risk profile is independent of the others, and applies only to the relevant activity.

The following table refers to risk profiles current on the dates shown and shows the numbers of certificate holders with risk scores in each band.

Comparison of Client Numbers in Risk Score Bands

(as at 30 June 2014 and over the Preceding Four Years)

	As at 30 June 2014				Average at end of each of 4 prior 12 month periods			
Activity	Very High	High	Mode rate	Low	Very High	High	Mode rate	Low
Australia AOC with ANZA Privileges Part 108 Security Programme	0	0	0	1	0.0	0.0	0.0	0.5
Part 108 Security Programme	0	0	0	4	0.0	0.0	0.3	2.8
Part 109 Regulated Air Cargo Agent	0	1	12	44	0.5	1.3	7.0	51.0
Part 115 Adventure Aviation Operator Certificate	0	2	9	23	2.0	0.5	1.8	6.0
Part 121 Air Operator Large Aeroplanes	0	0	0	3	0.0	0.0	0.0	3.0
Part 125 Air Operator Medium Aeroplanes	0	0	0	4	0.3	0.5	0.5	4.3
Part 129 Foreign Air Transport Operator	0	0	0	20	0.8	0.0	0.8	21.8
Part 135 Air Operator Helicopters and Small Aeroplanes	0	2	18	88	1.3	3.8	32.5	77.5
Part 137 Agricultural Aircraft Operator	0	2	18	44	0.3	2.5	19.3	59.3
Part 139 Aerodrome Operator	0	0	1	17	0.0	0.0	0.0	23.3
Part 140 Aviation Security Service Organisation	0	0	0	1	0.0	0.0	0.0	0.5
Part 141 Aviation Training Organisation	0	0	3	20	0.0	0.3	2.0	29.0
Part 145 Maintenance Organisation	0	1	1	20	1.0	0.0	1.8	26.8
Part 146 Aircraft Design Organisation	0	0	0	8	0.0	0.0	0.8	8.0
Part 148 Aircraft Manufacturing Organisation	1	0	1	7	0.0	0.0	0.8	9.0
Part 149 Aviation Recreation Organisation	0	0	2	4	0.3	0.5	0.3	4.0
Part 171 Telecom Service Organisation	0	0	0	1	0.0	0.0	0.0	1.0
Part 172 Air Traffic Service Organisation	0	0	0	0	0.0	0.0	0.5	0.5
Part 173 Instrument Flight Procedure	1	0	0	1	0.0	0.0	0.3	1.8
Part 174 Meteorological Service Organisation	0	0	0	2	0.0	0.0	0.3	0.8
Part 175 Aeronautical Info Service Organisation	0	0	0	0	0.0	0.0	0.0	0.0
Part 19F Supply Organisation	0	1	3	32	1.0	0.0	2.0	35.5
Part 61 Pilot Licence (Aeroplane) Holder	0	0	0	0	0.3	0.0	0.0	0.5
Part 92 Dangerous Goods Packaging Approval Holder	0	0	0	2	0.0	0.0	0.0	1.5

Appendix — Definitions

General

Accident [ACC] — means an occurrence that is associated with the operation of an aircraft and takes place between the time any person boards the aircraft with the intention of flight and such time as all such persons have disembarked and the engine or any propellers or rotors come to rest, being an occurrence in which–

(1) a person is fatally or seriously injured as a result of–

(i) being in the aircraft; or

(ii) direct contact with any part of the aircraft, including any part that has become detached from the aircraft; or

(iii) direct exposure to jet blast–

except when the injuries are self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to passengers and crew; or

(2) the aircraft sustains damage or structural failure that–

(i) adversely affects the structural strength, performance or flight characteristics of the aircraft; and

(ii) would normally require major repair or replacement of the affected component–

except engine failure or damage that is limited to the engine, its cowlings, or accessories, or damage limited to propellers, wing tips, antennas, tyres, brakes, fairings, small dents, or puncture holes in the aircraft skin; or

(3) the aircraft is missing or is completely inaccessible.

