

Federal Aviation Administration

DOT/FAA/AM-08/17 Office of Aerospace Medicine Washington, DC 20591

Analyzing Vehicle Operator Deviations

Alfretia Scarborough Larry Bailey Julia Pounds

Civil Aerospace Medical Institute Federal Aviation Administration Oklahoma City, OK 73125

July 2008

Final Report

NOTICE

This document is disseminated under the sponsorship of the U.S. Department of Transportation in the interest of information exchange. The United States Government assumes no liability for the contents thereof.

This publication and all Office of Aerospace Medicine technical reports are available in full-text from the Civil Aerospace Medical Institute's publications Web site: www.faa.gov/library/reports/medical/oamtechreports/index.cfm

Technical Report Documentation Page

	•			
1. Report No. DOT/FAA/AM-08/17	2. Government Accession No		3. Recipient's Catalog No.	
4. Title and Subtitle	L		5. Report Date	
Analyzing Vehicle Operator Devia	tions		July 2008	
			6. Performing Organization Code	•
7. Author(s)			8. Performing Organization Repo	ort No.
Scarborough A, Bailey L, Pounds	Ĩ			
9. Performing Organization Name and Addres	S		10. Work Unit No. (TRAIS)	
FAA Civil Aerospace Medical Inst	itute			
P.O. Box 25082			11. Contract or Grant No.	
Oklahoma City, OK 73125				
12. Sponsoring Agency name and Address			13. Type of Report and Period Co	overed
Office of Aerospace Medicine				
Federal Aviation Administration				
800 Independence Ave., S.W.				
Washington, DC 20591			14. Sponsoring Agency Code	
15. Supplemental Notes				
Work was accomplished under ap	proved task AM-HRR-523			
16. Abstract				
Runway incursions (RIs) are one of	of the top safety issues for th	ne Federal Aviat	tion Administration (FAA).	
Considerable effort has gone into	understanding how pilot de	eviations and air	r traffic control (ATC) oper	ational
errors contribute to RIs. In contra	ast, little is known about hu	ıman factors iss	ues related to vehicle operat	tor
deviations (VODs). VODs occur	t area without ATC approv	val. We		
developed a VOD prediction mod				
of VODs. We then examined the				
Although the results of our analyse				
needed was missing due to incomp				
the development of a more compr	1 0		e	
in air traffic control (JANUS-ATC				
demonstrate how VOD reporting	ē 1	, , , , , , , , , , , , , , , , , , ,		
	eo ana eo miprovear			
17. Key Words		18. Distribution Sta		-1
Airport Ground Operations, Vehi		vailable to the public through ical Information Center, Ft. B		
Human Factors Reporting, JANUS-GRO, Runway			National Technical Informati	
Incursions		Service, Spring	field, VA 22161	
19. Security Classif. (of this report)	20. Security Classif. (of this page)		0	Price
Unclassified	Unclassified		40	
Form DOT F 1700.7 (8-72)			Reproduction of completed page	be authorized

CONTENTS

INTRODUCTION1
Research Hypotheses
METHOD
Data
Materials
Statistical Analyses
Procedures
RESULTS
Hypotheses Testing
Directed Graphical Modeling8
Improved VOD Reporting
DISCUSSION
CONCLUSION
REFERENCES
APPENDIX A: ICAO Runway Incursion Definition and Severity Classification
APPENDIX B: Preliminary Vehicle or Pedestrian Deviation Report, FAA Form 8020-24 B-1
APPENDIX C: Investigation of Vehicle/Pedestrian Deviation Report, FAA Form 8020-25 C-1
APPENDIX D: Proposed VOD Investigation Reporting Form Instructions, Vehicle Operator Investigation Data Reporting FormD-1

ANALYZING VEHICLE OPERATOR DEVIATIONS

INTRODUCTION

Runway surface safety is a high priority issue for the Federal Aviation Administration (FAA) and the aviation community. Over the years, considerable effort has been invested in identifying and addressing runway incursions attributable to controller and pilot errors. However, runway incursions do not solely occur between aircraft. They also involve aircraft and vehicles or pedestrians on the movement area. Not all ground vehicle operators or pedestrians pay attention to the special procedures necessary for safe operation on an airfield. The failure of vehicle operators to acquire air traffic control (ATC) approval prior to accessing airport movement areas poses a serious threat to aviation safety. In this report, we present the results of an analytical study that examined the types of vehicle operator deviations (VODs) that occur and recommend a process for improving the manner in which VOD investigations are conducted. An adaptation of an ATC human error taxonomy called JANUS-ATC (Pounds & Isaac, 2003) is applied to ground operations. The adapted taxonomy is called JANUS-GRO (Scarborough, Pounds, & Bailey, 2005).

AVOD occurs when a vehicle operator crosses a taxiway or a runway (which are designated as the airport movement area) without approval/clearance from the air traffic control tower. If the VOD creates a collision hazard or results in a loss of separation with an aircraft taking off, intending to take off, landing, or intending to land, then it is classified as a Category A, B, or C runway incursion based on the International Civil Aviation Organization's (ICAO) safety risk metrics (FAA, 2007a). If there is no disruption of arriving or departing aircraft by the VOD, then it is classified as Category D runway incursion. More formal definitions of these terms were extracted from FAA (2007a) and appear in Appendix A.

The FAA Office of Runway Safety has implemented a number of initiatives directed at improving runway safety through increased education, training, awareness, and improved airport runway markings and lighting, along with new runway surveillance systems. Runway surface surveillance systems, such as the Airport Movement Area Safety System (AMASS) and the new Airport Surface Detection Equipment Model X (ASDE-X and ASDE-3X), use ground surveillance radar to provide tower controllers with information on the position and identification of aircraft and vehicles (FAA, 2007b).

Another FAA initiative designed to improve runway safety was the development of JANUS-GRO. The goals

of JANUS-GRO were to provide a common human factors framework for identifying human factors trends through better VOD reporting, designing VOD mitigation strategies, and evaluating the success of VOD reduction efforts. As Figure 1 shows, JANUS-GRO consists of two broad error categories: (a) factors directly related to vehicle operator performance, and (b) factors that contribute indirectly to vehicle operator performance. Direct performance factors consist of the task being performed, the mental processes (i.e., perception and vigilance, memory, and planning and decision making) involved, and the vehicle operator's compliance with the standard operating procedures that govern ground movement. Indirect performance factors consist of the contextual conditions (e.g., airport configuration, amount of ground traffic, weather, and ambient noise) associated with vehicle operators' performance and supervisory and organizational influences.

Managing VODs is a shared responsibility between Airport Authorities and the FAA. An Airport Authority is governed by the county or region (e.g., Dallas/Fort Worth is regional) in which the airport resides. The Airport Authority manages all aspects of the airport operations area, or airside as it will be referred to in this report, defined as all restricted ground areas of the airport, including taxiways, runways, safety areas, loading ramps, and parking areas within the perimeter fence. However, the FAA controls access to runways and taxiways. Movement and safety areas are governed by FAA procedures and detailed in Title 14 of the Code of Federal Regulations (CFR) Part 139. Specific information for vehicle operators is contained in 14 CFR 139.329, and information addressing safety areas is contained in 14 CFR 139.309 (FAA, 2007c).

Any time a vehicle operator wants to enter the airside he/she first must be authorized by the Airport Authority. Two types of authorization may be issued: (a) to be on both movement areas (runways, taxiways, and safety areas) and non-movement areas (ramps/aprons, perimeter roads, etc.), or (b) to be only on the non-movement areas. Vehicle operators accessing movement areas are required to communicate with ATC and receive clearance for their route prior to movement. If a vehicle operator enters or moves about the movement area without prior ATC approval, regardless of whether an aircraft is nearby, then that person has committed a VOD (FAA, 2007c, 2007d). The person seeing the VOD (i.e., ATC, pilot, or other airport employee) then reports the observation to the ATC manager, as specified in FAA Order 8020-11B Chg 1 (2003). After receiving the information, the ATC



Figure 1. JANUS-GRO

manager files a preliminary report (FAA Form 8020-24), which records the basic VOD facts, such as the location of the incident on the surface, the vehicle(s) and aircraft involved in the incident, information about the drivers, pilots, pedestrians, surface equipment, environmental conditions at the time, and how the incident was detected (see Appendix B). The first ten items of the preliminary report must be completed and the information transmitted via facsimile or telephone within three hours of the incident to the regional Airports Division Manager and to the airport operator/certificate holder. The preliminary form must be completed in full and mailed to the appropriate offices by first-class mail within ten calendar days of the reported VOD.

