

# Transportation Systems Safety Hazard Analysis Tool (SafetyHAT)

User Guide (Version 1.0)



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Prepared for:

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U.S. Department of Transportation  
**Research and Innovative Technology Administration**  
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# List of Abbreviations

Abbreviation	Term
MS	Microsoft
SafetyHAT	Safety Hazard Analysis Tool
STAMP	System-Theoretic Accident Model Process
STPA	System-Theoretic Process Analysis
UCA	Unsafe Control Action
USDOT	United States Department of Transportation
The Volpe Center	Volpe, The National Transportation Systems Center

# I. General Information

## I.1 What Is SafetyHAT?

### I.1.1 Overview

The Transportation Systems Safety Hazard Analysis Tool (SafetyHAT) is a software tool that facilitates System Theoretic Process Analysis (STPA). STPA is a hazard identification method based on a top-down system engineering approach and control systems theory [1]. While some familiarity with STPA is expected before using this tool, one of the primary goals of SafetyHAT is to help safety analysts become proficient with the STPA method. SafetyHAT includes transportation-oriented guide phrases and causal factors that tailor the STPA method to transportation systems.

STPA provides an algorithmic and well-guided analysis process that identifies the causes of system hazards, including:

- Hardware component failures
- Software errors
- Complex system interactions
- Human errors
- Inadequate organization management, policy, and procedures

STPA can be applied to technical control systems, as well as the social systems involved in the lifecycle of the technical system, as demonstrated by a number of published projects [2]. STPA enables users to identify and develop lower level safety design requirements to meet overall system safety constraints.

The benefits of SafetyHAT include:

1. Guiding analysts through the preparatory and analysis steps of STPA by:
  - Providing streamlined data entry process.
  - Directing analysts through STPA with a wizard-like format, with preloaded transportation-specific guidewords.
  - Enabling customization for other applications.
2. Leveraging the power of a relational database to organize and manage the large quantity of data that the analysis may produce. It can:
  - Efficiently store large quantity of analysis data (a small control system may generate over 10,000 entries).
  - Enforce data integrity when modifying or deleting data, reducing the analysts' burden during the iterations inherent to STPA.
3. Facilitating the documentation of hazard analysis. It can:



- Provide traceability from system-level hazards to component level causal factors.
- Generate auditable documentation.
- Further enable data sharing and reuse.
- Allow new system analysis to extend upon previous analysis models and results.

### **I.1.2 How Does SafetyHAT Differ from STPA**

Although SafetyHAT is based on STPA, SafetyHAT incorporates two key differences.

1. STPA consists of two analysis steps and two preparatory steps that must be completed before beginning STPA. SafetyHAT uses an eight-step process to guide the user through the two STPA preparatory and two STPA analysis steps. Figure 1 illustrates how SafetyHAT steps correspond to STPA:
  - The first three steps guide you through STPA Preparatory Step 1, allowing you to input the description of the hierarchical control structure diagram. SafetyHAT will draw on this information throughout the analysis.
  - The next two steps (Steps 4-5) allow you to enter the system level accident/loss and hazards.
  - Step 6 and 7 are the two STPA steps.
  - Step 8 enables data export and generates an Excel spreadsheet.

These steps are described in more detail in Section 3.5 and 3.6 of this user guide.

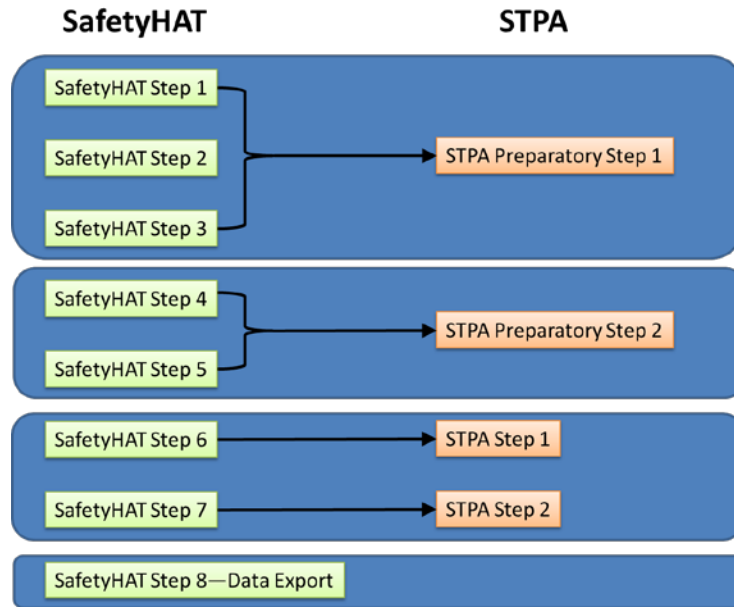


Figure 1: Mapping Between SafetyHAT Steps and STPA Steps

- SafetyHAT comes preloaded with six unsafe control action (UCA) guide phrases and 26 causal factor guide phrases, compared to the four UCA guide phrases and 16 causal factor guide phrases traditionally used in STPA. The additional UCA and causal factor guide phrases were added based on the developers' experience in applying STPA to transportation systems. Please refer to Section 4 of this user guide for a list of the preloaded UCA and causal factor guide phrases.

The pre-loaded UCA and causal factor guide phrases can be edited through the Advanced Options feature of SafetyHAT. This process is described in more detail in Section 4 of this user guide.

### 1.1.3 Developers

SafetyHAT was developed by the U.S. Department of Transportation John A. Volpe National Transportation Systems Center (Volpe) to assist in conducting system safety and hazard analyses.

## 1.2 Authorized Use Permission

SafetyHAT is available for public use and can be downloaded for free at <http://www.volpe.dot.gov/SafetyHAT>. Use and distribution of SafetyHAT is subject to the terms and conditions of the licensing agreement in the installation package.

## I.3 Feedback and Suggestions

SafetyHAT is provided for free as an unsupported software tool. However, we do encourage users to provide feedback and suggested improvements by emailing [SafetyHAT@dot.gov](mailto:SafetyHAT@dot.gov). Suggestions may be incorporated into future releases of SafetyHAT. If you wish to receive an email notification when updates or a new version of SafetyHAT is available, please register your email address at <http://www.volpe.dot.gov/SafetyHAT>.

# 2. Getting Started

## 2.1 About This User Guide

This user guide accompanies SafetyHAT Version 1.0 and provides instructions specific to this version of SafetyHAT. If are using a later version of SafetyHAT, please refer to the user guide that was included in your installation package.

### 2.1.1 Organization of the Guide

Section 2 of this user guide will help you set up SafetyHAT on your computer.

Section 3 of this user guide will walk you through performing an analysis using SafetyHAT, including how to use the various screens and input forms in SafetyHAT. Specifically:

- Section 3.1 explains the preparation work you must complete before you start using SafetyHAT.
- Section 3.2 explains how to open a SafetyHAT project.
- Section 3.3 provides an overview of the Main Menu screen and how to access each of the data entry forms in SafetyHAT.
- Section 3.4 provides an overview of the general layout of the data entry forms and key navigation features.
- Section 3.5 provides step-by-step instructions on how to enter data into each of the data entry forms.

Section 4 of this user guide explains how to customize SafetyHAT using the advanced options.

Throughout this guide, the following icons are used:



The exclamation icon marks critical information.



The light bulb icon shows helpful hints and information worth noting.

## 2.2 SafetyHAT Versions

There are two versions of SafetyHAT available for public use. The Microsoft (MS) Access Template Version is intended for individuals who plan on regularly using SafetyHAT and have MS Access software. The MS Access Runtime Version is an evaluation version intended for users without MS Access software. Both versions can be downloaded free of charge at <http://www.volpe.dot.gov/SafetyHAT>. The two versions are described in more detail below:

- **MS Access Template Version:** This version provides a reusable SafetyHAT template for Microsoft Access 2010 or later. You will be able to evaluate multiple systems using STPA by creating new instances of SafetyHAT directly from MS Access. This version allows the user to view or edit the underlying data tables, or database structure.
- **MS Access Runtime Version:** This is a single-use version of SafetyHAT intended for users without Microsoft Access 2010 or later. It uses MS Access 2010 Runtime to run SafetyHAT. This version of SafetyHAT allows the user to evaluate the software capability and complete an entire analysis for a single system. This version also does not allow the user to view or edit the underlying data tables, or database structure.



*Check to see if you have MS Access installed on your machine by opening the Start Menu and typing “Microsoft Access” in the search bar.*

## 2.3 Installation

SafetyHAT was developed using a Microsoft Windows operating system, and compatibility with other operating system environments, such as MacOS and Linux, has not been tested. There is no immediate plan for testing compatibility with other operating systems.

### 2.3.1 System Requirements

The minimum system requirements to run SafetyHAT are displayed in Table 1.

**Table 1: SafetyHAT Minimum System Requirements**

	Minimum Requirements
<b>Operating System</b>	Microsoft Windows XP, Microsoft Windows Vista, or Microsoft Windows 7
<b>Processor Speed</b>	500 MHz
<b>Memory (RAM)</b>	256 MB
<b>Hard Disk Space †</b>	10 MB (MS Access Template Version) 200MB (MS Access Runtime Version)
<b>Display Resolution</b>	1280 x 800
<b>Software Requirements</b>	Microsoft Access 2010 (or later) for the Template Version Microsoft Excel 2010 (or later) PDF Viewer
† Additional hard disk space will be required to save your analysis (approximately 5 to 10 MB for a 40-component system).	

### 2.3.2 MS Access Template Version Installation

If you do not have MS Access 2010 or later on your system, please refer to Section 2.3.3 for instructions on how to install the single-use MS Access Runtime Version.

To install the MS Access Template Version of SafetyHAT:

1. Download the installation package “SafetyHAT\_Installer.zip” from <http://www.volpe.dot.gov/SafetyHAT>.
2. Extract the files to the directory where you would like to install SafetyHAT.
3. Double click the installation file “Setup.exe”.
4. Follow the screen prompts.

SafetyHAT installs in the default template directory for MS Access. If you or your system administrator has changed this directory path, you will need to manually copy the “SafetyHAT.accdt” file from the installation directory into your MS Access template directory.

### 2.3.3 MS Access Runtime Version Installation

The MS Access Runtime Version of SafetyHAT uses MS Access 2010 Runtime. MS Access 2010 Runtime is a limited version of MS Access in which certain features have been disabled. To learn more about MS Access 2010 Runtime, please visit: <http://www.microsoft.com/en-us/download/details.aspx?id=10910>. You will be able to conduct a single complete analysis of a single system using SafetyHAT with the MS

Access Runtime Version.

To install the single-use MS Access Runtime Version of SafetyHAT:

1. Download the installation package “SafetyHAT\_Runtime.zip” from <http://www.volpe.dot.gov/SafetyHAT>.
2. Extract the files to the directory where you would like to install SafetyHAT.
3. Double click the installation file “Setup.exe”.
4. Follow the screen prompts.

## 3. Using SafetyHAT

### 3.1 Preparing to Use SafetyHAT

SafetyHAT is a software tool that facilitates safety and hazard analysis using STPA. Before using SafetyHAT, two preparatory steps for STPA should be completed:

- **Preparatory Step 1:** Create a hierarchical control structure diagram of the system. The control structure diagram consists of blocks for each system component including controllers, actuators, sensors, and controlled processes. Interactions and information pathways between components are represented as lines between the blocks. Control actions issued by system controllers should be explicitly shown and labeled on the diagram. Figure 2 shows an example of a control structure diagram (automotive air bag control system).