Aerodrome incident [ADI] — means an incident involving an aircraft operation and–

(1) an obstruction either on the aerodrome operational area or protruding into the aerodrome obstacle limitation surfaces; or

(2) a defective visual aid; or

(3) a defective surface of a manoeuvring area; or

(4) any other defective aerodrome facility.

Aircraft incident [INC] — means any incident, not otherwise classified, associated with the operation of an aircraft.

Airspace incident [ASP] — means an incident involving deviation from, or shortcomings of, the procedures or rules for–

(1) avoiding a collision between aircraft; or

(2) avoiding a collision between aircraft and other obstacles when an aircraft is being provided with an Air Traffic Service.

Bird incident [BRD] — means an incident where–

(1) there is a collision between an aircraft and one or more birds; or

(2) when one or more birds pass sufficiently close to an aircraft in flight to cause alarm to the pilot.

Cargo security incident [CSI] — means an incident involving cargo or mail that is carried, or has been accepted by a regulated air cargo agent or an air operator for carriage, by air on an aircraft conducting an international regular air transport operation passenger service, and–

(1) there is evidence of tampering or suspected tampering with the cargo or mail which could be an act or an attempted act of unlawful interference; or

(2) a weapon, explosive, or other dangerous device, article or substance, that may be used to commit an act of unlawful interference is detected in the cargo or mail.

Dangerous goods incident [DGD] — means an incident associated with and related to the carriage of dangerous goods by air after acceptance by the operator, that–

(1) results in injury to a person, property damage, fire, breakage, spillage, leakage of fluid or radiation, or other evidence that the integrity of the packaging has not been maintained; or

(2) involves dangerous goods incorrectly declared, packaged, labelled, marked, or documented.

Defect incident [DEF] — means an incident that involves failure or malfunction of an aircraft or aircraft component, whether found in flight or on the ground.

Facility malfunction incident [NIO] — means an incident that involves an aeronautical facility.

Fatal Injury — means any injury which results in death within 30 days of the accident.

Incident — means any occurrence, other than an accident, that is associated with the operation of an aircraft and affects or could affect the safety of operation. Note: Incident has many sub-categories.

Occurrence — means an accident or incident.

Promulgated information incident [PIO] — means an incident that involves significantly incorrect, inadequate, or misleading information or aeronautical data promulgated in an aeronautical information publication, map, chart, or otherwise provided for the operation of an aircraft.

Security incident [SEC] — means an incident that involves unlawful interference.

Serious Injury — means any injury that is sustained by a person in an accident and that–

(1) requires hospitalisation for more than 48 hours, commencing within 7 days from the date the injury was received; or

(2) results in a fracture of any bone, except simple fractures of fingers, toes, or nose; or

(3) involves lacerations which cause severe haemorrhage, nerve, muscle, or tendon damage; or

(4) involves injury to an internal organ; or

(5) involves second or third degree burns, or any burns affecting more than 5% of the body surface; or

