Analyzing Aviation Accidents Using WB-Analysis
– an Application of Multimodal Reasoning

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Abstract
We describe our ongoing work in accident analysis. Accident reports should tell us at least what the accident was and what the critical events were. A third requirement they should fulfill is to explain these events (see below) and their sequence (temporal reasoning). Explanation concerns causes (causal reasoning), human intentions, purposes, capabilities and behavior (so-called human factors). Causality also involves the unfolding of events in time (Ladkin, Explaining Failure in Tense Logic, RVS-RR-96-13). We include social factors - obligations and the regulatory environment - amongst the human factors (deontic reasoning). Our goal is a rigorous method of incident explanation which contains search procedures for relevant facts and insists on rigorously formal proofs of an explanation’s correctness and relative sufficiency.

Reasoning about accidents: the basics
We describe Why-Because Analysis (WBA), a method of deriving explanations of incidents and accidents, and of rigorously proving the resulting explanations correct according to certain formal criteria. To our knowledge, this is the first system which accomplishes both these goals. The logic for the formal proofs is called Explanatory Logic (EL), and we perform correctness proofs in EL by hand in the hierarchical style advocated by Lamport. WBA is explained in full in the monograph [Ladkin, Loer 1998].

1. We must determine what to reason about (what’s in the universe?). To do this in a formally correct way, we describe the world in the ontology of TLA, Lamport’s Temporal Logic of Actions, because this ontology has shown itself sufficient for describing the temporal behavior of artifacts (process algebra & Petri net semantics use a similar ontology).

2. In principle, this should involve us in clarifying the relation between set theory (or other formal data structuring) and ‘the world’. But we leave this to philosophers of mathematics. We’re more interested in the accidents.

3. We must determine what kind of reasoning is involved, and encode it in inference rules in a formal logic sufficient for proving correctness of the analysis. Since a narrative is involved, tense logic (with the Kripke semantics) is an appropriate reasoning tool, given that the ontology has been declared suitable. The ontology of TLA (Lamport’s Temporal Logic of Actions) is sufficient for (A) description of machine behavior, (B) formulation of accident histories, and (C) determination of sequences of states leading to an accident. States are individuated by the collection of state predicates which are true in that state. This makes states into types. Particular occurrences of states can be identified by means such as timestamps or positions in the causal chain. States furthermore may have a duration. In contrast, events are particulars, representing specific changes in state. An individual event cannot recur, but its type (a TLA action) can be instantiated more than once. There are also processes, state/event mixes of bounded duration which describe undifferentiated actions. Non-events, the non-occurrence of awaited events, are also important (see below).

The logical operators in TLA are insufficient by themselves for adequate reasoning about accidents. A causal relation $\sqcup \rightarrow$ (more exactly, a relation of causal explanation) is required. We have argued elsewhere that causal relations cannot be defined in pure tense logic (Ladkin, Some Dubious Theses..., RVS-RR-96-14), a thesis accepted by philosophers but apparently not by some computer scientists.

How then to handle causality?
The most appropriate semantics for our purpose is the Lewis criterion for causality (Lewis 1973a), based on Lewis’s formal semantics for counterfactual conditionals (Lewis 1973b):—Let A and B be events or state instances. Then, informally,$$
A \text{ is a causal factor of } B \iff \begin{cases} A \text{ and } B \text{ both occurred, and} & \text{in the nearest possible worlds} \\ \text{in which } A \text{ did not happen,} & \text{neither did } B. \end{cases}
$$Causal factors usually succeed each other in a tempo-
...
5. Since the Lewis relation is binary, we can represent results of the analysis in a graph whose nodes are events/states/processes, called the Why..Because..-Graph (WB-Graph). This graph has a textual form (e.g., Figure ??) as well as its graphical form (Figure ??). We find both useful.

6. We can determine the 'presence' of causally-explanatory non-events in a WB-analysis by comparing the actual pattern of (occurring) events against rule-based 'standard operating procedures' (SOPs) (first suggested during joint work with Ev Palmer). This requires formalising SOPs as TLA modules [Ladkin and Loer 1998], and noting a conflict between what did happen and what should have happened, which brings us now to deontics.

