



User Handbook

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1 Introduction

In 2009 Aerosafe Risk Management developed Industry Risk Profiles for each sector of the Sport Aviation Industry in Australia. This project was sponsored by the Civil Aviation Safety Authority (CASA). The IRPs developed identified a number of areas of improvement, some of which included the development of adequate safety and risk management systems.

The Industry Risk Profiles identified the need for an online incident reporting capability. An online incident reporting system is one of the key components of a modern Safety Management System (SMS) and allows for the sharing of real time information, closed loop reporting (eg. feedback system built in automatically sent to the person who submitted the report) and access in multiple locations.

The Integrated Risk Information System (IRIS™) is an online occurrence reporting system that is consistent with the standard practice already used in the broader aviation industry. IRIS™ was developed by Aerosafe over six years ago and is used by other Aviation Safety Network (ASN) members in Australia, Canada and the USA.

The IRIS™ Project is a major tool for Aerosafe Risk Management and the Recreational Aviation Administration Organisations (RAAO) as IRIS will simplify the occurrence reporting process for all sport aviation members hence encourage more reports. This will ultimately reduce the risk profile of sport and recreational aviation within Australia and will allow for better transparency of the risk issues within the industry. Aerosafe Risk Management is pleased to develop this tailored IRIS website that will help to increase RAAO safety through risk management. The Aviation Safety Network has worked with each organisation to design an Occurrence Reporting module that addresses the specific requirements of the organisation.

In addition to facilitating an online occurrence reporting system, IRIS also provides access to the ASN safety promotion package and information on the organisation's Safety Management System.

2 Principles of IRIS

The CASA Civil Aviation Advisory Publication (CAAP) "Safety Management Systems for Regular Public Transport Operations" Paragraph 4.2.5 states:

"Every event is an opportunity to learn valuable safety lessons. The lessons will only be understood, however, if the event is analysed so that all employees, including management, understand not only what happened, but also why it happened." (CASA CAAP SMS-1(0))

It is with this philosophy that the IRIS Reporting System is established and implemented within the organisation, with assistance from the ASN. The use of IRIS, and the Occurrence Reporting module in particular, enables the further development of the organisation's Safety Management System, and facilitates the risk management process in order to improve the safety of sports aviation.

2.1 Safety Management System

A Safety Management System (SMS) is a structured way to oversee and manage the safety risks of an organization or industry. A SMS becomes an integrated part of everyday activities, including accountability, planning, policies and procedures to manage safety. (CASA Civil Aviation Order 82.3, 2010)

Figure 1 - SMS Pyramid



The SMS framework utilised by the ASN members is shown in Figure 1. Of the twelve elements, IRIS immediately falls within the area of "Records & Data Management". However the additional information contained and shared by IRIS falls into "Safety Planning", "Safety Responsibilities", "Action Management", "Safety Policy & Standards", "Incident Management and Reporting" and "Safety Communications". This in turn allows the organisation to have a very strong method for providing "Safety Governance & Oversight", Safety Assurance (which is the checking component needed in the SMS) and in turn the development of an even stronger culture of safety and opening reporting. The widespread application of IRIS makes it a key tool in further developing the SMS, and reducing the risks within an organisation.

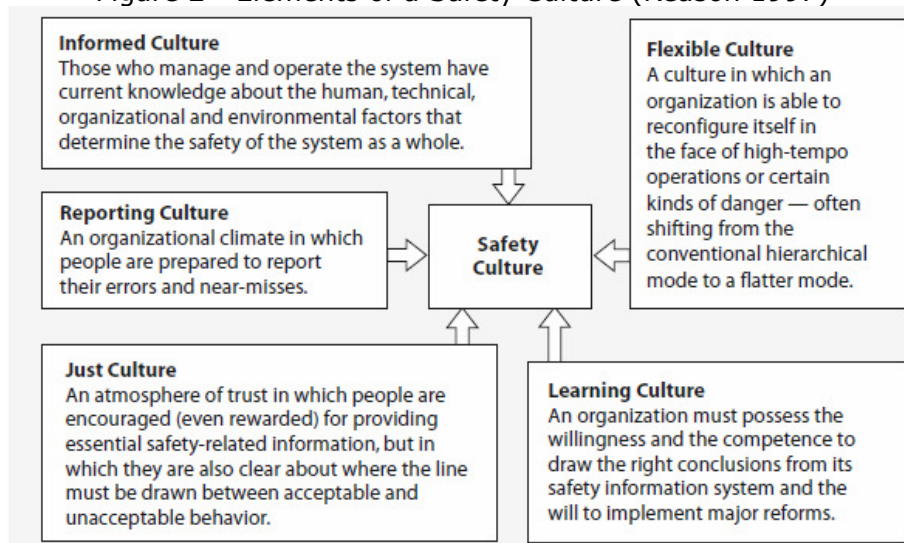
2.2 Safety Culture

As shown literally in Figure 1, the cultural development of an organisation is the foundation of an effective SMS. The development of a safety culture is a critical part of implementing a SMS. One definition of a safety culture is:

