



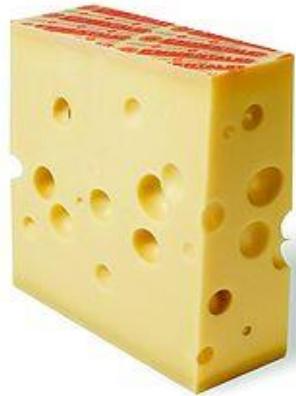
Software Tools for Consistency and Creativity in ATM Incident Investigations

Chris W. Johnson

**Professor and Head of Computing Science,
University of Glasgow. <http://www.dcs.gla.ac.uk/~johnson>**

- Investigations little changed in 50 years.
 - Lots of tools – almost totally ignored;
 - Islands of good practice but isolated.
- Fresh look with input from US, Europe & Asia:
 - Multiple information sources freely available;
 - Can we develop a new generation of software systems?
- From ADS-B to Debris and Suborbital ops...

Cheese Can Be Harmful...



AIRPROX REPORT No 2013158

Date/Time: 10 Nov 2013 1310Z (Sunday)

Position: 5210N 00016W
(3.7nm S St Neots)

Airspace: Lon FIR (Class: G)

Aircraft 1 Aircraft 2

Type: Pitts Extra

Operator: Civ Pte Civ Pte

Alt/FL: 1800ft 3000ft
NK QFE (NK hPa)

Conditions: VMC VMC

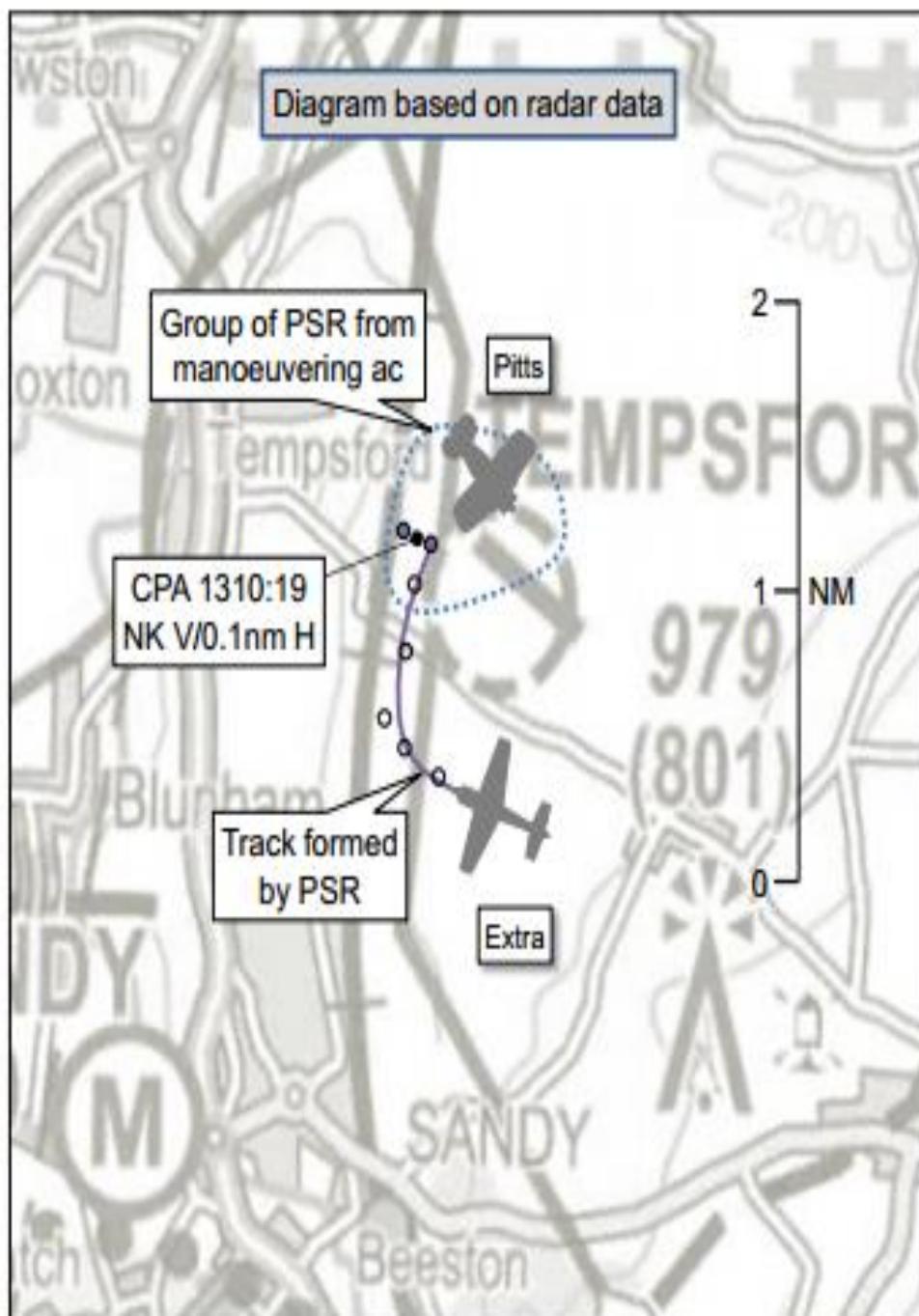
Visibility: >10km >10km

Reported Separation:

0ft V/30-100m H 500ft V/500m H

Recorded Separation:

NK V/0.1nm H

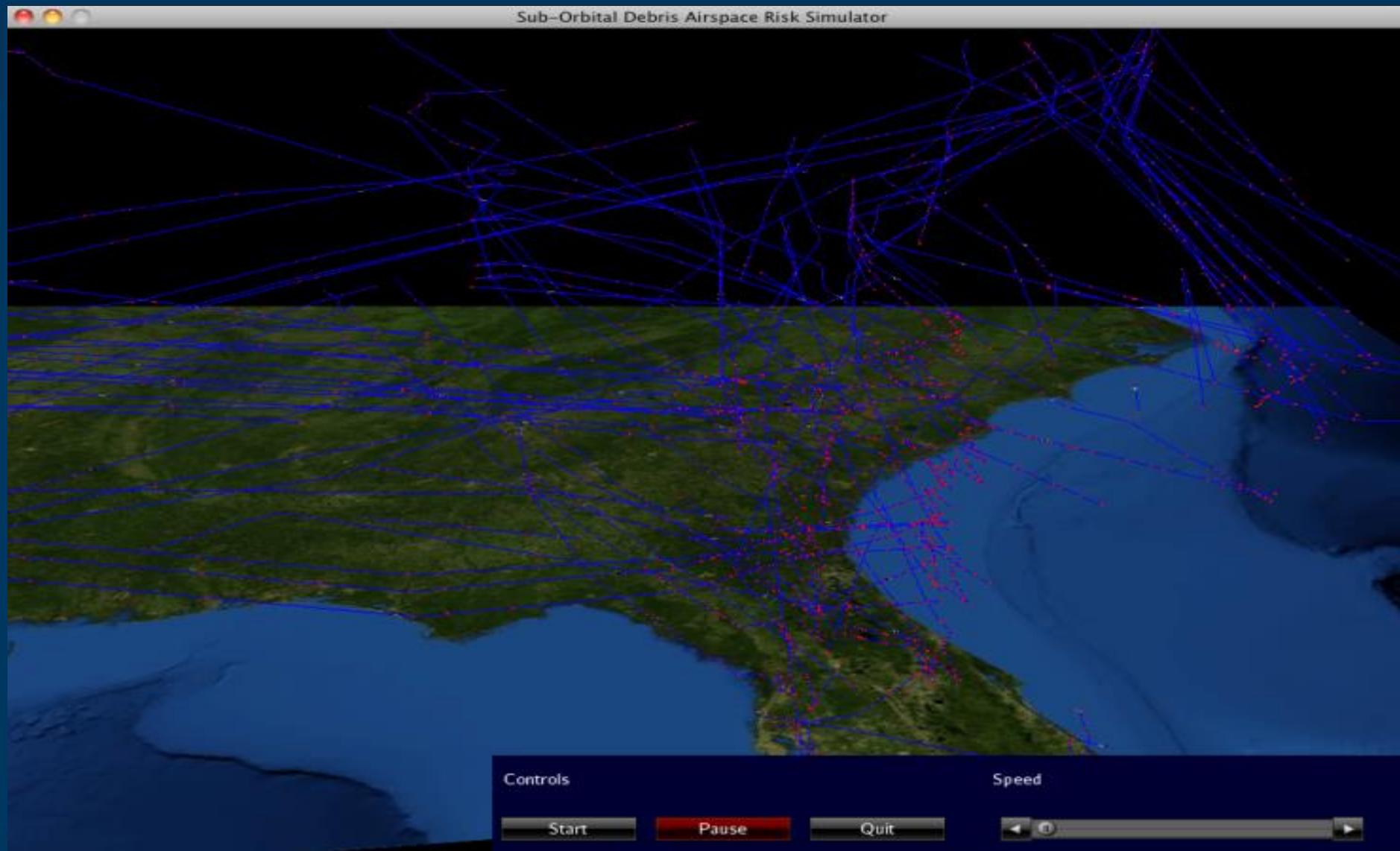








Sub-orbital Debris



- Author bias if individuals reluctant to accept findings that they have not produced.
- Confidence bias if individuals trust those with greatest confidence in their techniques.
- Hindesight bias when investigators use information unavailable to participants in incident.
- Judgement bias if investigators must reach decision within a constrained time period.
- Political bias if high status member commands influence from status not judgement itself.
- Sponsor bias if analysis affects reputation of organisation that an investigator manages.

- If in Doubt, Visit the Site.
- Convene a Decision to Investigate Meeting.
- Develop a Preliminary Evaluation Report.
- Provide Guidance for Interviews.
- Build and Maintain a Timeline of Events.
- Link a Reconstruction to the Evidence.

- Document/Test Initial Hypotheses.
- Use both Forward and Backwards Analysis.
- Challenge the Analysis through Peer Review.
- Support for Human/ Organisational Issues.
- See if Recommendations Copy Earlier Findings.
- Links Recommendations & Causes.

- Also (fairly poor) manual and software tools.