![Figure 1: Excerpt from the NW Flight 052 incident analysis' (textual) WB-Graph. Notation: [X] denotes an event, (X) a state, {X} a process and (X) a non-event.](image)

![Figure 2: The pictorial version of the WB-Graph](image)

**Deontics and Alethics**

Aviation is strongly determined by regulations (FAR, ICAO stats, ...) and fixed behaviors (AIM, SOPs, ...). SOPs for pilots, airlines, ATC, FAA alike can be formulated as deontics. However, this can highlight conflicting explanatory requirements!

As an example we use a recent accident, anonymised because the official investigation is not yet complete:

A large commercial transport aircraft flew into terrain at night in rainy weather while approaching the airport on a non-precision approach. Usually, a precision approach is available, but the 'glideslope' equipment had been taken out of service for upgrade. The Lewis causality criterion determines the missing glideslope equipment, night, and weather conditions to be (actual) causal factors in the accident history. However, analysed deontically, these factors play no substantial role (assuming that weather is found to have been 'normally bad') since:

1. pilots and airline knew before the flight took off that glideslope guidance was unavailable, and that they the landing would use a different approach procedure. They chose to accept this constraint (deontic). All required systems for this different procedure were available and working (as far as we know).
2. the approach was designed for conditions of reduced visibility, including night and cloudy/rainy weather of the sort supposed to have been present on the occasion of the accident
3. the weather was not optimal, but it is not known to have played a significantly unusual role (cf windshear).

Summary: The circumstances for the landing were generally known before start and with their decision to start, the CRW (and the airline) accepted them. Such deontic concerns take precedence in accident explanations over some purely physical factors such as the normal circumstances of landing.

The importance of the deontics is emphasised by (Reason 1989):

[171]
We conclude that such deontic reasoning introduces a type of factor, human obligations arising from judgments, which takes explanatory priority over (physically) causal factors which do not fit in with the regulatory environment (formulated as obligations). Furthermore, deontic and causal reasoning interacts incompatibly but we lack an explanation of how!

Leaving aside for now this interaction, it turns out that one can define the 'standard' deontic modal operator from $\boxdot$, by way of an alethic operator $\Box_a$ which we need for defining the S5-type strict implication $\rightarrow$. We use the deontic operator in determining the presence of factors or human failures of a sort often found in accident reports:

"$X$ did not perform action $Y$."

How can one possibly determine that a non-event – the absence of something – is causally important? Formally, a non-event is a state. Something we await – according to our knowledge about the situation the system is in as well as the obligations following from the procedures which govern the system – does not occur. That kind of argumentation uses deontic reasoning: the procedures ought to be followed; therefore the event must necessarily occur, either then or later; but it did not. And so we explicitly remark it. To see how we may capture this formally, consider the following principle:

We assert the existence of a non-event, given procedures $\text{Proc}$ in a situation $S$, if, given $S$ and always $\text{Proc}$, that the procedures are continually followed, the event must necessarily occur, either then or later; but in fact it doesn’t.

This involves two modalities, in the technical sense of the term in modal logic: necessity and tense. Because tense logics and logics of necessity are often considered separately, the same notation is used for both: we need to distinguish notation. We shall use $\theta$ for the Lewis-Langford (Lewis,Langford 1932) S5 relation of strict implication: $A \theta B$ if $B$ necessarily follows as a matter of logic from $A$. $A \theta B$ is definable from an alethic modality $\Box_a$ as $\Box_a(A \Rightarrow B)$; and $\Box_a$ is as it turns out definable from $\Box \theta$. We use the plain $\Box$, $\Delta$ for the always and eventually operators of simple linear-time tense logic.

