"HUMAN FACTORS" IN AIR TRAFFIC CONTROL A STUDY OF ITS APPLICATION WITHIN THE DEPARTMENT OF CIVIL AVIATION MALAYSIA

CHEW LAM LEONG
UNIVERSITI UTARA MALAYSIA 2003

"HUMAN FACTORS" IN AIR TRAFFIC CONTROL A STUDY OF ITS APPLICATION WITHIN THE DEPARTMENT OF CIVIL AVIATION MALAYSIA

A thesis submitted to the Graduate School in partial fulfillment of the requirements for the degree Master of Science (Management),

Universiti Utara Malaysia

by

Chew Lam Leong

© Chew Lam Leong, 2003. All rights reserved.



Sekolah Siswazah (Graduate School) Universiti Utara Malaysia

PERAKUAN KERJA KERTAS PROJEK (Certification of Project Paper)

Saya, yang bertandatangan, memperakukan bahawa (I, the undersigned, certify that)
CHEW LAM LEONG
calon untuk Ijazah (candidate for the degree of) MASTER OF SCIENCE (MANAGEMENT)
telah mengemukakan kertas projek yang bertajuk (has presented his/her project paper of the following title)
"HUMAN FACTORS" IN AIR TRAFFIC CONTROL
A STUDY OF ITS APPLICATION
WITHIN THE DEPARTMENT OF CIVIL AVIATION MALAYSIA
seperti yang tercatat di muka surat tajuk dan kulit kertas projek (as it appears on the title page and front cover of project paper)
bahawa kertas projek tersebut boleh diterima dari segi bentuk serta kandungan, dan meliputi bidang ilmu dengan memuaskan. (that the project paper acceptable in form and content, and that a satisfactory knowledge of the field is covered by the project paper).
Nama Penyelia HO KHEK HUA (Name of Supervisor) :
Tandatangan (Signature):
Tarikh 15-May-2004 (Date) :

PERMISSION TO USE

In presenting this thesis in partial fulfillment of the requirements for a postgraduate degree from Universiti Utara Malaysia, I agree that the University Library may make it freely available for inspection. I further agree that permission for copying of this thesis in any manner, in whole or in part, for scholarly purposes may be granted by my supervisor or, in his absence, by the Dean of the Graduate School. It is understood that any copying or publication or use of this thesis or parts thereof for financial gain shall not be allowed without my written permission. It is also understood that due recognition shall be given to me and to Universiti Utara Malaysia for any scholarly use which may be made of any material from my thesis.

Requests for permission to copy or to make other use of materials in this thesis, in whole or in part, should be addressed to:

Dean of Graduate School

Universiti Utara Malaysia

06010 UUM Sintok

Kedah Darul Aman

ABSTRAK

Kajian ini adalah mengenai Human Factors. Walaupun tahap teknologi semakin meningkat, insiden dan kemalangan penerbangan masih berlaku. Kajian menunjukkan bahawa lebih daripada 70 peratus kemalangan penerbangan adalah akibat kesilapan manusia. Pemahaman terhadap kekuatan dan kelemahan prestasi seseorang dan cara mereka berinteraksi dengan manusia lain, mesin/alat, program perisian serta alam sekitar akan mempertingkatkan tahap keselamatan penerbangan. Kajian ini cuba memberikan satu gambaran terhadap tahap kesedaran Pegawai-Pegawai Kawalan Trafik Udara di Jabatan Penerbangan Awam Malaysia terhadap subjek ini. Kajian ini juga meninjau macam mana Jabatan Penerbangan Malaysia memakai konsep-konsep Human Factors semasa pemilihan dan latihan Pegawai Kawalan Trafik Udara, semasa sistem automasi diperkenalkan dan semasa penyiasatan insiden dikendalikan. Kajian ini adalah berasaskan maklumbalas soalselidik serta temuramah. Teknik-teknik statistik seperti ANOVA dan korelasi Pearson membenarkan hipotesis-hipotesis diuji. Hasil kajian ini menunjukkan bahawa tahap kesedaran antara Pegawai-Pegawai Kawalan Trafik Udara adalah rendah dan aplikasi konsep Human Factors dalam bidang-bidang yang telah disebutkan tadi boleh dipertingkatkan lagi oleh Jabatan.