"The safety culture of an organisation reflects individual and group values, attitudes, perceptions, competencies, and behaviour patterns. These determine the commitment, style and proficiency of health and safety compliance. Organisations with a positive safety culture have communications founded on mutual trust, shared perceptions of the importance of safety and confidence in the efficacy of preventive measures."

The creation of a safety culture is the culmination of a number of aspects as shown in Figure 2.

Figure 2 - Elements of a Safety Culture (Reason 1997)



Developing a safety culture is not short term process, and there are a number of contributing factors. The establishment of an open reporting culture is one element, which assists in developing an informed and learning culture.

2.3 Reporting Culture

Establishing a reporting culture within an organisation is crucial to the effective implementation of a SMS. The reporting of all occurrences allows the organisation to understand the safety risks which are present within the organisation. Creating a culture which encourages occurrence reporting increases both the quantity and quality of reports. This in turn allows the organisation to take preventative measures, share lessons which may be learned from occurrences, and promote improved safety and risk management.

The development of an open reporting culture, one in which people are prepared to report incidents and near misses, is fundamental to the creation of a safety culture. While not many people like to admit their mistakes or errors, facilitating a culture in which they are prepared to do so is the key to improving the overall reporting culture. In some respects the depth of the reporting culture is dependent upon a just culture.

The elements of an open reporting culture are:

- Instructions about what to report
- Easy to use reporting system
- Transparent reporting processing methods
- Data de-identification processes
- Providing feedback to the organisation
- Trust in a Just reporting culture

These elements ensure that members are encouraged to report, and know what is appropriate to report and, most significantly, the process in which their report will be handled.

The use of IRIS, which facilitates easy, closed loop reporting, is one step towards the generating of a reporting culture. The manner in which the information reported via IRIS is handled is the second step. All Occurrence Reports submitted via IRIS are kept confidential. Only the selected people within the organisation have access to the reports.

Once a report has been investigated, it may be appropriate to distribute information and feedback to members of the organisation. Discussing contributing factors and error prevention strategies increases awareness, and reduces the likelihood of a second occurrence. This will be conducted in keeping with confidentiality requirements. De-identifying report, that is making sure that there is nothing in report feedback that can lead to

identifying the person who submitted the report, or who was involved in the occurrence.

Generating an open reporting culture allows for the sharing of information, which if properly processed, allows organisations to know and understand what sort of safety risks their members are facing. It is through the reporting of occurrences, whether a near miss or serious incident or accident, that people within the organisation become aware of the safety risks, and take steps to mitigate or eliminate the risks. Respecting the trust of the reporter is important in creating a solid reporting culture. Following up the report in a systematic and confidential manner, and sharing the knowledge gained from the use of IRIS will further aid the creation of an environment where people are prepared to report occurrences.

2.4 IRIS Occurrence Reporting System

The IRIS Occurrence Reporting System is based on best practice reporting in order to facilitate an open reporting culture. The provision of an online system, which allows the confidential handling of information, not only encourages members to report all occurrences, but it allows greater insight to the safety risks present in the organisation.