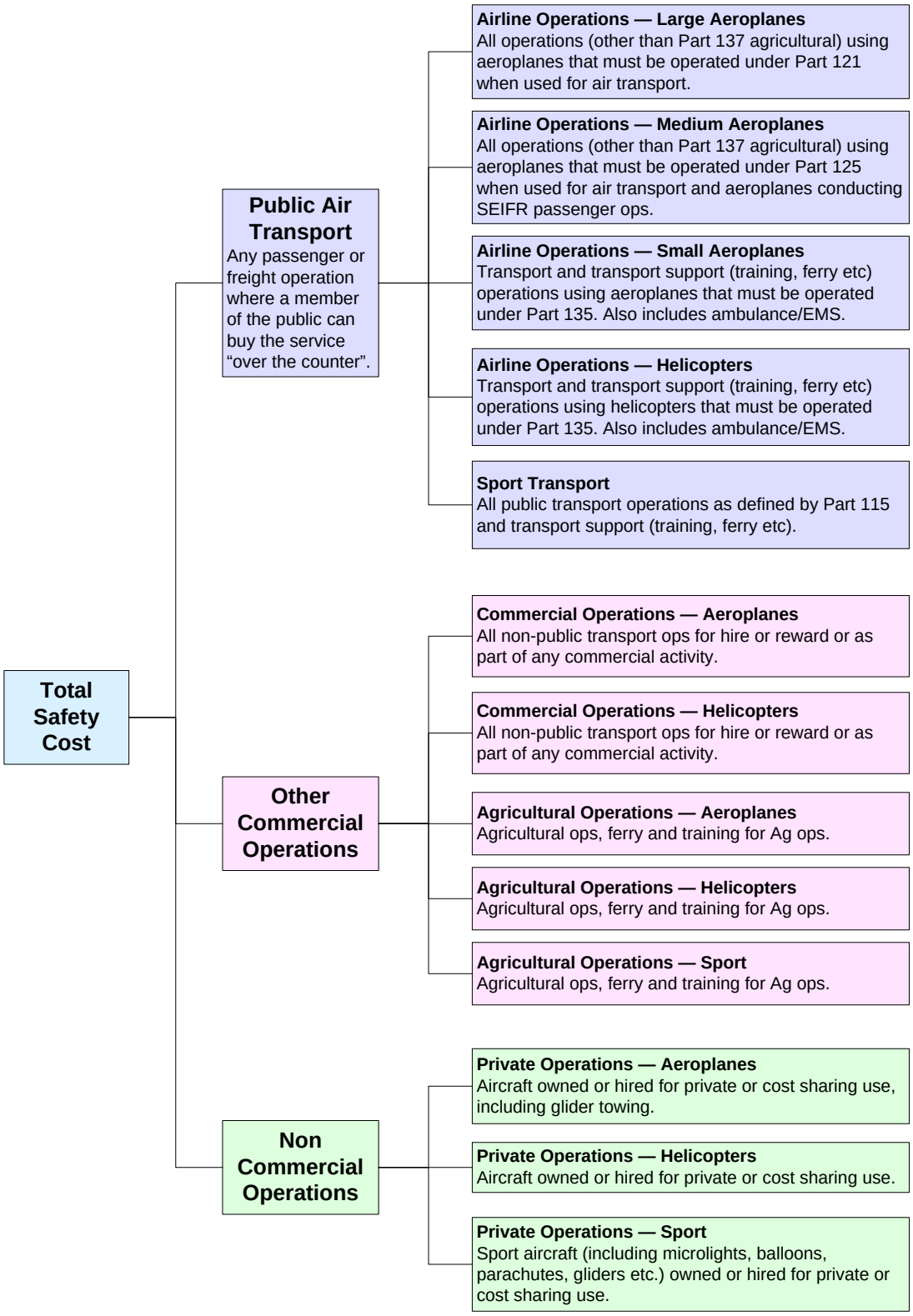
(6) involves verified exposure to infectious substances or injurious radiation.

Severity

The following definitions apply to the severity accorded to occurrences and to findings as the result of investigation of occurrences.

Severity Factor		Definition
CR	Critical	An occurrence or deficiency that caused, or on its own had the potential to cause, loss of life or limb;
MA	Major	An occurrence or deficiency involving a major system that caused, or had the potential to cause, significant problems to the function or effectiveness of that system;
MI	Minor	An isolated occurrence or deficiency not indicative of a significant system problem.

