CONTENTS

Preface

xv

xviii

Acknowledgments

CHAPTER ONE. THE REGULATORY FRAMEWORK 1
Learning Objectives 1
The International Civil Aviation Organization (ICAO) 2
Overview 2
Background 3
Chronology of Key ICAO Developments 3
The Federal Aviation Administration (FAA) 6
Overview 6
Background 6
Chronology of Major FAA Regulations 7
The Environmental Protection Agency (EPA) 16
Overview 16
Background 16
Chronology of Major Environmental Laws Affecting Aviation Operations 17
Occupational Safety and Health Administration (OSHA) 22
Overview 22
Background 23
Chronology of Major OSHA Standards Affecting Aviation Operations 24
Key Terms 26
Review Questions 28
References 28
Web References 29
CHARTER TWO DECLI ATORY OR CANIZATION
CHAPTER TWO. REGULATORY ORGANIZATION
AND RULEMAKING 31
Learning Objectives 31
ICAO Organization and Rulemaking 32
ICAO Organization 32
ICAO Rulemaking 35

FAA Organization and Rulemaking 39 FAA Organization 39 Headquarters Offices 39
FAA Rulemaking 47
OSHA Organization Structure and Rulemaking 50
OSHA Organization 50 OSHA Rulemaking 54
EPA Organization Structure and Rulemaking 55
EPA Organization 56
EPA Rulemaking 58
Key Terms 58
Review Questions 59
References 60
Web References 60
CHAPTER THREE. THE NATIONAL TRANSPORTATION
SAFETY BOARD
Learning Objectives 61
International Accident Investigation 62
Overview 62
ICAO's Role 62
Regional and National Authorities 63
Recent International Investigation 63
National Transportation Safety Board 63
NTSB Organization 66
Accident Investigation Process 69 Party Process 69
Party Process 69 The Go-Team 70
Accident Site 71
Laboratory 72
Accident Report Preparation 73
Public Hearing 73
Final Accident Report 74
Safety Recommendations 75
Investigating a General-Aviation Accident 76
Family Assistance and the Transportation Disaster Assistance Office 76
FAA Responsibilities During an Investigation 76
NTSB Accident Databases 77
NTSB Most Wanted Aviation Safety Improvements 78
NTSB Seven Most Wanted List Items (June 2011) 79
Key Terms 80
Review Questions 81
References 82
Web References 82

61

CHAPTER FOUR. RECORDING AND REPORTING OF SAFETY DATA 83 Learning Objectives 84 Accidents 84 Incidents 86 Establishing a Culture of Safety Reporting 87 **Incident Reporting Systems** Mandatory Incident Reporting Systems 90 Voluntary Incident Reporting Systems 90 Aviation Recording and Reporting Systems 90 Federal Aviation Administration Reporting Systems 91 The Aviation Safety Information Analysis and Sharing System (ASIAS) (www.asias.faa.gov) **Industry Voluntary Safety Reporting Initiatives** 92 NTSB Accident/Incident Reporting System Department of Transportation Reporting System National Aeronautics and Space Administration Reporting System 96 **Automatic Recording Systems** ICAO International Reporting Systems General Industry (OSHA) Recording and Reporting Systems 101 **Applicability** 101 OSHA Form 300–Log of Work-Related Injuries and Illnesses 102 OSHA Form 301-Injury and Illness Incident Report OSHA Form 300A-Summary of Work-Related Injuries and Illnesses 102 Open Government Initiative (Transparency in Government) 102 Environmental (EPA) Recording and Reporting 103 **CERCLA Reporting Requirements** 103 **EPCRA** Reporting Requirements 104 RCRA Subtitle I (Underground Storage Tanks) 105 Other Reporting Requirements Control of Air Pollution from Aircraft and Aircraft Engines 106 **Key Terms Review Questions** 107 References 108 Web References 108 CHAPTER FIVE. REVIEW OF SAFETY STATISTICS 109 Learning Objectives 109 Introduction 109