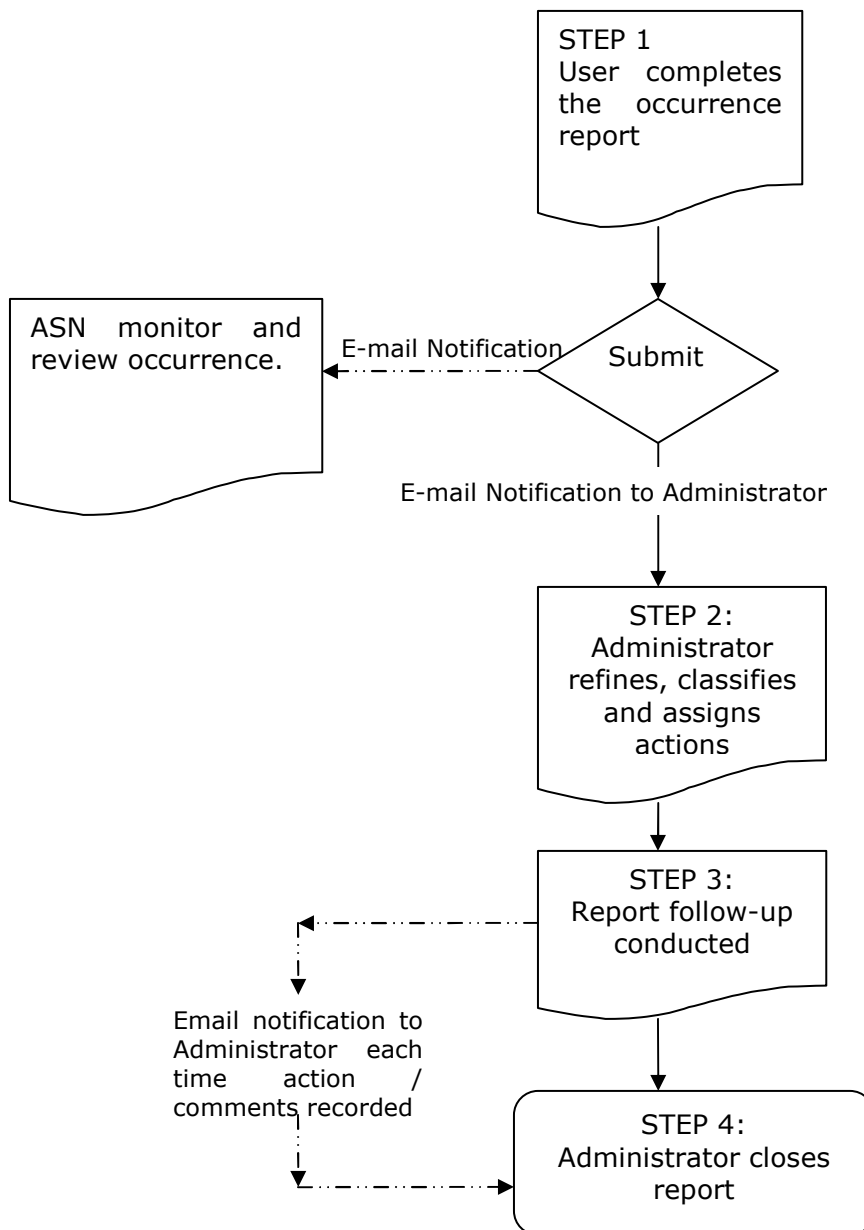
There are three access levels for IRIS: Administrator, Manager and User. Generally there is one or two IRIS Administrators, and up to a dozen Managers. These people are responsible for following up on occurrences logged in IRIS. The User access level enables everyone in an organisation to have an individual log in for IRIS and log occurrence reports, wherever they may be. Most people using IRIS will have the User access level.

Once an Occurrence Report is submitted, a notification email is sent to the IRIS Administrator, appointed by the organisation. The User who submitted the report will also receive an email acknowledging their report, including the Report ID number. Users will not be able to further edit their report once it is submitted. Users are encouraged to contact either their IRIS Administrator, or submit a "Support Request" via IRIS (see Section 3.3.2) should more information or detail become available in relation to a previously submitted report.

The Administrator categorises the occurrence and assigns the investigation and any required follow up of the occurrence to an appropriate Manager. As the investigation continues, the report is updated on IRIS to track progress, with an email being automatically sent to the Administrator each time the report is updated. Only the Managers and the Administrator will be privy to the information contained in the report. Once any actions required have been completed, the Administrator closes the report. The process, shown in Figure 3, demonstrates how the information submitted via IRIS will only be accessible to those approved by the IRIS Administrator.

The Aviation Safety Network (ASN) will also receive notification of any occurrence report submitted. This information is used to provide feedback to the organisation. In the future this will allow trending of reports across the ASN and may involve the use of the Human Factor Analysis and Classification System (HFACS).

Figure 3 - IRIS Reporting Processing System



3 IRIS

3.1 IRIS Definitions

Industry Risk Profile – profile of the risks present in an industry sector at a specific point in time, normally coupled with risk treatment strategies.