Once the Airports Division Manager receives the preliminary report, he/she assigns an Airport Certification Inspector (ACSI) to the case. The ACSI issues a Letter of Investigation to the airport operator notifying him/her that an investigation of the VOD is being conducted. In response to the letter of investigation, the airport operator conducts an investigation of the VOD and sends a report of the outcome to the FAA. Based on the information which the ACSI receives, the ACSI reviews the report and ensures that the preliminary form is accurate in its representation of the incident and, if needed, interviews the vehicle operator before determining appropriate action. Appropriate action could take the form of either a close-out with no action, Letter of Correction, Warning Letter, or possibly Civil Penalty (FAA, 2004, 2006a, 2007e). The ACSI has 90 days to complete a final report, FAA Form 8020-25 (see

Appendix C). Included in the final report are items that cover the type of deviation committed, the contextual conditions contributing to the deviation (e.g. weather) and the vehicle operator's cognitive state of mind (e.g., whether the vehicle operator believed he/she was cleared, was lost, or forgot to request clearance) at the time of committing the deviation, information about the level of airport authorization issued by airport operations, whether vehicle operator training was offered and completed, vehicle operator educational/skill deficiencies, and any ASCI recommendations (such as updating the training program) for improving the situation. After the ACSI integrates the results of the investigation, he/she distributes the completed report to the same organizations referenced in the preliminary report, and the case is closed based on the facts of the investigation. However, follow-up may be necessary to ensure that the airport operator has implemented the recommendations contained in the final report.

Research Hypotheses

Based on the information provided in Form 8020-25, we developed a directed model depicting the causal sequence of human factors associated with committing a VOD. By sequence, we mean a structured order of events based on the time in which they occurred (i.e., whether an event A happened before or after a given event B). As shown in Figure 2, the type of training one receives determines the level of airport access, which then creates the opportunity for certain types of VODs. This relationship is moderated by the contextual conditions



Figure 2. Hypothesized Causal Sequence of VODs

surrounding the movement area and the state of mind of the operator prior to committing the VOD. Historically, the occurrence of factors related to VODs has been reported in the form of frequencies and percentages. We wished to move beyond simply describing VODs to forming predictive models that could serve as exemplars for designing improved VOD mitigation strategies. Toward achieving that goal, we developed hypotheses about each of the topic areas shown in Figure 2.

H1: Training deficiencies are more likely to be associated with vehicle operators who are authorized to be on only the non-movement area.

Everyone who is granted access to the movement area receives some type of training. As a general rule, vehicle operators authorized to be on the movement area receive training in three areas:

- 1) Airport Operational Procedures, which includes the rules and regulations for operating vehicles on all or part of the airside.
- Driver Familiarization, which includes runway and taxiway configurations; the demarcation of movement and non-movement areas; airfield lighting, signage, and markings; and communications with ATC.
- Driver Training, in the form of simulation and/or test drives.

In contrast, vehicle operators that are only authorized to be on the non-movement area typically receive training just on operational procedures and do not receive training on driver familiarization or driver training.

Airports vary in the type and quality of training that they provide to vehicle operators who are granted access to the airside. Training delivery can vary from self-study (for movement areas), being briefed (for non-movement areas), receiving video instructions, and/or driving a simulated vehicle. Based on this information, we hypothesized that training deficiencies will be more evident for those who are unauthorized to be on the movement area because they typically receive less training than those who are authorized to be on the movement area.

H2: VOD types involving ATC communications are more likely associated with vehicle operators authorized to be on the movement area.

H3: VOD types not related to ATC communications will be equally associated with vehicle operators who are either authorized or unauthorized to be on the movement area. As reported in the FAA Vehicle Pedestrian Deviation Investigation Forms (8020-24 and 8020-25), VODs fall into two categories:

1) those that involved ATC communications and

2) those that did not involve ATC communications.

There were two types of VODs involving ATC communications: (a) those in which the vehicle operator failed to follow the route assigned by ATC, and (b) those in which the vehicle operator failed to follow other ATC instructions (such as holding short of a runway or waiting until an aircraft clears the runway). There were three types of VODs not involving prior ATC communications: (a) those in which the vehicle operator failed to observe the signs, markings, and/or lighting associated with the movement area boundaries, (b) those in which the vehicle operator failed to follow the movement area procedures and (c) those that involved vehicle operators.

Since only vehicle operators who have full access to the movement area are expected to have communications with ATC, we hypothesized that VOD types related to ATC communications would be more commonly associated with authorized vehicle operators. However, since both full and restricted authorized vehicle operators have access to the non-movement area (the area that does not require prior ATC coordination), we did not expect there to be a difference in VOD types unrelated to ATC communications.

H4: Mental processes related to ATC communications (i.e., forgetting to request a clearance and believing that a clearance was issued) are more likely associated with vehicle operators authorized to be on the movement area.

H5: Mental processes not necessarily related to ATC communications (i.e., inability to locate the route, being disoriented or lost, and being distracted) will be equally associated with vehicle operators who were either authorized or unauthorized to be on the movement area.

When investigators asked vehicle operators why they committed a given VOD type, the reasons were commonly associated with various mental processes that influenced their behavior. Examples of mental processes involving ATC communications include forgetting to request a clearance from ATC, and believing that a clearance was issued when it had not been issued. Examples of mental processes not involving ATC communication include inability to locate the route (this can also involve prior ATC communication), being disoriented or lost, and being distracted. Since authorized vehicle operators are required to communicate with ATC, we hypothesized that the mental processes related to ATC communications (or the lack thereof) would more frequently involve authorized vehicle operators. However, since both authorized and unauthorized vehicle operators use the non-movement area, we expected that there would be no difference in the mental processes associated with the actions of vehicle operators unrelated to ATC communications.

H6: VOD types associated with failure to follow signals, signs, markings, and lighting are more likely related to maintenance and environmental contextual conditions compared to any other VOD type.

This hypothesis is based on the theory that maintenance and environmental contextual conditions are more likely to affect visual conditions than communications with ATC. Examples of maintenance contextual conditions include: signs, markings, and/or lighting that need repair. Examples of environmental contextual conditions include: adverse weather and construction.

All hypotheses will be tested from a logistic regression modeling perspective. This is because our data was based on the binary (yes/no) format of the VOD reporting form, which is ideally suited for logistic regression modeling. In addition to developing an overall prediction, logistic regression also produces the relative odds for a given risk factor being associated with the criterion of interest (i.e., a given VOD type).

The term "relative odds" is used here to emphasize that the calculation of the odds is based on the variables that appear in the regression equation. Thus, if important risk factors are not included in the model, then the resulting odds will not reflect the actual risks. This latter issue speaks to the need for a comprehensive investigation to determine the causes associated with VODs. At the conclusion of our study we provide guidelines for improving VOD reporting through the use of JANUS-GRO.

Finally, although Figure 2 was used to develop our hypotheses, the model itself had not been empirically validated. As a first attempt of validation, we used a data mining tool called WinMine (Chickering, 2002) to graphically display the structure of the VOD data, based on the probabilities that a given item from Form 8020-25 would be associated with another item. Using one-way directional arrows, WinMine displays the causal sequence embedded in the data. These causal sequences can then be compared to the causal sequences in our hypothesized model to determine if the model is supported by the data.

METHOD

Data

Archival data describing vehicle deviations occurring between January 2002 and May 2006 were extracted from the National Aviation Incident Monitoring System (NAIMS) database (n = 996). Of the 996 VODs, only 229 had sufficient data (i.e., no missing values for the variables of interest) to evaluate the utility of our directed/implicit model in Figure 2.

Materials

FAA Form 8020-25. Twenty-two items from FAA Form 8020-25 were used to populate each of the domains tested by the hypotheses described above. As shown in Table 1, six items described training/knowledge and experience, one item was used for airport access, five items represented contextual conditions, five represented mental processes, and five items described VOD types. Items on Form 8020-25 labeled as "Unknown," "Other," or "None of the Above," were not included in the analyses.

Statistical Analyses

Logistic Regression. Logistic regression modeling is ideally suited for finding associations between binary independent and dependent variables. The resulting beta coefficients are used to calculate the relative odds that a given independent variable is associated with a given dependent variable. Statistical significance (p < .05) is determined using the Wald statistic (Tabachnick & Fidell, 2007). In this report, we use the symbol W to indicate the value of the Wald test.