The fourth modality is obligation. The deontic axiom says that procedures ought to be followed:

**Axiom 2** $\vdash \Box(\text{Procedures})$

Suppose an event is a necessary consequence of following procedures in the given situation. Since the procedures ought to be followed, the event ought to occur: it should occur. First, how do we say necessary consequence? Since we’re talking about procedures or systems with behavior, we can use TLA along with the following axiom:

$$\frac{(\vdash_{\text{TLA}} A \Rightarrow B)}{A \rightarrow B}$$  \hspace{1cm} (7)

This can be used as a proof rule in hierarchical proofs in the following way: to prove $A \rightarrow B$, the proof proceeds according to the proof of $A \Rightarrow B$ using the proof rules of TLA as given in, say (Ladkin, *Using the Temporal Logic of Actions – A Tutorial on TLA Verification*, RVS-RR-97-08). Given this rule for $\rightarrow$, we may now formulate the Deontic Rule which says that when the occurrence of an event is a necessary consequence of procedures, that the event ought to happen:

$$\frac{\left(\text{Hypotheses} \land \Box(\text{Procedures})\right)}{\rightarrow \text{Event}}$$  \hspace{1cm} (8)

It follows trivially as a derived rule from Rule ?? and Axiom ?? that

$$\frac{\left(\text{Hypotheses} \land \Box(\text{Procedures})\right)}{\rightarrow \text{Event}}$$  \hspace{1cm} (9)

The event may not in fact occur, even though it should have, because it is perfectly possible that the procedures weren’t followed and thus allowed the event not to occur. In our analysis, we need to remark and reason with these events that should have occurred but didn’t. We call them non-events. What kinds of objects are they? Well, non-events persist: the system state does not change in the relevant way because the event that causes this change does not occur, so non-events describe states whose occurrence is inferred from our knowledge of procedures, and of the current situation.

However, it is difficult to formulate this final step, the existence of non-events, as a formal inference rule, because it really tells us explicitly to remark a particular fact. We really have a meta-rule:

**Axiom 3 MetaAxiom**: Explicitly add to the history those states ($\neg E$) in which $E$ is an event, $O(E)$ is derivable, and $E$ does not occur.

**Sufficiency of explanation:**

One could search for necessary and sufficient causal explanations $A$, where $A$ is a conjunction of factors, of a state or event $C$, by looking for factors which fulfil the definition:

$$A \odsilon B \triangleq \left(\begin{array}{l}
\land A \Rightarrow B \\
\land \neg B \Rightarrow \neg A
\end{array}\right)$$  \hspace{1cm} (10)

but it turns out this definition is too strong. Consider the operation of a FSM according to the specification
Spec. Let Hyp be the set of facts giving the current state of the machine. It suffices as an explanation of event or state E that, provided that the Spec is in fact followed by the machine:

\[ \text{Hyp} \land \text{Spec} \Rightarrow E \]

This observation leads to the rule:

\[ \frac{ \text{Hyp} \hspace{1cm} \text{Spec} \hspace{1cm} (\text{Hyp} \land \Box \text{Spec}) \Rightarrow E }{ \text{Hyp} \land \text{Spec} \Rightarrow E } \]  

(We distinguish Hyp and Spec because of their logical form -- Spec and SOPs usually have the form \( \Box A \), whereas Hyp, being a set of contingent and sporadic facts, will normally not).

However, the derived rule resulting from Definition ?? above would require the extra hypothesis:

\[ \neg (\text{Hyp} \land \text{Spec}) \Rightarrow \neg E \]

which may not be true in particular cases in which Spec is far stronger than the minimal condition on the device which entails E. Searching for this minimal condition is often futile, often merely an interesting logical problem which is not so interesting for explaining accidents.

The same Rule ?? applies for actions affected by human operators when they have followed SOPs correctly, but now with the definition of SOP replacing Spec. This rule plays a substantial role in formal proofs of sufficiency of an explanation in WBA. The technical advantage of the rule with the extra hypothesis derived from (??) would be that the operator \( \Box \Rightarrow \) would be definable from \( \Box \Rightarrow \), as are \( \Box A \) and \( O \), and thus fall under the soundness and relative completeness theorem of (Lewis 1973b). But then we wouldn't be able effectively to reason that specifications and SOPs, when followed, yield explanations of the occurrence of certain states and events. We must assign priority to encoding explanatory reasoning as it actually is, and admit that the application doesn't allow us quite as clean as a logic as might be wished for.

Closed World Assumptions and other Non-Monotonicity:

CWA: Accident reports use a closed-world assumption, namely that either all the significant events and states are known, or those that are not known are known to be not known. Both the CWA and other non-monotonic reasoning can be expressed in the ontology introduced above.