Occurrence –all circumstances which have, or could have significance in the context of safety. This includes accidents, incidents, near misses, operational interruptions, defect or other circumstance which could have safety significance.

Reporting Person – the individual submitting an occurrence report

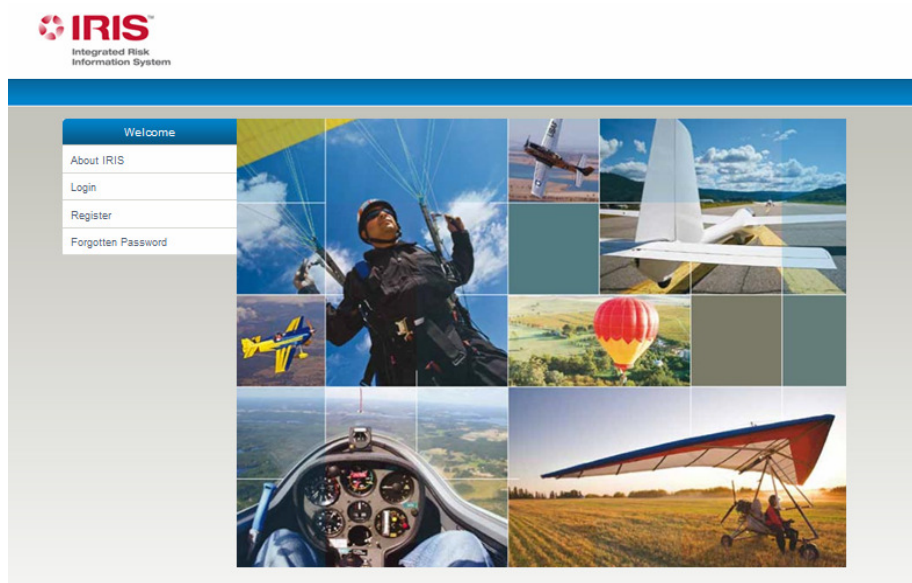
Safety Management System – a systematic, explicit and comprehensive approach to managing safety. This include the necessary organisational structures, accountabilities, policies and procedures.

Submit – the final step when a Reporting Person is completing an Occurrence Report. Once the Reporting Person clicks “submit” the report is not longer able to be edited by themselves, and both the IRIS Administrator and the ASN receive an email notification of the report.

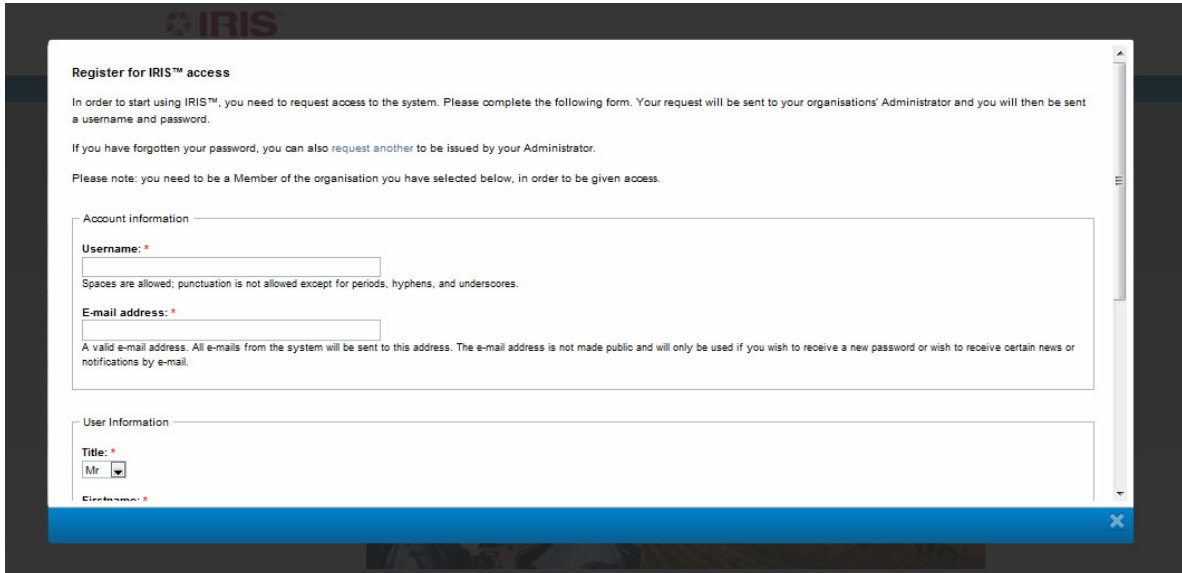
3.2 Using IRIS

3.2.1 USING IRIS FOR THE FIRST TIME

Before using IRIS you will need to register. In order to do this on the IRIS login page <<http://www.irisasn.com/index.html>> you need to click “Register” on the left side menu.