ABSTRACT

This study is about Human Factors. Despite advancements in technology, aviation incidents and accidents still occur. Investigations reveal that over 70 percent of aviation accidents are due to human error. An understanding of human performance limitations and strengths and how they interact with equipment, other people, software programs, the environment can go a long way in enhancing aviation safety. This study tries to provide a snap-shot picture of the general awareness of Human Factors among Air Traffic Control Officers in the Department of Civil Aviation Malaysia. It also looks at how the Department employs Human Factors concepts in the areas of selection and training of Air Traffic Control Officers, when highly automated systems are introduced and when incident investigations are conducted. The research is based primarily on survey responses. The survey instruments are questionnaires and structured interviews. Subsequent analyses using statistical analysis techniques like ANOVA and Pearson's correlation allowed hypotheses to be tested. The study found that the general level of awareness among Air Traffic Control Officers to be generally low and that the application of Human Factors concepts in the areas mentioned can be further improved by the Department.

ACKNOWLEDGEMENTS

It is my pleasure to convey my sincere appreciation to my research supervisor, Mr. Ho Khek Hua for his advice, support and guidance in the process of completing this study.

I would also like to thank the Dean of the Graduate School, Universiti Utara Malaysia, Associate Professor Dr. Ibrahim Abdul Hamid and all the lecturers of this Master of Science (Management) programme for their teachings and guidance.

My sincere appreciation to the Public Services Division and the Department of Civil Aviation for the opportunity to participate in this programme.

To the Director-General of Civil Aviation, Y Bhg Dato' Ir Kok Soo Chon, my thanks for allowing me to gain access to my fellow controllers from whom their feedback provided the backbone of this research.

To the staff at INTAN Bukit Kiara especially Mr. Ooi Seong Kang, the programme coordinator, my thanks for their support and cooperation throughout the course.

Finally, to my wife, for the support and encouragement she has shown from the very beginning. This is as much her success as is mine.

CHEW LAM LEONG

LIST OF TABLES

No. of Table	<u>Title</u>	Page
1.1	Causes of Aviation Accidents	2
2.1	Human Error – The contributing percentages among pilots, ATC and maintenance.	20
2.2	The Cost to train an ATCO in Malaysia	29
3.1	The groups targeted for mailed questionnaire and structured interviews	45
3.2	Population size of target groups	46
3.3	List of ATCOs interviewed	51
4.1	Response rate percentage	53
4.2	Reliability Test	54
4.3	Level of awareness among ATCOs - Percentile breakdown	54
4.4	Level of awareness among ATCOs - Cross tabulation against place of work	55
4.5	ANOVA test results – Level of awareness among the ATCOs at the different places of work	56
4.6	Tukey HSD results - Level of awareness among the ATCOs at the different places of work	57
4.7	Level of awareness among ATCOs - Cross tabulation against years of service	58
4.8	ANOVA test results – Level of awareness between the younger and older ATCOs	59
4.9 (a)	Respondents' ranking on the skills they considered most important during recruitment and selection	60
4.9 (b)	Respondents' ranking on the skills they were actually tested during recruitment and selection	61
4.10	ANOVA test results – Perception among the younger and older ATCOs on whether the selections methods were good enough	63
4.11 (a)	Respondents' ranking on which areas of Human Factors they considered were least taught at the CAC	64