Safety Target Groups



Target group name	General description	Includes	Excludes
Airline Operation - Large Aeroplanes	All operations using large passenger and freight aeroplanes that are operated under part 121	Ferry, test, training, passenger and freight, domestic and international, Part 91 operations, and commercial operations other than Part 137 agricultural operations. Includes all aeroplanes that have a passenger seating configuration of 30 seats or more, or a payload capacity of more than 3410kg.	Part 137 agricultural operations
Airline Operation - Medium aeroplanes	All operations using medium passenger and freight aeroplanes that are operated under part 125.	Ferry, test, training, passenger and freight, domestic and international, Part 91 operations, and commercial operations other than Part 137 agricultural operations. Aeroplanes that have a seating configuration of 10 to 30 seats, excluding any required crew member seats, or a payload capacity of 3410 kg or less and a MCTOW of greater than 5700 kg, and any aeroplanes conducting SEIFR passenger operations.	Part 137 agricultural operations
Airline Operation - Small aeroplanes	All operations by 119 certificate holders using other aeroplanes.	Ferry, test, passenger and freight, domestic and international, training in support of Part 135 operations, Ambulance/EMS	Part 137 agricultural operations, Part 91 operations, and commercial operations. SEIFR under Part 125
Airline Operation - Helicopters	All operations by 119 certificate holders using helicopters	Ferry, test, passenger and freight, domestic and international, training in support of Part 135 operations, Ambulance/EMS	Part 137 agricultural operations, Part 91 operations, and commercial operations. SEIFR under Part 125
Commercial Operations - Aeroplane	Other commercial operations Aeroplane (all non-public transport ops for hire or reward or as part of any commercial activity)	Positioning, ferrying flights, training (dual and solo), "Commercial non-certified", Business and Executive	Public transport ops, Agricultural ops & training for Agricultural ops, non-commercial ops
Commercial Operations - Helicopter	Other commercial operations Helicopter (all non-public transport ops for hire or reward or as part of any commercial activity)	Positioning, ferrying flights, training (dual and solo), "Commercial non-certified", Business and Executive	Agricultural ops & training for Agricultural ops, public transport, non-commercial ops.
Agricultural Operations - Aeroplane	Agricultural operations using aeroplanes	Agricultural ops, ferry & training for Ag ops.	Everything else.
Agricultural Operations - Helicopters	Agricultural operations using helicopters	Agricultural ops, ferry & training for Ag ops.	Everything else
Agricultural Operations - Sport Aircraft	Agricultural operations using sport aircraft	Agricultural ops, ferry & training for Ag ops.	Everything else
Private Aeroplane	Private operations in aeroplanes	Cost sharing, aircraft hired from schools and clubs for private or cost sharing use, glider towing	Airline, commercial, agricultural operations, sport aircraft, balloons, training (dual and solo)
Private Helicopter	Private operations in helicopters	Cost sharing, aircraft hired from schools and clubs for private or cost sharing use	Airline, commercial, agricultural operations, sport aircraft, balloons, training, ferry/positioning flights by commercial operators
Sport Transport	All public transport ops by sport aircraft	Ferry, test, passenger and freight, domestic and international, training for such ops. And balloons	Agricultural operations.
Sport Private	Private operations using sport aircraft	Cost sharing, aircraft hired from schools and clubs for private or cost sharing use, training, gliders, power gliders, hang gliders, parachutes and all forms of inflatable wing, balloons	Airline, commercial, agricultural operations, and training for these activities

Aircraft Categories

Aircraft Statistics Category	Definition	Aircraft Class
Large Aeroplanes	Aeroplanes that must be operated under Part 121 when used for air transport	Aeroplane
Medium Aeroplanes	Aeroplanes that must be operated under Part 125 when used for air transport, except for those required to operate under Part 125 solely due to operating SEIFR	Aeroplane
Small Aeroplanes	Other Aeroplanes with Standard Category Certificates of Airworthiness	Aeroplane
Agricultural Aeroplanes	Aeroplanes with Restricted Category Certificates of Airworthiness limited to agricultural operations	Aeroplane
Helicopters	Helicopters with Standard or Restricted Category Certificates of Airworthiness	Helicopter
Sport Aircraft	All aircraft not included in the groups above	Aeroplane, Amateur Built Aeroplane, Amateur Built Glider, Amateur Built Helicopter, Balloon, Glider, Gyroplane, Helicopter, Microlight Class 1, Microlight Class 2, Power Glider

Significant Events

The following text is taken from the procedure SI - 0.0 Occurrence Management, 0.08 - Occurrence completion:

To facilitate in deciding whether or not your investigation file should be "tagged" as a "Significant Event" here are some occurrences that substantially meet the criteria.