Simply fill in the form of your personal details and click “Create a new account”. An email will be sent to the IRIS Administrator who will verify you are a member of the organisation, and send you a username and password.



IRIS

Register for IRIS™ access

In order to start using IRIS™, you need to request access to the system. Please complete the following form. Your request will be sent to your organisations' Administrator and you will then be sent a username and password.

If you have forgotten your password, you can also request another to be issued by your Administrator.

Please note: you need to be a Member of the organisation you have selected below, in order to be given access.

Account information

Username: *

Spaces are allowed; punctuation is not allowed except for periods, hyphens, and underscores.

E-mail address: *

A valid e-mail address. All e-mails from the system will be sent to this address. The e-mail address is not made public and will only be used if you wish to receive a new password or wish to receive certain news or notifications by e-mail.

User Information

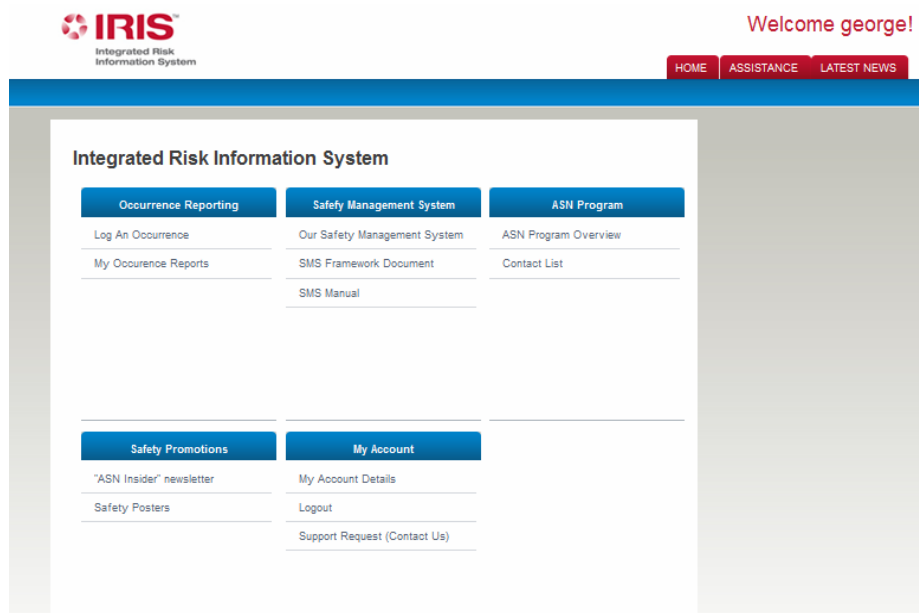
Title: *

Mr

Employer: *

3.2.2 LOGGING IN TO IRIS

Once you have received your username and password, you can log in to IRIS. To login to IRIS simply click on “Login” on the first page, and enter your username and password and click the “Login” button. Should you forget your password at any time, click on “Forgotten Password” on the IRIS login page. Enter in your email address and an automated email will be sent to you, providing you with your password.



IRIS
Integrated Risk Information System

Welcome george!

HOME ASSISTANCE LATEST NEWS

Integrated Risk Information System

Occurrence Reporting	Safety Management System	ASN Program
Log An Occurrence	Our Safety Management System	ASN Program Overview
My Occurrence Reports	SMS Framework Document	Contact List
	SMS Manual	

Safety Promotions	My Account
"ASN Insider" newsletter	My Account Details
Safety Posters	Logout
	Support Request (Contact Us)