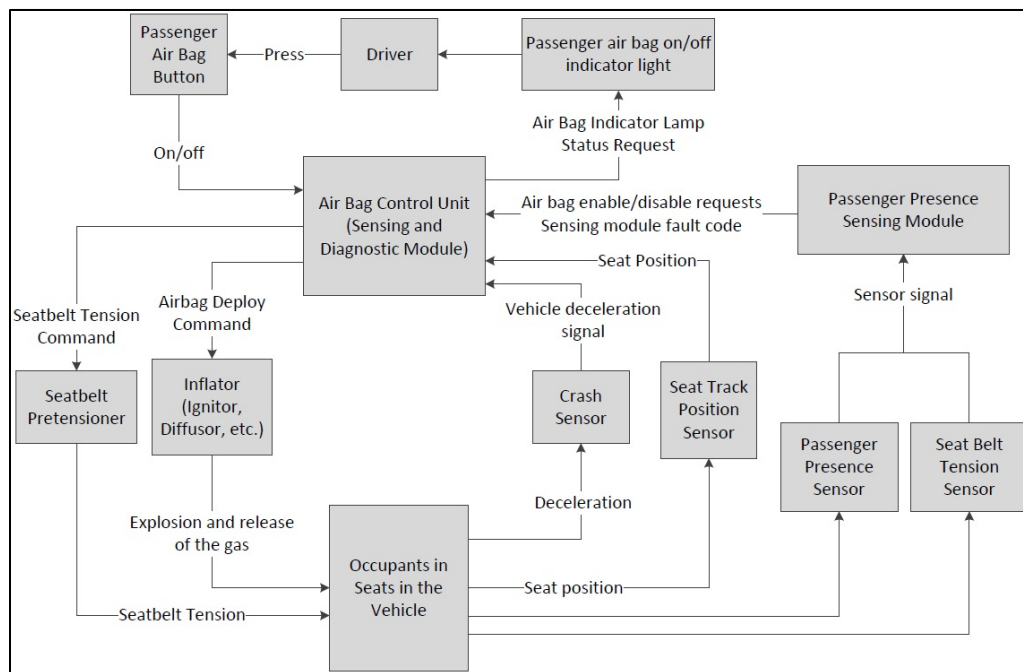


Figure 2: Example Control Structure Diagram (Automotive Air Bag Control System)



*Saving a copy of your Control Structure Diagram as a PDF will enable you to create a link to the diagram in SafetyHAT. (See Section 3.3.2.)*



- **Preparatory Step 2:** Identify system losses (accidents) and hazards. An accident is defined as “an undesired or unplanned event that results in a loss, including loss of human life or human injury, property damage, environmental pollution, mission loss, etc.” [1]. STPA defines a hazard as “a system state or set of conditions that, together with a particular set of worst-case environmental conditions, will lead to an accident (loss)” [1].

## 3.2 Opening a SafetyHAT Project

### 3.2.1 Opening a New Project Using the MS Access Template Version

To open a new SafetyHAT project:

1. Open Microsoft Access.
2. Click the *My Templates* icon (see Figure 3)

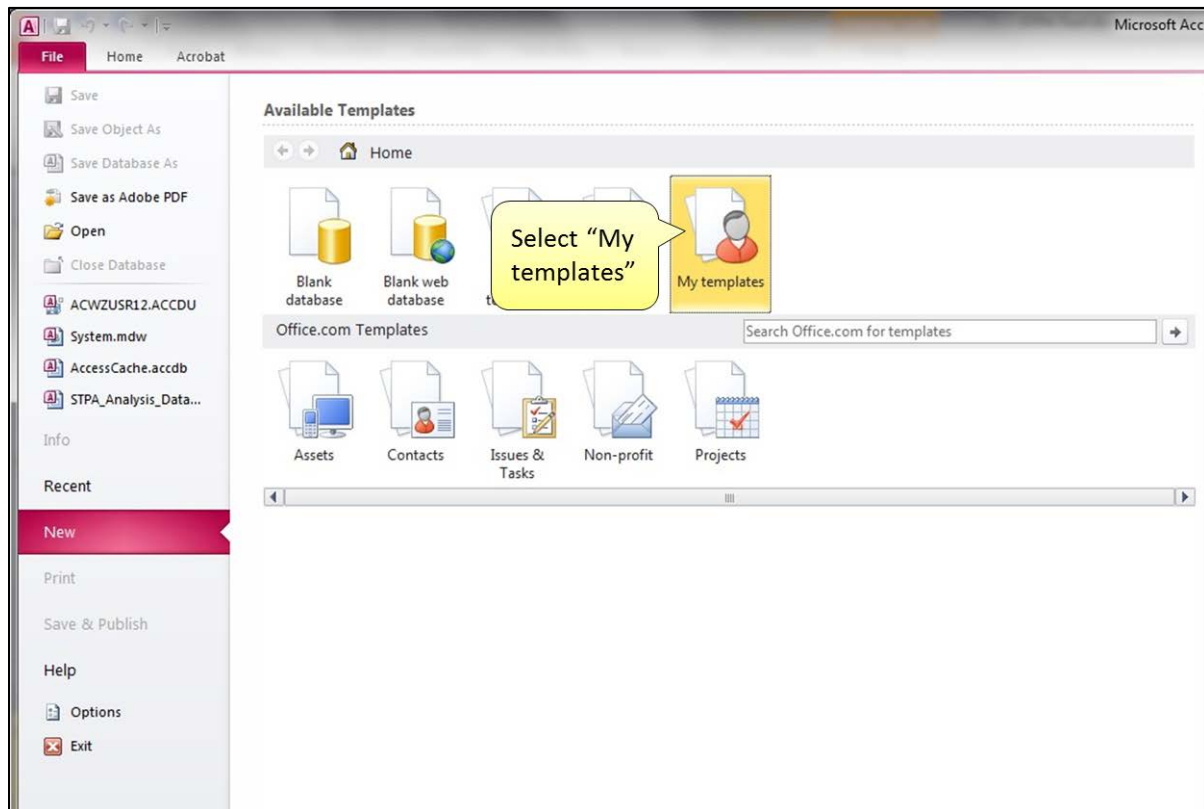


Figure 3: Opening the Custom Template Directory

3. Select the template called “SafetyHAT” (see Figure 4)

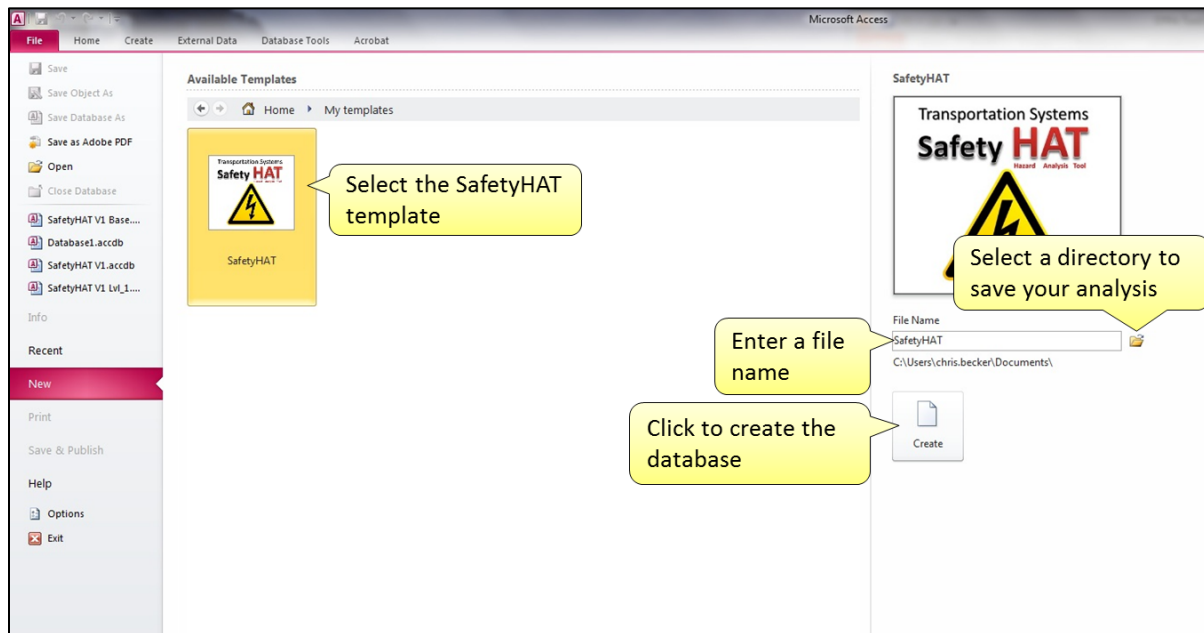


Figure 4: Creating a New SafetyHAT File

4. Click the folder icon on the right side of the screen to select the directory where you would like to save your SafetyHAT project file (see Figure 4).
5. Enter a new name for your SafetyHAT project file in the text box on the right side of the screen, or use the default “SafetyHAT” file name.
6. Click the *Create* button to create your SafetyHAT project file.

You will then see the screen shown in Figure 5. Click the *Enable Content* button at the top of this screen (see Figure 5).

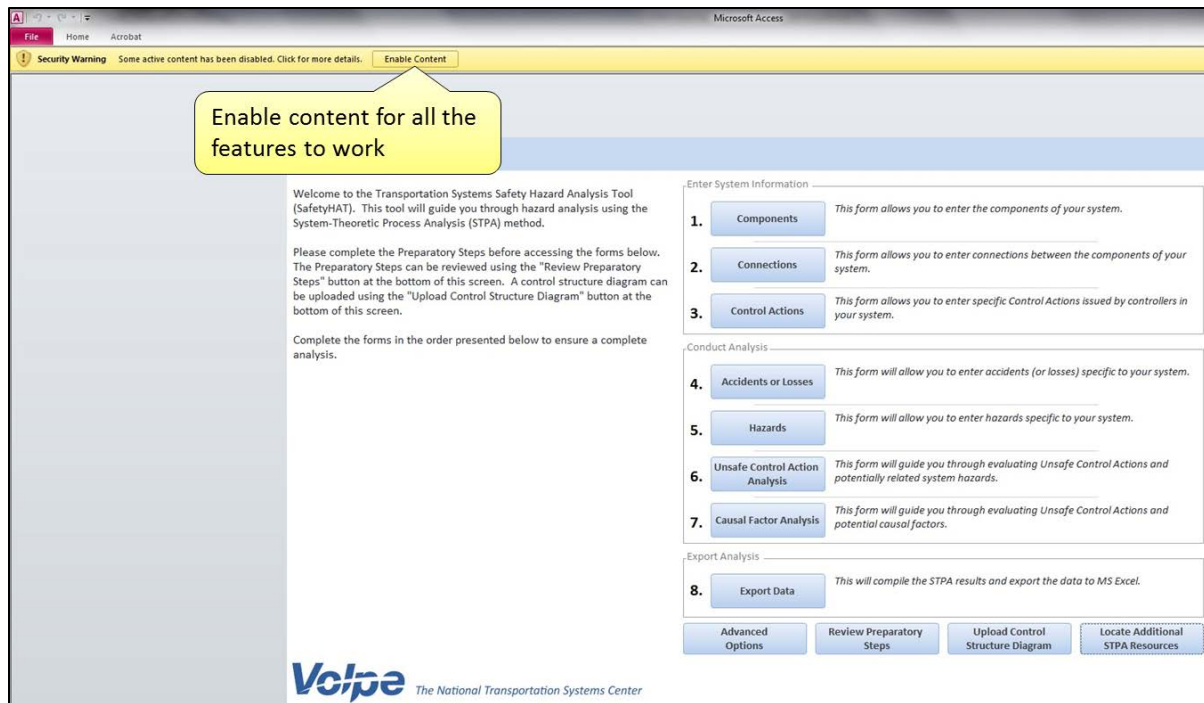


Figure 5: Enabling content in the Microsoft Security Warning banner.



