



DEPARTMENT OF THE NAVY
CHIEF OF NAVAL AIR TRAINING
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CNATRAINST 5420.13H
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CNATRA INSTRUCTION 5420.13H

Subj: HUMAN FACTORS COUNCILS AND HUMAN FACTORS BOARDS

Ref: (a) OPNAVINST 3750.6R
(b) COMNAVAIRPACINST 5420.2B
(c) CNATRAINST 1721.2

1. Purpose. To publish policy and guidelines for the conduct of Human Factors Councils (HFCs) and Human Factors Boards (HFBS) within the Naval Air Training Command (NATRACOM). This policy provides a formalized mechanism of human factors feedback to the unit commander. The commander can then use this information for risk assessment and subsequent decisions regarding safety of flight issues. This instruction revision changes Naval Flight Student (NFS) and Navy Flight Demonstration Squadron (NFDS) HFC procedures.

2. Cancellation. CNATRAINST 5420.13G

3. Policy. It is the policy of the Chief of Naval Air Training (CNATRA) to standardize the organization and conduct of HFCs and HFBS to enhance their effectiveness. All guidance and procedures contained in references (a) through (c) shall be followed unless a more specific requirement is delineated by this instruction. Information developed by HFCs and HFBS should be used by the unit commander for the enhancement of flight safety. As a matter of policy, the information developed will be strictly confidential and shall not be used for disciplinary action.

4. Definition. For purposes of this instruction, human factors are that constellation of personal and professional characteristics which correlate with an individual's ability to perform effectively. These factors may be physiological, psychological, social, and/or professional. Examples include medical conditions and qualification, psychological and emotional stressors, interpersonal relations, performance trends, training, currency, and motivational factors. These human factors influence performance in the aircraft and may jeopardize safety of flight by impacting crew coordination, air

discipline, judgment, professionalism, leadership, and basic flying skills.

5. Background. Human error continues to be the leading cause of mishaps within the NATRACOM. In many instances, the factors cited as causal factors in a mishap were previously known to supervisors and/or peers but remained unknown to the Commanding Officer (CO). The insidious nature of many human factors dictate this area be reviewed on a recurring basis. Corrective measures taken at the command level will arrest undesirable trends; ensure personnel are properly trained, directed, or counseled; and minimize potential problems that adversely impact safety and operational readiness.

6. Procedures

a. Human Factors Councils

(1) All squadrons and all other units that execute a flight schedule (Instructor Training Units (ITUs) and/or Training Air Wings (TRAWINGS)) shall conduct HFCs a minimum of quarterly. ITU HFCs may be combined with the associated TRAWING Staff HFC or may be conducted separately.

(2) Units that conduct NFS flights shall conduct two separate HFCs, a NFS HFC and a Staff HFC for all other aviators that fly with the unit. Due to the membership of the Staff HFC and NFS HFC being similar, the two meetings may be held back to back in the same venue.

(3) Staff HFC membership shall include:

(a) A chairman. Squadron HFCs shall be chaired by the CO or Executive Officer (XO). TRAWING HFCs shall be chaired by the TRAWING Commander or the Chief Staff Officer (CSO). If conducted as stand-alone councils, ITU HFCs may be chaired by the ITU OIC if he/she is an O5 or above. Otherwise, ITU HFCs must be chaired by the TRAWING Commander or CSO.

(b) The Aviation Safety Officer (ASO) or an ASO course graduate.

(c) A flight surgeon.

(d) The Operations Officer or an experienced officer from the Operations Department.

(e) The Training Officer, Standardization Officer or an experienced officer from the Training Department.

(f) The Naval Air Training Operating Procedures Standardization (NATOPS) Officer or a qualified Assistant NATOPS Instructor (ANI).

(g) A senior Full Time Support (FTS) or Selected Reservist (SELRES) Officer (for units with FTS or SELRES aviators).

(h) The senior enlisted aircrewman or a senior enlisted aircrewman (for units with enlisted aircrew).

(i) HFC membership may include:

1. An Aeromedical Safety Officer (AMSO).

2. A representative from guest aviator's unit(s) (i.e. Naval Air Station (NAS), Marine Aviation Training Support Group (MATSG), Naval Aviation Schools Command (NASC), Wing staff, CNATRA HQ staff, etc.).

3. Any other experienced aviator deemed necessary by the unit commander.

(4) NFS HFC membership shall include:

(a) All members required by paragraph 6a(3) with the exception of a SELRES or FTS officer.

(b) A minimum of three NFSs. NFSs selected as council members shall be from a suitable cross section of syllabus stages. Additionally, the service of NFSs selected as council members should represent the major services trained by the unit (i.e. USN, USMC, USCG, USAF, international). NFS council members shall be briefed by the chairman as to council member roles and responsibilities to include the necessity not to discuss private information outside the HFC. The chairman

shall also explain that no punitive action can come from issues discussed in the HFC, as well as the importance of sharing information in order to take appropriate non-punitive preventative action.

1. Due to the presence of senior officers on the council, NFSs may feel uncomfortable contributing to the HFC. Units have the option of holding a pre-HFC meeting with the NFSs identified in paragraph 6a(4)(b) to solicit their input.