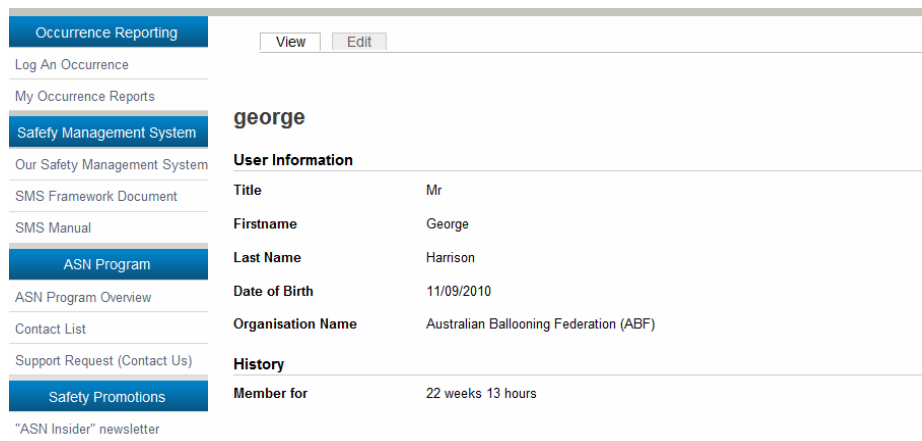
The IRIS homepage provides access to the modules dependent on your access level.

3.3 My Account

My Account enables the User, to view and edit the User's account details.

3.3.1 MY ACCOUNT DETAILS

To change your account details select "My Account Details" either on the IRIS homepage or using the left hand side menu. This will display the following screen. To change any of your account information, simply click on "Edit" at the top of the page.

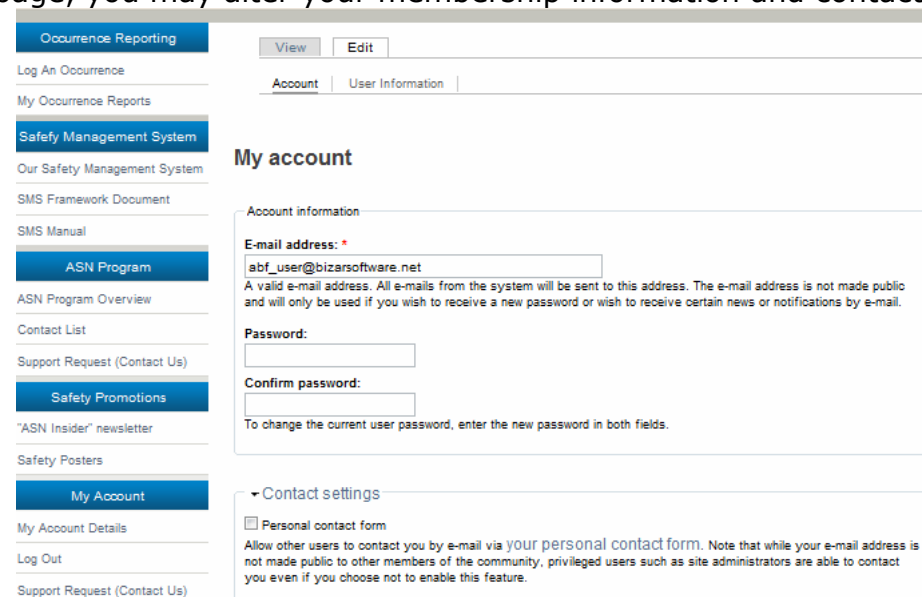


The screenshot shows a sidebar menu on the left with categories like Occurrence Reporting, Safety Management System, ASN Program, and Safety Promotions. The main content area displays the user's name 'george' and a 'View' / 'Edit' button. Below this is a 'User Information' section with the following details:

Title	Mr
Firstname	George
Last Name	Harrison
Date of Birth	11/09/2010
Organisation Name	Australian Ballooning Federation (ABF)

Below the user information is a 'History' section showing 'Member for 22 weeks 13 hours'.

Once you click "Edit" the first screen will enable you to reset your password and your email address. If you then click "User information" towards the top of the page, you may alter your membership information and contact details.



The screenshot shows the 'My account' page with 'Account' and 'User Information' tabs. The 'Account information' section contains the following fields:

- E-mail address:**

A valid e-mail address. All e-mails from the system will be sent to this address. The e-mail address is not made public and will only be used if you wish to receive a new password or wish to receive certain news or notifications by e-mail.
- Password:**
- Confirm password:**

Below these fields is a note: "To change the current user password, enter the new password in both fields."

The 'Contact settings' section includes a checkbox for 'Personal contact form' with the following text: "Allow other users to contact you by e-mail via your personal contact form. Note that while your e-mail address is not made public to other members of the community, privileged users such as site administrators are able to contact you even if you choose not to enable this feature."