*You must click the Enable Content button to enable all of the features of SafetyHAT.*

### 3.2.2 Opening an Existing Project

To open an existing SafetyHAT project file:

1. Navigate to the directory containing your project file.
2. Double click on the SafetyHAT project file icon.

### 3.2.3 Opening the MS Access Runtime Version of SafetyHAT

To open the MS Access Runtime Version of SafetyHAT:

1. Navigate to the directory where you installed the MS Access Runtime Version of SafetyHAT.
2. Double click on the SafetyHAT project file icon.

## 3.3 Main Menu Navigation

The Main Menu (Figure 6) automatically loads when you open a new or existing SafetyHAT project file. The numbered buttons on the right side of the main menu provide quick access to the seven data entry forms and the analysis export feature. The four buttons at the bottom of the main menu provide access to some additional features included in SafetyHAT.

**Main Menu**

Welcome to the Transportation Systems Safety Hazard Analysis Tool (SafetyHAT). This tool will guide you through hazard analysis using the System-Theoretic Process Analysis (STPA) method.

Please complete the Preparatory Steps before accessing the forms below. The Preparatory Steps can be reviewed using the "Review Preparatory Steps" button at the bottom of this screen. A control structure diagram can be uploaded using the "Upload Control Structure Diagram" button at the bottom of this screen.

Complete the forms in the order presented below to ensure a complete analysis.

**Enter System Information**

- 1. Components** This form allows you to enter the components of your system.
- 2. Connections** This form allows you to enter connections between the components of your system.
- 3. Control Actions** This form allows you to enter specific Control Actions issued by controllers in your system.

**Conduct Analysis**

- 4. Accidents or Losses** This form will allow you to enter accidents (or losses) specific to your system.
- 5. Hazards** This form will allow you to enter hazards specific to your system.
- 6. Unsafe Control Action Analysis** This form will guide you through evaluating Unsafe Control Actions and potentially related system hazards.
- 7. Causal Factor Analysis** This form will guide you through evaluating Unsafe Control Actions and potential causal factors.

**Export Analysis**

- 8. Export Data** This will compile the STPA results and export the data to MS Excel.

**Advanced Options** **Review Preparatory Steps** **Upload Control Structure Diagram** **Locate Additional STPA Resources**

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Figure 6: SafetyHAT Main Menu Screen

### 3.3.1 Accessing Data Entry Forms

SafetyHAT has eight numbered steps on the right hand side of the main menu. Steps 1 through 7 are data entry steps. Clicking any of these buttons will take you from the main menu directly to that data entry form. The final step (Step 8) is an export feature that compiles your analysis and generates a MS Excel spreadsheet.



*To ensure the most complete analysis, begin with Step 1 in the Main Menu and proceed sequentially through Step 7.*

### 3.3.2 Accessing Additional Features

Four buttons at the bottom of the main menu provide additional features. Button functionalities are described below.

The *Advanced Options* button enables you to alter the preloaded SafetyHAT guide phrases that underlie SafetyHAT. Use caution when modifying the guide phrases. Improper modification of the guide phrases could result in an incomplete or incorrect analysis. The advanced options feature is described in more detail in Section 4 of this user guide.

The *Review Preparatory Steps* button describes the steps in Section 3.1 of this User Guide. To review STPA's preparatory steps:

1. Click the *Review Preparatory Steps* button at the bottom of the Main Menu. This will open up the screen shown in Figure 7.
2. To return to the Main Menu screen, click the *Return to Main Menu* button in the lower right corner of the screen or the close button (X) in the upper right corner of the screen.

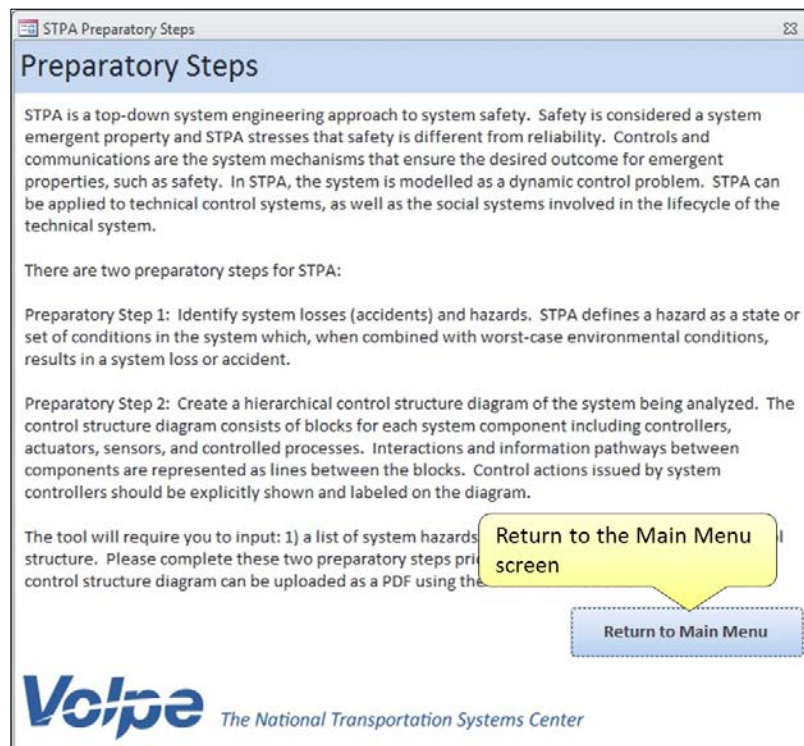


Figure 7: Preparatory Steps Overview Screen

The *Upload Control Structure Diagram* button allows you to create a link to the control structure diagram file on your computer using the following steps:

1. Click the *Upload Control Structure Diagram* button at the bottom of the Main Menu. This will open the dialogue box shown in Figure 8.
2. Use the sidebar or the navigation bar in the dialogue box to open the directory that contains your control structure diagram. This feature only supports control structure diagrams saved in PDF format.
3. Click the *Open* button to link the directory location of your control structure diagram with SafetyHAT.

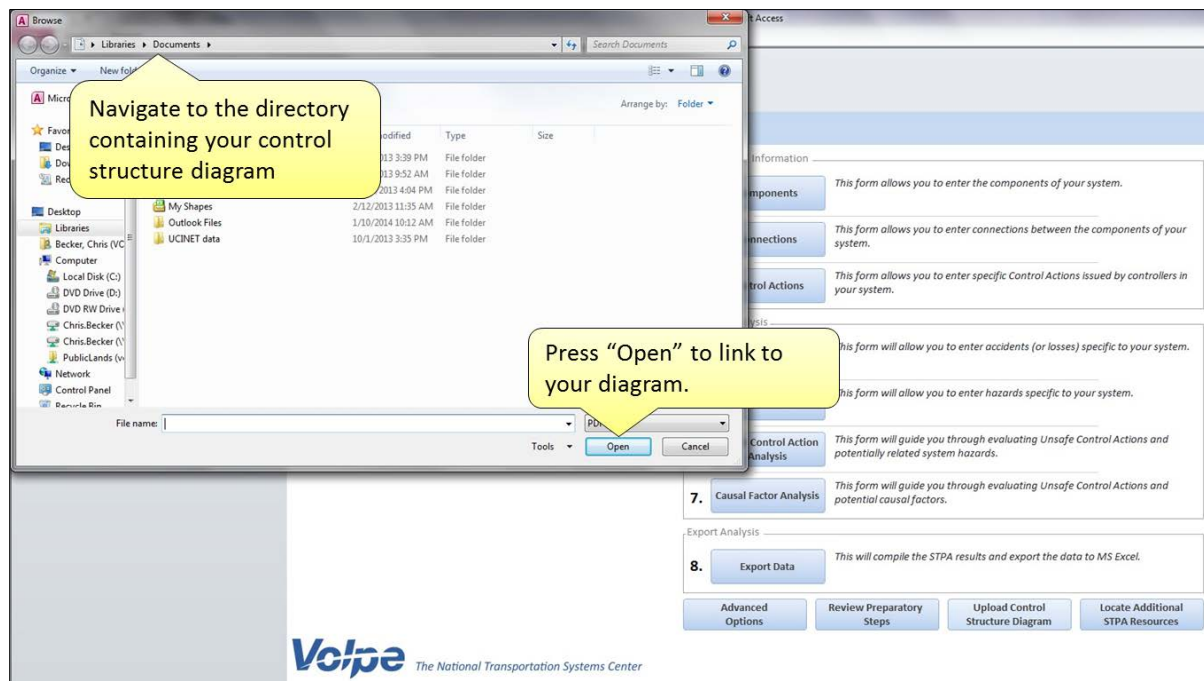


Figure 8: Control Structure Diagram Upload Screen



*SafetyHAT only links to your diagram. If you change the file name or directory, you must re-establish the link between SafetyHAT and your diagram through the Main Menu.*

The *Locate Additional STPA Resources* button allows you to learn more about STPA. These resources are for informational purposes and are not affiliated with the USDOT or the SafetyHAT software program.

## 3.4 General Form Navigation

The seven data entry forms (Steps 1-7) share similar layout. This section of the user guide will explain the general form layout and navigation features in SafetyHAT.

### 3.4.1 Navigation Bar

The navigation bar located at the bottom of each form allows you to move easily through SafetyHAT. The navigation bar contains five buttons, shown in Figure 9.

The screenshot displays the 'System Component Input Form' interface. At the top, a progress bar shows steps 1 through 8, with step 1 currently active. The main area is divided into two sections: 'Review Existing System Components' on the left and 'Add New System Component' on the right. The left section lists existing components like 'Air Bag Control Unit', 'Air Bag Module', 'Crash Sensor', 'Driver', 'Passenger Air Bag Indicator Light', 'Passenger Presence Sensing Module', 'Passenger Presence Sensor', 'Seat Belt Pretensioner', 'Seat Belt Tension Sensor', 'Seat Track Position Sensor', and 'Vehicle (including Occupants)'. The right section has fields for 'Enter Component Name:' and 'Enter a Component Description:', along with 'Delete Existing', 'Modify Existing', and 'Save As New' buttons. At the bottom, a navigation bar contains five buttons: 'Return to Main Menu', 'Previous Step', 'Step 2: Connections', 'View Control Structure Diagram', and 'Close Form'. A 'Form Guidance' button is also present. Yellow callout boxes provide instructions for each button: 'Return to Main Menu' (Close the current form and return to the main menu), 'Previous Step' (Close the current form and move to the previous step or next step in SafetyHAT), 'Step 2: Connections' (Open the linked control structure diagram in your default PDF Viewer), 'View Control Structure Diagram' (Open the linked control structure diagram in your default PDF Viewer), and 'Close Form' (Close the current form).

Figure 9: Navigation Bar Features

- Clicking the *Return to Main Menu* button will close the current form and open the Main Menu. If you entered data into the current form, you will receive a prompt to save the current entry before the form closes.
- Step buttons will close the current form and bring you to the next step (or previous step) in SafetyHAT. If you entered data into the current form, you will receive a prompt to save the current entry before the form closes. Note that when you are at the first data entry form in SafetyHAT, the *Previous Step* button is disabled.



- The *View Control Structure Diagram* will open the linked control structure diagram in your default PDF Viewer. SafetyHAT will remain open while viewing the control structure diagram.

If you did not create a link to a control structure diagram from the Main Menu, the warning notification shown in Figure 10 will appear, providing instructions on how to link the control structure to the SafetyHAT.