112

112

Manufacturers' Involvement with Safety Data

Boeing's Accident Statistical Summary

Aviation Accident Statistics

United States and International Accident Statistics 119 Looking Forward—2011 and Beyond 134 Occupational Accident Statistics—Department of Labor, Bureau of Labor Statistics (BLS) (www.bls.gov/iif/) 135 Key Terms 137 Review Questions 137 References 138	
Web References 138	
CHAPTER SIX. ACCIDENT CAUSATION MODELS	139
Learning Objectives 139 Introduction 140 Reason's "Swiss Cheese" Model 141 The SHELL Model 144 The 5-M Model 146 Modern Commercial Avionics Equipment 146 Man 148 Machine 149 Medium 151 Mission 151 Management 151 Conclusion 152 Key Terms 153 Review Questions 154 References 154	
CHAPTER SEVEN. HUMAN FACTORS IN AVIATION SAFETY	155
Learning Objectives 155 Introduction 156 Human Factors 157 Human Performance 158 The Human Factors Analysis and Classification System (HFACS) (www.hfacs.com) 161 Management of Human Error 165 Crew Resource Management (CRM) 165 Line Operations Safety Audit (LOSA) 166 Threat and Error Management (TEM) 166 Control Strategies to Manage Threats and Errors 167 Airbus and Boeing Design Strategies 167 Cockpit Standardization 168 Cockpit Automation and Precision Navigation 169 Communication Issues 171	

Professionalism in Aviation 172 Sterile Cockpit Rule (FAR 121.542) 173 Conclusion 173 Key Terms 174 Review Questions 175 References 176	
CHAPTER EIGHT. AIR TRAFFIC SAFETY SYSTEMS	177
Learning Objectives 177 Introduction 178 Major Milestones of ATC History 178 Basic Components of the ATC System 179 Airspace Classification 179 Air Traffic Control Services 179 Area Navigation (RNAV) Equipment 182 GPS Enhancements 182 Advantages of Satellite-Based Navigation 184 Weather Automation Systems 185 Operational Planning Improvements 187	
Automated Flight Service Stations (AFSSs) 187 Airport Surface Detection Equipment, Model X (ASDE-X) 188 Depositures and Arrivals 188	
Departures and Arrivals 188 En Route and Oceanic Operations 188 The Next Generation Air Transportation System (NextGen) (www.faa.gov/) NextGen Transformational Programs 191 NextGen Implementation Challenges 192 Key Terms 193 Review Questions 194 References 195	189
CHAPTER NINE. AIRCRAFT SAFETY SYSTEMS	197
Learning Objectives 198 Introduction 198 Jet Engine Development 200 Recent Developments in Jet Engine Design 201 Long-Range Commercial Jet Transport Era 202 High-Lift Systems 203 Stopping Systems 204 Flying Qualities 206 Structural Integrity 208 Cabin Safety 214	
Safety Design for Atmospheric Conditions 215 Turbulence 215	

Wind Shear 216	
Volcanic Ash 217	
Ice and Precipitation 218	
Flight Deck Human–Machine Interface 220	
Early Cockpit Development 220	
Flight Deck—757/767 and B-747-400 221	
New Cockpit Enhancements 222	
Crew Alerting Systems 224	
Aircraft Communications Addressing and Reporting System 226	
Flight Management System 227	
Multiple Flight Control Computers 227	
Central Maintenance Computer System 228	
Flight Procedures—Takeoff, Approach, and Landing 228	
Takeoff 228	
Approach and Landing 229	
Modeling, Design, and Testing Tools 230	
Computational Fluid Dynamics (CFD) 230	
Wind Tunnel 232	
Flight Simulation 232	
Structural Tests 233	
Flight Test 233	
Accident/Incident Investigation 234	
Future Aircraft Technologies 235	
Weather Detection 235	
Communication and Navigation Systems 236	
Displays 237	
Head-Up Displays (HUDs) 238	
Electronic Flight Bags (EFBs) 238	
Next Generation Flight Operations 239	
Key Terms 239	
Review Questions 240	
References 241	
Web References 242	
CHAPTER TEN. AIRPORT SAFETY	243
Learning Objectives 243	
Introduction 244	
Airport Certification 244 Airport Certification Classes 245	
Airport Certification Classes 243 Airport Certification Manual 246	
Airport Certification Manual 246 Airport Inspection and Compliance with FAR Part 139 248	
Operational Safety 249	
Airport Terminal Buildings 249	
Hangars and Maintenance Shops 251	
riangare and mannenance onope 271	