Remember to click "Save" at the bottom of the page if you make any changes.

3.3.2 SUPPORT REQUEST

If you ever need to contact the ASN, for an IRIS related enquiry or otherwise, you can do so by submitting the form in "Support Request (Contact Us)". This sends an email to the ASN Operations Support Centre.

This is the best way to report any issues which arise when using IRIS, or any suggestions for improvement. One of the ASN Team will be able to get back to you, generally within 24 hours.

3.3.3 ASSISTANCE

The "Assistance" tab is accessible at the top right hand corner of every IRIS page. This page contains video demonstrations of IRIS functions. We recommend that you have a look at these videos when you first use IRIS as they provide a good overview of some of the functions. If you still aren't sure about something log a Support Request for further assistance.

3.3.4 LOGOUT

Clicking the "Logout" button will log you out of IRIS. Remember to do this each time you finish using IRIS.

3.4 Occurrence Reporting

3.4.1 LOG AN OCCURRENCE

To submit a new Occurrence Report, click "Log an Occurrence" either on the IRIS homepage or by using the navigation menu on the left hand side of any page on IRIS.

Within the new Occurrence Report, there are a series of drop down groups of questions, which are categorised depending on your access level and organization. These generally consist of:

- Factual Information
- Weather Conditions or Weather Factors
- Pilot Information
- Description
- Aircraft Details
- File Attachments

By clicking each group heading, the relevant questions will appear. It is beneficial to provide as much information and detail as possible.

Log An Occurrence

Title of Report: *

▶ Factual Information

▶ Weather Conditions

▶ Description

▶ File attachments

The only fields which are mandatory when submitting a report, as indicated by an orange asterisk, are:

- Title of Report (top of form);
- Person(s) Involved (in the "Factual Information" group); and
- Details (in the "Description" group).

For the field "Title of Report" it is suggested that you include a simple line which provides a high level overview of the occurrence. This provides a means by which the report can be referred to without specific reference to people involved or other identifying details.

All other fields are optional, however by providing as much information as possible, the report becomes more valuable to the organisation. Detailed information allows a greater understanding of the circumstances surrounding an occurrence, which then makes it easier for the person investigating each occurrence report to comprehend exactly what happened and possible contributing factors. This will then provide more information to pass on to other members within the organisation if need be, reducing the likelihood and/or consequences of a second occurrence.

If further electronic files or documents, such as photos, Word documents or a pdf file, are available or relevant to the occurrence, these can be attached to the Occurrence Report using the File Attachments group at the bottom of the Occurrence form. Simply press the "Browse" button, which will allow you to browse through your computer for the particular file. Once you have identified the correct file click "Open". This will return you to the IRIS page. The filepath for the file is now written in the IRIS field, so click "Attach". This may take a few moments for the file to be uploaded. Note that the largest file size which can currently be attached is 50 MB. You can attach multiple files to a single Occurrence Report.

Log An Occurrence

Title of Report: *

▶ Factual Information

▶ Weather Conditions

▶ Description

▼ File attachments

Changes made to the attachments are not permanent until you save this post. The first "listed" file will be included in RSS feeds.

Attach new file:

C:\Users\Aerosafe\Documents\Research\FAA

The maximum upload size is 50 MB. Only files with the following extensions may be uploaded: jpg jpeg gif png txt doc xls pdf ppt pps odt ods odp avi mpeg mpg dat cup igc wmv.

Once you have provided as much detail as possible in the Occurrence Report, you may press either "Submit" or "Preview" at the bottom of the page. "Preview" will allow you to look over all the fields you have completed and make changes if necessary. Once you are satisfied you press "Submit". This will then save the Occurrence Report and send an email notification to the IRIS Administrator of your organisation. You will not be able to further edit your Occurrence Report.

3.4.2 MY OCCURRENCE REPORTS

This page will enable you to view all Occurrence Reports you have submitted. By clicking on the "Title of Report" from the list of all your Occurrence Report, you can view all the details you submitted in the particular Occurrence Report.

3.4.3 FOLLOWING UP THE OCCURRENCE REPORT

Once the report is submitted, the IRIS Administrator receives an email notification of the report. The Administrator is then able to review the Occurrence Report, categorise it depending on the consequences or potential consequences of the Occurrence, and assign a Manager to conduct follow up activity. The Administrator and the Managers are the only people able to view the Occurrence Report. They will conduct an investigation or follow up on the Occurrence with the relevant parties as required.