Directed Graphical Modeling. We used the WinMine Toolkit (Chickering, 2002) to develop a directed graphical model, based on the Form 8020-25 items shown in Figure 2. A directed graphical model uses Bayes' rule for probabilistic inference to identify the causal associations among variables. The causal sequence is displayed in a graphical form, using arrows to indicate the direction of causation (e.g., $A \rightarrow B \rightarrow C$). Although the mathematics behind graphical modeling are beyond the scope of this report, the interested reader is referred to Kevin Murphy's (2007) Web site (www.cs.ubc.ca/~murphyk/Bayes/bnsoft. html), which includes a discussion of graphical modeling and a comprehensive comparison of the different graphical modeling software packages, including WinMine.

Procedures

We converted data from the final Vehicle/Pedestrian Deviation Report (FAA Form 8020-25) from "yes/no" responses to a binary format: 0 = "absent" in the incident and 1 = "present" in the incident. Then, we tested the

Model Domains	Form 8020-25 Items (Block Number)
Training/Knowledge & Experience	Driver completed training program (5)
	English Language (7a)
	Airport Layout (7b)
	Signs, Markings, Signal, or Lighting (7c)
	ATC Movement Area Procedures (7d)
	ATC Terminology or Phraseology (7e)
Airport Access	Authorization (4b)
VO Mental Processes	Unable to locate route (9a)
	Was disoriented or lost (9b)
	Forgot to request clearance (9h)
	Believed he/she was cleared (9i)
	Was distracted (9j)
Contextual Conditions	
Maintenance	Unlocked or open gates (8a)
	Inadequate fence (8b)
	Signs, Markings, Signals or Lighting (8c)
Environmental	Conditions Outside Movement Area (8d)
	Movement Area Conditions (8e)
VOD Types	Did not observe markings/signals/ lighting (9c)
	Did not follow movement area procedures (9d)
	Did not follow route assigned by ATC (9e)
	Did not follow other ATC instructions (9f)
	Took inadvertent or unplanned actions (9g)

Table 1. Form 8020-25 Items

data for sufficient cell size and collinearity, and entered simultaneously into a logistic regression analysis following the procedures specified in Tabachnick and Fidell (2007). Next, we constructed separate Binary multivariate logistic models for each link depicted in the model shown in Figure 2. Then we examined casual relationships within a directed graphical model framework. Finally, we mapped Forms 8020-24 and 8020-25 items onto the JANUS-GRO taxonomy to identify the relative strengths and weaknesses of the current VOD reporting process.

RESULTS

Our results are presented in the following order: (a) hypotheses testing, (b) directed graphical modeling, and (c) improved VOD reporting.

Hypotheses Testing

Our first hypothesis was:

H1: Training deficiencies are more likely to be associated with vehicle operators who are only authorized to be on the non-movement area.

As shown in Table 2, this hypothesis was partially supported. Vehicle operators who completed the driver's training program were more likely to be authorized to be on the movement area (W = 26.96, p = .00). Although the associations for specific training deficiencies were not statistically significant, the trend was in the expected direction (as evident by the negative beta coefficients) for vehicle operators who were only authorized to be on the non-movement areas.

Our second and third hypotheses were related to the type of movement area authorization:

Training/Knowledge/Experience	В	S.E.	Wald	df	Sig.	Exp(B)
Training Completed	2.34	0.45	26.96	1.00	0.00	10.39
Airport Layout	-1.29	0.70	3.40	1.00	0.07	0.28
Signs, Markings, Signals, & Lighting	-1.24	0.74	2.79	1.00	0.09	0.29
ATC Movement Area Procedures	-0.88	0.50	3.12	1.00	0.08	0.41
ATC Terminology or Phraseology	1.37	0.75	3.34	1.00	0.07	3.94

Table 2. Logistic Regression: Training and Knowledge/Experience Associated With Authorization

VOD Types	В	S.E.	Wald	df	Sig.	Exp(B)
Did not observe markings, signals, or lighting	-1.04	0.46	5.03	1.00	0.03	0.35
Did not follow movement area procedures	-0.37	0.33	1.30	1.00	0.26	0.69
Did not follow route assigned by ATC	0.97	0.60	2.56	1.00	0.11	2.63
Did follow other ATC instructions	2.70	0.77	12.32	1.00	0.00	14.93
Took inadvertent or unplanned actions	-0.54	0.33	2.71	1.00	0.10	0.58

H2: VOD types involving ATC communications are more likely associated with vehicle operators authorized to be on the movement area.

H3: VOD types not related to ATC communications will be equally associated with vehicle operators who are either authorized or unauthorized to be on the movement area.

As shown in Table 3, both hypotheses were partially supported. VODs related to following other ATC instructions were associated with vehicle operators who were authorized to be on the movement area (W= 12.32, p = .00). The other VOD type related to following the route assigned by ATC was in the predicted positive direction but was non-significant (W = 2.56, p = .11). Of the three VOD types not related to ATC communications, only one produced a statistically significant result: VODs related to the failure to observe signs, markings, signals and lighting were associated with vehicle operators who were unauthorized to be on the movement area (W = 5.03, p = .03). Although not significant, the failure to follow movement area procedures was in the predicted direction (negative beta coefficient) of unauthorized movement area vehicle operators. In contrast, the VODs related to unexpected/unplanned

actions were also non-significant and were not in the predicted direction.

Our fourth and fifth hypotheses related to the mental processes:

H4: Mental processes related to ATC communications (i.e., forgetting to request clearance and believing that a clearance was issued) are more likely associated with vehicle operators authorized to be on the movement area.

H5: Mental processes not necessarily related to ATC communications (i.e. associated with the inability to locate the route, being disoriented or lost, and being distracted) will be equally associated with vehicle operators who were either authorized or unauthorized to be on the movement area.

Both hypotheses were partially supported by the results (Table 4). Of the mental processes related to ATC communications, only VODs in which the vehicle operator believed that he/she had been cleared by ATC were statistically associated with authorized vehicle operators (W = 8.99, p = .00). Of the three mental processes not necessarily related to ATC communications, only one—being unable to locate the route— was unrelated to either authorized or unauthorized vehicle operators.

States of Mind	В	S.E.	Wald	df	Sig.	Exp(B)
Forgot	0.27	0.49	0.32	1.00	0.57	1.31
Believe	1.01	0.34	8.99	1.00	0.00	2.75
Distract	1.43	0.65	4.89	1.00	0.03	4.17
Lost	-1.89	0.64	8.86	1.00	0.00	0.15
Locate	0.33	0.76	0.18	1.00	0.67	1.38

Table 4. Logistic Regression: Mental Processes Associated With Authorization

Contextual Factors	В	S.E.	Wald	df	Sig.	Exp(B)
Did not observe markings, signals, or lighting	1.94	0.78	6.15	1.00	0.01	6.95
Did not follow movement area procedures	-0.33	0.74	0.20	1.00	0.66	0.72
Did not follow route assigned by ATC	1.72	0.81	4.47	1.00	0.03	5.57
Did not follow other ATC instructions	-0.59	1.16	0.26	1.00	0.61	0.55
Took inadvertent or unplanned actions	0.03	0.71	0.00	1.00	0.97	1.03

The remaining two mental processes each produced statistically significant associations, but in directions that differed from those hypothesized. VODs related to being lost were associated with unauthorized vehicle operators (W = 8.86, p = 00). In contrast, VODs related to being distracted were associated with authorized vehicle operators (W = 4.89, p = .03).

Our sixth and final hypothesis was:

H6: VOD types associated with not following signals, signs, markings, and lighting are more likely related to maintenance and environmental contextual conditions than to other factors.

This hypothesis was partially supported by the results shown in Tables 5a and 5b. The environmental contextual condition related to inclement weather and/or construction outside the movement area produced a statistically significant association with vehicle operators who did not observe signals, signs, markings, and/or lighting (W= 6.15, p = .01). The same environmental contextual condition also produced an unexpected association with vehicle operators who did not follow the route assigned by ATC (W = 4.47, p = .03). No maintenance contextual conditions produced statically significant results.