- Occurrences that are investigated by TAIC unless it is known that the TAIC are using the event for their own training purposes and would not otherwise be investigating.
- Critical air transport occurrences resulting in Near Collision (provided one of the aircraft involved is airborne, nearly airborne, or has just landed). In cases where an aircraft is landing or taking off the event would not be significant unless the aircraft's speed was in excess of 10 kts.
- Critical air transport occurrences resulting in Loss of Control
- Critical air transport occurrences where a Distress or Urgency call was (or should have been) made
- Air transport occurrences where the last in a series of "redundant" systems failed in flight or during take off or landing
- SEIFR air transport occurrences involving loss of engine power to the extent that an unscheduled landing is required
- Fatal accidents
- Occurrences that are relevant to a current (group) of safety concerns. For example in 1999/2000 aircraft electrical wiring was a significant international concern therefore occurrences in the New Zealand fleet of electrical wiring problems may warrant them being tagged as significant.
- Occurrences that are relevant to the current CAA (Business) Safety Plan. For the 1999/2000-year collision with terrain, obstacles, and water; controlled flight into terrain and loss of control in flight were relevant for aircraft with a MCTOW of 5,670 kg and above.
- Engine failure in 2-plus engined air transport aircraft at critical phases of flight or failures of a nature that may have a fleet impact or significantly affect safe operations or are subject to media scrutiny.
- Significant structural or engine failure of a private GA aircraft/helicopter that may have implications for the fleet type, particularly where that type is used for air transport operations.

Serious Events

The following text is taken from the procedure SI - 2.0 Safety Investigation - Appendices, 2.02 Appendix B - Aviation Occurrence Notification Checklist:

“Serious incident” means an incident involving circumstances indicating that an accident nearly occurred. The difference between an accident and serious incident lies only in the result (ICAO Annex 13 definition). The serious incidents listed below are extracted from ICAO Annex 13 attachment D. The list is not exhaustive and only serves as guidance to the definition of serious incident.

(a) Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate.

(b) Controlled flight into terrain only marginally avoided.

(c) Aborted take-off on a closed or engaged runway.

(d) Take-off from a closed or engaged runway with marginal separation from obstacle(s).

(e) Landings or attempted landings on a closed or engaged runway.

(f) Gross failures to achieve predicated performance during take-off or initial climb.

(g) Fires and smoke in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents.

(h) Events requiring the emergency use of oxygen by the flight crew.

(i) Aircraft structural failures or engine disintegration’s not classified as an accident.

(j) Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft.

(k) Flight crew incapacitation in flight.

(l) Fuel quantity requiring the declaration of an emergency by the pilot.

(m) Take-off or landing incidents. Incidents such as undershooting, overrunning or running off the side of runways.

(n) System failures, weather phenomena, operations outside the approved flight envelope or other occurrences, which could have caused difficulties controlling the aircraft.

(o) Failures of more than one system in a redundancy system mandatory for flight guidance and navigation.

Reason Model – Latent Failure Model

CAA identification of occurrence causal factors is based on the Reason Model (latent failure model). Occurrence investigations attempt to assign attributable cause by identifying the generic type of organisation or person involved and the contributing active failures, local factors, and/or organisation factors. The analysis contained in the Causal Factor Analysis section of this report summarises the results from investigation by reporting the different types of causal factors identified versus occurrence type. It should be noted that occurrence types (e.g. Accident, Defect etc.) are not mutually exclusive (e.g. an accident and a defect may be associated) and hence any causal factor recorded during the investigation will be recorded for all associated occurrence types.