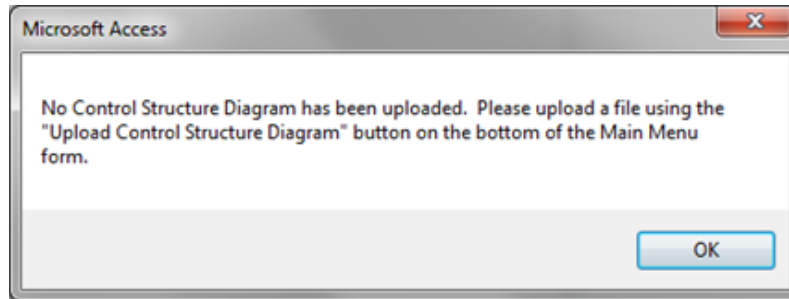


Figure 10: Warning Message If a Control Structure Diagram is Not Linked to SafetyHAT

- Clicking the *Close* button will close the current form. If you entered data into the current form, you will receive a prompt to save the current entry before the form closes.

### 3.4.2 Form Guidance

A *Form Guidance* button is available at the lower-right corner of each data entry form in SafetyHAT providing instruction on how to complete the current form. When appropriate, the form-specific guidance will also provide a brief description of how the current form relates to STPA.

Clicking the *Form Guidance* button in the lower right hand corner of your current form (see Figure 11) will bring up the screen shown in Figure 12. Clicking the X button in the upper right corner of the form guidance page will close the guide and return you to the input form.



**System Component Input Form**

Step: 1 2 3 4 5 6 7 8

Review Existing System Components

**Existing System Components** Sort: Order Entered A-Z

- Air Bag Control Unit
- Air Bag Module
- Crash Sensor
- Driver
- Passenger Air Bag Indicator Light
- Passenger Presence Sensing Module
- Passenger Presence Sensor
- Seat Belt Pretensioner
- Seat Belt Tension Sensor
- Seat Track Position Sensor
- Vehicle (including Occupants)

Add New System Component

Enter Component Name:

Enter a Component Description:

Delete Existing Modify Existing Save As New

Return to Main Menu Previous Step Step 2: Connections

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Form Guidance

Display guidance specific to the current STPA step

Guidance includes both STPA related information and details on how to complete the current form

Figure 11: Accessing the Form-Specific Guidance Feature

Fm\_ADD\_SYSTEM\_COMPONENT\_GUIDE

**System Component Input Form - Guidance**

Components are the controllers, actuators, sensors, and control systems. These components are depicted as boxes on the system diagram.

This form allows you to enter all components in the system. Connections and other component details will be specified later in the process.

1. Enter the component name in the appropriate box on the right side of the form.
2. Enter a description for the component in the appropriate box on the right side of the form.
3. Press the "Save As New" button once the component information has been entered.

The existing system components are shown in the box on the left portion of the form. A component can be edited or deleted by selecting the component in the box and pressing the "Modify Existing" or "Delete Existing" button.

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Click here to close the guidance page and return to the input form

Figure 12: Closing the Form-Specific Guidance Page

### 3.4.3 Tracking Your Progress

You can track your progress in SafetyHAT using the colored circles in the upper right corner of the screen (see Figure 13). Each of the circles corresponds to one of the SafetyHAT steps; the order of these steps is identical to those shown on the main menu screen. Your current step is denoted by the blue circle.

The screenshot displays the 'System Component Input Form' interface. At the top right, a progress bar shows eight steps, with step 5 highlighted in blue. A yellow callout bubble points to step 5 with the text 'Track your progress in completing the STPA evaluation'. The main area is divided into two panels. The left panel, titled 'Review Existing System Components', lists various components like 'Air Bag Control Unit', 'Air Bag Module', 'Crash Sensor', 'Driver', 'Passenger Air Bag Indicator Light', 'Passenger Presence Sensing Module', 'Passenger Presence Sensor', 'Seat Belt Pretensioner', 'Seat Belt Tension Sensor', 'Seat Track Position Sensor', and 'Vehicle (including Occupants)'. The right panel, titled 'Add New System Component', contains fields for 'Enter Component Name:' and 'Enter a Component Description:', along with buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'. At the bottom, there are navigation buttons: 'Return to Main Menu', 'Previous Step', 'Step 2: Connections', 'View Control Structure Diagram', 'Close Form', and 'Form Guidance'. The Volpe logo and 'The National Transportation Systems Center' text are at the bottom left.

Figure 13: Progress Tracking Feature

### 3.4.4 Adding New Entries

SafetyHAT requires you to enter information about your system. Figure 14 shows a typical SafetyHAT data entry form. Data entry fields are shown on the right of each form and existing entries are shown on the left of each form.

To add a new entry:

1. Type in the relevant information in the fields on the right side of each form. Some forms may have drop-down lists in addition to text entry fields.
2. Click the *Save As New* to add your entry. If your entry matches an existing entry, SafetyHAT will **not** create a duplicate entry.

Figure 14: Entering New Data



*The description fields allow you to enter references or more in-depth details. Information entered into these fields will appear in the final output file from SafetyHAT.*



*SafetyHAT does not allow duplicate entries (for example, two components with the same name). Make sure each entry is unique.*

### 3.4.5 Modifying and Deleting Existing Entries

SafetyHAT allows you to modify or delete existing entries directly from each form (see Figure 15). SafetyHAT will automatically propagate any changes you make throughout the analysis. For example, if you change a component name in Step 1, the component name will automatically be updated in any associated connections in Step 2. Likewise, deleting a component in Step 1 will delete any connections and analyses related to that component.

**System Component Input Form**

Step: 1 2 3 4 5 6 7 8

Review Existing System Components

**Existing System Components** Sort: Order Entered A-Z

- Air Bag Control Unit
- Air Bag Module
- Crash Sensor**
- Driver
- Passenger
- Passenger
- Passenger
- Passenger
- Seat Belt
- Seat Belt
- Seat Belt
- Vehicle (including Occupants)

**Edit Component Name:**  
Crash Sensor

**Enter a Component Description:**  
Mechanical or electronic sensors designed to detect sudden vehicle deceleration.

Delete Existing Modify Existing Save As New

Return to Main Menu Previous Step Step 2: Connections View Control Structure Diagram Close Form

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Figure 15: Modifying and Deleting Entries

To modify existing entries:

1. Select an existing entry from the left side of the form. The right side of the form will automatically be populated with your selection and the *Modify Existing* button will be enabled.
2. Make any necessary changes directly in the entry boxes on the right side of the form.
3. Click the *Modify Existing* button.

To delete an existing entry:

1. Select an existing entry from the left side of the form. The right side of the form will automatically be populated with your selection and the *Delete Existing* button will be enabled.
2. Click the *Delete Existing* button.



*SafetyHAT does not have an “undo” feature. Deleting an entry will **permanently** remove the entry and any associated analyses.*

### 3.4.6 Sorting Existing Entries

To help you review and locate existing entries, SafetyHAT allows you to sort the existing entries found on the left side of each form. Existing entries can be sorted alphabetically (A-Z) or by the order in which the entries were added (Order Entered). To sort entries, use the buttons located to the upper right of the box containing your existing entries, as shown in Figure 16.

System Component Input Form

Step: 1 2 3 4 5 6 7 8

Review Existing System Components

Existing System Components

Sort: Order Entered A-Z

Air Bag Control Unit  
Air Bag Module  
Crash Sensor  
Driver  
Passenger Air Bag Indicator Light  
Passenger Presence Sensing Module  
Passenger Presence Sensor  
Seat Belt Pretensioner  
Seat Belt Tension Sensor  
Seat Track Position Sensor  
Vehicle (including Occupants)

Sort existing entries alphabetically or by the order in which items were entered

Add New System Component

Enter Component Name:

Enter a Component Description:

Delete Existing Modify Existing Save As New

Return to Main Menu Previous Step Step 2: Connections View Control Structure Diagram Close Form

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Form Guidance

Figure 16: Sorting Existing Entries

## 3.5 Data Entry Forms

This section of the user guide will walk you through each of the seven data entry forms in SafetyHAT (Steps 1-7).

### 3.5.1 Step 1: System Component Input Form

Components are the controllers, actuators, sensors, and controlled processes of the system. These components are depicted as boxes on the system control structure diagram. The System Component Input Form allows you to enter, modify, and delete component information. Figure 17 shows the layout of the System Component Input Form.

The screenshot displays the 'System Component Input Form' interface. At the top, a progress bar indicates 'Step: 1' through '8'. The main area is divided into two sections: 'Review Existing System Components' on the left and 'Add New System Component' on the right. The left section lists existing components such as 'Air Bag Control Unit', 'Air Bag Module', 'Crash Sensor', 'Driver', 'Passenger Air Bag Indicator Light', 'Passenger Presence Sensing Module', 'Passenger Presence Sensor', 'Seat Belt Pretensioner', 'Seat Belt Tension Sensor', 'Seat Track Position Sensor', and 'Vehicle (including Occupants)'. The right section contains fields for 'Enter Component Name:' (with the example 'Passenger Air Bag Button') and 'Enter a Component Description:' (with the example 'Dashboard button to enable or disable the passenger side air bag.'). Below these fields are buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'. At the bottom, there are navigation buttons: 'Return to Main Menu', 'Previous Step', 'Step 2: Connections', 'View Control Structure Diagram', and 'Close Form'. A 'Form Guidance' button is also present in the bottom right corner. Two yellow callout boxes are overlaid on the form: one pointing to the 'Enter Component Name:' field with the text 'Type the component name here', and another pointing to the 'Enter a Component Description:' field with the text 'Add a more detailed description of the component here'.

Figure 17: System Component Input Form

To enter a new component:

1. Enter the component name in the first entry field on the right side of the form.
2. Enter a detailed description for the component in the second entry field on the right side of the form.
3. Click the *Save As New* button.

To modify an existing component:

1. Select the component you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).



To delete an existing component:

1. Select the component you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

### 3.5.2 Step 2: System Connections Input Form

System connections represent information or resource flows, or other interactions between system components. System connections are represented by the lines connecting the components on your system control structure diagram. The System Connections Input Form allows you to enter, modify, or delete connections between components in your system. Figure 18 shows the layout of the System Connections Input Form.

**System Connections Input Form**

Step: 1 2 3 4 5 6 7 8

**Review Existing System Connections**

Existing System Connections

Sort: Order Entered

From	Type	To	Type
Air Bag Control Unit	Controller	Passenger Air Bag Indicator Light	Actuator
Air Bag Control Unit	Controller	Air Bag Module	Actuator
Air Bag Control Unit	Controller	Seat Belt Pretensioner	Actuator
Air Bag Module	Actuator	Vehicle (including Occupants)	Controlled Process
Crash Sensor	Sensor	Air Bag Control Unit	Controller
Passenger Air Bag Indicator Light	Sensor	Driver	Controller
Passenger Presence Sensing Module	Controller	Air Bag Control Unit	Actuator
Passenger Presence Sensing Module	Controller	Air Bag Control Unit	Actuator
Passenger Presence Sensing Module	Sensor	Passenger Presence Sensing Module	Controller
Seat Belt Pretensioner	Actuator	Vehicle (including Occupants)	Controlled Process
Seat Belt Tension Sensor	Sensor	Passenger Presence Sensing Module	Controller
Seat Track Position Sensor	Sensor	Air Bag Control Unit	Controller
Vehicle (including Occupants)	Controlled Process	Seat Track Position Sensor	Sensor
Vehicle (including Occupants)	Controlled Process	Seat Belt Tension Sensor	Sensor
Vehicle (including Occupants)	Controlled Process	Crash Sensor	Sensor
Vehicle (including Occupants)	Controlled Process	Passenger Presence Sensor	Sensor

**Add New System Connection**

Connection Originating Component

Name:

Type:

Connection Terminating Component

Name:

Type:

Enter a Connection Description:

Delete Existing Modify Existing Save As New

Return to Main Menu Step 1: Component Step 3: Control Action View Control Structure Diagram Close Form

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Figure 18: System Connections Input Form

SafetyHAT allows you to make connections between any two components. The component type drop-down list determines the role of each component in the connection. Components may be assigned different component types depending on the connection being defined. For example, in Figure 18, the Air Bag Control Unit represents an actuator with respect to the Passenger Presence Sensing Module, and represents a controller with respect to the Crash Sensor.