Directed Graphical Modeling

We used the WinMine tool kit to graphically display the causal associations among the Form 8020-25 items used in our analyses. As Figure 3 shows, there was a direct causal relationship between variables describing training, authorization, mental processes, and VODs involving the failure to follow other ATC instructions (e.g., holding short of a runway or waiting until an aircraft clears the runway before crossing). This VOD type occurs when authorized vehicle operators believed they were already cleared by ATC to proceed. However, it appears that, although these same vehicle operators had completed a drivers' training program, they displayed a lack of knowledge about the airport layout and failed to follow the signs, markings, signals, or lighting associated with the movement area. Although not related to a

Contextual Factors	В	S.E.	Wald	df	Sig.	Exp(B)
Did not observe markings, signals, or lighting	-1.05	0.80	1.71	1.00	0.19	0.35
Did not follow movement area procedures	-0.12	0.46	0.07	1.00	0.79	0.89
Did not follow route assigned by ATC	-0.14	0.80	0.03	1.00	0.86	0.87
Did not follow other ATC instructions	-0.62	0.78	0.64	1.00	0.42	0.54
Took inadvertent or unplanned actions	-0.31	0.48	0.41	1.00	0.52	0.73

Table 5b. Logistic Regression: VOD Types Associated With Conditions on Movement Area



Figure 3. Data Driven Direct Graphical Model of Relevant Items From Form 8020-25

specific VOD type, Figure 3 also reveals that vehicle operators who lacked knowledge about the airport layout tended to get lost and were unable to locate the route assigned by ATC.

The relationships shown within the dotted box of Figure 3 were weak associations.¹ This means that the linkages were not as strong as those previously described and were more likely to change as additional data were collected. It appears, however, that the relationships are not associated with the level of vehicle operator authorization. This implies that both authorized and unauthorized vehicle operators were equally as likely to commit VODs related to unplanned actions; failure to observe

signs, markings, signals, or lighting; or failure to follow movement area procedures.

Finally, none of the maintenance and environmental contextual conditions was represented in Figure 3 because the items representing these conditions had insufficient cell sizes to construct a probability distribution and thus were excluded from the final model.

Improved VOD Reporting

Earlier in the paper we mentioned that one of our objectives was to provide guidance for improving VOD reporting. After completing our hypothesis testing, we came to the conclusion that a majority of the VOD reporting process is focused on describing the context of VODs—without shedding much light on the underlying

¹ The weak associations tended to correspond to the non-significant findings reported in the logistic regression section.

	Form 8020-24		Form 8020-25		Total	
	No	Pct.	No.	Pct.	No.	Pct.
Organization	0	0.0	1	1.7	1	0.7
Management	0	0.0	0	0.0	0	0.0
Supervision	0	0.0	0	0.0	0	0.0
Contextual Conditions	28	35.5	21	36.2	49	35.8
Non-Compliance	0	0.0	5	8.6	5	3.7
Response Execution	0	0.0	0	0.0	0	0.0
Mental Processes	0	0.0	5	8.6	5	3.7
Specific Task Description	0	0.0	0	0.0	0	0.0
Descriptive Information	51	64.5	26	44.9	77	56.1
Total	79	100	58	100	137	100

Table 6. JANUS Mapping of VOD Information From Forms 8020-24 and 8020-25

human factors causes. To test this assumption, we mapped the items from Form 8020-25 onto the JANUS-GRO categories and examined the results.

Table 6 shows the mapping results of all the items (n=137) from Forms 8020-24 and 8020-25 onto JANUS-GRO categories. Of the 137 items, 56.1% provided descriptive information (unrelated to human factors causes) that documented the event, such as date, time, location, what happened, and to whom the report should be distributed. The next largest category was "contextual conditions," which represented 35.8% of the items. Non-compliance and mental processes each accounted for 3.7% of the items. From these results, we see that the current VOD reporting process has emphasized collecting information about the vehicle operator's actions in the context of the surrounding environment to the neglect of collecting information about why those actions occurred. The ramifications of these results will be used to recommend a method for improving the VOD investigation process.

DISCUSSION

We developed a VOD prediction model to help understand the human factors causes associated with different types of VODs. We then examined the validity of the model, using logistic regression and directed graphical modeling. From the logistic regression, we learned that the vehicle operators who were granted access to the movement areas were more likely to have completed a formal driver training program, compared to those who were only authorized to be on the non-movement area. We emphasize this point because when unauthorized vehicle operators wandered onto the movement area, they may have lacked sufficient training to navigate themselves back onto the non-movement area. Unfortunately, the current reporting process does not provide sufficient information about the quality or content of the training provided and, thus, we can only speculate.

Although logistic regression modeling was used to test our hypotheses, the results of the Bayesian network provided for a more comprehensive understanding of the relationships among the many items on the final VOD reporting form. The capability to identify causal sequences using WinMine allowed us to describe a chain of events associated with a given type of VOD (e.g., the failure to follow other ATC instructions). This information is useful not only for identifying VOD determinants but also for suggesting ways to reduce VODs. For example, we found that a lack of knowledge associated with the airport layout was instrumental in vehicle operators who completed driver training but became lost and/or were unable to locate the route they were instructed to follow. Knowing this, an airport operations manager could evaluate the airport's vehicle operator training program to determine whether improvements need to be made in how vehicle operators learn the airport layout and/or how they develop driving competencies for operating on and off the movement area.

However, perhaps the most important means of discovering why VODs occurred is to ask the vehicle operator why he/she wandered onto the movement area without ATC approval. As we discovered when we briefed our research sponsors in the FAA's Airport Safety & Operations Division, vehicle operators are not always contacted to determine why they committed a VOD. Instead, the causal factors are sometimes inferred by reviewing and/or interpreting vehicle operators' behavior. For example, if a vehicle operator committed a VOD as a result of a failure to follow movement area procedures, it may have been inferred that the vehicle operator lacked the knowledge about movement area procedures. However, the VOD may instead have occurred because the vehicle operator was distracted due to thinking about the task that he/she was going to perform after arriving at the destination. Without conducting an interview with the vehicle operator, there is no way to know for certain why the vehicle operator did not follow movement area procedures.

Additional work needs to be done in the area of VOD reporting if we are going to reduce the number of VODs that occur each day on our nation's runways and taxiways. Our results illustrated that of all the information recorded on the current VOD reporting forms, less than 4% were associated with the vehicle operator's performance (i.e., task descriptions, non-compliance issues, and mental processes). Unless we collect additional information that allows us to understand why the VOD occurred, it is unlikely that we will be able to point to specific interventions that might reduce a given type of VOD, such as failing to follow the route assigned by ATC.

The need to improve human error reporting and management are some of the driving forces behind the current emphasis on developing safety management systems (SMS; FAA, 2006b). SMS is essentially an approach to controlling risk. SMS emerged from the conclusion that there will always be some degree of human error. Rather than attempting to completely eliminate human error through extensive inspection and remedial actions, SMS emphasizes reducing the severity and/or the likelihood of risk associated with system-wide safety hazards. These goals are accomplished by identifying the hazards, assessing the risk, analyzing the risk, and controlling the risk. The latter is accomplished through a feedback system that ascertains the effectiveness of mitigation strategies designed to reduce safety risks.

We suggest that representatives from airport operations and the FAA meet with the two-fold purpose of revising the current VOD reporting forms (8020-24 and 8020-25) and developing the necessary procedures to ensure that the relevant VOD human factors are collected during VOD investigations. We propose a revision that is based on the JANUS-GRO framework. As an example of how this might be accomplished, we developed flow charts to aid the data collection phase of the vehicle operator interviews. The instructions, reporting form, and flowcharts are included in Appendix D.

In our idealized situation, we assume that the designated airport operations investigator will be conducting the vehicle operator interviews. After presenting a general overview of the interview process, the investigator would use a combination of the six flow charts (Appendix D) to collect the relevant human factors information associated with the VOD. This includes information about (a) perception and vigilance, (b) memory, (c) planning and decision making, (d) response execution, (e) noncompliance, and (f) contextual factors. Each flow chart begins at an entry point and, through a series of branching questions, ends with the identification of a given human factors event. The emphasis on using flow charts is to ensure that the investigator does not prematurely arrive at a conclusion prior to collecting all the relevant facts. Once an endpoint is reached on a given flowchart, the information is then transferred to the data recording form (Appendix D).

In addition to guiding the interview process, the modified reporting form contained in Appendix D can also produce information that can be used to design initial and remedial training for both FAA and Airport Operations inspectors. Although the emphasis of our report has been on understanding the human factors associated with VODs, we would be remiss if we did not include in our discussion the importance of ensuring that VOD investigators are also grounded in basic human factors principles. At the time of this writing, there appears to be no standardized human factors training for FAA and Airport Operations inspectors. Consequently, considerable variation in the type and quality of data collected during vehicle operator interviews will occur. To reduce such variability in reporting, we suggest that an FAA/Airport Operations workgroup, including human factors experts, be convened to develop human factors training standards for FAA and Airport Operations inspectors.