Ramp Operations 253
Specialized Services 254
Runway Incursions 261
Background 261
Definitions 261
Airport Surface Environment 262
Control Strategies and Future Initiatives 264
Conclusions 266
Key Terms 266
Review Questions 267
References 268
Web References 268
CHAPTER ELEVEN. AVIATION SECURITY 269
Learning Objectives 269
Introduction 270
Review of Attacks on Civil Aviation 271
The Regulatory Movement 273
International Response to Terrorism 273
Evolution of Aviation Security in the United States 275
The 9/11 Commission (www.9-11commission.gov) 282
Transportation Security Administration 284
Role of Intelligence 286
National Counterterrorism Center 286
Department of Homeland Security (www.dhs.gov) 289
Review of Security Technologies 289
Imaging Technologies 290 Explosive Trace Detection Technology 291
1 82
Metal Detectors 293 Biometrics and Future Checkpoint Systems 294
Biometrics and Future Checkpoint Systems 294 Strengthening Aircraft and Baggage Containers 295
0 0
Cockpit Door Reinforcement 296 Conclusions 296
Key Terms 297
Review Questions 298
References 299
Web References 299
web herefelices 299
CHAPTER TWELVE. AIRLINE SAFETY 301
Learning Objectives 302
Introduction 302
International Development of Airline SMS 304

The ICAO SMS Framework of Safety Components and Program Elements—The Four Pillars 304 Safety Policy and Objectives 305 Safety Risk Management 307	
Safety Assurance 308	
Safety Promotion 309 Development of Airline SMS in the United States 311	
Status of FAA SMS Rulemaking 311	
Accident Investigation and Auditing 313	
Accident Investigation 313	
Auditing—A Tool of Safety Assurance 315	
Communications 317 Sefety Meintenance and Elight Communication 317	
Safety, Maintenance, and Flight Communication 317 FAA, NTSB, and Flightcrew Communication 318	
FAA, NTSB, and Flightcrew Communication 318 Safety Trend Evaluation, Analysis and Data Exchange System	
(STEADES) 318	
Communication Media 319	
Training 319	
Role of Alpa in Airline Safety 320	
ALPA Safety Structure 321	
Accident Investigation 322	
ALPA Safety Management Systems Policy 322	
Flight Safety Foundation 323	
SMS Infrastructure at a Major U.S. Airline 324	
The Phased SMS Implementation Process 324	
Key Terms 330	
Review Questions 330	
References 331	
Web References 331	
CHAPTER THIRTEEN. AVIATION SAFETY	
MANAGEMENT SYSTEMS 333	3
Learning Objectives 333	
Introduction 334	
The Evolution of SMS Principles 334	
The Fundamental Components of SMS—The Four Pillars 335	
Safety Risk Management Explained 336	
Hazard or Risk 336	
Control Strategies 338	
Safety Assurance Explained 340	
Performance Monitoring and Measurement 341	
Management of Change—New Hazards to	
Consider 341	

Contents

XIII

Continuous Improvement—Getting Better Through the SMS Process 341

The Future of SMS in Aviation 342

Key Terms 342

Review Questions 342

References 343

Index 345