*This step effectively defines the control system for your analysis. It is critical to ensure that the connections and component types accurately reflect your control structure.*

To create a new connection:

1. Select the originating component for the connection from the first drop-down list on the right side of the form (see Figure 19).

SafetyHAT generates the list of available components based on your entries in Step 1. If a component does not appear in the drop-down list, return to Step 1 and add the component.

**System Connections Input Form** Step: 1 2 3 4 5 6 7 8

Review Existing System Connections

**Existing System Connections**

From	Type	To
Air Bag Control Unit	Controller	Passenger Air Bag Button
Air Bag Control Unit	Controller	Air Bag Module
Air Bag Control Unit	Controller	Crash Sensor
Air Bag Module	Actuator	Vehicle (including Occupants)
Crash Sensor	Sensor	Air Bag Control Unit
Passenger Air Bag Indicator Light	Sensor	Driver
Passenger Presence Sensing Module	Controller	Air Bag Control Unit
Passenger Presence Sensing Module	Controller	Air Bag Control Unit
Passenger Presence Sensor	Sensor	Passenger Presence Sensing Module
Seat Belt Pretensioner	Actuator	Vehicle (including Occupants)
Seat Belt Tension Sensor	Sensor	Passenger Presence Sensing Module
Seat Track Position Sensor	Sensor	Air Bag Control Unit
Vehicle (including Occupants)	Controlled Process	Seat Track Position Sensor
Vehicle (including Occupants)	Controlled Process	Seat Belt Tension Sensor
Vehicle (including Occupants)	Controlled Process	Crash Sensor
Vehicle (including Occupants)	Controlled Process	Passenger Presence Sensor

Select an originating component using the drop-down box

**Add New System Connection**

Connection Originating Component

From: Air Bag Control Unit  
Air Bag Module  
Crash Sensor  
Driver  
Passenger Air Bag Button  
Passenger Air Bag Indicator Light  
Passenger Presence Sensing Module  
Passenger Presence Sensor  
Seat Belt Pretensioner  
Seat Belt Tension Sensor  
Seat Track Position Sensor  
Vehicle (including Occupants)

Type: Enter a component type

Delete Existing Modify Existing Save As New

If a component is not shown, navigate to the previous step and enter the component into the tool

Return to Main Menu Step 1: Component Step 3: Control Action View Control Structure Diagram Close Form Form Guidance

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Figure 19: Selecting an Originating Component From the System Connections Input Form



2. Assign the originating component a type using the second drop-down list.

SafetyHAT is preloaded with five component types, based on STPA. The preloaded component types are described below:

- **Controllers** process information and issue control actions.
- **Actuators** execute and implement control actions.
- **Sensors** measure system states and report the information to controllers.
- **Controlled Processes** modify behavior in response to an actuator input.
- **Process Input Suppliers** provide resources to the Controlled Process.

The screenshot displays the 'System Connections Input Form' with a progress bar at the top indicating Step 2 of 8. The form is divided into two main sections: 'Review Existing System Connections' and 'Add New System Connection'.

**Review Existing System Connections:** This section contains a table with columns for 'From', 'Type', and 'To'. It lists various components like 'Air Bag Control Unit', 'Crash Sensor', 'Passenger Air Bag Indicator Light', 'Passenger Presence Sensing Module', 'Seat Belt Pretensioner', 'Seat Belt Tension Sensor', 'Seat Track Position Sensor', 'Vehicle (including Occupants)', and 'Vehicle (including Occupants)' with their respective types (Controller, Sensor, Actuator, Controlled Process).

**Add New System Connection:** This section includes a 'Connection Originating Component' dropdown menu. A yellow callout bubble points to this menu with the text: 'Assign a component type based on the five preloaded component categories.' The dropdown menu is open, showing options: 'Driver', 'Actuator', 'Sensor', 'Controller' (highlighted), 'Controlled Process', and 'Process Input Supplier'. Below the dropdown is a text area labeled 'Enter a Connection Description:'.

At the bottom of the form, there are buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'. A footer bar contains 'Return to Main Menu', 'Step 1: Component', 'Step 3: Control Action', 'View Control Structure Diagram', 'Close Form', and 'Form Guidance'.

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Figure 20: Selecting a Component Type From the System Connections Input Form

3. Repeat steps 1 and 2 to select a terminating component.

SafetyHAT only allows certain connections between component types based on the STPA framework. Your available options for the terminating component type will be restricted based on the type you assigned to the originating component. For example, a connection originating from a sensor can only terminate at a controller.

4. Enter a detailed description for the connection.
5. Click the *Save As New* button.



*SafetyHAT is preloaded with five component and five connection types described in STPA. These preloaded types can be modified through SafetyHAT's Advanced Options feature.*

To modify an existing connection:

1. Select the connection you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.

SafetyHAT will still restrict the allowed connection types when modifying an entry. If you attempt to create an invalid connection, the dialogue box shown in Figure 21 will appear.

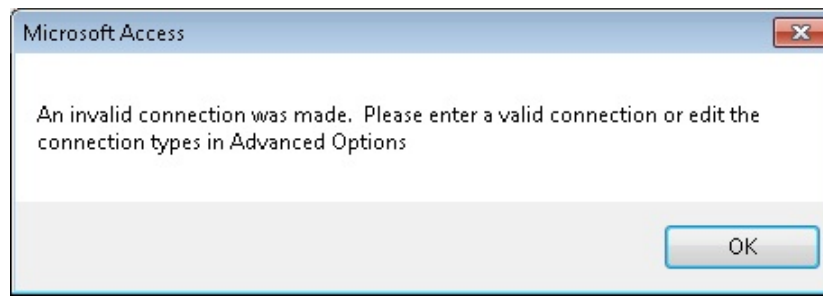


Figure 21: Invalid Connection Error Message

3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).

To delete an existing component:

1. Select the component you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

### 3.5.3 Step 3: Control Action Input Form

A control action is the command issued by a controller that changes the system state. Control actions are necessary to ensure proper system function and ensure system safety. This form allows you to enter, modify, or delete control actions for components you designated as controllers in Step 2. The layout of the Control Action Input Form is shown in Figure 22.

Figure 22: Control Action Input Form

Control actions are typically specific to the controller and system being analyzed, and should be clearly defined. For the air bag control example, the air bag controller may issue the control action “Deploy Air Bag”. A single control action should not include more than one command. For example, the control action “Indicator Light On/Off” is ambiguous. Instead, input the separate control actions “Indicator Light On” and “Indicator Light Off”. This will facilitate your analysis in later stages of SafetyHAT.



*A control action should not include more than one command. For example, enter “Indicator Light On” and “Indicator Light Off” separately, instead of “Indicator Light On/Off”.*

To enter a new control action:

1. Select a controller using the drop-down list on the right side of this form (see Figure 23).

Any component you designated as a controller in Step 2 will appear in this list. Once you select a controller, the list of existing control actions for that controller will be shown on the left side of the form. If a controller does not appear in the drop-down list, return to Step 2 and make sure the component was entered as a controller for at least one system connection.

**Control Action Input Form**

Step: 1 2 3 4 5 6 7 8

Review Existing Control Actions

**View Control Actions by Controller**

Air Bag Control Unit

Deploy air bag

Deploy seat belt pretensioner

Select a controller from the drop-down box.

**Add New Control Action**

**Select Controller**

Air Bag Control Unit

Driver

Air Bag Control Unit

Passenger Presence Sensing Module

Enter Detailed Description of the Control Action:

Delete Existing Modify Existing Save As New

If a controller is not shown, navigate to the previous form and ensure the connection has been entered

Return to Main Menu Step 2: Connections Step 4: System Accidents or Losses View Control Structure Diagram Close Form

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Figure 23: Selecting a Controller in the Control Action Input Form

2. Enter the control action phrase in the entry field below the controller (see Figure 24).
3. Enter a detailed description of the control action in the last entry field (see Figure 24).
4. Click the *Save As New* button.

**Control Action Input Form** Step: 1 2 **3** 4 5 6 7 8

**Review Existing Control Actions**

**View Control Actions by Controller** Sort: Order Entered A-Z

Air Bag Control Unit

Deploy air bag

Deploy seat belt pretensioner

**Add New Control Action**

**Select Controller**

Air Bag Control Unit

**Enter Control Action:**

Illuminate Passenger Air Bag Disabled Light

**Enter Detailed Description of the Control Action:**

Turn on the "Passenger Air Bag Disabled" light when the passenger air bag is not activated

Delete Existing Modify Existing Save As New

Return to Main Menu Step 2: Connections Step 4: System Accidents or Losses View Control Structure Diagram Close Form

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Figure 24: Entering a Control Action in the Control Action Input Form

To modify an existing control action:

1. Select a controller from the drop-down list on the left side of the form (see Figure 25).
2. Select the control action you want to edit from the box on the left side of the form.
3. Make the necessary changes in the fields on the right side of the form.
4. Click the *Modify Existing* button.
5. Click Yes to confirm your change(s).

Figure 25: Selecting a Control Action to Modify or Delete in the Control Action Input Form

To delete an existing control action:

1. Select a controller from the drop-down list on the left side of the form (see Figure 25).
2. Select the control action you want to delete from the box on the left side of the form.
3. Click the *Delete Existing* button.
4. Click Yes to confirm deletion.

### 3.5.4 Step 4: Accident (or Losses) Input Form

In STPA an accident is defined as “an undesired or unplanned event that results in a loss, including loss of human life or human injury, property damage, environmental pollution, mission loss, etc.” [1] For example, accidents may include loss of life, loss of property, or environmental contamination. The Accident (or Losses) Input Form allows you to enter, modify, or delete system-level accidents in SafetyHAT. The layout of the Accident (or Losses) Input Form is shown in Figure 26.



*Accidents should not be confused with hazards. Accidents are undesired events and hazards are system states that lead to accidents in worst-case environmental conditions.*

To enter a new system-level accident:

1. Enter the system-specific accident in the first field on the right side of the form (see Figure 26).
2. Enter a detailed description of the accident in the second field on the right side of the form.
3. Click the *Save As New* button.

Accident (or Losses) Input Form

Step: 1 2 3 4 5 6 7 8

Review Existing System Accidents or Losses

Existing System Accidents (or Losses)

Sort: Order Entered A-Z

Add New System Accident or Losses

Enter System Accident (or Loss):  
Vehicle Occupant Injury or Death

Enter Detailed Description of the Accident (or Loss):  
Vehicle occupant is injured or killed. This may occur during a crash or as a result of normal vehicle operation.

Delete Existing Modify Existing Save As New

Return to Main Menu Step 3: Control Actions Step 5: System Hazards View Control Structure Diagram Close Form

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Form Guidance

Figure 26: Accident (or Losses) Input Form

To modify an existing accident:

1. Select the accident you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).

To delete an existing accident:

1. Select the accident you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

### 3.5.5 Step 5: Hazard Input Form

Hazards are defined as system states or conditions that lead to a system accident under a specific set of worst-case environmental conditions. Hazards are typically high-level and broadly defined conditions, such as "Vehicle Instability" or "Unexpected Deceleration". You should make sure not to confuse hazards with accidents (unwanted consequences from a hazard) or control actions (lower-level commands that could potentially lead to a hazard).

To enter a new system-level hazard:

1. Enter the hazard in the first field on the right side of the form (see Figure 27).
2. Add a detailed description of the hazard in the second field on the right side of the form.
3. Associate one or more of the system-level accidents with this hazard by clicking on the accident in the list box on the right side of the form.

If an accident does not appear in the list on the right side of the form, return to Step 4 and add the accident.