CONCLUSION

The analysis of the human factors causes associated with VODs is dependent on the quality and quantity of the data collected. The results of our study suggest that it is possible to identify human factor causes associated with a specific VOD type. However, in its current state, the type of information collected during VOD investigations is insufficient and needs to be improved. We offer the JANUS-GRO framework as a first step towards improving the VOD investigation and reporting process.

REFERENCES

- Chickering, D. (2002). *The WinMine toolkit*. Redmond, WA: Microsoft Research Technical Report No. MSR-TR-2002-103.
- Federal Aviation Administration (2003). *Aircraft accident* and Incident Notification, Investigation, and Reporting (FAA Order 8020.11B CHG 1). Washington, DC: Author.
- Federal Aviation Administration (2004). Procedures for conducting investigations of vehicle/pedestrian deviations (FAA Order 5200.10). Washington, DC: Author.
- Federal Aviation Administration (2006a). *Airport Certification Program Handbook* (FAA Order 5280.5C). Washington, DC: Author.
- Federal Aviation Administration. (2006b). *Introduction* to safety management systems (SMS) for air operators (FAA Advisory Circular 120-92). Washington, DC: Author.
- Federal Aviation Administration Air Traffic Organization (2007a). *Runway safety report*. Washington, DC: Author.
- Federal Aviation Administration (2007b). *Airport surface products*. Retrieved March 30, 2007 from www.faa. gov/and/and400/410/index.html

- Federal Aviation Administration (2007c). *Title 14 Code* of Federal Regulations, Part 139, Certification of Airports.
- Federal Aviation Administration (2007d). Driving on the airport operations area: Airport vehicle operator safety study guide. Retrieved March 30, 2007 from www.awp.faa.gov/ops/runwaysafety/education/ operating%20airport%20environment.pdf.
- Federal Aviation Administration (2007e). FAA Compliance and Enforcement Program (FAA Order 2150.3B). Washington, DC: Author.
- Murphy, K. (2007). Software packages for graphical models. Retrieved March 30, 2007 from www.cs.ubc. ca/~murphyk/Bayes/bnsoft.html.
- Pounds, J. & Isaac, A. (2003). Validation of the JANUS technique: Causal factors of human error in operational errors. Washington, DC: Federal Aviation Administration Office of Aerospace Medicine Technical Report No. DOT/FAA/AM-03/21.
- Scarborough, A., Pounds, J., & Bailey, L. (2005). JANUS-GRO: A human factors taxonomy for ground operations. Proceedings of the Second Safety Across High-Consequence Industries Conference, 2005-02-022.
- Tabachnick, B.G. & Fidell, L.S. (2007). Using multivariate statistics (pp.437-505). Boston: Pearson Education, Inc.

APPENDIX A

ICAO Runway Incursion Definition and Severity Classification*

As part of the Flight Plan goal for International Leadership, the FAA supported the efforts of ICAO to establish standard definitions for runway incursion and runway incursion severity (see Figure 24). This will eventually allow the collection of comparable data and enable the building of a comprehensive database of global information that may be used to enhance runway safety management.

Figure 24. Comparison between FAA and ICAO Runway Incursion Severity Definitions

FAA Runway Incursion Definition	ICAO Runway Incursion Definition
Any occurrence in the airport runway environment involving an aircraft, vehicle, person, or object on the ground that creates a collision hazard or results in a loss of required separation with an aircraft taking off, intending to take off, landing, or intending to land.	Any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle or person on the protected area of a surface designated for the landing and take-off of aircraft.

Currently, the FAA reviews all surface incidents (SIs), identifies a subset as runway incursions, and assigns a severity. Effective October 1, 2007, the FAA will categorize runway incursions using the ICAO definition of incursions and the ICAO severity categories. Figure 25 shows a comparison between FAA and ICAO runway incursion severity classifications.

FAA		ICAO	
Class	Description	Class	Description
A	A Separation decreases and participants take extreme action to narrowly avoid a collision, or the event results in a		Refer to ICAO Annex 13 definition of an accident.
	collision.	A	A serious incident in which a collision was narrowly avoided.
В	Separation decreases and there is a Significant potential for a collision.	В	An incident in which separation decreases and there is a significant potential for collision, which may result in a time critical corrective/evasive response to avoid a collision.
С	Separation decreases, but there is Ample time and distance to avoid A potential collision.	С	An incident characterized by ample time and/or distance to avoid a collision.
D	Little or no chance of a collision but meets the definition of a runway incursion		
L	(0)	antinued)	

(Continued)

FAA		ICAO	
Class	Description	Class	Description
Other SI	An event during which unauthorized or unapproved movement occurs within the movement area or an occurrence in the movement area associated with the operation of an aircraft that affects or could affect the safety of flight. (This subset includes only non-conflict events)	D	Incident that meets the definition of runway incursion such as incorrect presence of a single vehicle/pedestrian/aircraft on the protected area of a surface designated for the landing and take-off of aircraft but with no immediate safety consequences.
		Not Defined	(FAA non-conflict SI include more than just ICAO class "D" events)
ID	Insufficient Data: Inconclusive or conflicting evidence precludes severity assessment.	E	Insufficient information: inconclusive or conflicting evidence precludes severity assessment.

The FAA's expansion of the definition of a runway incursion to harmonize with the ICAO definition will lead to an increase in the total number of runway incursions and a change in the United States runway incursion severity distribution. For instance, runway incursions currently categorized as Category C or D under the FAA definition will become Category C incursions under the ICAO definitions.

*From FAA (2007a), p. 43 and 44.

APPENDIX B

PRELIMINARY VEHICLE/PEDESTRIAN DEVIATION REPORT FORM 8020-24

			Incident Report	Number	
PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT					
Air Traffic Control should complete this form after obs	serving a vehicle or pedestrian deviation (V/PD) or reco	eiving a report	of one. Complete a	nd distribute	e according
to the instructions on page 3. Unless computer generat	ed, complete the form by hand or typewriter. 2. Type of Deviation <i>(mark one)</i> :	3 If The	re Was Loss of Sepa	ration (mar	k one).
 A. Date (Coordinated Universal Time-UTC) M M D D Y Y B. UTC Time C. Local Time D. Airport ID at Surface Deviation Location E. Nearest City or Town, and State 	 A. Uvehicle (excludes bicycles; includes aircraft being repositioned; complete remainder of form, except item 14) B. Pedestrian (includes bicycles; complete items 5 to 11, and 14 to 2) 		□ Yes, Closest P. 1. Horizontal _ 2. Vertical □ No	roximity W	as
4. Vehicle Information (report bicycles in item 14):	5. Surface Detection Equipment:	6. Enviro	onmental Conditions		
A. Type (mark one) 1. Tug 2. Baggage or Cargo Truck 3. Fuel Truck 4. Aircraft Being Relocated by Non-pilot 5. Snow Removal Equipment 6. Mower 7. Construction Equipment 8. Motorcycle 9. Car (includes sport-utility vehicles) 10. Other Trucks (includes buses, vans, etc.) 11. Other, Specify	 A. □ No Surface Detection Equipment at the Airport (<i>skip to item 6</i>) B. Equipment Was Operational (1) □ Yes (2) □ No (3) □ Unknown C. Equipment Was On (1) □ Yes (2) □ No (3) □ Unknown D. Movement Was Detected by Equipment ASDE/AMASS Only (1) □ Yes (2) □ No (3) □ Unknown E. There Was an Alert (1) □ Yes (2) □ No (3) □ Unknown F. There Was a Alert (1) □ Yes (2) □ No (3) □ Unknown 	(mark) A. B. C. D. E. F. G. H. I. J. K.	appropriate boxes): Clear Cloudy Day Rain () Ligh Thunderstorm Snow () Lig Freezing Rain Fog Snow on Paven Slush Other, Specify	t/Moderate ht/Moderate nent bility(S I Range(S	() Heavy
7. Deviation Occurred on the Following Movement Area(s) (mark appropriate boxes, describe	8. A Clearance Was Issued or Amended to Preclude a Loss of Separation or Collision Hazard		lot, Driver, or Pedes asive Action to Avo		
pertinent non-movement areas in item 10): A. Runway, Specify B. Taxiway, Specify C. Intersection, Specify D. Other, Specify 10. Description of Deviation and Comments:	(mark one):	(mark	<i>c one)</i> : □ Yes, Specify _ □ No		
			· · · · · · · · · · · · · · · · · · ·		