Determining System Inadequacy(ies) Responsible for Human Error

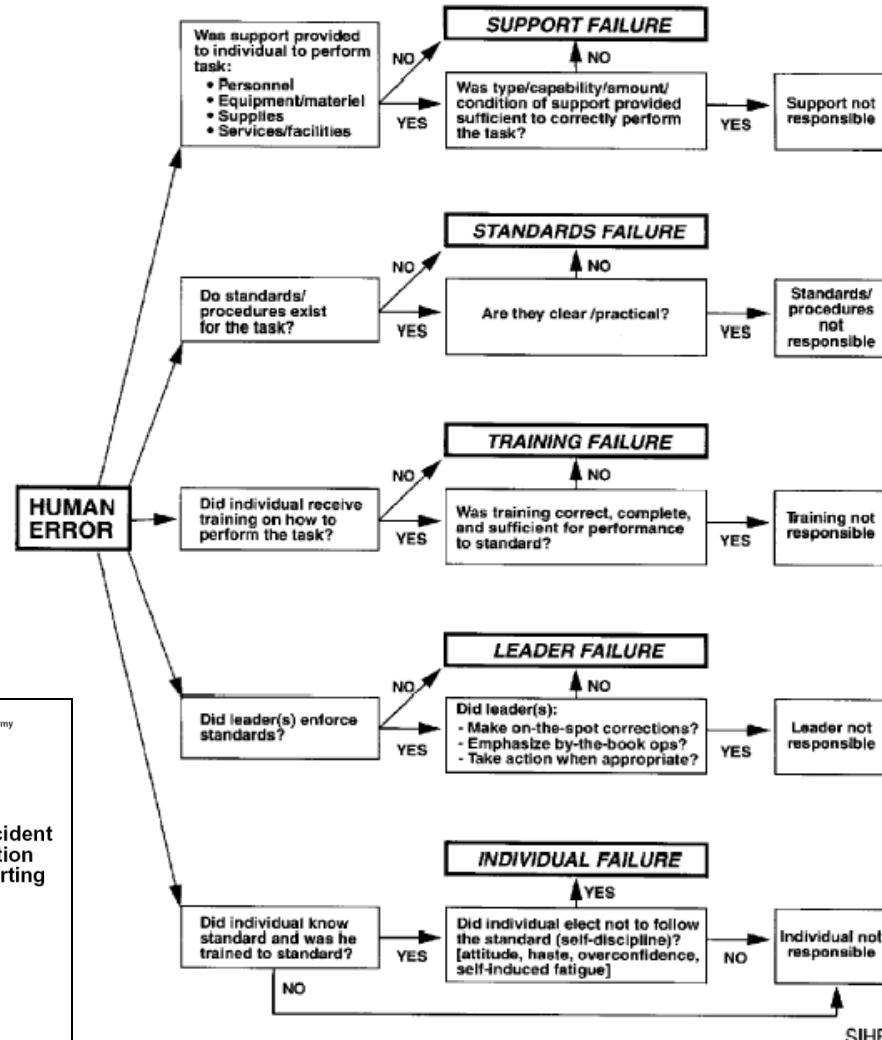


Figure 2-1. Determining system inadequacy(ies) responsible for human error

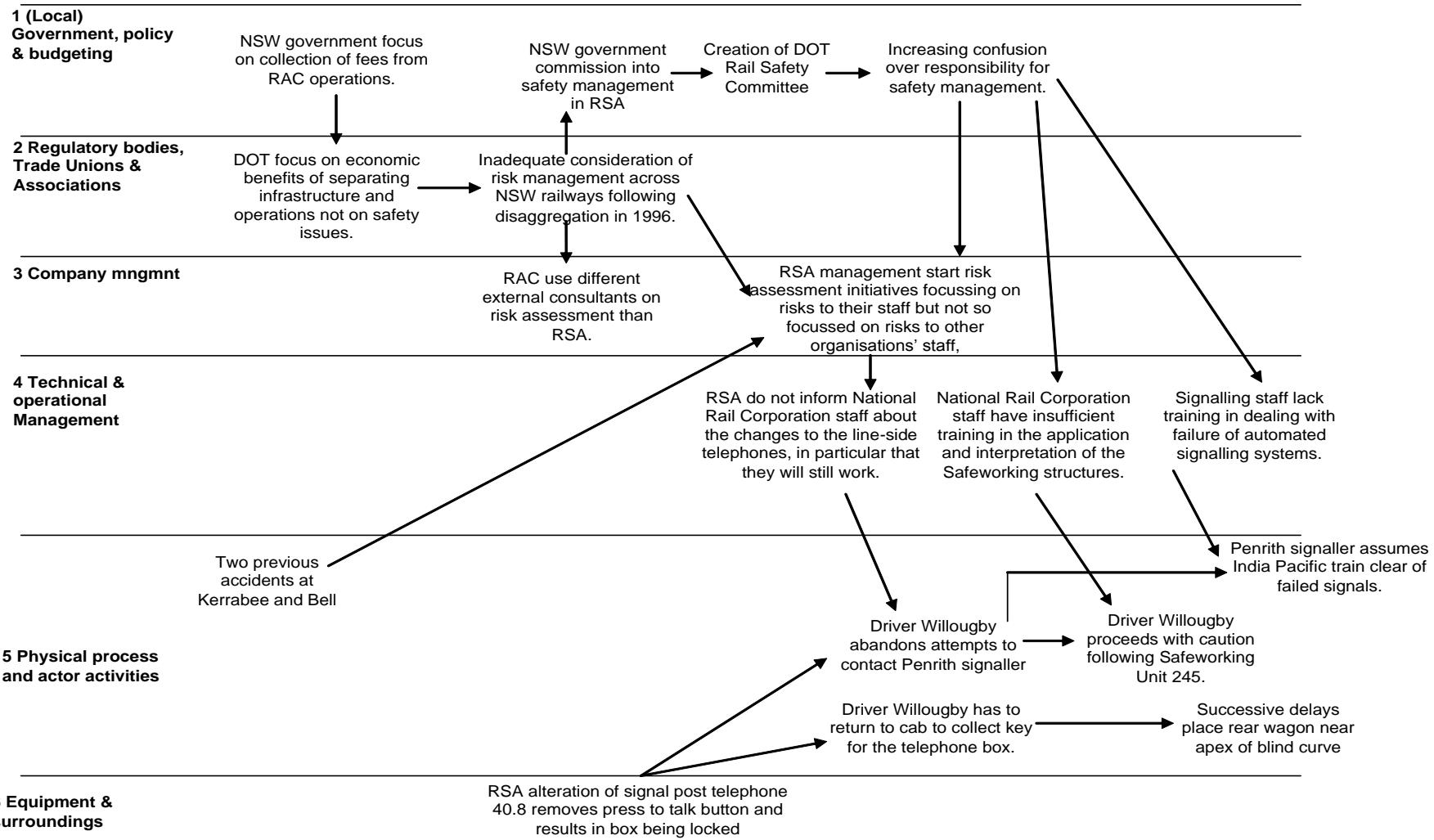
 Department of the Army
Pamphlet 385-40

 Safety
Army Accident
Investigation
and Reporting

 Headquarters
Department of the Army
Washington
1 November 1994

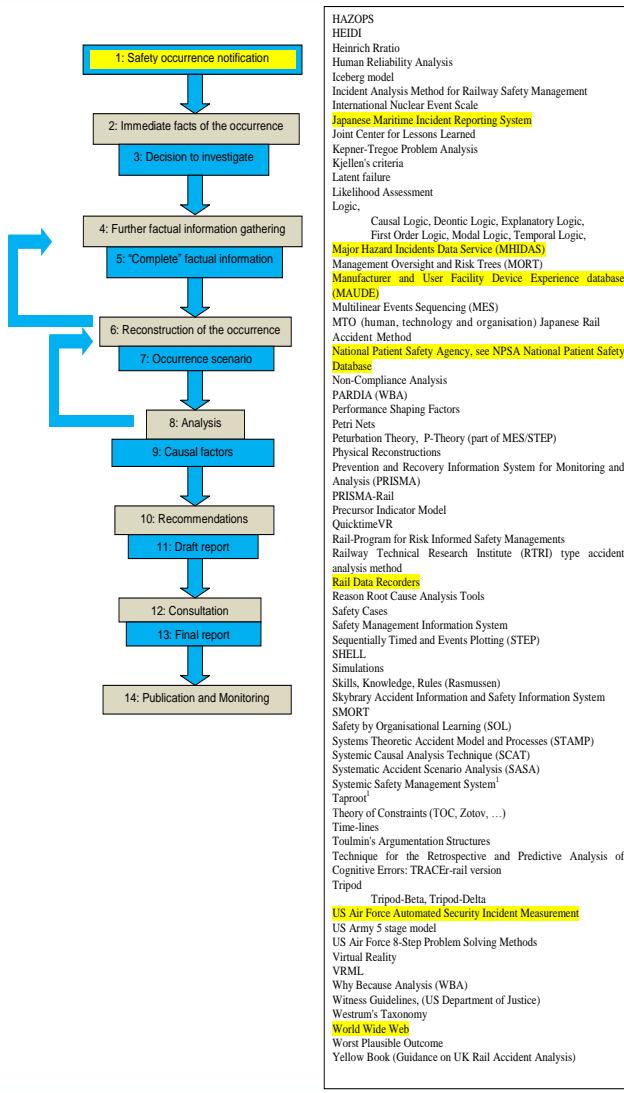
Unclassified

System Inadequacies/Readiness Shortcomings/Root Causes	
	LEADER FAILURE
Code: 01	Key Word/Explanation: Inadequate/improper supervision by higher command.
Code: 02	Key Word/Explanation: Inadequate/improper supervision by staff officer.
Code: 03	Key Word/Explanation: Inadequate/improper supervision by unit command.
Code: 04	Key Word/Explanation: Inadequate/improper supervision by direct supervisor/noncommissioned officer in charge/platoon leader/instructor. NOTE: Inadequate supervision becomes a root cause when it leads to accident-causing personnel mistakes or materiel failure/malfunctions. Inadequate supervision is more clearly identifiable at the immediate-supervisor level.
	INDIVIDUAL FAILURE
Code: 15	Key Word/Explanation: Fear/Excitement/Anger (inadequate composure). Each person is a part of the system. Therefore, his state of mind is a system element. Inadequate composure is a temporary state of mind that becomes a root cause when a person makes an accident-causing error because of fear, excitement, or some related emotional factor made clear, rational thought impossible.
Code: 16	Key Word/Explanation: Overconfidence/complacency in abilities. Overconfidence is a temporary state of mind that becomes a root cause when an accident is caused by a person's unwarranted reliance on: his own ability to perform a task, the ability of someone else to perform a task, the performance capabilities of equipment or other materiel.
Code: 17	Key Word/Explanation: Lack of confidence. Lack of confidence is a
Table B-5 System Inadequacies/Readiness Shortcomings/Root Causes—Continued	
temporary of mind that becomes a root cause when an accident is caused by a person's unwarranted lack of reliance on: his own ability to perform the task, the ability of someone else to perform the task, the performance capabilities of equipment or other materiel.	
Code: 18	Key Word/Explanation: Haste/Attitude (poor motivation). Haste/attitude (poor motivation) is a temporary state of mind that becomes a root cause when a person makes an accident-causing mistake because he/she is in a hurry (haste), or has a poor/bad attitude.
Code: 19	Key Word/Explanation: Fatigue (self-induced). Fatigue is a temporary physical and/or mental state that becomes a root cause when a person makes an accident-causing error because of reduced physical or mental capabilities resulting from previous activity and/or lack or rest.
Code: 20	Key Word/Explanation: Effects of alcohol, drugs, illness. The temporary effects of alcohol, drugs, or illness become a root causes when a person makes an accident-causing error because of reduced physical or mental capabilities resulting from one or more of these effects.
Code: 21	Key Word/Explanation: Environment conditions. Unknown or unavoidable conditions, which result in materiel failure or induce human error.
Code: 97	Key Word/Explanation: Insufficient information to determine system inadequacy/cause.



Identifying Tools, Methods and Techniques

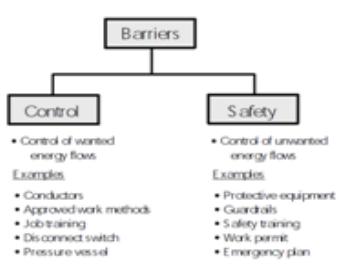
Accident Analysis Framework,
 Accimaps (Rasmussen)
 Accident Investigation Training Course (UK Rail)
 Adverse Incident Tracking System, see AITS
 Adverse Event Reporting System, (US Food and Drugs Administration)
 Australian Incident Monitoring System, see AIMS
 ATSB Aviation Safety Action Programme
 Aviation Safety Reporting System (ASRS, National Transportation Safety Board)
 ABCA Coalition Operations Lessons Learned Database,
 Australian Office of Transport Safety Investigations,
 Confidential Safety Reporting Information Scheme
 Barrier Analysis,
 Bayesian Analysis
 Bayesian Networks
 Bias,
 Biomechanical models
 Canadian National Defence General Accident Information System, and Safety Digest,
 Case-based reasoning
 Causal trees
 Counterfactual reasoning
 Cause-context summaries
 Cause-Consequence Models¹
 CD-ROM
 Chain of events
 Change Analysis
 Chat Rooms
 Checklists
 Confidential Incident Reporting System (CIRS)
 Cockpit Voice Recorders
 Composite Risk Management (CRM)
 Computerised Accident Incident Reporting System (CAIRS)
 Conclusion, Analysis and Evidence diagrams, (CAE)
 Confidential Human Factors Incident Reporting Programme (CHIRP)
 Confidential Incident Reporting and Analysis System (CIRAS)
 consequence assessment
 Cooperative Compliance Programme (OSHA's)
 CREAM
 Cryptography
 Current Reality Tree
 Databases
 Data Mining
 Data Recorders
 Data Reporting Analysis and Corrective Action System (DRACAS)
 Decision Theory
 DesktopVR
 Dynamic Querying
 Decision Trees
 Domine Theory
 Eindhoven Classification Model,
 Electronic mail
 Enhanced Cognitive Interviews for Rail Investigations
 European Space Agency Alert System,
 EUROCONTROL Risk Assessment Worksheets
 Event trees
 Events and Causal Factor Charts (ICF)
 Failure Modes, Effects and Criticality Analysis (FMEA)
 Failure Reporting, Analysis and Corrective Actions (FRACAS)
 Fault trees
 Fax machines
 Five Whys
 Flight Operations Quality Assurance programmes
 Flowchart
 Formal methods
 FRA Highway-Rail Crossing Web Accident Prediction System,
 FRA Confidential Close Call
 GEMS, Generic Error Modeling
 Generic Occurrence Classification
 Global Aviation Information Network (GAIN)
 Goal Structured Notation (GSN)



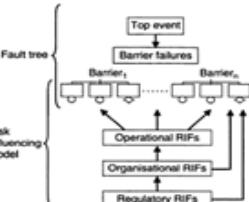
- Step 1: Safety occurrence notification (22 out of 130)
- Step 2: Immediate facts of the occurrence (17 out of 130)
- Step 3: Decision to investigate
- Step 4: Further factual information gathering (28 out of 130)
- Step 5: Complete factual information
- Step 6: Reconstruction of the occurrence (30 out of 130)
- Step 7: Occurrence scenario
- Step 8: Analysis (67 out of 130)
- Step 9: Causal factors
- Step 10: Recommendations (33 out of 130)
- Step 11: Draft report
- Step 12: Consultation (20 out of 130)
- Step 13: Final report
- Step 14: Publication and Monitoring (23 out of 130)

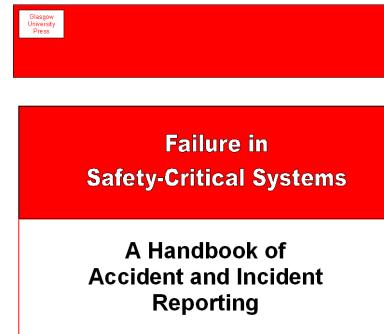
Template-Based Comparisons

B
Barrier Analysis

Evaluation Criteria	Assessment
Name of the method/tool/technique	Barrier Analysis
References to the method/tool/technique	<p>W.A. Trost and R.J. Netney, Barrier Analysis, August 1995, DOE/DOE-01-TRAC-29-95, US Dept of Energy. http://www.jkltd.net/trac29.pdf</p> <p>E. Albrechtzen and P. Hokstad, An Analysis of Barriers In Train Traffic Using Risk Influencing Factors, Page 25-31, In Safety and Reliability: Proceedings of ESREL 2003, European Safety and Reliability Society, Annual Conference. Edited by T. Bedford, P. H. A. J. M. van Gelder</p>
Other names or speciality names	Originally part of MORT analysis but now a more general technique.
Primary objective of the method/tool/technique: the original purpose or function of the method/tool/technique	Barriers are important for the understanding and prevention of accidents in two different, but related ways. Firstly, the very fact that an accident has taken place means that one or more barriers have failed – either because they did not serve their purpose adequately or because they were missing or dysfunctional. The search for barriers that have failed should therefore be an important part of accident analysis. Secondly, once the aetiology of an accident has been determined and the causal pathways identified, barriers are used as a means to prevent that the same, or similar, accidents take place in the future. In order to facilitate this, the consideration of barrier functions should be a part of system design ² .
A description of the process which must be followed to apply the method/tool/technique – this description is a digest of information drawn from the references or subject matter experts	<p>'Barrier Analysis' was written to support the total MORT Programme. It is a reminder to the system safety person or the accident investigator that there are three factors to be considered when evaluating an accident or a potential accident situation. Those three factors are (1) the energy or environmental condition present, (2) the target, the person or object of value and, (3) the barrier and control, those things that are in place or should be in place to keep the energy and the targets apart'. The following figure illustrates different types of barriers.</p> 

² <http://www.ituu.se/research/project/train/papers/AccidentAnalysis.pdf>

	
An indication for which of the phases in the generic occurrence investigation process (Figure 1) it could be applicable.	<p>Step 8: Analysis Step 9: Causal factors Step 10: Recommendations Step 11: Draft report</p>
Has the method/tool/technique previously been applied in railway occurrence investigations, or could it be adapted to the railway context?	Yes, see citation above and similar examples in the ESREL collection.
Alternative, overlapping or complementary method/tool/technique, e.g. methods/tools/techniques that can be used preliminary or successively to the method/tool/technique	MORT, Fault Tree Analysis.
An indication whether the method/tool/technique is in use	Yes, it is in widespread use in many industries around the globe – taught as part of many engineering courses and as can be seen above has been integrated with fault tree analysis closing loops between Incident Investigation and hazard analysis/design.
Computer tools that can support application of the method/tool/technique	Barrier analysis is a conceptual approach that has been integrated into a number of different tools but the generic nature of the ideas mean the actual version implemented differs greatly from tool to tool.
Evidence of successful application of the method/tool/technique	Considerable evidence of successful use of the tool.
The required level of expertise to apply the technique: is it relatively easy to understand and use? Is specific training needed?	There are different flavours of Barrier Analysis – the basic concepts are easy to pick up but training is offered by a range of companies to use the approach in conjunction with other techniques such as MORT or FTA.
The degree to which the technique lends itself to reviewable documentation	In most instances the products of Barrier Analysis are easy to comprehend and can be represented in a range of visual forms, even for complex systems.
The consistency of the technique, such that if used on two occasions by independent investigators, reasonably similar results are derived	It remains a relative subjective approach – there are choices to be made both in the nature of appropriate barriers – technological, procedural etc and also where they might be deployed in design or where they failed in an accident hence some disagreement might be expected -
Any restrictions on application, e.g. problem scale, generality, accuracy, ease of use, cost, availability, maturity, use of resources, data requirements, etc.	Barrier analysis is amongst the most mature techniques for accident investigation and has many benefits in terms of the number of case studies and training courses.
Do the tools and techniques provide equal benefits for both small and large member states?	In this case, training investments for smaller organisations are probably justified in terms of the benefits reported by previous applications of the approach.
Do the tools and techniques provide support for all aspects of a failure (human, organisational, technical) in equal measure or must they be integrated with other approaches?	In its generic form Barriers take many forms – including procedural and organisational although there is controversy about how much we can rely on these and other human factors measures.
Can the tools and techniques provide credible support for the future requirements, given increasing complexity and integration in railway operations?	Yes, barrier analysis remains a significant approach as a precursor to some more recent ideas in resilience engineering and so will most likely offer support into the



C.W. Johnson

North American Complacency

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CFR Title 21 | Advisory Committees | Assembler | NHRIC | Guidance | Standards

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OR
use Full-Text Search below and select Search:

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Brand Name 510K Number
Manufacturer PMA Number
Event Type Product Code
Date Report Received by FDA (mm/dd/yyyy) to

Full Text Search - Temporarily Unavailable
Enter a single word (e.g., electromechanical), an exact phrase (e.g., electromechanical pump) or multiple words connected by and (e.g., electromechanical and infusion).

Date Report Received by FDA

2001-2003 1999-2000 1998 1997 1992-1996

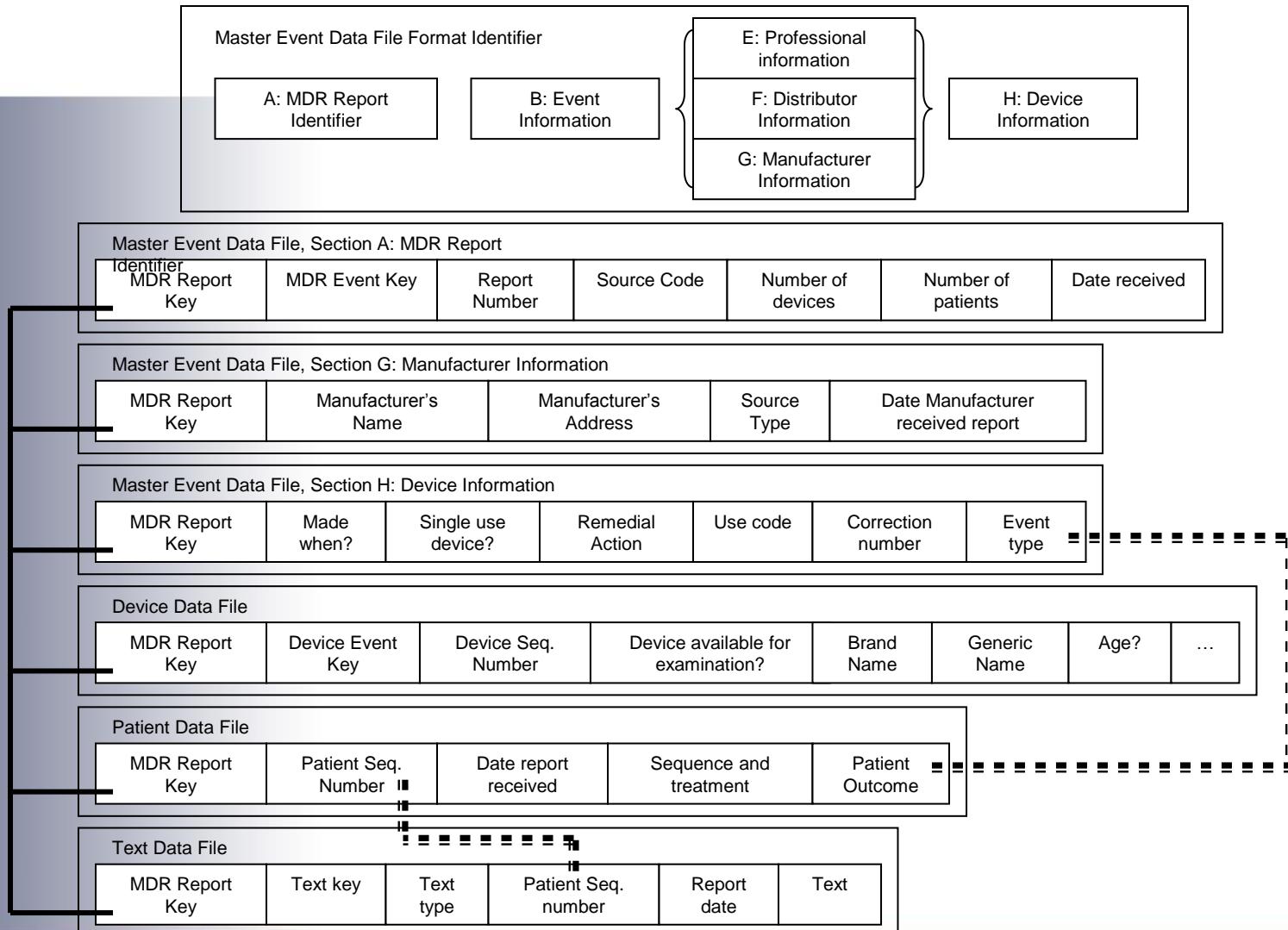
Search Clear 10 Records per Report Page

[Medical Device Reporting Search: \(for incidents before July 31, 1996\)](#)

Database contains data received through June 27, 2003

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US and North American Complacency: Data Mining

SPAD Visualisation

Description of location of signal SII109

SN109 signal is located on Gantry 8 at Ladbroke Grove and applies to line 3 in the Down direction. The signal is out of use at present following the Ladbroke Grove accident.

Summary of SPAD history of signal SII109

9 SPADS have occurred since 1993 (8 since 1/4/1994)

02/08/1993 - misjudgement

13/02/1995 - misread

15/03/1996 - disregard

23/06/1996 - disregard

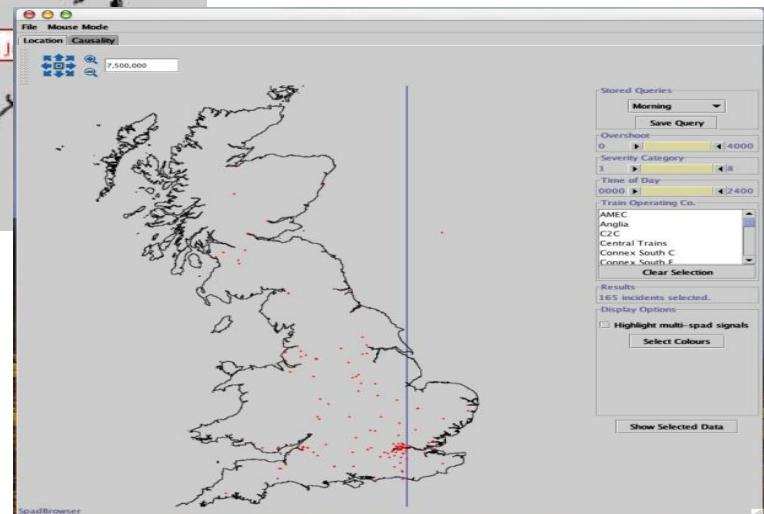
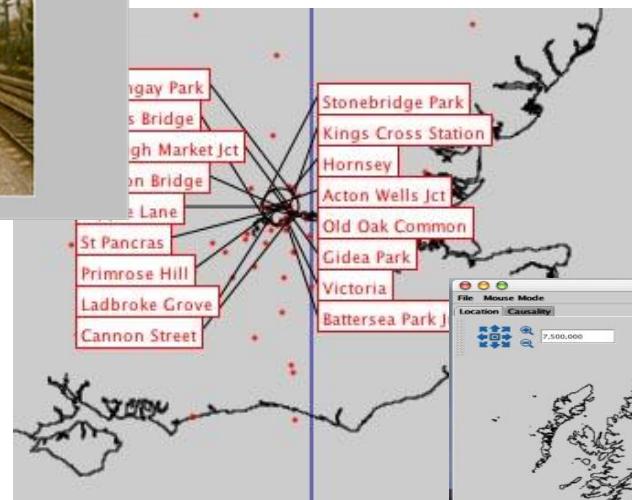
03/04/1997 - misread

04/02/1998 - disregard

06/08/1998 - disregard

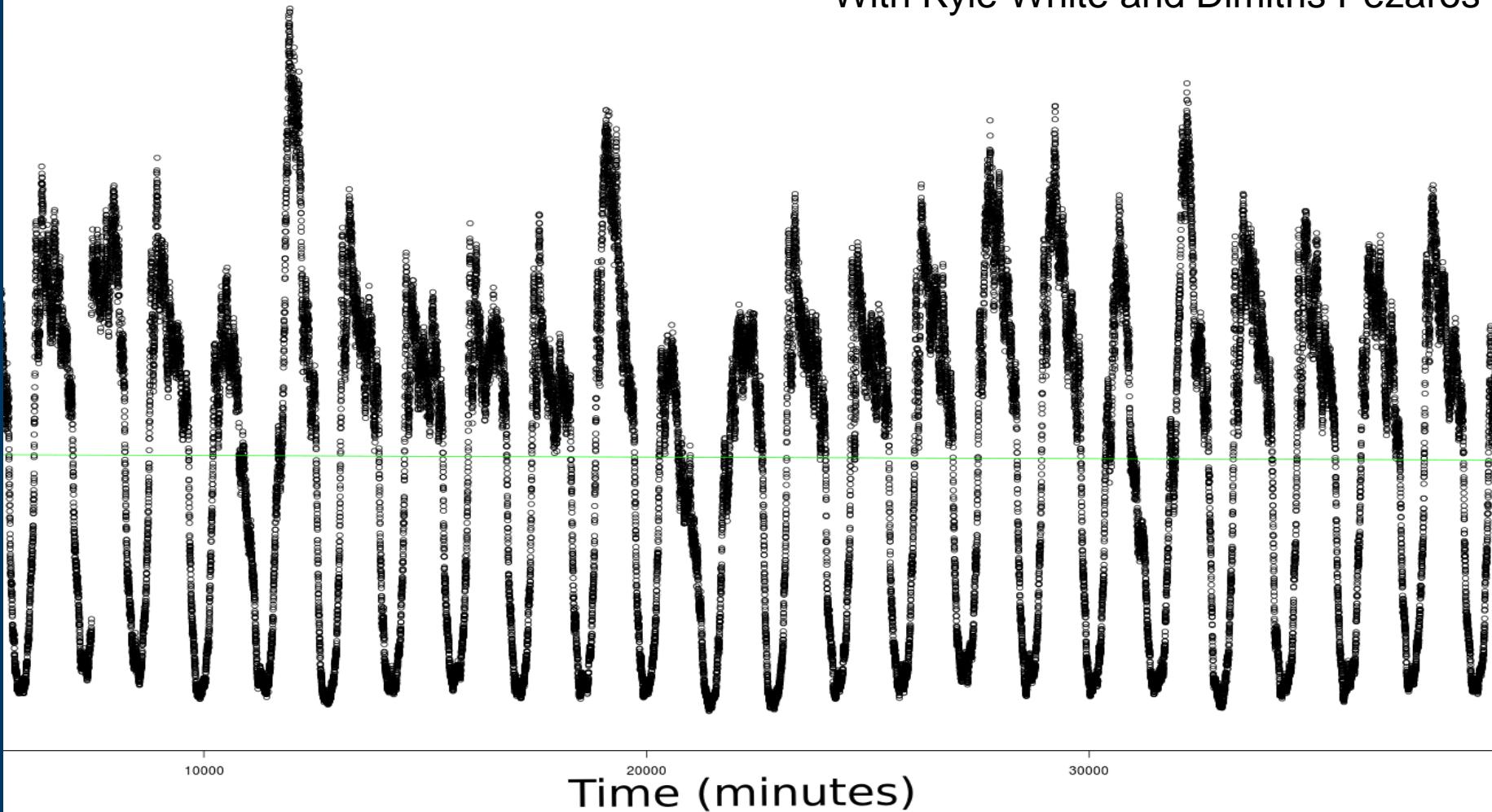
22/08/1998 - disregard

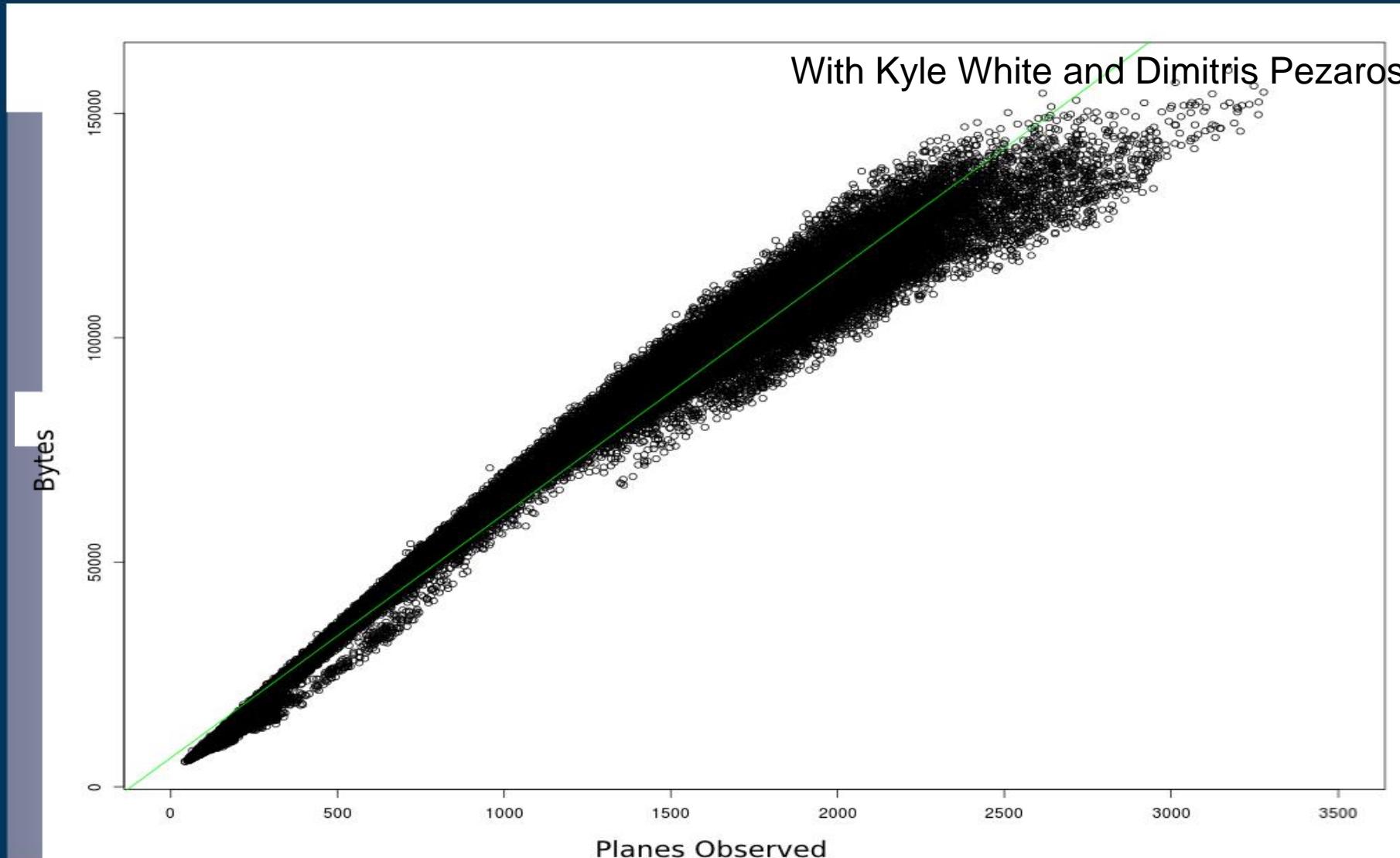
05/10/1999 - not categorised



One Month of Radar Targets in an ACC

With Kyle White and Dimitris Pezaros





AIRPROX REPORT No 2013158

Date/Time: 10 Nov 2013 1310Z (Sunday)

Position: 5210N 00016W
(3.7nm S St Neots)

Airspace: Lon FIR (Class: G)

Aircraft 1 Aircraft 2

Type: Pitts Extra

Operator: Civ Pte Civ Pte

Alt/FL: 1800ft 3000ft
NK QFE (NK hPa)

Conditions: VMC VMC

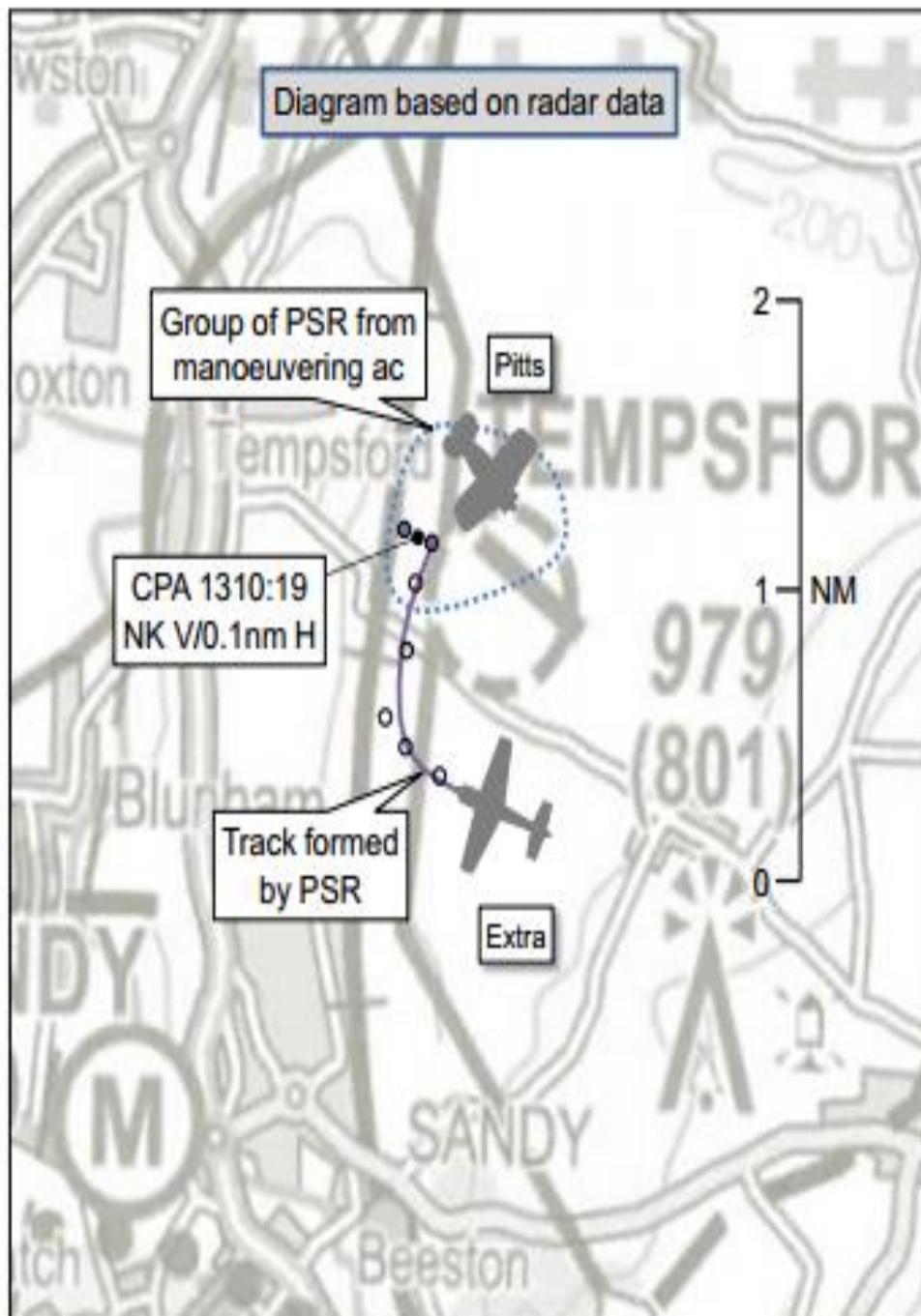
Visibility: >10km >10km

Reported Separation:

0ft V/30-100m H 500ft V/500m H

Recorded Separation:

NK V/0.1nm H



Limitations

- Most ANSPs have AIRPROX replay tools.
- Many limitations:
 - Can be time consuming to retrieve data;
 - Cannot always trust the data when it is received;
 - Can be very hard to interpret the data;
 - Many data feeds not integrated in simulations;
- Want to increase flexibility:
 - Hard to develop ‘worst case’ scenarios.
 - Hard to consider ‘plausible case’ scenarios.

your scenario

Collision place

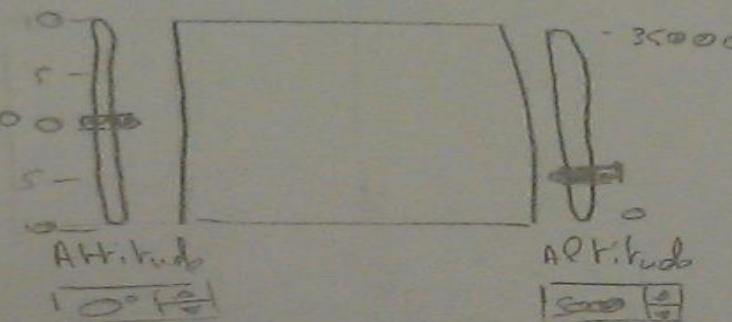
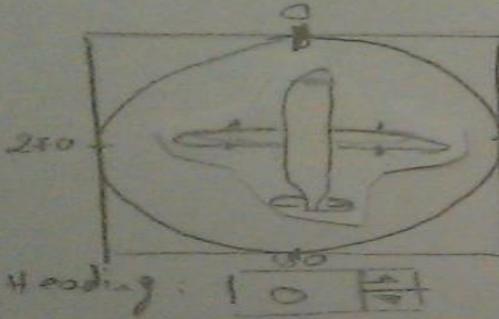
Longitude: []

Latitude: []

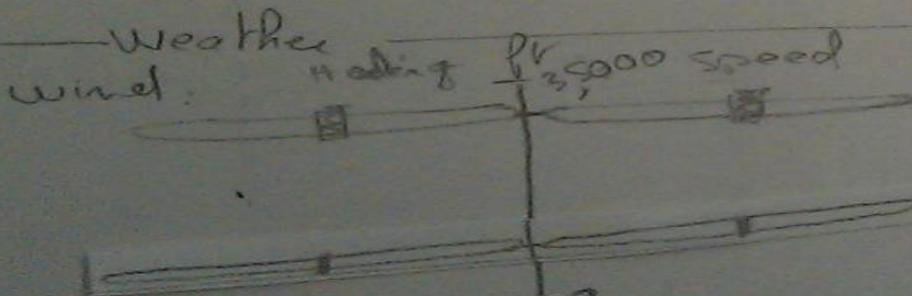
Altitude: []

Aircraft 1

Type: 18747 []



Aircraft 2



Take weather forecast from this date: 13/08/07

Add a wind information

ADS-B Data

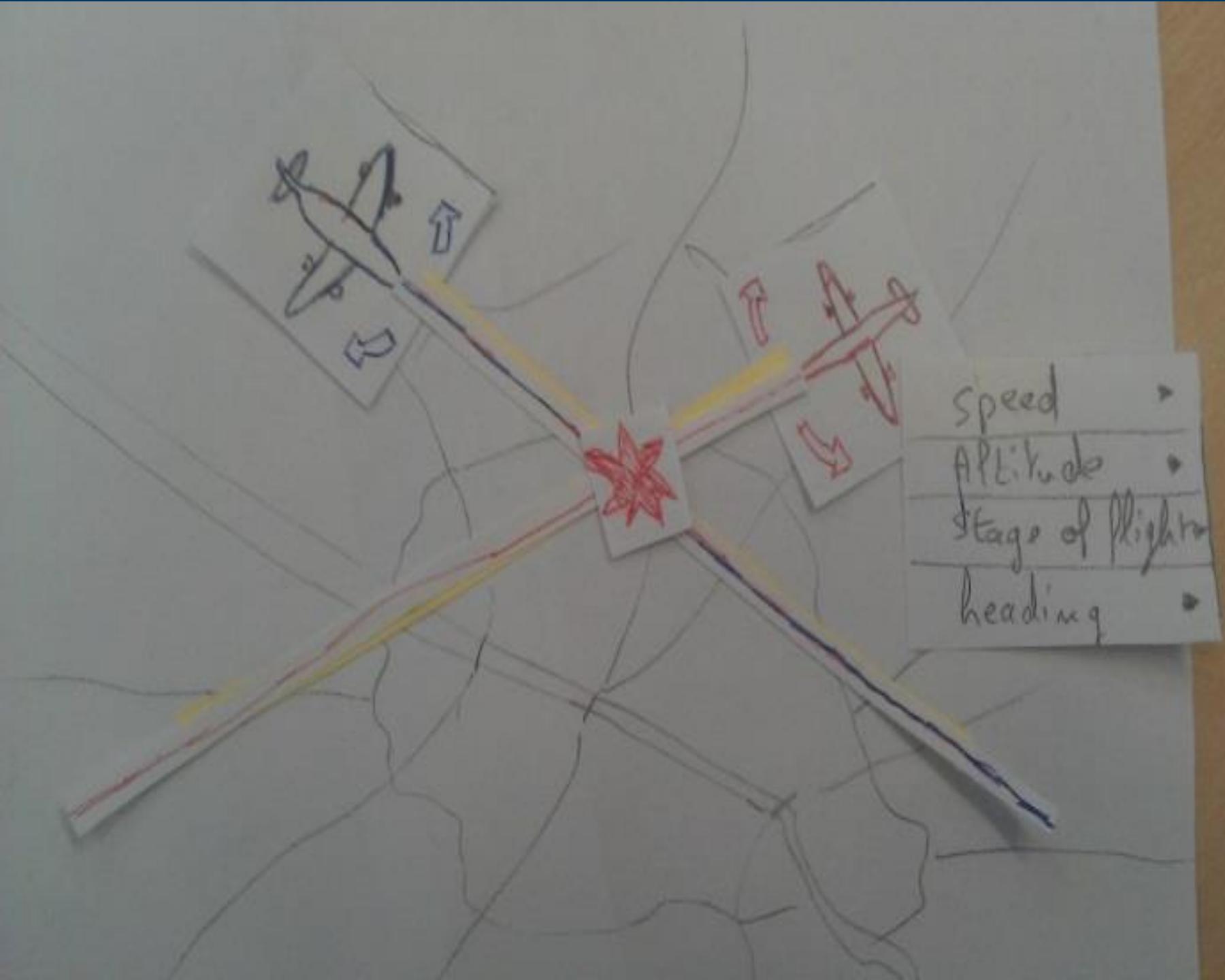
- Take live data
- Import data from this file:

[Browse]

Save the
Scenario

Back

Start



Location

Longitude : Latitude : Altitude :

Aircraft 1

Type : B747 ▾ Stage of Flight : Cruise ▾ Standard Value



Heading (deg) : 75.6000

Altitude (ft) :



2678

Speed (kts) :



279

Attitude (deg) :



10

Aircraft 2

Type : B747 ▾ Stage of Flight : Cruise ▾ Standard Value



Heading (deg) : 298.8

Altitude (deg) :



0

Speed (kts) :



298

Altitude (ft) :



2718

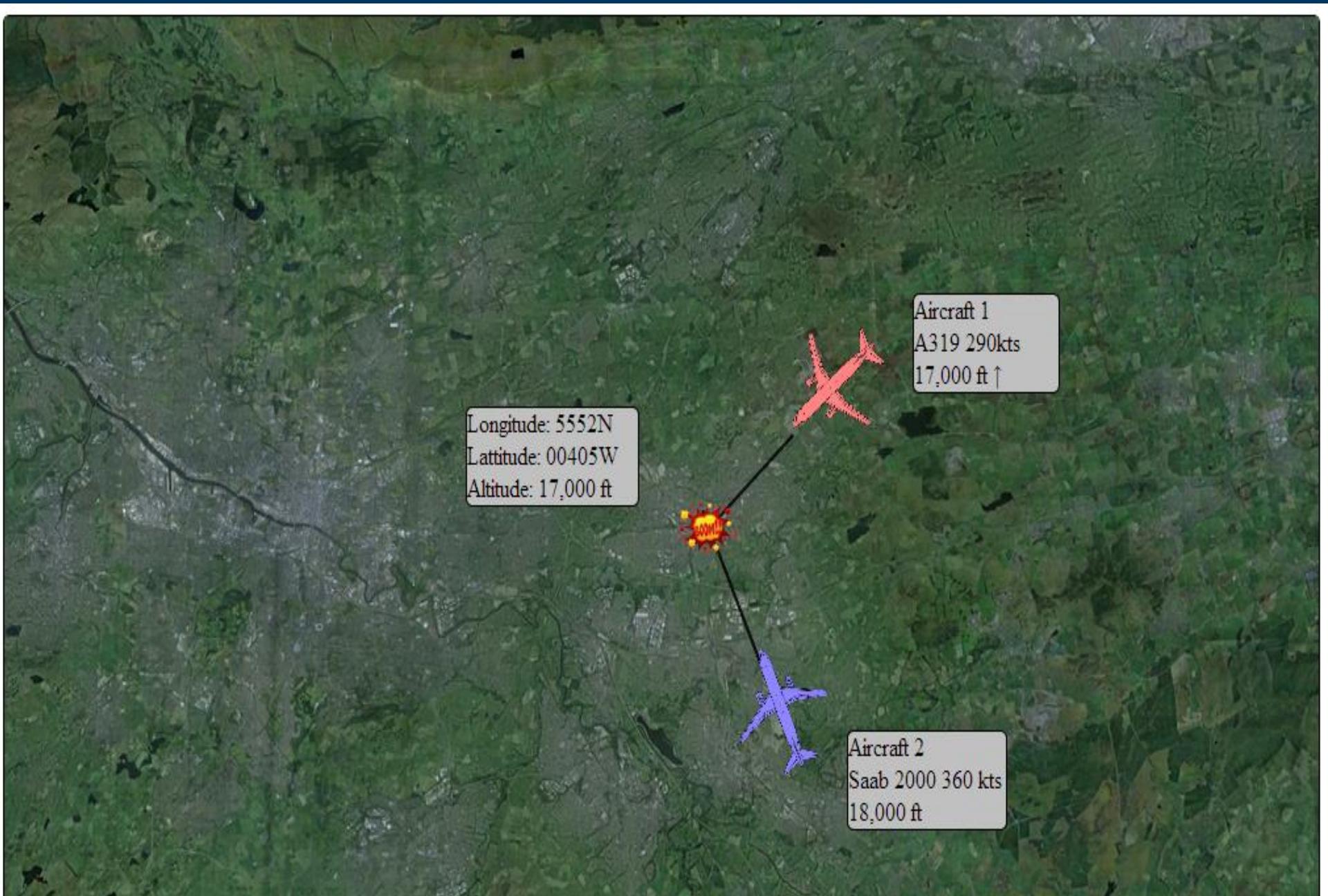
Weather

Altitude (ft) Speed (kts) Heading (deg) Take weather from this date :

ADS-B Data

- Take live data
- Import data from a file :

 No file chosen



Glasgow, UK

< Back

Start >

ILS Approach and Airprox

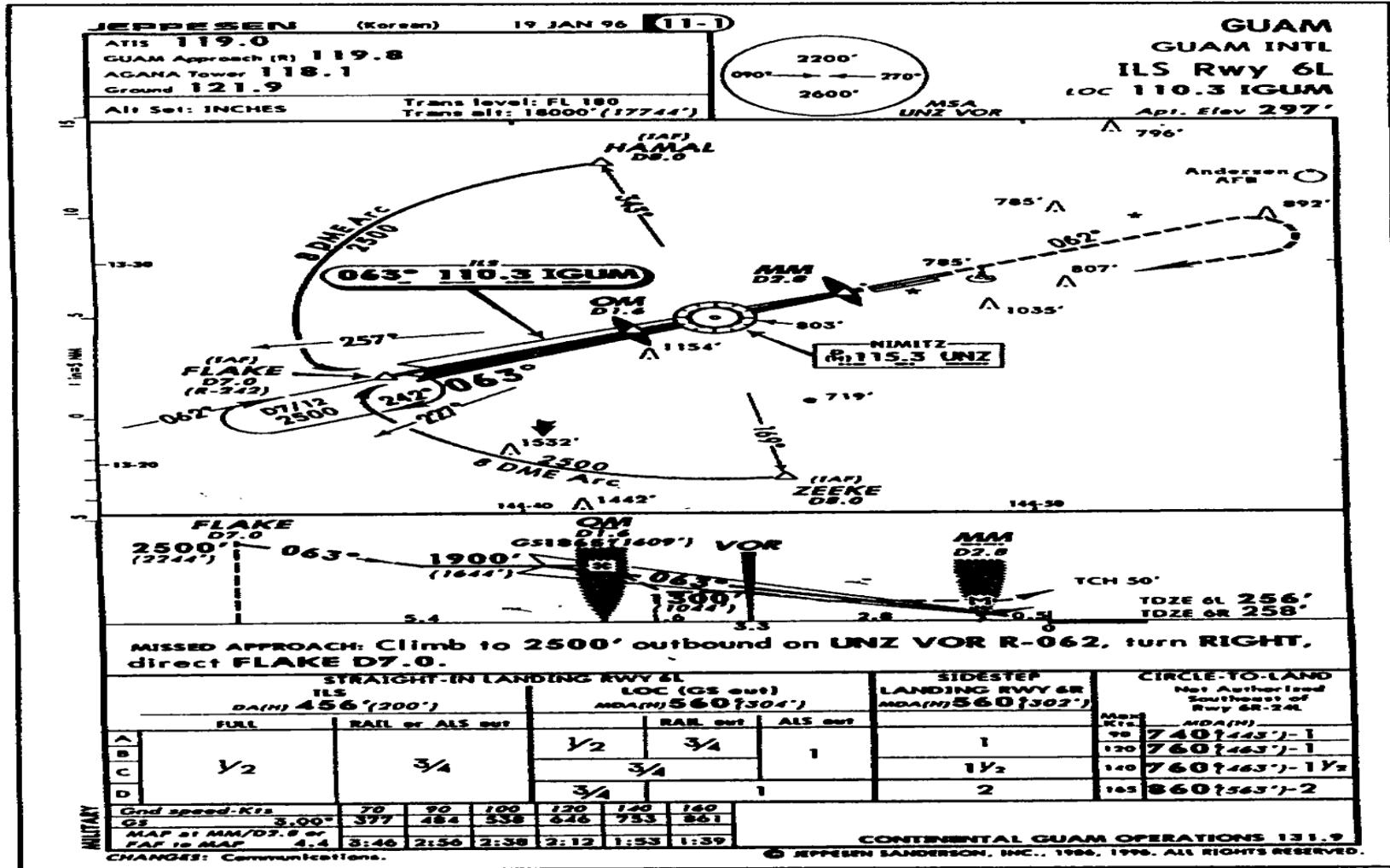
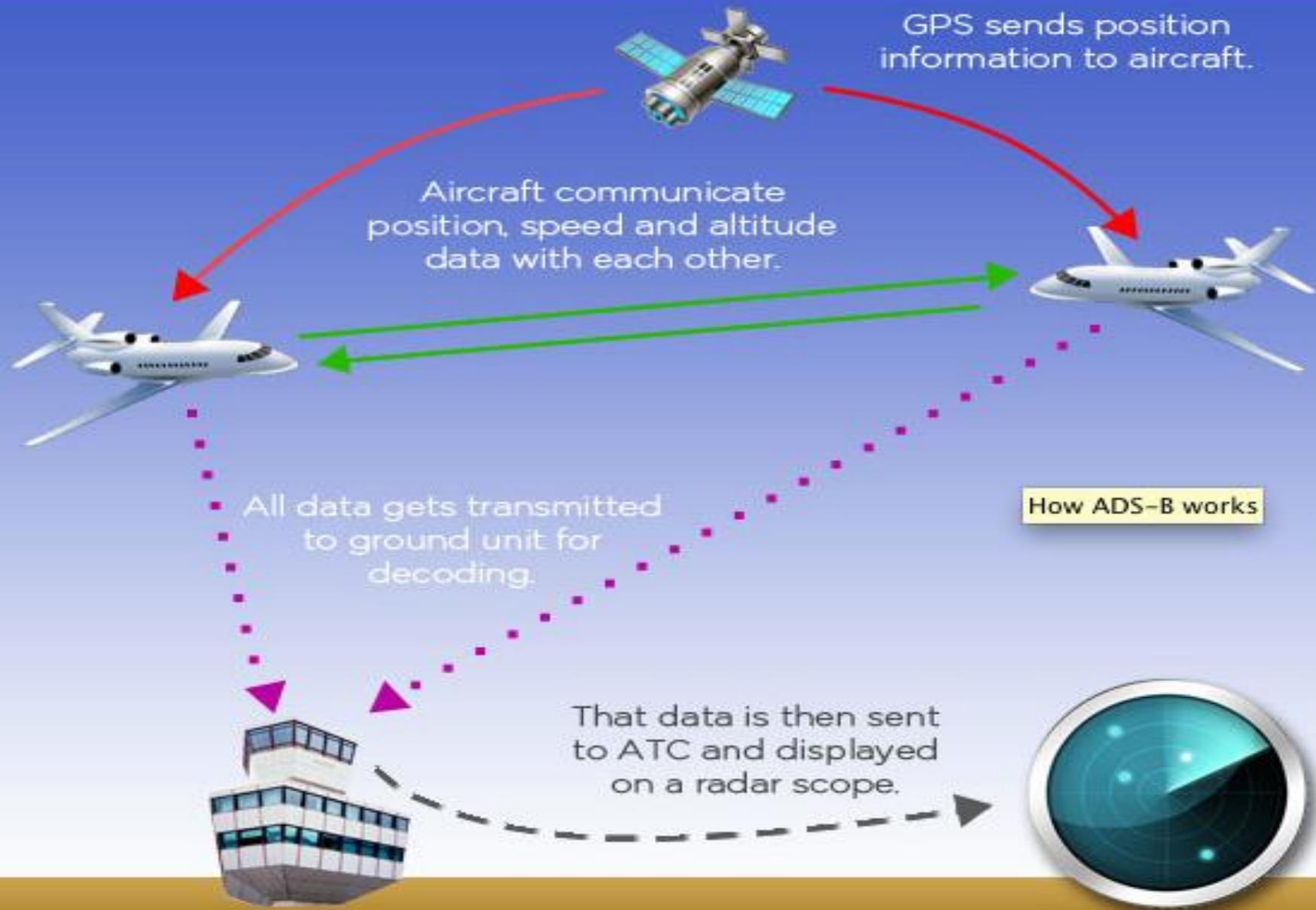


Figure 7. The January 19, 1996, 11-1 ILS runway 6L instrument approach chart.

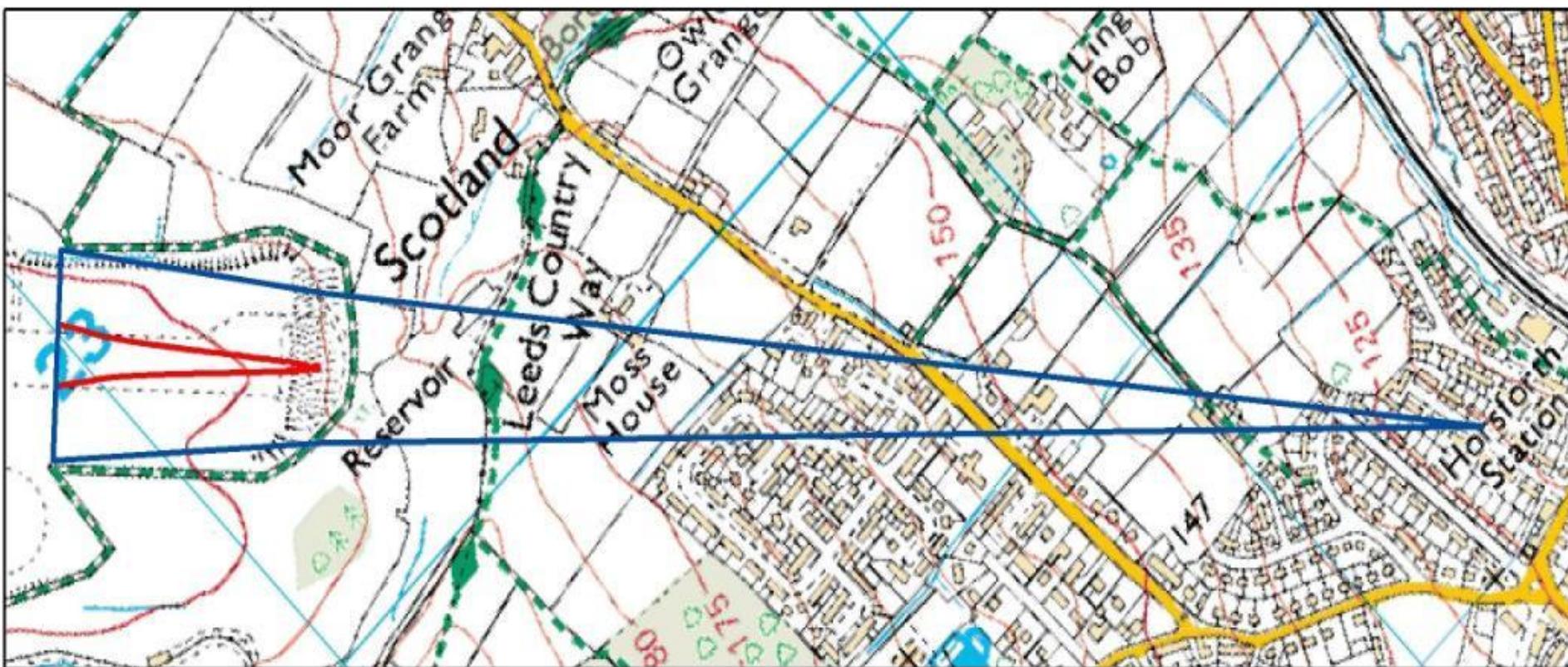
Reproduced with the permission of Jeppesen Sanderson, Inc. NOT TO BE USED FOR NAVIGATION.



FAA: ADS-B Out compliance by January 1, 2020

Leeds-Bradford Airport - Runway 32 Approach Public Safety Zone Map

- Boundary of area subject to individual risk of 1 in 10,000 per yr or greater
- Boundary of Public Safety Zone

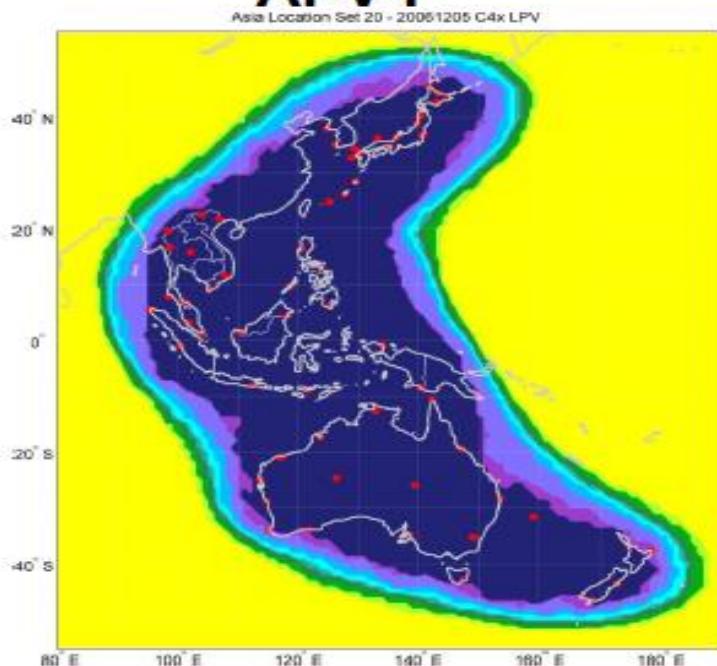


0 200 400 600 800 1,000 Metres

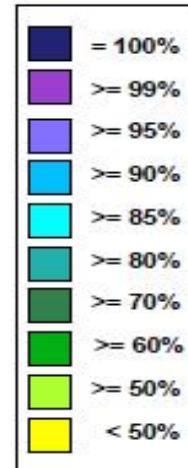
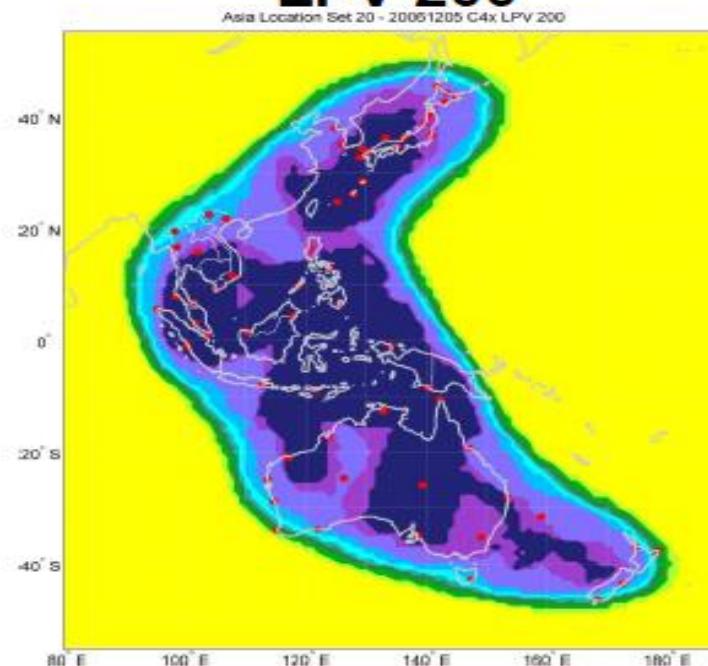
Raytheon's Expansion Study for MSAS Asia (2006 December 5)

Raytheon
Network Centric Systems

APV-I



LPV 200



MSAS + Asia Station Configuration - 61 Stations

Japan – 16 stations (C4x)

Australia – 16 stations (1 from existing MSAS station)

New Zealand - 4 stations

Vietnam – 4 stations

Philippines – 4 stations

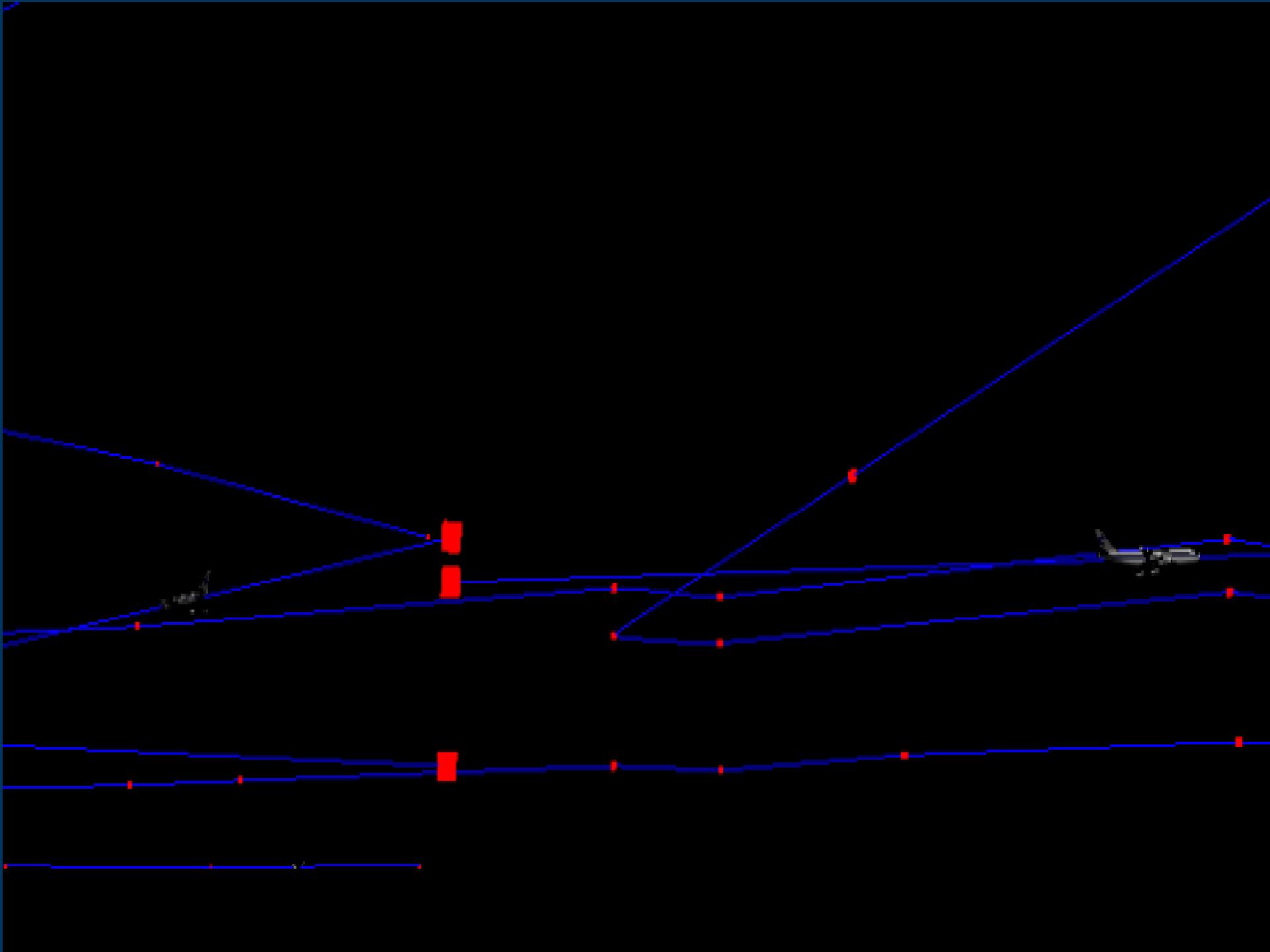
Singapore – 1 station

South Korea – 2 stations

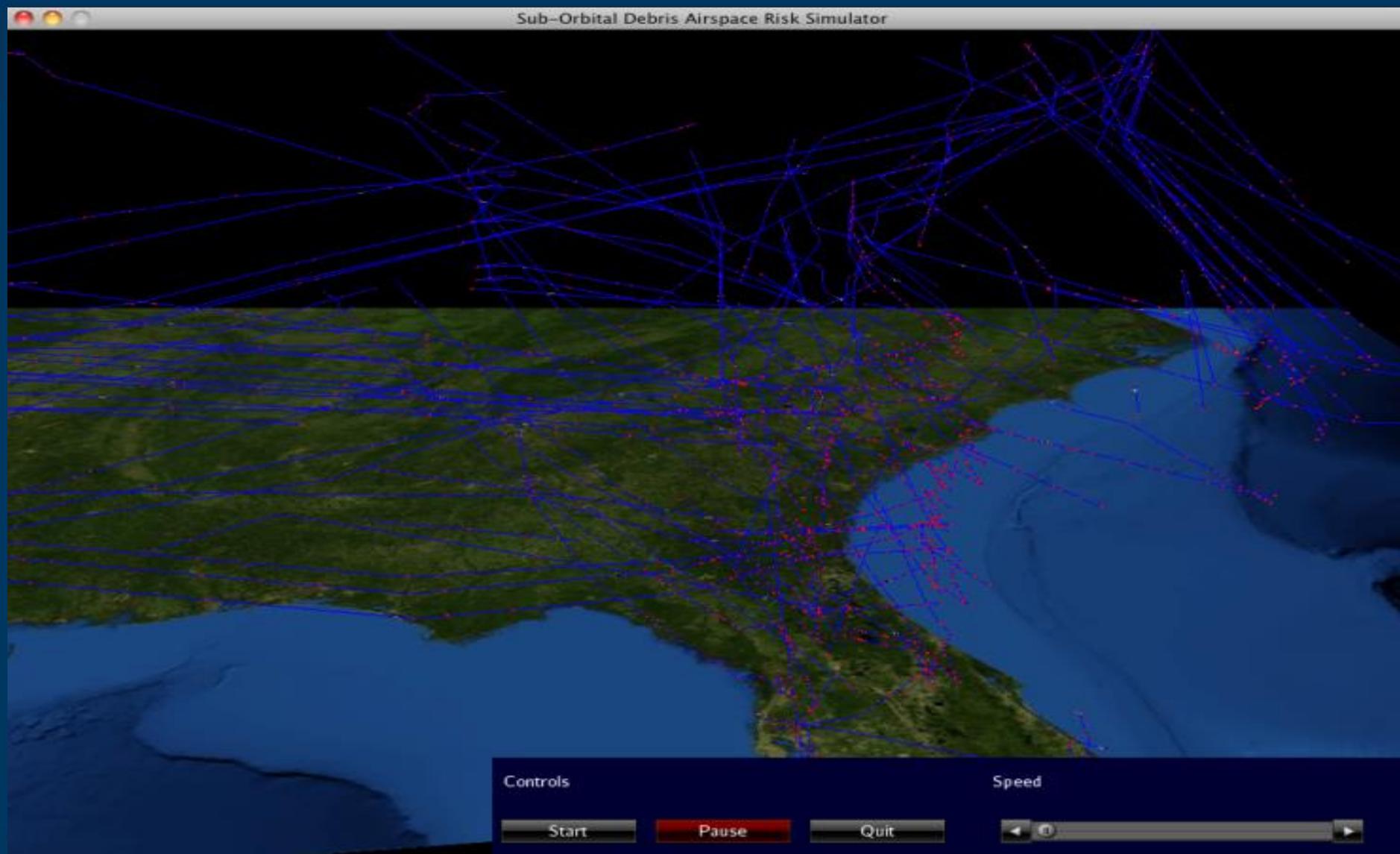
Thailand – 5 stations

Malaysia – 3 stations

Indonesia – 6 stations

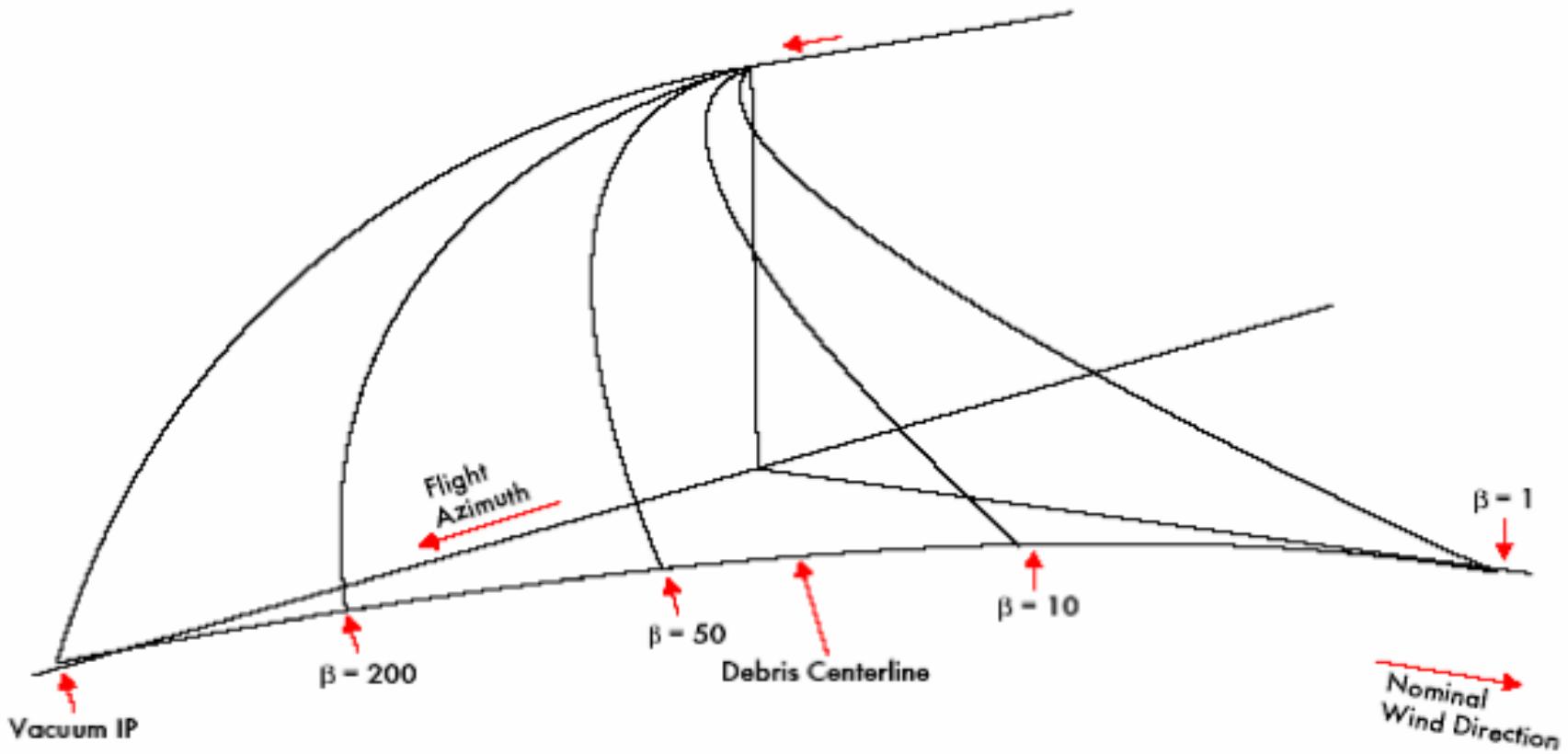


Visualization 2



- 4 October 1992, El Al Flight 1862.
 - Boeing 747 El Al cargo plane;
 - Hits Groeneveen and Klein-Kruitberg flats.
- 43 killed:
 - 4 crew, 39 people on the ground
- Worst aviation accident in Netherlands:
 - plane exploded, starts large fire after the crash.

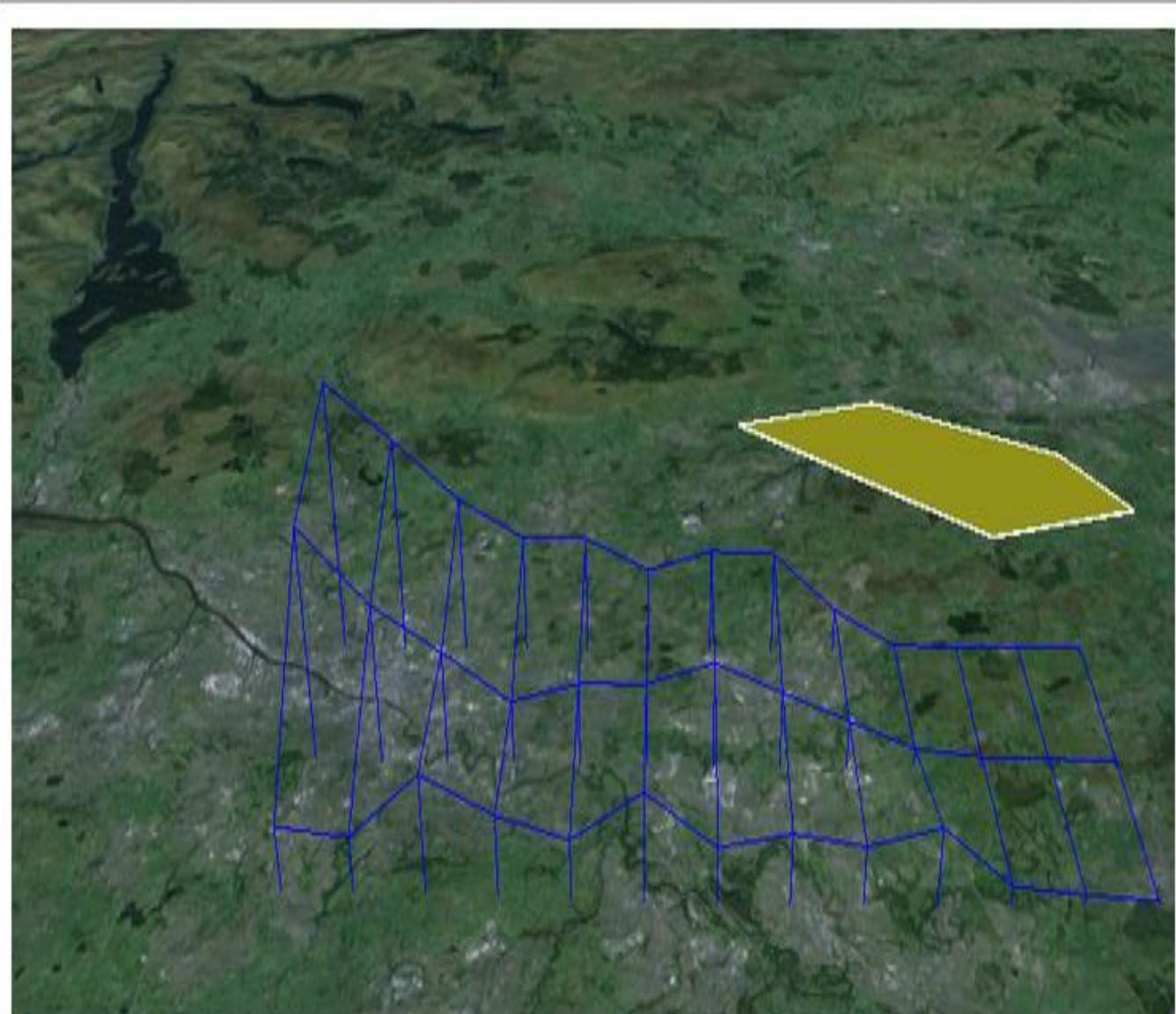
- Lockerbie, 21 December 1988.
 - Bomb killed 243 passengers, 16 crew.
 - Killing 11 people on the ground.
- Extend simulator to debris modelling.
- Integrate with GIS and population models.
- Safety of additional runway at Heathrow?



- The influence of the ballistic coefficient, β , and wind upon debris impact points

Mapping Down to the Ground





Results:

Number of Aircraft in the Airspace: 10

Number of Aircraft hit by the debris: 0

Length of Debris Footprint: 5000 ft

Width of Debris Footprint: 200 ft

People at Risk: 1200

Nearest sensible site: 200 ft

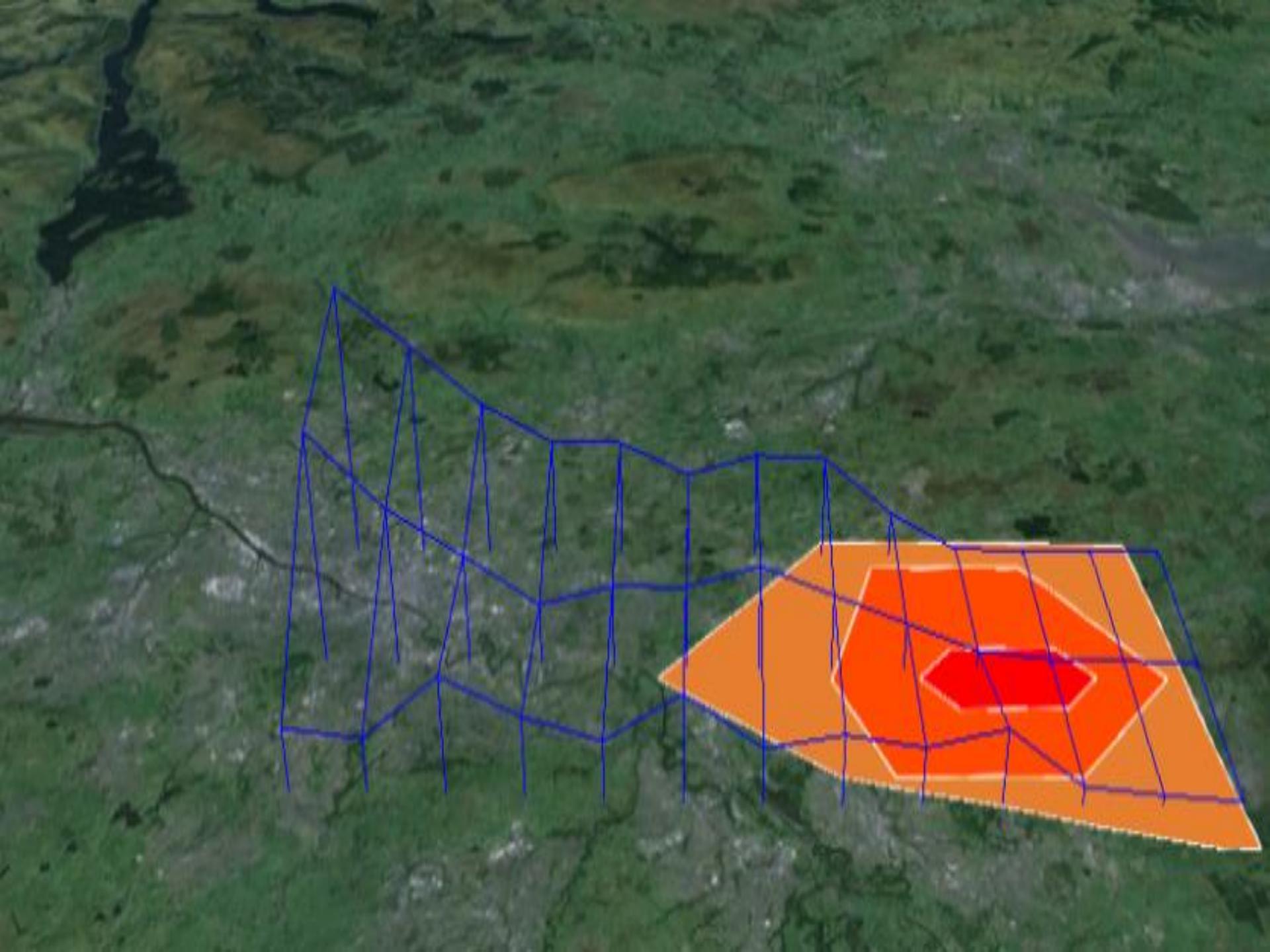
(Hospital of Glasgow)