4. Click the *Save As New* button.



Figure 27: Hazard Input Form

To modify an existing hazard:

1. Select the hazard you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).

To delete an existing hazard:

1. Select the hazard you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

### 3.5.6 Step 6: Unsafe Control Action (UCA) Analysis

The Unsafe Control Action (UCA) Analysis form will help you assess which of the potential unsafe control action scenarios may lead to the system-level hazards you entered in Step 5 of SafetyHAT. Figure 28 shows the general layout of the UCA Analysis form.

Unsafe Control Action (UCA) Analysis

Step: 1 2 3 4 5 6 7 8

Current Control Action

Select Controller

Control Action

Control Action Analysis Completed

Previous Control Action

Next Control Action

Existing Unsafe Control Actions

Select Unsafe Control Action Category

Complete Add Note

Existing UCAs for Selected Control Action and UCA Category

Unsafe Control Action Analysis

Enter or Select a Detailed Description for UCA

(All UCAs for Selected Controller)

Select Relevant Hazards (if applicable)

Restraint System Malfunction (Failure, Loss or Degradation)

Delete Existing

Modify Existing

Save As New

Return to Main Menu

Step 5: System Hazards

Step 7: Causal Factor Analysis

View Control Structure Diagram

Close Form

Form Guidance

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Figure 28: Unsafe Control Action (UCA) Analysis Form

The system will not enter a hazardous state unless an unsafe control action has been issued by a controller or a required control action to remain safe was not issued by a controller. Not all unsafe control action scenarios will lead to the hazardous system states you are evaluating with SafetyHAT. Conversely, some unsafe control action scenarios may lead to more than one hazardous state. Figure 29 shows a sample unsafe control action analysis.

An example Unsafe Control Action analysis:

<b>Controller:</b>	Air Bag Control Module
<b>Control Action:</b>	Deploy Air Bag
<b>Unsafe Control Action Guide Phrase:</b>	A control action is NOT PROVIDED WHEN NEEDED, causing hazard
<b>Detailed UCA Description:</b>	The air bag is deployed when the vehicle is not in a crash.
<b>Associated System Hazard:</b>	Restraint System Loss or Degradation

Figure 29: An Example Unsafe Control Action Analysis

To evaluate an unsafe control action:

1. Select a system controller from the drop-down list at the top of the form (see Figure 30).

If a controller does not appear in the drop-down list, return to Step 3 and make sure you have entered at least one control action for that controller. The first control action for the selected controller will be shown in the field below the drop-down list.

Figure 30: Selecting a Controller in the Unsafe Control Action (UCA) Analysis Form

2. Select one of the Unsafe Control Action guide phrases from the drop-down list on the left side of the form (see Figure 31).

After selecting a UCA guide phrase, the existing descriptions for the current control action and UCA guide phrase will be shown in the below the drop-down list.

SafetyHAT has six preloaded UCA guide phrases. These guide phrases are designed to help you consider ways in which the control action at the top of the form could lead to an unsafe condition.

In the drop-down list, two columns are located to the right of the UCA guide phrase.

- The first column corresponds to the “Complete” check box. A “Y” in this column indicates that you have already designated the analysis for that UCA guide phrase as complete.
- The second column corresponds to the “Note” button. A “Y” in this column indicates that a note was entered for this UCA guide phrase.

**Unsafe Control Action (UCA) Analysis** Step: 1 2 3 4 5 **6** 7 8

**Current Control Action**

Select Controller: Air Bag Control Unit

Control Action: 1 of 3

Deploy air bag

Control Action Analysis Completed

**Existing Unsafe Control Actions**

Select Unsafe Control Action Category

Provided, but executed incorrectly	Y	N
Provided when control action is not needed and unsafe	Y	N
Provided, but the intensity is incorrect (too much or too little)	Y	N
Provided, but executed incorrectly	N	N
Provided, but duration is too long or too short	N	N
Provided, but the starting time is too soon or too late	Y	N
Not provided when needed to maintain safety	Y	N

Select Relevant Hazards (if applicable)

Restraint System Malfunction (Failure, Loss or Degradation)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 5: System Hazards Step 7: Causal Factor Analysis View Control Structure Diagram Close Form

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Form Guidance

Figure 31: Selecting a UCA Guide Phrase to Analyze in the Unsafe Control Action (UCA) Analysis Form

3. Enter a more detailed description of the unsafe control action in the first field on the right side of the form.
  - Since the preloaded UCA guide phrases are generic, a system-specific description is necessary to explain how the UCA guide phrase affects your system.
  - If you want to re-use a detailed UCA description that already has been entered, the drop-down list on the right side of the form will provide you with a list of existing UCA descriptions for the current controller.
4. Associate one or more system hazards with the UCA description by selecting the hazards in the last field on the right side of the form. If a UCA description is not associated with a hazard, the description will be saved in SafetyHAT but will not appear in Step 7 for further analysis.
5. Click the *Save As New* button.



*SafetyHAT is preloaded with six Unsafe Control Action guide phrases. These guide phrases can be modified through SafetyHAT's Advanced Options feature.*



To ensure a complete analysis, each UCA guide phrase should be evaluated. However, not all UCAs may lead to the system hazards being considered in your project.

To modify an existing UCA description:

1. Select the UCA description you want to edit from the box on the left side of the form.

If no UCA descriptions are shown, make sure a UCA guide phrase has been selected from the drop-down list on the left side of the form.

2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s). The dialogue box shown in Figure 32 will appear.
  - Clicking *Yes* will apply your change to the current description. This change will also be applied anywhere else the current description appears for the current controller. Use this feature if you want to make your edit universal.
  - Clicking *No* will only apply your change to the current description. If the current description appears elsewhere, those entries will *not* be changed. Use this feature if you only want to edit a single entry.

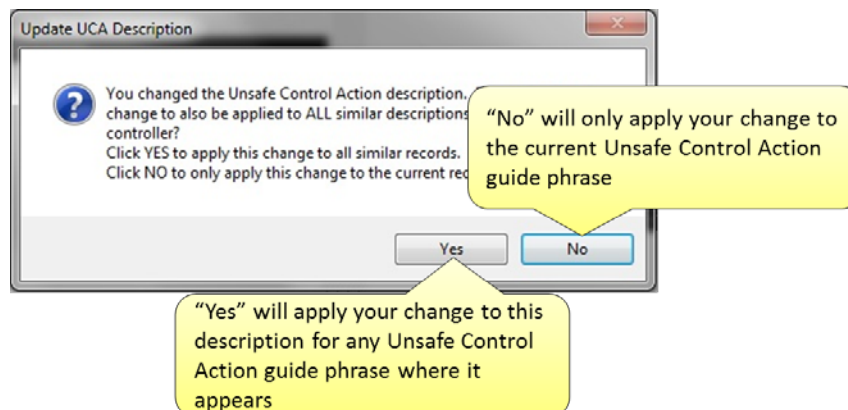


Figure 32: Confirming Modification of an Entry in the Unsafe Control Action (UCA) Analysis Form

To delete an existing UCA description:

1. Select the UCA description you want to delete from the box on the left side of the form.  
  
If no UCA descriptions are shown, make sure a UCA guide phrase has been selected from the drop-down list on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

More than one description can be entered for each UCA guide phrase. Continue adding new descriptions until all relevant unsafe control action descriptions have been added for a particular control action / unsafe control action guide phrase pairing. After you have completed entering the descriptions for a UCA guide phrase, you can mark the guide phrase as complete (see Figure 33).

Unsafe Control Action (UCA) Analysis

Step: 1 2 3 4 5 6 7 8

This box automatically becomes checked after all Unsafe Control Action guide phrases for the current control action have been marked "Complete"

Control Action Analysis Completed

Previous Control Action

Next Control Action

Existing Unsafe Control Actions

Select Unsafe Control Action Category

Provided, but executed incorrectly

Complete Add Note

Existing UCAs for Selected Control Action and UCA Category

Air bag deploys, but the positioning

Check this box once you have completed entering descriptions for an Unsafe Control Action guide phrase

Unsafe Control Action Analysis

Enter or Select a Detailed Description for UCA

Air bag deploys, but does not inflate correctly.

(All UCAs for Selected Controller)

Select Relevant Hazards (if applicable)

Restraint System Malfunction (Failure, Loss or Degradation)

Delete Existing

Modify Existing

Save As New

Return to Main Menu

Step 5: System Hazards

Step 7: Causal Factor Analysis

View Control Structure Diagram

Close Form

Form Guidance

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Figure 33: Marking a UCA Guide Phrase as "Complete" in the Unsafe Control Action (UCA) Analysis Form

For a complete analysis, each UCA guide phrase in the drop-down list on the left side of the screen should be evaluated for each control action. Likewise, each control action and controller should be fully analyzed.

After all UCA guide phrases for a control action have been designated as complete, the check box at the top of the form will automatically become marked. This will help you quickly identify control actions which still require unsafe control action analysis.

To navigate between control actions, there are two navigation buttons located at the top of the form (see Figure 34).

- The *Next Control Action* button will take you to the next control action for the current controller. This button will be disabled on the last control action for the current controller.
- The *Previous Control Action* button will take you to the previous control action for the current controller. This button will be disabled on the first control action for the current controller.

The screenshot displays the 'Unsafe Control Action (UCA) Analysis' form. At the top, a progress bar indicates the current step is 6 out of 8. The form is divided into several sections. The 'Current Control Action' section includes a 'Select Controller' dropdown menu with 'Air Bag Control Unit' selected, a 'Control Action: 1 of 3' label, and a text input field containing 'Deploy air bag'. Below this is a checkbox labeled 'Control Action Analysis Completed'. Two buttons, 'Previous Control Action' and 'Next Control Action', are positioned to the right of the checkbox. A yellow callout bubble points to these buttons with the text: 'Use these navigation buttons to move between the control actions for the selected controller'. The 'Existing Unsafe Control Actions' section contains a 'Select Unsafe Control Action Category' dropdown, a large text area for 'Existing UCAs for Selected Control Action and UCA Category', and a 'Description for UCA' text area. Below these are buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'. The bottom of the form features a footer with the Volpe logo and the text 'The National Transportation Systems Center'. Navigation buttons at the bottom include 'Return to Main Menu', 'Step 5: System Hazards', 'Step 7: Causal Factor Analysis', 'View Control Structure Diagram', 'Close Form', and 'Form Guidance'.

Figure 34: Navigating Between Control Actions in the Unsafe Control Action (UCA) Analysis Form

SafetyHAT allows you to attach a note to the selected UCA guide phrase for the current control action by clicking the *Add Note* button (see Figure 35). This feature lets you store personal notes for your analysis, similar to a “sticky-note”. Information entered as a note does not appear in your final output from SafetyHAT.

The layout of the note entry screen is shown in Figure 36.



Figure 35: Adding a Note in the Unsafe Control Action (UCA) Analysis Form

Figure 36: Note Form

To add a note:

1. Click the *Add Note* button on the Unsafe Control Action (UCA) Analysis Form.
2. Type your note directly into the note form.

3. Click the *Save Note* button on the note form.

To delete a note

1. Click the *Add Note* button on the Unsafe Control Action (UCA) Analysis Form.
2. Click the *Delete Note* button on the note form.

The background of the *Add Note* button will change to yellow after a note has been added. The corresponding column in the unsafe control action guide phrase drop-down list will also be marked with a “Y”.

### 3.5.7 Step 7: Causal Factor Analysis

The Causal Factor Analysis form will guide you through analyzing how the components and connections in your system may lead to unsafe control actions. Figure 37 shows the general layout of the Causal Factor Analysis form.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

Controller 1 of 2  
Air Bag Control Unit

Description 1 of 8  
Air bag deploys, but does not inflate correctly.