FAA Form 8020-24 (10-03) Supersedes Previous Edition

Page 1

NSN:0052-00-922-4002

Appendix B: Continued

						In	cident	t Report	Num	ber		
	PRELIM	INARY N DEVLATION I		V								
-	VEHICLE OR PEDESTRIA	IN DEVIATION I	REPORT		1			I			I	I
	loted Aircraft Was Operating on the Runway W k appropriate boxes):	When the V/PD Occurred	12. Vehicle Equipment	t and C	Commu	nicatio	n with	n ATC <i>(n</i>	nark o	ine):		
B. C. D. E. F.	Make Model Flight Number or Call sign <i>(if applicable)</i>		A. Do Com B. 2-Way R C. Telephor D. Headligh E. Flashing F. Flashing F. Elashing H. Vehicle' I. Commur J. Unable t K. Other, Sp	Radio U ne Use nts Fla Light wn ent No s Equi nicatio o Start	Used ed shed s Opera t Opera ipment on Diffi t Vehic	ating or tional, Unkno culty V le	n Vehi Speci wn Vith A	fy TC, Spec	cify _			
13. Driv	er Information:		14. Pedestrian Informa	tion (i	include	s bicyc	les):					
	Name Employed By 1. Airline 2. Airport Employee 3. Airport Tenant 4. Airport Contractor 5. FAA 6. Military Branch 7. Other Government 8. Airline Passenger 9. Airport Visitor 10. Taxi/Limo Service 11. General Aviation 12. Unknown 13. Other, Specify Employer Name and Address (if applicable)			sy rline rport E rport T rport C A litary 1 her Go rline P rport V xi/Lim neral A known her, Sp fame a	Employ Fenant Contract Branch overnme assenge /isitor to Serv: Aviation n pecify _ nd Add	ee tor ent er ice n	f appli					
	ation Area Was Visible From the Tower	16. Deviation First Detec	ted By (mark one):	1	17. Mo	vemen	t Area	Had (ma	ark ap	propria	te boxe	es):
A.	k one): Yes No Partially, Specify	1. □ Move 2. □ Airpo Equipme B. □ ASDE Wit Safety System C. □ Airport Sec D. □ Public, Inc	curity		B. C.		nfigur Const Portic cify C Other	ation Char ruction A on Closed Closed A , Specify of the Al	Anges Activit I by N rea	ty lotice to	Airme	
18. Attac	chment(s):											
A. B.												
19. Airp	ort Management Notified of Deviation:		20. Name of Individual	l Com	pleting	Form:						
	Airport Manager's Name Local Date		A. Name (type $\overline{T_{a}}$									
C.	M M D D Y Y Local Time		B. Telephone N ()	Numbe	er 							
FAA Foi	rm 8020-24 (10-03) Supersedes Previous Edit	ion Pa	lige 2						NSN	:0052-00	1-922-4	4002

	Incident Report Number	
PRELIMINARY	V	
VEHICLE OR PEDESTRIAN DEVIATION F	REPORT V	
21. Facility Manager Approving Form:	22. Report Distributed to:	
A. Signature	A. A _ FAA Region	
B. Name (type or print)	B. Division Offices	
C. Local Date	☐ Airports ☐ Air Traffic	
M M D D Y Y	Flight Standards (only if 11A is checked)	
ммррүү	C. Others Airport Manager	
	□ AAS-300	
	□ AAT-20 □ ATX-400	
	ARI-1	
INSTDI	CTIONS	
I. General	The second and third characters are the abbreviation of	the
	FAA region in which the deviation occurred:	the
The incident report number and Items 1 to 10 of FAA Form		
8020-24 must be completed and information transmitted or	AL - Alaskan NE - New England	
arrangements made to transmit it in numerical order within 3	CE - Central NM - Northwest Mountain	
hours of the detection of a V/PD. Transmit by: (1) telephone, facsimile, or in accordance with regional agreement to the	EA - EasternSO - SouthernGL - Great LakesSW - Southwest	
Airports Division Office with jurisdiction over the area in	WP - Western-Pacific	
which the V/PD occurred, and (2) by facsimile or National		
Airspace Data Interchange Network (NADIN) message using	The fourth character identifies the type of faci	lity
immediate (DD) precedence to FAA headquarters and others. If	completing the form:	
the V/PD is significant (e.g., involving air carriers, air taxis, or prominent persons), the above information should be	C - ARTCC R - TRACON	
communicated immediately by telephone to FAA headquarters.	F - AFSS or FSS T - ATCT	
The form must be completed and mailed by first class mail	Z - FSDO or Other	
within 10 calendar days of the V/PD. The definition of a V/PD		.1
and instructions on distribution of FAA Form 8020-24 are in FAA Order 8020.11, "Aircraft Accident and Incident	For combined TRACON or ATCT operations, use character for the TRACON or ATCT reporting the V/PD.	the
Notification, Investigation, and Reporting." A V/PD that leads	character for the TRACON OF ATCT reporting the V/1D.	
to an accident should also be reported as a V/PD using this	The fifth through seventh characters are the facility locat	ion
form. If more than one vehicle or pedestrian was involved, file	identifier (e.g., ZNY). See the latest edition of F.	AA
a single report based on the first vehicle or pedestrian involved	Order 7350.6.	
in the deviation. Describe the other participants in Item 10.	The eighth and ninth characters are the calendar year	· in
If the categories given are inadequate, complete "Other,	which the V/PD occurred; e.g., 04 for 2004.	111
Specify." Sign and date the form (Item 21) before distribution.		
	The last three characters are the sequential V/PD number	
II. Incident Report Number	the year by reporting facility; e.g., V/PD's would be numbe	red
Each facility completing FAA Form 8020-24 is responsible	001 to 999 in 2004 at a given facility.	
for assigning a unique 12-character number to each reported	III. Abbreviations	
V/PD. The first character is V, for V/PD.		
	The following abbreviations are used:	
	AFSS - Automated Flight Service Station	
	AFSS - Automated Flight Service Station ARTCC - Air Route Traffic Control Center	
	ATCT - Airport Traffic Control Tower	
	FSDO - Flight Standards District Office	
	FSS - Flight Service Station	
EAA Form 9070 24 (10.02) Supersides Draviaus Edition	TRACON - Terminal Radar Approach Control	2 4002
FAA Form 8020-24 (10-03) Supersedes Previous Edition Pag	ge 3 NSN:0052-00-92	2-4002