4.11 (b)	Respondents' ranking on which areas of Human Factors they considered should be taught at the CAC	65
4.12	Respondents' response on whether the automation features were "human-centred" or not.	67
4.13	Pearson's correlation results on "human-centredness" of automation features against the features being easily interpreted and understandable.	68
4.14	Pearson's correlation results on "human-centredness" of automation features against the features reducing workload.	69
4.15	Respondents' response on what forms of automation are acceptable.	70
4.16	Independent t-test results to determine if the place of work had any effect in influencing their opinion on allowing automated systems to make decisions for ATCOs and accepting overwhelming changes that come with ATC automation.	71
4.17	Respondents' ranking of the specific automation features	72
4.18	Pearson's correlation results on the low ranking of the EFS against the design and layout of the EFS.	74
4.19	Results showing the percentage of ATCOs voluntarily submitting a report when a loss of separation situation occurs and the reason behind those who did not voluntarily submit their report.	75
4.20	Results showing the percentage of ATCOs who have appeared before a Board of Inquiry.	76
4.21	Response on the professionalism of the Board of Inquiry by those who appeared before the Board.	76
4.22	ANOVA test results – Perception among those who had to appear before the Board of Inquiry before and after the year 2000 on whether there was a difference in the manner investigations were carried out.	78

LIST OF FIGURES

No. of Figure		<u>Title</u>	Page
2.1	The SHEL Model		22
2.2	The Swiss Cheese Model		26

TABLE OF CONTENTS

				Page	
PERI	MISSIC	N TO U	SE	i	
ABS'	TRAK			ii	
ABS	TRACT			iii	
ACK	NOWL	EDGEM	ENTS	iv	
LIST	OF TA	BLES		v	
LIST	OF FIG	GURES		vi	
1.	INTR	ODUCT	ION		
	1.1	Aviatio	n Safety	1	
		1.1.1	The statistics	1	
		1.1.2	What is the worry?	3	
	1.2	Research Problem			
	1.3	Research Objective			
	1.4	.4 Research Questions			
	1.5 Hypothesis Testing1.6 Research Significance				
	1.7	Limitat	tions/Scope of this research	12	
		1.7.1	Military ATCOs are excluded	12	
		1.7.2	Only involves ATCOs Grades 41 and above serving at the Subang ATCC, Air Traffic Services Division, Headquarters Putrajaya, Civil Aviation College and Kuala Lumpur International Airport	12	
		1.7.3	Scope / Areas of Interest	13	
1.8 Organisation of the report				15	
2	2 LITERATURE REVIEW				
	2.1	A histo	orical perspective of aviation and Human Factors	16	

2.2	The Ter	nerife aviati	ion disaster	18
2.3	Human	error		19
2.4	What is Human Factors?			
	2.4.1	Definition	n	20
	2.4.2	A concep	tual model of Human Factors	21
		2.4.2.1	The SHEL model	22
		2.4.2.2	The Reason model	24
2.5	Area of	interest for	r this paper	26
	2.5.1	Recruitme	ent / Selection of ATCOs	26
		2.5.1.1	Dropout / Failure rates	27
		2.5.1.2	The cost	28
		2.5.1.3	The cause and the solution	29
		2.5.1.4	Human Factors issues in recruitment and selection	30
		2.5.1.5	Is it effective?	32
	2.5.2	Training		32
		2.5.2.1	The need for continuous training	32
		2.5.2.2	Human Factors issues in training	33
	2.5.3	Automat	ion	35
		2.5.3.1	The need for automation	35
		2.5.3.2	The dangers of automation	35
		2.5.3.3	Human-centred automation	38
		2.5.3.4	MATSMP – Malaysia's leap into the automated age	40
	2.5.4	Accident	t / Incident investigation	41
		2.5.4.1	A shift is safety paradigm	41
		2.5.4.2	Human Factors issues in ATC incident investigation	42