Associated Hazards:  
Restraint System Malfunction (Failure, Loss or Degradation)

Control Action Analysis Completed ☒

Previous Controller Previous Record Next Record Next Controller Add Note

**Existing Causal Factor Analyses** Sort: Order Entered Component Name A-Z

Existing Causal Factors for Selected Unsafe Control Action

Causal Factor	Component Name or Connection From	Connection To
---------------	-----------------------------------	---------------

**Causal Factor Analysis**

Select: Component or Connection

Select the Appropriate Causal Factor

Enter or Select a Causal Factor Description

(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis Step 8: Export Data View Control Structure Diagram Close Form

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Causal Factor Diagram Form Guidance

Figure 37: Causal Factor Analysis Form

SafetyHAT provides you with unsafe control actions to analyze based on the unsafe control action descriptions you associated with system hazards in Step 6. The details of each unsafe control action are shown at the top of the form. You can navigate between unsafe control action descriptions using the *Next Record* and *Previous Record* buttons (see Figure 38). The *Next Controller* and *Previous Controller* buttons let you move quickly between controllers.

The screenshot shows the 'Causal Factor Analysis' form. At the top, a progress bar indicates steps 1 through 8, with step 7 currently selected. The form is divided into several sections:

- Unsafe Control Action Details:** This section at the top contains fields for 'Controller 1 of 2' (with the value 'Air Bag Control Unit') and 'Description 1 of 8' (with the value 'Air bag deploys, but does not inflate correctly.'). Below these fields are buttons for 'Previous Controller', 'Previous Record', 'Next Record', and 'Next Controller'. A yellow callout bubble points to the top of this section, stating: 'The details for each Unsafe Control Action are shown at the top of the form'. Another yellow callout bubble points to the 'Next Controller' and 'Previous Controller' buttons, stating: 'Use the "Next Controller" and "Previous Controller" buttons to quickly move between controllers'.
- Existing Causal Factor Analyses:** This section contains a table with columns for 'Causal Factor' and 'Component Connection'. A yellow callout bubble points to the table, stating: 'Use the navigation buttons to move between different Unsafe Control Action descriptions'. To the right of the table is a sidebar with a dropdown menu 'Select the Appropriate Causal Factor', a text input field 'Enter or Select a Causal Factor Description', and a dropdown menu '(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)'. Below these are buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'.
- Footer:** The bottom of the form features a navigation bar with buttons for 'Return to Main Menu', 'Step 6: Unsafe Ctl Action Analysis', 'Step 8: Export Data', 'View Control Structure Diagram', and 'Close Form'. The Volpe logo and 'The National Transportation Systems Center' text are on the left, and 'Causal Factor Diagram' and 'Form Guidance' buttons are on the right.

Figure 38: Navigating Between Controllers and Control Actions in the Causal Factor Analysis Form

STPA provides guidance in conducting the causal factor analysis through the use of "causal factor guide phrases", which provide generalized descriptions for how components or connections in the system could lead to an unsafe control action occurring. Since these causal factor guide phrases are generalized, it is incumbent on the user to provide the system-specific details. Multiple causal factors may exist for each unsafe control action description.

To evaluate causal factors related to system **components**:

1. Select “Component” from the first drop-down list on the right side of the form (see Figure 39).

SafetyHAT will automatically limit your available options in subsequent steps to system components and component-related causal factors.

The screenshot displays the 'Causal Factor Analysis' form, which is part of a multi-step process (Steps 1-8). The form is titled 'Causal Factor Analysis' and includes a progress bar at the top. The main section is divided into two panes. The left pane, titled 'Unsafe Control Action Details', contains fields for 'Controller 1 of 2' (Air Bag Control Unit), 'Description 7 of 8' (Air bag deploys when the vehicle is not in a crash.), and a 'Control Action Analysis Completed' status. The right pane, titled 'Causal Factor Analysis', features a dropdown menu labeled 'Select: Component or Connection' with 'Component' selected. Below this, there is a 'Component Type' dropdown, a 'Select the Appropriate Causal Factor' dropdown, and a text area for 'Enter or Select a Causal Factor Description'. A yellow callout bubble points to the 'Component' selection, stating: 'Select “Component” to analyze component-related causal factors or “Connection” to analyze connection-related causal factors'. The bottom of the form includes navigation buttons: 'Return to Main Menu', 'Step 6: Unsafe Ctl Action Analysis', 'Step 8: Export Data', 'View Control Structure Diagram', 'Close Form', 'Causal Factor Diagram', and 'Form Guidance'. The Volpe logo and 'The National Transportation Systems Center' are visible in the bottom left corner.

Figure 39: Selecting the Component or Connection Category in the Causal Factor Analysis Form

2. Select a component to analyze from the second drop-down list on the right side of the form (see Figure 40).

SafetyHAT generates this list from the system components you entered in Step 1 of SafetyHAT.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

**Controller 1 of 2**  
Air Bag Control Unit

**Description 7 of 8**  
Air bag deploys when the vehicle is not in a crash.

**Associated Hazards:**  
Restraint System Malfunction (Failure, Loss or Degradation)

**Control Action**  
Analysis Completed

**Existing Causal Factor Analyses**

Sort: Order Entered Component Name A-Z

**Existing Causal Factors for Selected Unsafe Control Action**

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over	Air Bag Control Unit	
Controller hardware faulty, change over	Air Bag Control Unit	
Software error (inadequate control algorithm)	Air Bag Control Unit	
Sensor inadequate operation, change over time	Crash Sensor	Air Bag Control Unit
Sensor to controller signal inadequate, missing	Crash Sensor	Air Bag Control Unit

**Select a causal component from the drop down box**

**Causal Factor Analysis**

Select: Component or Connection

Component

Causal Component

- Air Bag Control Unit
- Air Bag Module
- Crash Sensor
- Driver
- Passenger Air Bag Button
- Passenger Air Bag Indicator Light
- Passenger Presence Sensing Module
- Passenger Presence Sensor
- Seat Belt Pretensioner
- Seat Belt Tension Sensor
- Seat Track Position Sensor
- Vehicle (including Occupants)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis Step 8: Export Data View Control Structure Diagram Close Form

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Causal Factor Diagram Form Guidance

Figure 40: Selecting a System Component in the Causal Factor Analysis Form

3. Select a component type from the third drop-down list on the right side of the form (see Figure 41).

The available options in this drop-down list are based on the types you assigned to the selected component when defining the system connections in Step 2 of SafetyHAT. SafetyHAT uses your selection in this drop-down list to generate a list of relevant causal factor guide phrases.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

**Controller 1 of 2**  
Air Bag Control Unit

**Description 7 of 8**  
Air bag deploys when the vehicle is not in a crash.

**Associated Hazards:**  
Restraint System Malfunction (Failure, Loss or Degradation)

**Control Action**  
Analysis Completed

**Existing Causal Factor Analyses**

Sort: Order Entered Component Name A-Z

**Existing Causal Factors for Selected Unsafe Control Action**

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Software error (inadequate control algorithm, Sensor inadequate operation, change over time)	Air Bag Control Unit	
Sensor to controller signal inadequate, missing	Crash Sensor	Air Bag Control Unit

**Causal Factor Analysis**

Select: Component or Connection  
Component

Causal Component  
Sensor

Enter or Select a Causal Factor Description

(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis Step 8: Export Data View Control Structure Diagram Close Form

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Causal Factor Diagram Form Guidance

Figure 41: Selecting a Component Type in the Causal Factor Analysis Form



4. Select a generalized causal factor guide phrase from the fourth drop-down list on the right side of the form (see Figure 42).

The available guide phrases are based on the component type you selected in the previous step. If you need additional guidance on selecting a causal factor, a graphical representation of the causal factors and their relation to a simplified control structure diagram can be accessed by clicking the *Causal Factor Diagram* button at the bottom of the Causal Factor Analysis form.

The screenshot displays the 'Causal Factor Analysis' form, which is part of a multi-step process (Steps 1-8). The form is divided into several sections:

- Unsafe Control Action Details:** Includes fields for 'Controller 1 of 2' (Air Bag Control Unit), 'Description 7 of 8' (Air bag deploys when the vehicle is not in a crash.), and a 'Control Action Analysis Completed' status.
- Associated Hazards:** Lists 'Restraint System Malfunction (Failure, Loss or Degradation)'.
- Existing Causal Factor Analyses:** A table with columns for 'Causal Factor', 'Component Name or Connection From', and 'Connection To'. It lists several hazardous interactions involving the 'Air Bag Control Unit'.
- Causal Factor Analysis:** This section contains several dropdown menus and a list of causal factors. A yellow callout box points to the 'Select the Appropriate Causal Factor' dropdown, which is currently set to 'Sensor inadequate operation, change over time'. Other options in the list include 'External disturbances', 'Power supply faulty (high, low, disturbance)', and 'Hazardous interaction with other components in the rest of the vehicle'.
- Buttons:** At the bottom, there are buttons for 'Return to Main Menu', 'Step 6: Unsafe Ctl Action Analysis', 'Step 8: Export Data', 'View Control Structure Diagram', 'Close Form', 'Causal Factor Diagram', and 'Form Guidance'.

A yellow callout box with the text 'Select a generalized Causal Factor guide phrase' points to the 'Select the Appropriate Causal Factor' dropdown menu in the 'Causal Factor Analysis' section.

Figure 42: Selecting a Causal Factor Guide Phrase in the Causal Factor Analysis Form

5. Enter a system-specific description of the causal factor in the text field on the right side of the form (see Figure 43).

Since the causal factor guide phrase is generalized, this description helps relate the causal factor to your specific system. You can also apply an existing description to your current selection using the last drop-down list on the right side of the form. The available selections in this drop-down list are based on your current component and causal factor guide phrase selection.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

Controller 1 of 2  
Air Bag Control Unit

Description 7 of 8  
Air bag deploys when the vehicle is not in a crash.

Control Action Analysis Completed

Previous Controller Previous Record Next Record Next Controller Add Note

**Associated Hazards:**  
Restraint System Malfunction (Failure, Loss or Degradation)

**Existing Causal Factor Analyses** Sort: Order Entered Component Name A-Z

**Existing Causal Factors for Selected Unsafe Control Action**

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Software error (inadequate control algorithm,	Air Bag Control Unit	
Sensor inadequate operation, change over time	Crash Sensor	
Sensor to controller signal inadequate, m		

**Causal Factor Analysis**

Select: Component or Connection  
Component

Causal Component  
Crash Sensor

Component Type  
Sensor

Select the Appropriate Causal Factor  
Sensor inadequate operation, change over time

Enter or Select a Causal Factor Description  
lateral crash sensor is too sensitive and issues a crash signal when the doors are closed forcefully.

(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)

Create Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis View Control Structure Diagram Close Form

Causal Factor Diagram Form Guidance

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Figure 43: Entering a Causal Factor Description in the Causal Factor Analysis Form

6. Click the Save As New button.



Selecting an existing entry from the drop-down list is an efficient way to copy entries between unsafe control action descriptions.



To evaluate causal factors related to system connections:

1. Select “Connection” from the first drop-down list on the right side of the form (see Figure 39).

This selection will cause SafetyHAT to limit your available options in subsequent steps to system connections and connection-related causal factors.

2. Select the originating component for the connection from the second drop-down list on the right side of the form (see Figure 44).