APPENDIX C

INVESTIGATION OF VEHICLE/PEDESTRIAN DEVIATION REPORT FORM 8020-25

INVESTIGATION OF VEHICLE OR	Incident Report Number
PEDESTRIAN DEVIATION REPORT	
	after receiving FAA Form 8020-24 vehicle or pedestrian lete and distribute according to the instructions on page 2.
1. Date, Time, and Location of Deviation	2. Type of Deviation (Select one):
A. Local Date $ _{M}$ $ _{M}$ $ _{D}$ $ _{D}$ $ _{Y}$ $ _{Y}$	 A. Vehicle (excludes bicycles; includes aircraft being repositioned)
B. Local Time	B. □ Pedestrian (includes bicycles) 3. Airport Certificated Under Part 139 of FAA
C. Airport ID at Surface Incident Location	Regulations
	A. □ Yes, Specify A1. □ Full or A2. □ Limited B. □ No
4. Deviator Was (Mark one):	5. Airport Offers Driver Training Program (Mark one):
A. \Box Not Authorized to be on the Airfield (Skip to Item 8)	A. 🗆 Yes
B. Authorized to be on the Airfield, but not on the	B. Do Driver Completed Training Program
Movement Area	Driver Completed Training Program A. 🗆 Yes, When
C. C. Authorized to be on the Movement Area	$A. \square$ res, when B. \square No
D. \Box Unknown (<i>Skip to Line 10</i>)	C. Unknown
6. Airport Training or Procedures Contributed to V/PD	7. The Driver or Pedestrian Had Inadequate Knowledge
(Mark all that apply):	or Experience With (Mark all that apply):
(mark an mar appry).	A. English Language
A. 🗆 Driver Training Program	B. Airport Layout
···	C. Signs, Markings, Signals, or Lighting (Specify):
B. Driver Familiarization	D. ATC Movement Area Procedures
	E. ATC Terminology or Phraseology
	F. Unknown
C. C. C. C. C. C. C. C. C. C. C. C. C.	G. Other (Specify):
	H. 🗆 None of the Above, Driver or Pedestrian
	Knowledge or Experience Not a Factor
8. Facilities, Construction, or Conditions That	9. Investigation Indicates Driver or Pedestrian
Contributed to V/PD (Mark all that apply):	(Mark all that apply):
A. 🗆 Unlocked or Open Gates	A. 🗆 Was Unable to Locate Route
B. 🗆 Inadequate Fence, Specify:	B.
C. Signs, Markings, Signals, or Lighting (Specify):	C. 🛛 Did Not Observe Markings, Signals, or Lighting
	D. 🗆 Did Not Follow Movement Area Procedures
D. Conditions Outside Movement Area, Specify:	E. 🗆 Did Not Follow Route Assigned by ATC
(e.g., weather, construction)	F. \Box Did Not Follow Other ATC Instructions, <i>Specify</i> :
E. D Movement Area Conditions, Specify: (e.g.,	G. 🛛 Took Inadvertent or Unplanned Actions
weather, construction)	H. □ Forgot to Request Clearance
F. 🗆 Unknown	I. 🗆 Believed He/She Was Cleared
G. 🗆 Other, Specify:	J. 🗆 Was Distracted, Specify:
H. D None of the Above, Facilities, Construction, or	K. Details Not Known to the Inspector
Conditions Not a Factor	L. Other, Specify:
	M. 🗆 None of the Above
EAA Form \$020.25 (5.00)	NSN: 0052 00 922 5000

FAA Form 8020-25 (5-99)

Page 1

NSN: 0052-00-922-5000

Appendix C: Continued

10. Corrections and Additions to FAA Form 8020-24 (Spe	cify item number and new information):
<u>-</u>	
11. Description of V/PD and Comments With Recommend	lations, if any:
•	
·	
12. Attachment(s):	13. Action(s) Taken or Planed (Mark all that apply):
A.	A. □ No Part 139 Violations
	B. B. Letter of Investigation, Specify Date:
B. D Other(s), Specify:	C. Enforcement Action by Airport Operator
	D. D Procedural Changes
	E. \Box Capital Development
	 F. □ Other, Specify:
14. Investigating Airports Division Office:	16. Report Distributed To:
Routing Symbol	A. FAA Region:
15. Inspector Completing Form:	Including Regional Division Offices:
A. Name	Airports, Air Traffic, and Flight Standards (Only if 7A on Form 8020-24 is checked).
	(Only if 121 on 1 orm 0020-24 is checked).
B. Signature	Including:
	Airport Manager, ATP-20, AAS-300,
C. Date M M D D Y Y	ATX-400, and AAT-210.
D. Phone No	B. Other(s), Specify:
INSTRU	CTIONS
Within 90 calendar days of the receipt of FAA Form	The inspector completing FAA Form 8020-25 will
8020-24, Preliminary Vehicle or Pedestrian Deviation	attempt to ensure that all information reported on FAA
Report, indicating the occurrence of a V/PD at an airport	Form 8020-24 is complete. If any information on FAA
certificated under 14 CFR 139, FAA Form 8020-25 will be completed. FAA Form 8020-25 must be assigned the	Form 8020-24 is incomplete or inaccurate, the inspecto will provide additions or corrections to that information

Report, indicating the occurrence of a V/PD at an airport certificated under 14 CFR 139, FAA Form 8020-25 will be completed. FAA Form 8020-25 must be assigned the same incident report number as the corresponding FAA Form 8020-24. Instructions on distribution of FAA Form 8020-25 are in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and

Reporting. FAA Form 8020-25 (5-99)

Page 2

if it becomes known, in Item 10.

form (Item 15) before distribution.

Complete all items. If the categories given are inade-

quate, complete "Other, Specify." Sign and date the

NSN: 0052-00-922-5000

APPENDIX D

Proposed VOD Investigation Reporting Form Instructions

Use the accompanying flow charts (D4-D14) and Data Reporting Form (D15-D18) to document the results of the interview with the vehicle operator (VO) who committed the vehicle operator deviation (VOD). Before conducting the interview, first identify the VOD type that was reported for the VO and record that information on Block 1 of the Data Reporting Form. Next, begin the interview by asking about the task the VO was attempting to accomplish before committing the VO. The task description should be recorded on Block 2 of the Data Reporting Form. Next, obtain a general description from the VO about the events that transpired which lead him/her to commit the VOD. While the VO is describing what happened, use the Entry Level Flow Chart (D3) to identify the relevant mental processes that were involved in the VOD. For each mental process identified, use the corresponding flow charts to conduct a more detailed analysis. The mental processing flow charts include: a) perception and vigilance (D4-D6), (b) memory (D7-D8), and (c) planning and decision making (D9-D11). Once an endpoint is reached on a flow chart, record that information on Blocks 3-5 of the Data Reporting Form. Complete all identified mental processes before proceeding to the response execution flow chart (D12-D13). Once an end point is reached on the flow chart, record that information on Block 6 of the Data Reporting Form and continue to the Non-Compliance flow chart (D14). Once an endpoint is reached, record that information on Block 7 of the Data Reporting Form (D16). Finally, complete the interview process by identifying the various contextual conditions associated with the VOD and record that information on Blocks 8-20 on the Data Reporting Form (D16-D18).

Block 1. VOD Type. The investigator conducting the interview identifies the type of VOD that is being investigated. If a vehicle operator (VO) committed more than one type of VOD, then a separate reporting form must be completed for each type.

VOD PERFORMANCE (Blocks 2-7)

Block 2. Task Description (purpose for being on the movement area). The investigator conducting the interview describes the task that the VO was attempting to accomplish (e.g., mow grass, remove snow, walk to hanger, etc).

Block 3. Perception and Vigilance. The investigator conducting the interview completes this section if he/she makes a determination, based on an interview with the VO, that the VOD was the result of the VO failing to see or hear something or incorrectly seeing or hearing something. The investigator can use the Perception and Vigilance flowcharts to question the VO and identify the perception and vigilance processes.

Block 4. Memory. The investigator conducting the interview completes this section if he/she makes a determination, based on an interview with the VO, that the VOD was the result of the VO forgetting something or having an incorrect memory. The investigator can use the Memory flowcharts to question the VO and identify the memory processes.

Block 5. Planning and Decision Making. The investigator conducting the interview completes this section if he/she makes a determination, based on an interview with the VO, that the VOD was the result of the VO failing to plan or making a mistake in a plan or decision. The investigator can use the Planning and Decision-Making flowcharts to question the VO and identify the planning and decision-making processes.

Block 6. Response Execution. The investigator conducting the interview completes this section if he/she makes a determination, based on an interview with the VO, that the VOD was the result of the VO thinking one thing but doing or saying something other than what was intended. For example, the VO was attempting to backup but went forward or the VO transposed letters when reporting his/her location. The investigator can use the Response Execution flowcharts to question the VO and identify the response execution processes.

Block 7. Non-Compliance. The investigator conducting the interview uses the Non-Compliance flowchart, to identify the type of non-compliance associated with the VOD.

CONTEXTUAL CONDITIONS (Blocks 8 – 20)

Block 8. Ground Traffic. The investigator conducting the interview completes this section if he/she makes a determination that the dynamic characteristics of the traffic flow or mix complexity contributed to the VOD. This category includes only traffic on the airport surface.

Block 9. Environment. The investigator conducting the interview completes this section if he/she makes a determination that ambient factors such as noise, air quality, distractions, etc. contributed to the VOD.

Block 10. Airport Configuration. The

investigator conducting the interview completes this section if he/she makes a determination that the physical changes to the movement area contributed to the VOD.

Block 11. Actions of Other Vehicle Operators.

The investigator conducting the interview completes this section if he/she makes a determination that actions of other vehicle operators contributed to the VOD.

Block 12. Vehicle Operator (VO) – Air Traffic (ATC) Communication. The investigator conducting the interview completes this section if he/she makes a determination that communication, whether miscommunication, improper communication, or no communication with ATC, contributed to the VOD.

Block 13. Vehicle Operator (VO) – Vehicle Operator (VO) Communication. The

investigator conducting the interview completes this section if he/she makes a determination, based on an interview with the VO, that communication, whether miscommunication, improper communication, or no communication with another VO such as a team leader, contributed to the VOD.