	2.6	Summa	ry		43	
3	RESE	RESEARCH METHODOLOGY				
	3.1	Introdu	ction		44	
	3.2	Definin	g the popul	ation	45	
	3.3	Sample size			46	
		3.3.1	Phase 1		46	
	3.4	Data collection			48	
		3.4.1	Data colle	ection method	48	
		3.4.2	Research	instrument	48	
			3.4.2.1	Phase 1	48	
			3.4.2.2	Phase 2	51	
4	DAT.	DATA ANALYSIS AND DISCUSSION				
4	4.1	Introduction			52	
	4.2	Analysis of response rate			52	
	4.3	Respondents' profile			53	
	4.4	Reliability test			53	
	4.5	Analysis and findings			54	
		4.5.1	Level of ATCOs	awareness in Human Factors among	54	
			4.5.1.1	Cross tabulation against place of work	55	
			4.5.1.2	Cross tabulation against years in service	58	
		4.5.2	Recruitment and selection		60	
			4.5.2.1	Skills required and tested	60	
			4.5.2.2	The inclusion of a Human Factors expert on the interview board?	62	
			4.5.2.3	Are our selection methods good enough?	63	
		4.5.3	Training		64	

		4.5.4	Automation		66	
			4.5.4.1	Acceptance of new forms of ATC automation	70	
			4.5.4.2	Ranking of specific automation features found at Subang ATCC	72	
		4.5.5	Incident	Investigation	75	
			4.5.5.1	Voluntary reporting of a loss of separation situation	75	
			4.5.5.2	Board of Inquiry	76	
5	SUM	MARIES	AND REC	COMMENDATIONS		
	5.1	Self cri	ticisms of	cisms of the study		
	5.2	Summa questio	ary of the findings in relation to the research		80	
	5.2.1 Level of awareness in Human Factors among ATCOs			80		
		5.2.2	compare determin	ATCOs are more aware of Human Factors ed to the other ATCOs, what are the nant factors? Is it the place of work or does ber of years as an ATCO play a part?	81	
		5.2.3	recruite	the perception among the controllers d over the years on whether the selection s were good enough?	82	
		5.2.4		e numerous elements of Human Factors n the CAC?	83	
		5.2.5	Human	modernization program incorporate Factors elements to ensure that the tion features installed are "human- "?	84	
		5.2.6	Will A	TCOs accept this new form of automation?	85	
		5.2.7	What is manner	s the perception among ATCOs about the incident investigations are carried out?	86	
	5.3	Recor	nmendatio	ns for future study	87	
		TOEG				

REFERENCES

APPENDICES

CHAPTER 1

INTRODUCTION

1.1 AVIATION SAFETY

1.1.1 The Statistics

Aviation accidents are always news grabbers. They become headline news if it is a high profile accident, e.g. the break-up of the space shuttle Columbia or a mid-air collision with a high fatality rate. According to the website www.airlinesafety.com, there were 1.7 murder stories for every 1,000 homicides, 2.3 AIDS stories for every 1,000 AIDS deaths and 0.02 cancer stories for every 1,000 cancer deaths. But for every 1,000 airplane deaths, there are 138.2 plane crash stories, 81 times the number of murder stories!

This fascination by the media when it comes to air accidents is probably because air accidents are very rare. The same website also cited that travelling by American commercial airline flights is 22 times safer than car travel and that the actual risk of one person being involved in a fatal accident to be once every 19,000 years. More recent data showed that there were 141.1 million departures by commercial aircraft operating scheduled services between 1993

The contents of the thesis is for internal user only

REFERENCES

- Amalberti, R. R., (1998), Automation in Aviation: A Human Factors Perspective.

