

# EUROCONTROL



## EUROCONTROL Network Manager ESP+ Programme NMD/NOM/SAF

Experience Sharing Enhanced SMS

**ES<sup>2</sup>-WS03-13**



## SAFETY INVESTIGATIONS

*“HOW TO EVOLVE ATM SAFETY INVESTIGATIONS WHILE  
PRESERVING JUST CULTURE”*

21-22 NOVEMBER 2013

Meliá Avenida América Hotel  
MADRID

The Madrid ES<sup>2</sup>-WS03-13 seminar focuses on the reality of Safety Investigations within ATM and other aviation organisations, taking into account the applicable national and international legal environment but also emerging paradigms and some related principles. How far have we progressed in the understanding how unwanted events occur and in developing the right recommendations for improvements?

During the workshop you will hear about the state of the art in Just Culture in Europe and US. Over the last few years, the concept of Just Culture has been explored in depth by aviation safety experts, investigators and rule-makers at national and international levels as well as by air transport and air traffic management operators. International organisations such as ICAO, IATA, IFATCA, EUROCONTROL and the European Union (EU), and NTSB, FAA and others have also become increasingly involved. Aviation, judicial and safety authorities all have a say when accidents and incidents occur. But it is important that people are not unduly investigated and perhaps punished when their acts were not the result of gross negligence or a wilful violation. Establishing a Just Culture is a prerequisite for a good Safety Culture.

After exploring an inventory of different models and techniques to investigate that various industries, we will browse through ten principles for the consideration of human performance and system. Human factors (HF) is a discipline and profession "concerned with the understanding of interactions among humans and other elements of a system, in order to optimize human well-being and overall system performance" (International Ergonomics Association Council, 2000). HF is concerned with the socio-technical system as a whole, and particularly with the complex interactions between the parts of the system – human, technical, information, social, political, economic and organisational components (Wilson, 2013). The system viewpoint is that the vast majority of outcomes are due to the design and structure of the system, not the performance of individual agents. The design of the system should therefore be the focus of interest.

The complexity of the field and the mass of academic knowledge that has been generated leave many afraid to approach the topic. However, some of the basic principles and applications can be understood more generally and must be made more accessible if the aims HF are to be met. We will therefore discuss some core principles of human and system performance derived from human factors and systems thinking in a safety context. The principles are illustrated with examples to help put them into a memorable context.

IFATCA and EUROCONTROL will bring forward their Just Culture initiative – i.e. the formation/training of independent ATM or aviation experts that would be available to advise prosecutors and judges in case of criminal investigations resulting from aviation incidents or accidents. It is hoped that this would result in a pool of highly qualified independent experts that would be available on demand and would contribute to a more mature relationship between the judiciary and aviation safety experts, and stimulate exchange of know-how. This event is considered a complementary delivery of this initiative to allow experts that passed through the training to expand their network and to share their experiences. Finally, you will be able to hear from real cases from the past as well as the more recent cases.

Specific thanks go to APROCTA the Spanish ATC Professional Organisation who have been instrumental in the organisation and hosting the event in Madrid.

## Safety Investigation – “how to evolve ATM Safety Investigations while preserving just culture”

21<sup>st</sup> & 22<sup>nd</sup> November 2013 - Meliá Avenida América, Madrid

Day 1 – 21 <sup>st</sup> November 2013	
08:30	<b>Registration</b>
09:00	<b>Welcome and introduction</b> Angel Luis Arias DG Spanish Civil Aviation, Ignacio Gonzalez AENA CEO, Joe Sultana EUROCONTROL NM Director, Jesus Gómez Lera APROCTA President
09:15	<b>Session 1: Setting the scene – Safety Investigation and Justice Stakes, Objectives, SMS Issues, Just Culture and the holy grail</b> Tony Licu – Head of Safety – EUROCONTROL DNM
09:30	<b>Session 2: Regulatory Context – State of the art in the European Aviation law - EU 996 and Upcoming Regulation on Reporting</b> Jean-Pol Henrotte – European Commission
10.00	<b>Session 3: Feed-back from Just Culture measurements</b> Clarisse Ribeiro – Legal Adviser - EASA
10.30	<b>Session 4: Ask not what Safety can do for you. Ask what you can do for Safety</b> Fernando Marián de Diego – Air Traffic controller and Head of APROCTA Technical and Safety Department
11.00	<b>Coffee break</b>
11.30	<b>Session 5: Safety Incidents Investigation - Local Practices</b> Alfonso Barba - Head of Balearic Regional Safety Unit - AENA
12:00	<b>Session 6: “In the country of the blind the one-eyed man is king... “ - IFATCA EUROCONTROL Initiative</b> Anthony Smoker – IFATCA
12.45	<b>Lunch Break</b>
14:15	<b>Session 7: Just Culture - Can we serve the interest of Aviation Safety and Just Culture?</b> Roderick van Dam – Chairman of EUROCONTROL Just Culture Task Force
15.00	<b>Coffee break</b>
15:30	<b>Session 8: Review of Accident and Incident Investigation Models and Alternate techniques from various industries</b> Chris Johnson – Prof. University of Glasgow
16:45	<b>Session 9 - Moderator: - Conclusions of Day 1</b>
17:15	<b>End of Day 1</b>
20.00	<b>Dinner</b>



ES2-WS03-13

Day 2 – 22<sup>nd</sup> November 2013

<b>09.00</b>	<b>Session 10: US approach on investigations – is it JC different in US than Europe ?</b> <i>Chris Hart – NTSB Vice- Chairman and Tom Lintner - CEO of ALOFT Aviation Consulting</i>
<b>09.45</b>	<b>Session 11: Moving forward with human factors in safety investigation - 10 systems principles for safety investigation</b> <i>Steve Shorrock - EUROCONTROL Safety Development Project Leader</i>
<b>10.45</b>	<b>Coffee break</b>
<b>11:15</b>	<b>Session 12: Just Culture true dimension in the aftermath of an accident -</b> <i>Alexandru Grama – Air Traffic Controller - ROMATSA</i>
<b>12.00</b>	<b>Session 13: Just Culture from the past – how Just Culture supported the introduction of emergency and continuation training</b> <i>Ian Weston – retired UK Aviation Prosecutor</i>
<b>12.45</b>	<b>Session 14: Overall Conclusions and Closure</b> <i>Moderator</i>
<b>13:00</b>	<b>Lunch</b>



ES<sup>2</sup>-WS03-13

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