Should you have any enquiries about your Occurrence Report, or wish to provide additional information after submitting your report, either contact your IRIS Administrator directly, or log a Support Request via IRIS, noting the report ID number.

3.4.4 PRINTING AND SAVING YOUR OCCURRENCE REPORT

Once your report is submitted you may wish to print the report, or save it as a PDF file for your own records.

In "My Occurrence Reports" click on the report of interest. At the bottom of the report there are three options; print, email or generate PDF. Simply select the option and follow the prompts. This will create a version of the report that does not include the IRIS menu on the left hand side, or the top toolbar.

3.5 Safety Management System

This section of IRIS provides information on the Safety Management System in place in your organisation, as well as some additional relevant documents, such as your SMS Framework.

3.6 ASN Program

The ASN Program module provides an overview of how the ASN operates and supports your organisation.

From the link "Contact List" within ASN Program you can also access the Contact List for your organisation, as well as some useful websites.

3.7 Safety Promotions

Safety promotion ensures that all members are aware of safety related topics, spreads lessons learnt from occurrences within the organisation, and increases awareness of safety.

The monthly "ASN Insider" newsletter is distributed via email to ASN member organisations. The link in IRIS to previous issues of ASN Insider allows all members to access the information and updates written by Risk Advisors, Accident Investigators and ASN member organisations each month.

Links to posters developed by the ASN for display on websites, in newsletters and at clubs or branches are included by clicking on "Safety Posters". These posters are available as pdf files.

4 Troubleshooting

Should you have any problems with using IRIS click the “Support Request (Contact Us)” link on the homepage. This sends an email to the ASN Operations Support Centre who will deftly process your request to ensure that your IRIS experience will be hassle free.

4.1 ASN Operations Support Centre

The ASN Operations Support Centre (OSC) operates 24 hours a day, 7 days a week. This provides access to dedicated Risk Advisors, Accident Investigators and Operations Co-ordinators to support you at any time. This support extends to assistance with IRIS. Should you have any queries please contact the ASN OSC by email (asn@aerosafe.com.au) or by phone (02 8336 3750).

4.2 Frequently Asked Questions

1. *I have registered for IRIS but have yet to receive my username and password – what should I do?*

Contact the ASN Operations Support Centre. There may have been delay with your registration being verified. Your organisation and the ASN does everything possible to ensure that the right people have access to IRIS, and the most appropriate access level, so approval is needed for every registration.
2. *I can't seem to log on to IRIS?*

It may be that you have forgotten your password. Use the menu on the IRIS log in page; click “Forgotten Password” and type in your email address. An email will be sent to you with your IRIS password. Still having troubles? Contact the ASN Operations Support Centre or your IRIS Administrator.
3. *What should I use IRIS for?*

IRIS is an integral part of your organisation’s Safety Management System. It not only allows you to log an occurrences, but it provides access to information about your Safety Management System and safety promotion material.
4. *How do I use IRIS?*

This Handbook provides a good starting point of what IRIS is all about, and how to use some of its functions. However there are recorded demonstrations of IRIS accessible once you have logged in. On the IRIS homepage on the top right hand side of the page there is a red tab labeled “Assistance”. This will list the video demonstrations, called “webinars” which will help introduce you to IRIS. Another great way to become familiar with IRIS is also to fiddle! Have a peak around and

check out it every page. If you have any questions, either contact the ASN through "Support Request", or contact your IRIS Administrator.

5. *What should I report?*

Everything! The Occurrence Report form is designed to enable you to report any occurrence, whether it is a serious accident or incident, or simply something odd you noticed during your pre-flight check. The more information you are able to provide to your organisation about safety related issues or risks, the more empowered your leaders are to assist all members improve safety across the board. Use the "Details" section, under "Description" in the Occurrence Report form to elaborate on the occurrence.

6. *Do I still need to report incidents to Australian Transport Safety Bureau (ATSB)?*

Yes. IRIS does not eliminate your legal obligation to report accidents and serious incidents to the ATSB. See <https://www.atsb.gov.au/mandatory/asair.aspx> for further information.

7. *I have some great ideas for how to improve IRIS, who do I tell?*

Either submit a "Support Request" to let the ASN know directly, or contact your IRIS Administrator to give any feedback on IRIS and suggestions for improvements. One of the great things about IRIS is that it is continuously improving and will develop as your organisation, and its Safety Management System continues to grow.