 Retrieved from
 http://www.tls.cena.fr/divisions/PII/seminaires/Supports/debat/Automation.in.Avia.L
 EA98'.doc on 8 Oct 2003.
- Basic Instinct, (2002, July 16 22). Flight International Magazine, p5
- Batteau, A.W., (2001), The Anthropology of Aviation and Flight Safety, Human Organisation, Vol 60, No. 3, p203
- Baumgartner, M., (2002), Uerberlingen an Air Traffic Controller's Nightmare Became Reality, The Controller, Journal of Air Traffic Control, 3rd Quarter 2002, Vol. 41
- Billings, C., Lauber, J. K., Fonkhouser, H., Lyman, G., and Huff, E. M., (1976), NASA Aviation System Reporting System, Technical Report TM-X 3445, NASA Ames Research Centre.
- Billings, C. (1997). Aviation Automation: The Search for a Human-Centered Approach. Erlbaum Associates
- Bogen, K., The Effect Of Questionnaire Length On Response Rates A Review Of The Literature, retrieved from http://www.census.gov/srd/papers/pdf/kb9601.pdf on 19 Oct 2003.
- Bourgue, L. B., Fielder, E. P., (1995), How To Conduct Self-Administered and Mail Surveys, SAGE Publications
- Brehmer, B. (xxxx) The MRU Experience, by Swedish National Defence College and Bättre Beslut, Sweden.
- Cascio, W. (1991). Costing Human Resources: The Financial Impact of Behaviour in Organisations, (3rd Ed.) PWS-Kent Publishing Company
- Czaja R and Blair J, (1996), Designing Surveys A Guide to Decisions and Procedures, Pine Forge Press
- Daley, D.M. (2002) Strategic Human Resource Management: People and Performance Management in the Public Sector, Prentice Hall
- Damos, D. L., (2003), Pilot Selection Systems Help Predict Performance, Flight Safety Digest, Feb 2003.

- Dekker, S., (2002), The Field Guide to Human Error Investigations, Ashgate
- Dye, TR. (1984) Understanding Public Policy, 5th ed. Prentice Hall
- Elliot, R. H. (1985) Public Personnel Administration, A Values Perspective, Reston Publishing Company
- Endsley, M. R. (1997) Situation Awareness, Automation and Free Flight. Retrieved from http://www.satechnologies.com/html/papers/atc.shtml on 8 Sep 2003
- European Air Traffic Management Programme (EATMP) 1999, Proceedings of the First EUROCONTROL Selection Seminar -"Current and Required Future Selection Work and Methods in the ECAC Area" HUM.ET1.ST04.1000-REP-02,5, EUROCONTROL. Retrieved from www.eurocontrol.int/humanfactors/docs/HUM.ET1.ST04.1000-REP-02.pdf on 8 Sep 2003
- European Air Traffic Management Programme (EATMP) 2001, Guidelines for Selection Procedures and Tests for Ab Initio Trainee Controllers, HRS/MSP-002-GUI-01, 44, EUROCONTROL. Retrieved from www.eurocontrol.int/humanfactors/docs/M2-HRS-MSP-002-GUI-01.pdf on 8 Sep 2003
- Flottau, J, (9 Sep 2002) *Human Factors Cited in German Crash*, Aviation Week & Space Technology, Vol.157, Issue 11, p44
- Gawinowski, G, (2003), Which Human Factors for ATC, retrieved from www.eurocontrol/ino/wp which human in atc.doc on 10 Mar 2003
- Graeber R. C. and Mumaw R. J., (1999), Realising the benefit of Cognitive Engineering in Commercial Aviation.
- Harris D, and Muir H., (2001) Human Factors and Aerospace Safety, No. 1 Vol. 1, 2001, Ashgate Publishing
- Hollnagel, E., (1993), Human Reliability Analysis; Context and Control. Academic Press
- Hopkins D. V., (1995), Human Factors in Air Traffic Control, Taylor and Francis
- Kirwan, B., (2002), Developing Human Informed Automation in Air Traffic Management, Human Factors and Aerospace Safety, Vol. 2, Number 2.
- Kjaer-Hansen, J., 1998, Human Factors in the Development of Air Traffic Management Systems, HUM.ET1.ST13.4000-REP-01, 20, EUROCONTROL
- ICAO, (1998), Human Factors Training Manual, Doc 9683-AN/950, 1st Ed

- Inagaki, T., (1999) Automation may be given the final authority. Retrieved from www.cyberg.curtin.edu.au-members-papers-105.shtml on 10 Oct 2003.
- Lee, R. (1999), Technical Keynote Address (ICAO Circular 277-AN/163)
- Maurino, D. E., (2000), Human Factors and Aviation Safety: What the Industry Has, What the Industry Needs, Ergonomics, July 2000, Vol. 43 Issue 7
- Maurino, D. E., Reason, D., Johnston, N., Lee, R., (1995) Beyond Aviation Human Factors, Ashgate.
- McCreary, J., Pollard, M., Stevenson, K., Wilson M. B., (1998), *Human Factors:* Tenerife Revisited, Journal of Air Transportation Worldwide, Vol. 3, No. 1, 23 31.
- Mejdal, S., McCauley, M.E., Beringer, D.B., (2001), Human Factors Design Guidelines for Multifunction Displays, DOT/FAA/AM-01/17, 32, FAA.
- Meyer, E., (2002) Controller Acceptance of new ATC Automation. Retrieved from http://ffp1.faa.gov/approach/media/controller/controller.htm on 18 Mar 2003.
- Mitchell, C., (1998), Model—Based Design of Human Interaction with Complex Systems. Retrieved from http://www.chmsr.gatech.edu/research/projects/mbd/hsi.w.figs.pdf on 10 Oct 2003.
- Parasuraman, R, (2000) Designing automation for human use: empirical studies and quantitative models
- Reason, J., (1997) Managing the Risks of Organisational Accidents, Averbury
- Reaves, C C. (1992) Quantitative Research for the Behavioural Sciences, John Wiley and Sons
- Ruitenberg, B, (2002) Ten Years of Human Factors in Air Traffic Control
- Sekaran, U., (1992) Research Methods for Business: A Skill-Building Approach. John Wiley & Sons Inc
- Shappell, S.A., and Wiegmann, D.A., The Human Factors Analysis and Classification System, 2000 retrieved from www.cami.jccbi.gov/aam-400a/Abstracts/2000/FULL%20TEXT/0007.pdf on 16 Aug 2003
- Statistical Summary of Commercial Jet Airplane Accidents Worldwide Operations 1952-2002. Retrieved from www.boeing.com/news/techissues/pdf on 26 Aug 2003
- Stein, E. S. and Willems B. F., (1997), Measuring Air Traffic Controller Visual Scanning. In: Proceedings of the 9th International Symposium on Aviation Psychology, 1997

- The Controller, Journal of Air Traffic Control, 1st Quarter 2003, Vol. 42
- Wanous, J.P. (1980). Organisational Entry; Recruitment, Selection, and Socialisation of Newcomers. Addison-Wesley
- Wickens, C. D., (2002), Spatial Awareness Biases, Technical Report ARL-02-6/NASA-02-4
- Wickens, C. D., Mavor, A. S., Parasuraman, R., McGhee, J. P., (1998), *The Future of Air Traffic Control: Human Operators and Automation*, National Academy Press. Retrieved from the http://books.nap.edu/books/03090641/html/1.html on 19 July 2002.
- Wiener, E. L., 1988, Cockpit Automation, in E. L. Wiener and D. C. Nagel (eds), *Human Factors in Aviation*, Academic Press.
- http://www.info.gov.hk/cad/reports/an2000-2001/Chapter02.pdf retrieved on 10 Aug 2003
- http://www.iee.org/oncomms/pn/humanfactors/interview_ms.cfm?PrintVersion=true retrieved on 10 Aug 2003
- http://airlinesafety.com/faq/FearFlying.htm retrieved on 1 Sep 2003
- http://www.adm.monash.edu.au/cheq/support/questionnaire_surveys.html retrieved on 18
 Oct 2003