Block 14. Weather. The investigator conducting the interview completes this section if he/she makes a determination that weather conditions contributed to the VOD.

Block 15. Documents and Materials. The investigator conducting the interview completes this section if he/she makes a determination that

incomplete or out-of-date documents and materials contributed to the VOD.

Block 16. Human-Machine Interface

(HMI)/Equipment. The investigator conducting the interview completes this section if he/she makes a determination that equipment malfunctions and/or the inability of the vehicle operator to properly use the equipment contributed to the VOD.

Block 17. Procedures. The investigator conducting the interview completes this section if he/she makes a determination that the official procedures used for operating on the airport movement area contained latent errors which contributed to the VOD.

Block 18. Teamwork. The investigator conducting the interview completes this section if he/she makes a determination that lack of coordination or interpersonal problems within the work team contributed to the VOD.

Block 19. Individual (Personal) Factors. The investigator conducting the interview completes this section if he/she makes a determination that physical and/or mental vulnerabilities of the vehicle operator contributed to the VOD.

Block 20. Training. The investigator conducting the interview completes this section if he/she makes a determination that inadequate training/experience of a certain type(s) contributed to the VOD.

JANUS-GRO ENTRY LEVEL FLOWCHART Select the best explanation for the VOD type being analyzed





















Execution Level 1, go to Response Execution Level 2





Once an endpoint factor has been reached, return to the Entry Level Flowchart

Vehicle Operator Investigation Data Reporting Form

1. VOD Type (mark only one)

- Did not comply with signs, markings, signals, or lighting
- □ Did not follow movement area procedures
- □ Did not follow route assigned by ATC
- □ Did not follow other ATC instructions
- \Box Took inadvertent or unplanned actions

2. Task Description (purpose for being on the movement area)

	1 4 26
Vehicle Operator Performance Factors	4. Memory
	Level 1 (mark only one)
3. Perception & Vigilance	□ Forgot to observe
Level 1 (mark only one)	□ Forgot a planned action
□ No auditory detection	□ Forgot to perform an action
□ Mishear	Forgot previous action
□ Hearback error	Temporary information not remembered
□ Late auditory recognition	Temporary information remembered inaccurately
□ Misidentification of	□ Inaccurate recall of already learned information
Visual information	No recall of learned information
\square No detection of visual	\Box No level 1
information	
□ Misreading of visual information	Level 2 (mark only one)
□ Late detection of visual information	□ Equipment mode (settings) error
□ Misperception of visual	□ Similarity of information
information	Memory capacity overload
□ Late identification of	□ Interruption-2
visual information	□ Preoccupation-2
□ No detection of visual information	□ Negative transfer of information
\square No level 1	Mis-stored information
	□ Insufficient learning of information
Level 2 (mark only one)	□ Rarely used information
\Box Visual search failure	\square No level 2
 Monitoring failure 	
 Expectation bias 	5. Planning & Decision Making
□ Association bias	Level 1 (mark only one)
□ Information confusion	 Misjudge A/C projection
(spatial)	 Incorrect decision or plan
□ Information confusion	□ Late decision or plan
(vison/sound)	 Date decision of plan No decision or plan
 Perception discrimination 	 Insufficient planning
Problem	\square No level 1
□ Tunneling	
 I uniforming Out of sight bias 	
□ Information overload	
 Vigilance problem 	
□ Vignance problem □ Interruption	
 Interruption Preoccupation 	
\square No level 2	

 5. Planning & Decision Making (Continued) Level 2 (mark only one) Incorrect knowledge Lack of knowledge Failure to consider side effects Failure to integrate information Misunderstood communication Fixation Incorrect assumption Incorrect priority of tasks Denied risk Failed to recognize risk No level 2 	 9. Environment (mark all that apply): Odors Noise Vision obstruction (air quality smoke, smog) Inadequate signs, markings, signals or lighting Other, Specify: 10. Airport Configuration (mark all that apply): Recent runway configuration changes Recent taxiway configuration changes Construction activity on the movement area Portion of the movement area closed by Notice
 6. Response Execution Level 1 (mark only one) Timing error Unclear information transmitted Incorrect information transmitted Information not transmitted 	to Airmen Other, Specify: 11. Actions of Other Vehicle Operators (mark all the apply): Loss of separation with another vehicle Another vehicle operator responded to instructions from ATC not intended Other, Specify:
 Omission of action No level 1 Level 2 (mark only one) Unclear speech Wrong voice tone Spatial confusion Problem of habit Intrusion of thought Interruption from environment Slip of tongue Action slip No level 2 	 12. Vehicle Operator-Air Traffic Control Communications (mark all that apply): English language spoken was not comprehended by the VO Aviation phonetic alphabet was not used properly and/or not comprehended by the VO ATC terminology or phraseology was not used properly and/or not comprehended by the VO ATC terminology or phraseology was not used properly and/or not comprehended by the VO Procedures for contacting ATC were not properly used by the VO Light gun signals were not comprehended/improperly used/operating Hearback/readback errors
 7. Noncompliance (mark only one) Unintended Routine Exceptional Undetermined Unncessary No Known compliance 	 Incorrect radio frequency used Other, Specify: 13. Vehicle Operator–Vehicle Operator Communications (mark all that apply): English language spoken was not comprehended by the receiving VO Aviation phonetic alphabet was not used properly
Contextual Conditions 8. Ground Traffic (mark all that apply): □ Ground traffic mix (kinds) □ Ground traffic density (amount) □ Ground traffic fluctuation (ebb and flow) □ Other, Specify:	 and/or not comprehended by the receiving VO Movement area terminology or phraseology was not used properly and/or not comprehended by the receiving VO Procedures for contacting another vehicle operator were not properly used by the VO Hearback/readback errors Incorrect radio frequency used Other, Specify:

14. Weather (mark all that apply): Clear, but bright sun Cloudy Fog Rainy: lightmoderateheavy Thunderstorm Freezing rain Snow: lightmoderateheavy Slush lcy Surface Winds Other, Specify:	18. Interpersonal (Social) Relations (mark all that apply): Attitude of vehicle operator toward controller Attitude of controller toward vehicle operator Cooperation of vehicle operator with lead vehicle operator and/or team Work behaviors or habits that affect other coworkers (e.g., lack of responsibility) Other, Specify: 19. Teamwork (mark all that apply): No briefing given for shift change Briefing was incomplete or insufficient in timely return to work after break: too carly too late New or temporary team assignments inadequate staffing for team assignments Poor team relations (e.g., conflicts, personality differences) 20. Individual (Personal) Factors (mark all that apply): Stress symptoms Boredom Confidence in self or others Distracted by inside thoughts, i.e., home problems, vacation plans, etc. Domestic/lifestyle problems Fatigue (sleep deprivation) General health and fitness High anxiety/panic Impairment due to other influences (e.g., over-the-counter drug use, illness) Incapacitation, e.g., illness/collapse Motivation/morale Pain Trust in the automation (over/under/mistrust)
---	---

21. Training Deficiencies (mark all that apply):	□ Knowledge about Airfield Markings
□ Airport Operating Procedures (Standard)	(Continued)
□ Airport Familiarization	□ Taxiways
Knowledge about Airport Locations	□ Hold lines
Runway configuration safety areas	□ ILS hold lines
□ Taxiway configuration safety areas	□ Geographic position markings
□ Movement areas	
□ Non-movement areas	□ Edge markings
\Box Confusing areas	□ ILS Critical Area
□ Touch down zone	□ Non-movement area boundary
□ Taxiway Lead-Off Lights	marking
□ Threshold	□ Knowledge about Airport NAVAIDS
Runway approach light system	and Visual approach aids
□ Taxiway edge lights	□ Non-interference
□ Taxiway centerline lights	□ Knowledge about Airport Communications
□ Runway guard lights	□ ATC-VO communications
□ Knowledge about Airport Signage	□ Radio frequencies
Runway position holding sigh	□ Procedural words and phrases
□ Distance remaining sign	□ Aviation phonetic alphabet
Knowledge about Airfield Markings	□ Aviation terminology
□ Runways	□ Procedures for contacting ATC Tower
	□ Light gun signals
\Box Edge marks	□ Sending and receiving
□ Runway ID numbers	\Box VO – VO Communications
□ Threshold markings	□ Drivers Training
\Box Hold short lines	□ Written
	□ Driving Test
	□ Other, Specify: