

Docket No. SA-538

Exhibit No. 20-D

NATIONAL TRANSPORTATION SAFETY BOARD

Washington, D.C.

FOM Excerpt – Crew Roles and Duties

(4 pages)



05.02.01 GENERAL

05.02.01.01 CAPTAIN'S ROLES AND DUTIES

The Captain is a manager and custodian of authority, which constitutes the foundation of the operational structure of the Airline system. He provides the basis for the orderly flight crew activity and aircraft operations and satisfies the practical necessity to have an individual in charge who is the final authority and ultimate decision maker on an aircraft. The Captain should have the ability to appropriately allocate duties, organize the crew as a team and maintain a positive atmosphere within the cockpit, in both normal and abnormal situations. Like other managers, a Captain delegates authority along with any responsibility assigned to his crew. He must ensure that everyone is fully aware of their duties and that every task is carried out according to specified procedures.

It is essential that the Captain knows his crew fully in order to be effective as a manager. The Captain needs to appreciate what the strengths and limitations of his crew are so that his task delegation compensates for any existing deficiencies. He needs to display a manner of impartiality that fosters comfortable relations throughout the cockpit and with the Flight Control Dispatcher. Then and only then, can crews be motivated to give their best.

According to Thomas L. Sams (1987), quoting from a CRM research submission from Weserlund, "The best Captains are the most well liked because the rest of the crew works hard to please him and feel as though they have let the Captain down personally if they make a mistake."

Below is a summary of the role of a Captain:

- Review the OFP for accuracy and work with your Flight Control Dispatcher during predeparture planning.
- Properly prebrief of Operational Requirements, Expectations and Standardization Requirements of each crewmember.
- Create an environment for open communication to enable crew to solicit inputs.
- Know the differences between techniques and procedures to guide in the safe operation of the aircraft while allowing latitude to operate within the boundaries of safety.
- Have an awareness of workload status for each crewmember and assign duties/tasks so as to not overwhelm them.
- Delegate duties and responsibilities throughout the entire phase of flight.
- Focus attention on requirements and upcoming events and properly manage them.
- Understand and combat distractions by initiating strategies to avert them.

05.02.01.02 FIRST OFFICER'S ROLES AND DUTIES

The roles of the first officer are a vital component in the safe operation of flying at UPS. These roles have been expanded with the advent of modern two-person cockpits. In many flights within the UPS system, only two crewmembers are required and therefore lack the additional resource of a Flight Engineer as on previous aircraft.

The following list defines some of the specific roles and "tools" that make an effective First Officer:

- Strong knowledge of aircraft systems, AOM and FOM procedures.
- Performance of the duties assigned by the Captain for each flight as a Pilot Monitoring (PM) role or a Pilot Flying (PF) role. These roles may be reversed depending on an actual emergency or subsequent failure of equipment.
- Effective communication with all crewmembers that allows for the flow of information and understanding of that information.
- Standardized performance of duties and responses as per the AOM and FOM.
- Second-in-Command when an International Relief Officer (IRO) is part of the crew complement.



Many accident investigations have found that at least one crewmember had concerns or questions that were never answered or addressed. In fact, this lack of communication has frequently caused or complicated the event. If a situation arises where you are unsure as to a specific procedure being performed (normal approach, emergency checklist, or any circumstance that jeopardizes safety) inform the Captain of your concerns.

Because of increased automation modern aircraft require fewer crewmembers. Therefore, the role of First Officers has become even more important especially in critical phases of flight and emergency situations.

05.02.01.03 INTERNATIONAL RELIEF OFFICER'S ROLES AND DUTIES

For those flights requiring an IRO, UPS has established specific roles for them in assisting fellow crewmembers. The important role that IROs play in the operation of any flight cannot be overstated. They are "invaluable" to the successful outcome of each of these flights. It is incumbent on the Captain to communicate to their IROs that they are a valuable component of the team.

In most cases IROs do not hold the same paring as the Captain and First Officer. Therefore, they have not established the same level of rapport as the other two crewmembers. A complete CRM briefing when a new IRO joins the crew is paramount to establishing the dynamics of the crew complement. Captains must use this briefing to communicate to the entire crew an understanding of the IROs duties and responsibilities.

The FOM also spells out these roles and duties. At a minimum, the following are the duties and roles of an IRO:

- Assist the crew in preflight paperwork analysis for correctness and compliance with UPS and 14 CFR policies and procedures.
- Assist in preflight duties as assigned by the Captain to include cockpit preflight, logbook review, aircraft exterior check, FMS crosschecking procedures, jumpseater safety briefings, securing cargo and entry doors, analysis and review of MEL and DMP issues and any other duties as assigned by the Captain.
- Review route assignment and FMS route verification as assigned by ATC and Lido. Due to some foreign language barriers, having the IRO available to listen to flight clearances has proven very helpful in attaining the correct clearance.
- Act as a third set of eyes and ears for all taxi, take off, arrival and landings. Captains should include the IRO for all CRM, Taxi/Take off and Arrival Briefings. The IRO should occupy the first observer's seat below 18,000 feet unless otherwise directed by the Captain.
- Assist crew in establishing rest periods commensurate with any particular phase of flight as assigned by the Captain.
- Assist crew with any abnormal/emergency situations as directed by the Captain.
- Postflight duties as assigned by the Captain.

05.02.01.04 DISPATCHER'S ROLES AND DUTIES

The roles of the dispatcher are a vital component in the safe operation of flying at UPS. The dispatcher does the pre-planning of every UPS Flight. They apply all of the necessary restrictions to the OFP in order to ensure compliance with all ATC, MEL and 14 CFR requirements for UPS Airlines.

Continuously, during their duty periods, the dispatcher remains cognizant of any conditions that may affect flight operations in their assigned areas. Some of the conditions they monitor are:

- Current and forecast weather
- Air Traffic Control (ATC)
- Deferrals with operational limitations
- Airport conditions
- NOTAMs (i.e., inoperative nav aids)



**UPS FLIGHT OPERATIONS MANUAL VOLUME 01
CREW RESOURCE MANAGEMENT
SPECIFIC ROLES AS CAPTAIN, FIRST OFFICER,
INTERNATIONAL RELIEF OFFICER AND DISPATCHER**

05-02

- Follow international flights at preplanned intervals/reporting points
- Crew legalities
- Any current or potential contingency diversionary plans
- Suitability of weather and air traffic conditions
- Airport and navigational adequacy conditions
- Fuel management

The dispatcher is a vital source of information for all phases of a UPS flight. The Flight Dispatcher is monitoring each UPS flight and should be considered a vital resource of information for the flight crew.

The dispatcher will issue ARTRs for any changes to the Flight Release portion of the OFP and will keep the Flight Crew updated on any other changes that occur on a flight that they are monitoring.