2. If conducted, this meeting shall be chaired by an ASO or other Instructor Pilot (IP) familiar with the HFC process. The chairman of the pre-meeting will attend the HFC in lieu of NFS participation and will discuss any issues brought up at the pre-HFC.

(c) NFS HFC membership may include:

1. An AMSO.
2. A Student Control Officer.
3. Flight Leaders.
4. Any other experienced aviator deemed necessary by the unit commander.

(5) All aircrew who are qualified to fly on the unit's flight schedule shall be reviewed by the applicable HFC. The Staff HFC shall review all instructors, enlisted aircrew, instructors under training, and guest aviators (i.e. NAS, MATSG, NASC, Wing staff, CNATRA HQ staff, etc.). The NFS HFC shall review all students.

(6) Staff and NFS HFCs shall review personal and professional characteristics of aircrew. This information may include, but is not limited to, the following areas:

- (a) Incidents of poor air discipline.
- (b) Lack of professionalism or conformity with standard operating procedures.

(c) Lack of maintenance of flight currency, proficiency, or training requirements.

(d) Failure of prospective instructor pilots, Naval Flight Officers, enlisted aircrew or designated Naval Aviators to achieve normal progress through the Instructor Under Training (IUT), transition, upgrade, or aircrew training syllabus.

(e) Mishap-conducive attitudes of anti-authority, invulnerability, impulsiveness, resignation, or aloofness.

(f) Inappropriate personal or professional behavior.

(g) Tempo of operations.

(h) Poor NFS syllabus performance.

(i) Adverse medical conditions.

(j) Personal and/or professional circumstances causing unusual stress.

(k) Instances of unnecessary or increased risk acceptance which may indicate complacency (especially involving mid-tour instructors).

(7) Council notes are sensitive and shall be retained and protected per references (a) and (b). Documentation of the date each council was conducted and the members of that council shall be maintained by the unit for two years. Combining documentation of the Staff and NFS HFC is permissible.

(8) NFDS specific procedures. Upon completion of an HFC, a NFDS safety representative shall provide feedback to CNATRA (directly to N00 via phone or email) concerning any HF issues which may potentially impact the NFDS Commanding Officer. Negative reports required.

b. Human Factors Board (HFB)

(1) HFBs shall be convened and conducted per references (a) and (b) whenever the ability of an aircrew to safely perform his/her flight duties is in question or when deemed appropriate by the unit commander. The board will be convened to review

specific human factors as related to flight safety and shall provide non-punitive recommendations to the unit commander. An HFB is a focused human factors review of an individual.

(2) HFBs shall include a minimum of four board members. HFB membership shall include:

(a) A chairman. The chairman shall be an O5 or above.

(b) An ASO course graduate.

(c) A flight surgeon.

(d) A senior enlisted aircrewman (for an HFB on an enlisted aircrew).

(e) Any other experienced aviator deemed necessary by the unit commander.

(3) In addition to the requirements levied in references (a) and (b) to convene an HFB, units shall implement processes to determine if an HFB is warranted for:

(a) Identification by an HFC of a potential human factor issue.

(b) Operational Risk Management (ORM) flight cancellations (i.e. ORM cancel, IMSAFE cancel, etc.). See paragraph 6.c. below.

(c) Poor NFS syllabus performance.

(4) HFB assignment letters shall not list specific areas of concern.

(5) Board notes and results are sensitive and shall be retained and protected per references (a) and (b). Documentation of the date each HFB was conducted, the name of the aviator reviewed, and the members of the board shall be maintained by the unit during the entire time the aviator flies with the unit. Maintaining a copy of the HFB assignment letter meets this requirement.

(6) NFSs who are required to attend an HFB will not be identified on the flight schedule. Instead, an appropriate squadron staff member (Flight Leader, Student Control Officer, Operations Officer, etc.) will contact them by other means to notify them of this requirement.

c. ORM Flight Cancellations

(1) Units shall implement non-punitive measures to monitor and track ORM flight cancellations (i.e. ORM cancel, IMSAFE cancel, etc.) to identify potential human factors issues. These measures must avoid any perception that monitoring and tracking is being performed for punitive purposes. Use of supplemental Aviation Training Jacket (ATJ) entries (electronic or paper) to document ORM flight cancellations is discouraged. If supplemental ATJ entries are used, remarks shall be limited to "IMSAFE (or ORM) cancellation on (date) for (event)." Inclusion of amplifying information (i.e. cancellation for illness, relationship problems, etc.) is prohibited.

(2) Handling of potential human factor issues shall be per references (a) through (c), this instruction and the desires of the unit commander.

(3) In rare cases, abuse of ORM flight cancellations (i.e. multiple student ORM cancellations when scheduled with perceived "hard graders.") may be noted. Those instances shall be handled in a manner appropriate for potential misconduct, not the HFC/HFB process.

(4) ORM flight cancellation documentation shall be maintained during the entire time an aviator flies with the unit.

7. Action. Commanders and Commanding Officers shall establish HFCs and HFBS consistent with this instruction.

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