...and other Non-Monotonicity: In principle, the 'world' consists only of states or events obtained directly from instruments like cockpit voice recorder (CVR) and digital flight data recorder (DFDR, 'black box'); photographs; on-site investigation of wreckage; states, events or processes derivable by temporal, causal and deontic reasoning from these. Formally, for every 'new' node (representing new knowledge of one of these states, events or processes) we introduce in our analysis, we have to check whether former reasoning is still valid (there are thus two cases: simple incompleteness and non-monotonicity - see below). Whenever we make an assumption about a cause for a state/event/process, we limit the explanatory power of the system to explanations which fulfill this assumption. To keep this limitation within bounds (we prefer to base analysis on formal argumentation rather than speculation), it would make sense formally to clone the 'existing' world before we introduce the new information, as in the method of semantic tableaux. We would need to control the potential exponential growth of the number of worlds to consider. Alternatively, we can be content with justifying 'reasonable' assumptions and ignore alternatives, but we may have to be prepared to revise these in light of further discovery (non-monotonicity). Examples:-

Cali (incompleteness, monotonic reasoning):

DFDR recordings show that the machine turned left for 90 seconds. This could not be explained, until an undamaged FMC was discovered and its non-volatile memory decoded. In this case, the WB-method would yield an incomplete, but causally correct graph, which contains all information discovered, but not including grounds for the left turn. The additional information gleaned from the FMC several months after the accident can be introduced to 'complete' the graph. Such 'completions' result in additional subgraphs, but do not change the rest of the graph.

Lauda Air, Thailand (assumption, non-monotonic):

Evidence from CVR. that reverse thrust (RT) was 'deployed'; but there's an interlock.

Conclusion: upset cannot be directly explained. Subsequently found a failure mode of the interlock, which in principle could allow RT to actuate in flight. Report contains no probable cause, but considers this to be a likely scenario.

Mont Ste. Odile, Strasbourg (assumption, non-monotonic):

Autopilot modes not available on DFDR; flight path shows rapid descent starting exactly at FAF. Descent rate in fpm is almost identical with required flight path angle in degrees; also the autopilot descent mode would have been engaged at FAF, where divergent behavior started. Autopilot mode control is unlabelled toggle; mode annunciation is via small letters, rate/angle larger figures. Again, this 'likely cause' is presumed.

Summary: All accident reports make a CWA: the relevant facts are those we know plus those we know we don't know. Assumptions about 'likely happenings' introduce either an extra (formal) modal dimension or non-monotonicity.

Contrastive Explanation

Contrastive explanation concerns the explanation of facts of the form why P rather than Q occurred, and it is a major search device in WBA for explanatory facts. Lewis (Lewis 86)[pp229-230] suggests this may be accomplished by giving information about the causal history of P that would not have applied to the history
of Q. Lipton (Lipton 91)[p42] notes that this criterion allows for unexplanatory causes. J.S. Mill's Method of Difference (Mill 1973)[III.VIII.2] relies on the principle that a cause must lie among the antecedent differences between a case in which the effect occurs and a case in which it does not. Mill notes that this works best with diachronic (before/after) contrasts. Lipton (Lipton 1991)[p43] proposes the Difference Condition:

To explain why P rather than Q, we must cite a causal difference between P and not-Q, consisting of a cause of P and the absence of a corresponding event in the case of not-Q.

(Lipton considers here that only events may be causes. We are considering causal factors to include nodes of all types, so relevant modifications must be made to this expression of the Difference Condition.) We apply these principles of contrastive explanation during our search in WBA for relevant facts.

In summary, we have found multimodal reasoning to be essential for formal accident analyses and their correctness proofs:

<table>
<thead>
<tr>
<th>Method</th>
<th>Used for:</th>
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<tbody>
<tr>
<td>modal logic/Tense Logic</td>
<td>temporal reasoning</td>
</tr>
<tr>
<td>Lewis counterfactuals</td>
<td>causal explanation</td>
</tr>
<tr>
<td>alethic reasoning</td>
<td>operations according to specs and procedures</td>
</tr>
<tr>
<td>deontic reasoning</td>
<td>SOP violations, regulatory environment, significant non-events, 'latent' errors</td>
</tr>
</tbody>
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References


Reason, J. T. 1989. The contribution of latent human failures to the breakdown of complex systems. In...