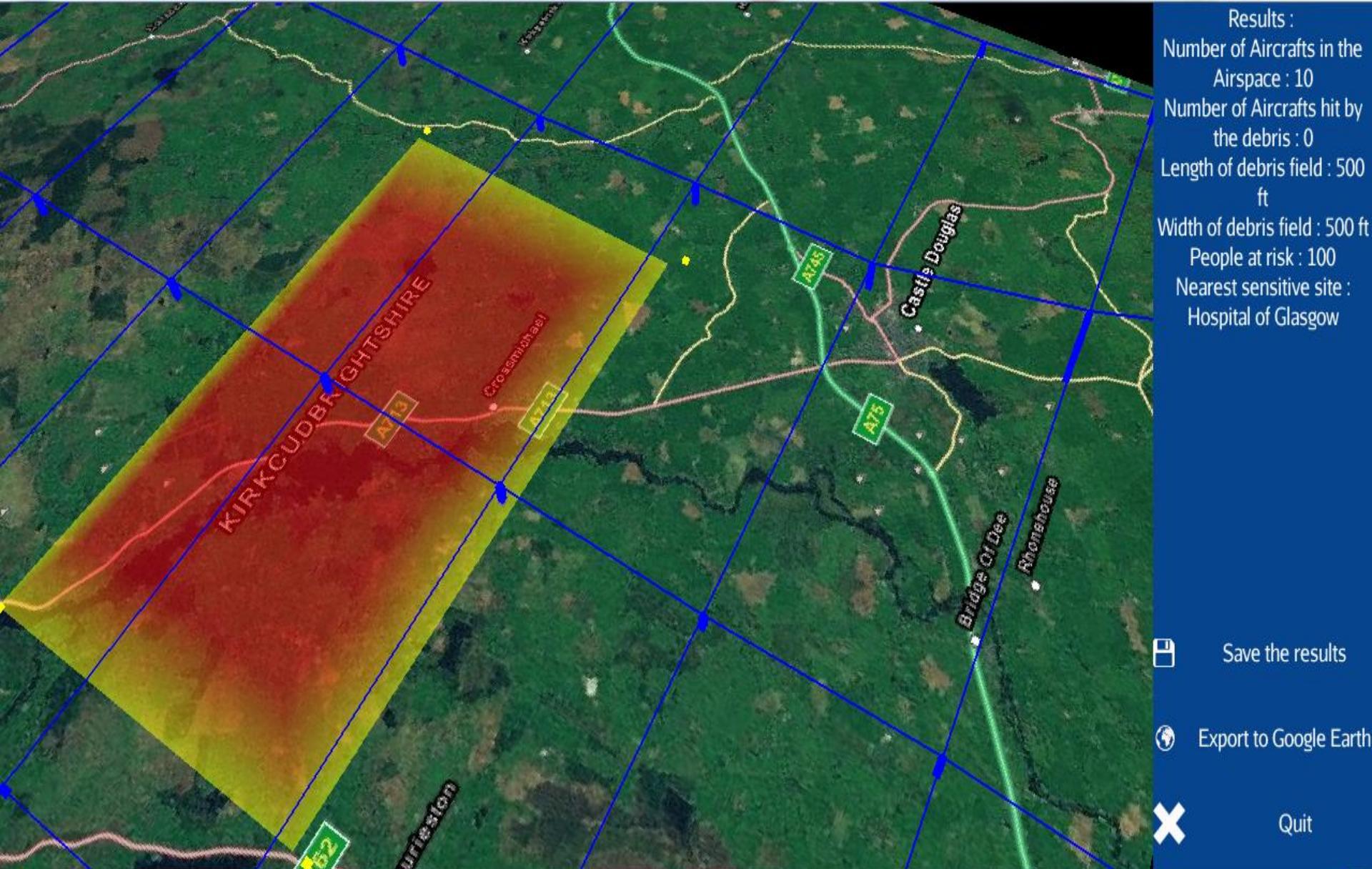
[Save the results](#)

[Export to Google Map](#)

[Back to the scenario](#)

[Quit to the main menu](#)





Save the results



Export to Google Earth



Quit

Part Two: Extensions

- Environmental modeling (Noise and Fuel).
- Only matters if there are people to hear it?
- Population based models (eg factories).
- Routes to minimize population impact...





LOGIN



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THE NEW FRONTIERS

SCOTLAND IN SPACE

REGIONAL POTENTIAL

LOSSIEMOUTH

DEVELOPMENT SPIN-OFF

A GALLERY OF MORAY

FLYING SCOTSMEN

Scotland's great opportunity



News Headlines

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[New European centre refashions the dream](#)

[Mining asteroids – plans to be announced](#)

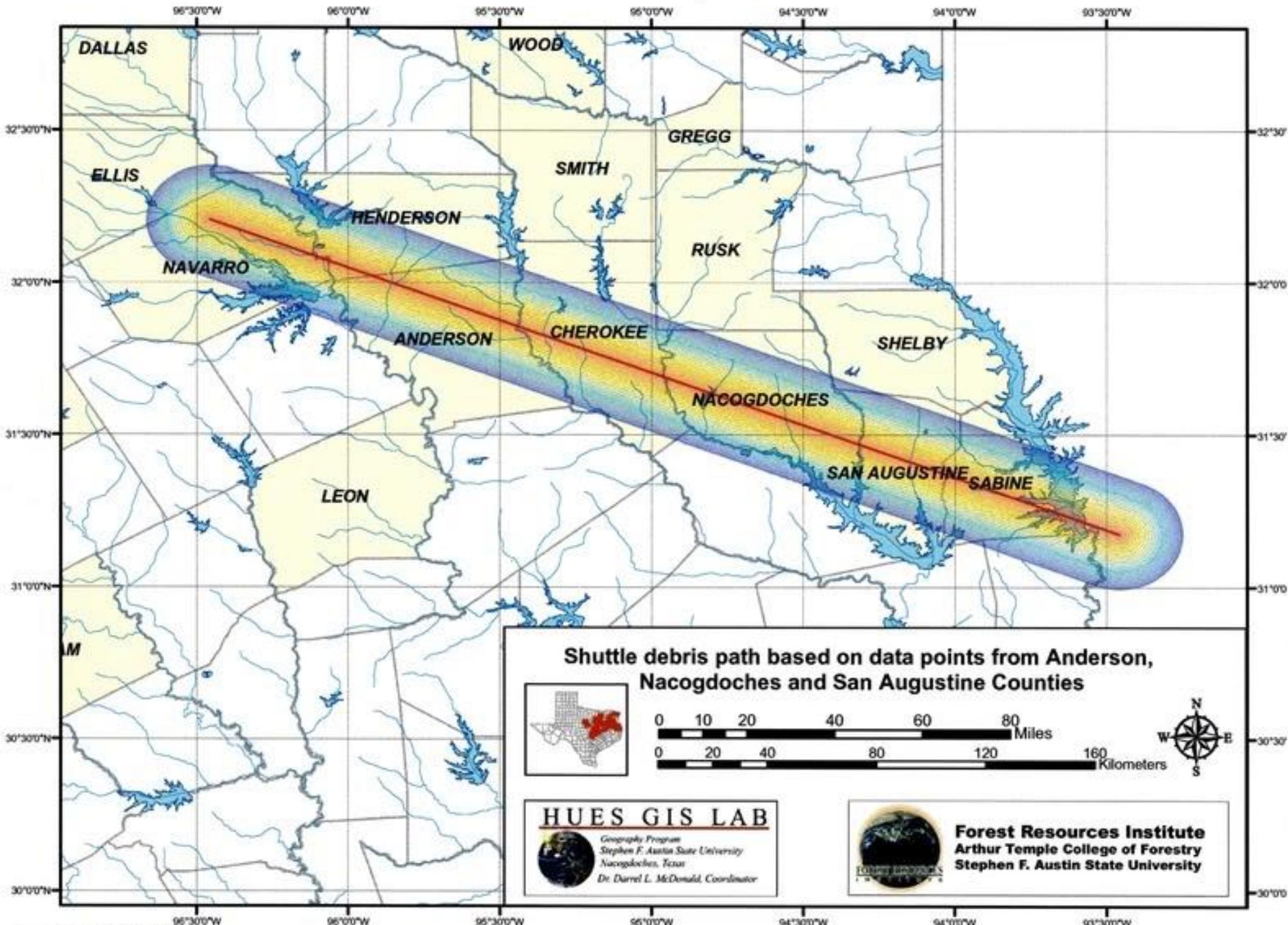
- Chicago Convention (1944):
 - State sovereignty over airspace (but no upper limit?);
 - “any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth’s surface”.
- Montreal/Warsaw Conventions:
 - companies liable for injury/delays to passengers;
 - Only applies to international flights not spaceports.
- **Kármán line** altitude of 100 km (62 mi) ASL.



- Space launch Act (1984).
- Commercial Space Launch Amendment Act.
- FAA Office of Commercial Space Transport:
 - licensed approximately 200 launches
 - operator licenses for 8 commercial spaceports.

- European Aviation Safety Agency, EC 216/2008:
 - Certification & means of compliance, not legally binding;
 - Extensions to type certificates for sub-orbital aeroplanes;
 - If they derive support from the atmosphere.
- Contrasts with FAA license based approach;
 - Criticise EASA certification as 'premature' and costly.
 - Virgin Galactic, FAA in New Mexico, EASA in Kiruna, Sweden;
 - XCOR Aerospace launch from Curacao.
 - 'Constituent country' of the Netherlands but outside EASA;
- But it's a mess

East Texas



To run a new simulation please enter or select the simulation data

Aircraft Vehicle Data

VG SS2

Add

Help

Aircraft Vehicle Data 2

VG SS2

Add

Help

Aircraft Flight Data

FP1

Add

Help

Aircraft Vehicle Data 2

FP1

Add

Help

Location

New York

Add

Help



Use Satellite Imagery (Max zoom 11 outside USA)

Use Image of Glasgow



Zoom Level

7



Show Waypoints



Import Flight Data File

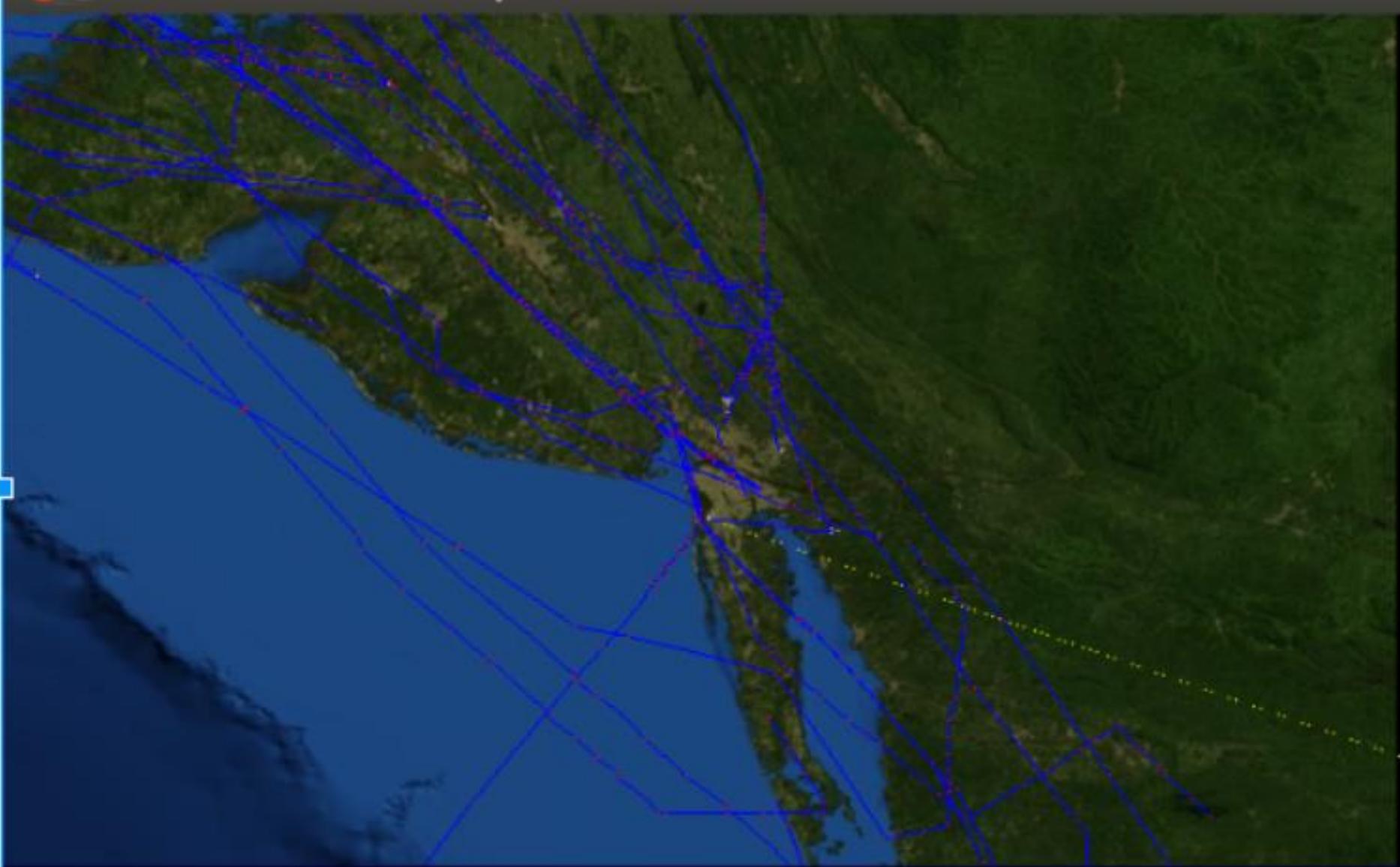
Import

Start

Back



Sub-Orbital Debris Airspace Risk Simulator



Legends: DEBRIS -->

AIRCRAFT PATH -->

Controls

Speed

Start

Pause

Quit



- Investigations little changed in 50 years.
 - Lots of tools – almost totally ignored;
 - Islands of good practice but isolated.
- Fresh look with input from Europe & Asia:
 - Multiple information sources freely available;
 - Can we develop a new generation of software systems?
- From ADS-B to Debris and Suborbital ops...

Any Questions?