The following two diagrams are designed to show the basic principles of the latent failure model:

Diagram 1

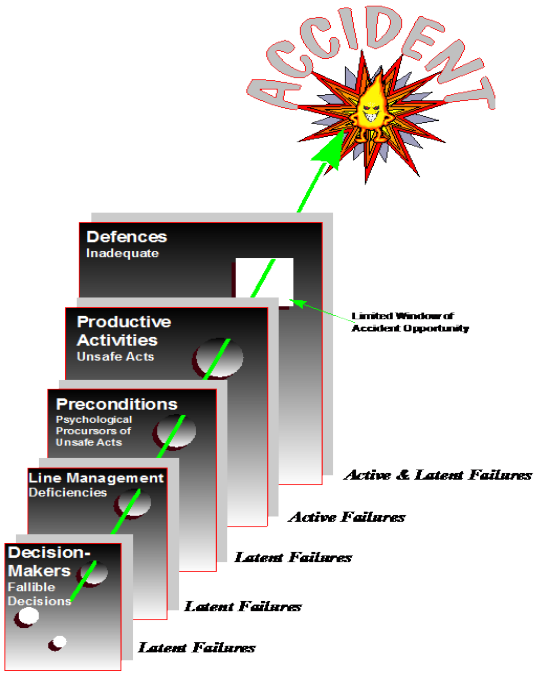


Diagram 1 shows the layers of defences that have been created within the aviation system to prevent accidents and incidents happening. It also shows how these defences have holes in them. When these holes line up there is a window of opportunity for an accident or incident. All that is needed to complete the breach in the defence is an active failure at the operational level. When this happens an accident occurs. When the defences in the system work properly and are only partially breached the end result may be an incident. Incidents are free lessons that should be investigated to show where the holes (latent failures) in the system are. Holes in the system are there all the time and a good pro-active audit program should also help in detecting them.

Diagram 2

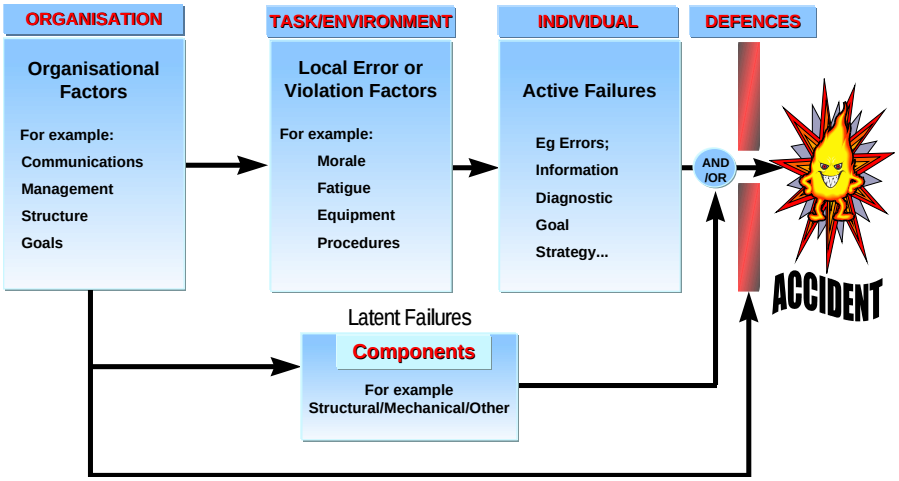


Diagram 2 shows how the latent failures are grouped into 3 areas:

1. The active failures.
2. Task/environment or local factors.
3. Organisational factors.

In basic terms the latent failure model states that an accident is predicated by deficiencies in the management and physical systems responsible for and supporting the particular operation. Management system deficiencies in the responsible organisation(s) can lead to error or violation inducing conditions in the local working environment. The existence of these conditions increases the likelihood of actual errors or violations by personnel which can place an over-reliance on, or expose deficiencies in, final defences.