The screenshot displays the 'Causal Factor Analysis' form, which is part of a multi-step process (Steps 1-8). The form is divided into several sections:

- Unsafe Control Action Details:** Includes fields for 'Controller 1 of 2' (Air Bag Control Unit), 'Description 7 of 8' (Air bag deploys when the vehicle is not in a crash.), and 'Associated Hazards' (Restraint System Malfunction (Failure, Loss or Degradation)).
- Navigation:** Buttons for 'Previous Controller', 'Previous Record', 'Next Record', 'Next Controller', and 'Add Note'.
- Existing Causal Factor Analyses:** A table with columns 'Causal Factor', 'Component Name or Connection From', and 'Connection To'. It lists various causal factors like 'Hazardous interaction with other components' and 'Sensor inadequate operation, change over time'.
- Causal Factor Analysis:** A section for selecting a component or connection. It includes a 'Select: Component or Connection' dropdown menu (set to 'Connection') and a 'Causal Connection: From' dropdown menu. A yellow callout box points to the 'Causal Connection: From' dropdown, stating: 'Select the originating component from the left drop down box'. The dropdown list shows options like 'Air Bag Control Unit', 'Air Bag Module', 'Crash Sensor', 'Driver', 'Passenger Air Bag Indicator Light', 'Passenger Presence Sensing Module', 'Passenger Presence Sensor', 'Seat Belt Pretensioner', 'Seat Belt Tension Sensor', 'Seat Track Position Sensor', and 'Vehicle (including Occupants)'. Below this are buttons for 'Delete Existing', 'Modify Existing', and 'Save As New'.
- Footer:** Includes the Volpe logo, 'The National Transportation Systems Center', and buttons for 'Return to Main Menu', 'Step 6: Unsafe Ctl Action Analysis', 'Step 8: Export Data', 'View Control Structure Diagram', 'Close Form', 'Causal Factor Diagram', and 'Form Guidance'.

Figure 44: Selecting an Originating Component for Connection in the Causal Factor Analysis Form

3. Select the terminating component from the third drop-down list on the right side of the form (see Figure 45).

SafetyHAT automatically filters the terminating components based on the system connections you defined in SafetyHAT Step 2. Only components you connected to the selected originating component will be shown in this drop-down list.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

**Controller 1 of 2**  
Air Bag Control Unit

**Description 7 of 8**  
Air bag deploys when the vehicle is not in a crash.

**Control Action**  
Analysis Completed

**Associated Hazards:**  
Restraint System Malfunction (Failure, Loss or Degradation)

Previous Controller Previous Record Next Record Next Controller Add Note

**Existing Causal Factor Analyses** Sort: Order Entered Component Name A-Z

**Existing Causal Factors for Selected Unsafe Control Action**

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Software error (inadequate control algorithm,	Air Bag Control Unit	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor to controller signal inadequate, missing	Crash Sensor	Air Bag Control Unit

**Causal Factor Analysis**

Select: Component or Connection  
Connection

Causal Connection: From Causal Connection: To  
Air Bag Control Unit

Enter or Select a Causal Factor Description

(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis Step 8: Export Data View Control Structure Diagram Close Form

**Volpe** The National Transportation Systems Center Causal Factor Diagram Form Guidance

Figure 45: Selecting a Terminating Component for a Connection in the Causal Factor Analysis Form

4. Select the connection type from the fourth drop-down list on the right side of the form (see Figure 46).

The available options in this drop-down list are based on the types you assigned to this connection when defining the system connections in Step 2 of SafetyHAT.

**Causal Factor Analysis** Step: 1 2 3 4 5 6 7 8

**Unsafe Control Action Details**

Controller 1 of 2  
Air Bag Control Unit

Description 7 of 8  
Air bag deploys when the vehicle is not in a crash.

Associated Hazards:  
Restraint System Malfunction (Failure, Loss or Degradation)

Control Action Analysis Completed Previous Controller Previous Record Next Record Next Controller Add Note

**Existing Causal Factor Analyses** Sort: Order Entered Component Name A-Z

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Software error (inadequate control algorithm,	Air Bag Control Unit	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor to controller signal inadequate, missing	Crash Sensor	Air Bag Control Unit

**Causal Factor Analysis**

Select: Component or Connection  
Connection

Causal Connection: From Crash Sensor Causal Connection: To Air Bag Control Unit

Enter or Select a Causal Factor Description

(All Causal Factor Descriptions for Selected Component / Connection and Causal Factor)

Delete Existing Modify Existing Save As New

Return to Main Menu Step 6: Unsafe Ctl Action Analysis Step 8: Export Data View Control Structure Diagram Close Form

Volpe The National Transportation Systems Center Causal Factor Diagram Form Guidance

Figure 46: Selecting a Connection Type in the Causal Factor Analysis Form

5. Select a generalized causal factor guide phrase from the fourth drop-down list on the right side of the form (see Figure 42).

The available guide phrases are based on the connection type you selected in the previous step.

6. Enter a system-specific description of the causal factor in the text field on the right side of the form (see Figure 43).

You can also apply an existing description to your current selection using the last drop-down list on the right side of the form. The available selections in this drop-down list are based on your current component and causal factor guide phrase selection.

7. Click the *Save As New* button.

To modify an existing causal factor description:

1. Select the causal factor you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s). The dialogue box shown in Figure 47 will appear.
  - Clicking *Yes* will apply your change to causal factor descriptions for all analyses where the causal factor description appears. Use this feature if you want to make your edit universal.
  - Clicking *No* will only apply your change to the causal factor description for the current analysis. Use this feature if you only want to edit a single entry.

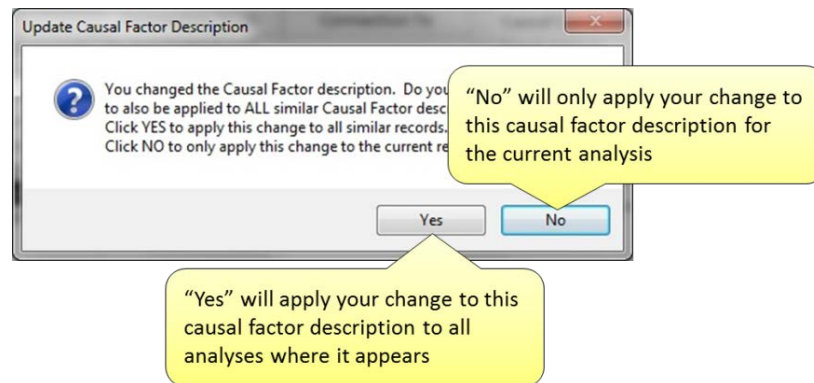


Figure 47: Confirming an Entry Modification in the Causal Factor Analysis Form

To delete an existing causal factor description:

1. Select the causal factor description you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

You can attach a note to the current UCA description by clicking the *Add Note* button (see Figure 48). The layout of the note entry screen is identical to the note screen shown in Figure 36 and entering notes follows the procedure outlined in Section 3.5.6.

Once you have completed adding causal factors for an unsafe control action description, check the box on the upper part of the form to record the completion status (see Figure 48).

Figure 48: Marking an Analysis Complete and Adding Notes in the Causal Factor Analysis Form

## 3.6 Exporting Your Analysis

### 3.6.1 Starting the Export in SafetyHAT

Step 8 of SafetyHAT exports the completed analysis to MS Excel. You can begin the export either by selecting Step 8 from the main menu (see Figure 49) or by clicking the *Step 8: Export Data* button in the navigation bar on the Causal Factor Analysis Form (see Figure 50).



## Main Menu

Welcome to the Transportation Systems Safety Hazard Analysis Tool (SafetyHAT). This tool will guide you through hazard analysis using the System-Theoretic Process Analysis (STPA) method.

Please complete the Preparatory Steps before accessing the forms below. The Preparatory Steps can be reviewed using the "Review Preparatory Steps" button at the bottom of this screen. A control structure diagram can be uploaded using the "Upload Control Structure Diagram" button at the bottom of this screen.

Complete the forms in the order presented below to ensure a complete analysis.

Enter System Information

- Components** *This form allows you to enter the components of your system.*
- Connections** *This form allows you to enter connections between the components of your system.*
- Control Actions** *This form allows you to enter specific Control Actions issued by controllers in your system.*

Conduct Analysis

- Accidents or Losses** *This form will allow you to enter accidents (or losses) specific to your system.*
- Hazards** *This form will allow you to enter hazards specific to your system.*
- Unsafe Control Action Analysis** *This form will guide you through evaluating Unsafe Control Actions and potentially related system hazards.*
- Causal Factor Analysis** *This form will guide you through evaluating Unsafe Control Actions and potential causal factors.*

Export Analysis

**Export Data** *This will compile the STPA results and export the data to MS Excel.*

Advanced Options   Review Preparatory Steps   Upload Control Structure Diagram   Locate Additional STPA Resources

Export data using the "Export Data" button in the main menu

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Figure 49: Exporting Your Analysis from the Main Menu

## Causal Factor Analysis

Step: 1 2 3 4 5 6 7 8

Unsafe Control Action Details

**Controller 1 of 2**  
Air Bag Control Unit

**Description 7 of 8**  
Air bag deploys when the vehicle is not in a crash.

**Control Action Analysis Completed** ☒

Previous Controller   Previous Record   Next Record   Next Controller   Add Note

**Associated Hazards:**  
Restraint System Malfunction (Failure, Loss or Degradation)

Existing Causal Factor Analyses

Sort: Order Entered   Component Name A-Z

Causal Factor	Component Name or Connection From	Connection To
Hazardous interaction with other components	Air Bag Control Unit	
Hazardous interaction with other components	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Controller hardware faulty, change over time	Air Bag Control Unit	
Software error (inadequate control algorithm,	Air Bag Control Unit	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor inadequate operation, change over tim	Crash Sensor	
Sensor to controller signal inadequate, missing	Crash Sensor	Air Bag Control Unit

Causal Factor Analysis

Select: Component or Connection  
Component

Causal Component  
Air Bag Control Unit

Component Type  
Controller

Select the Appropriate Causal Factor  
Hazardous interaction with other components in the rest of the vehicle

Enter or Select a Causal Factor Description  
Short circuit due to condensation from A/C system causes air bag to deploy

Descriptions for Selected Component / Connection and Causal Factor

Delete Existing   Modify Existing   Save As New

Figure 50: Exporting Your Analysis from the Navigation Bar

Once you begin the export process, SafetyHAT will integrate your analysis by combining your entries from Steps 4 through 7 into a many-to-many relationship. This many-to-many relationship maps out all possible pathways between causal factors and system-level accidents based on the information you provided in your analysis.

Depending on the complexity of the system you analyzed (e.g., the number of causal factors, unsafe control actions, hazards, etc.), this process may take several minutes. Note that the screen may flicker briefly as SafetyHAT executes the integration.

After SafetyHAT completes integration of your analysis, a *Save As* dialogue box will appear. Specify the directory and file name for the spreadsheet that will contain your analysis (see Figure 51).

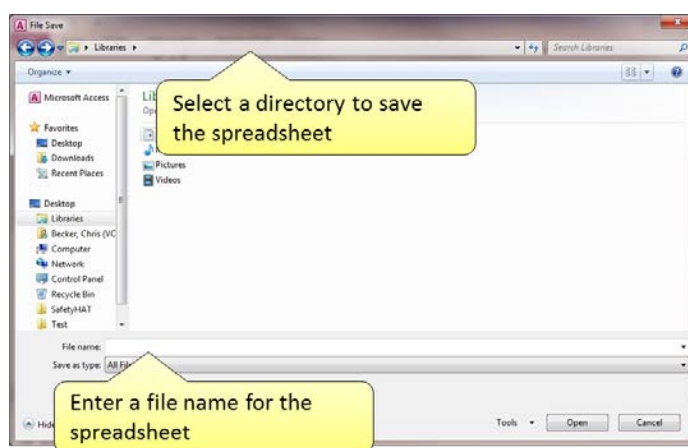


Figure 51: Export Save As Dialogue Box

Click the *Save* button to save the output of your analysis as a MS Excel spreadsheet.

### 3.6.2 Opening the Exported File

After SafetyHAT finishes saving your file, the dialogue box shown in Figure 52 will appear. This completes your analysis using SafetyHAT. You can open the file from the directly location shown in the dialogue box.

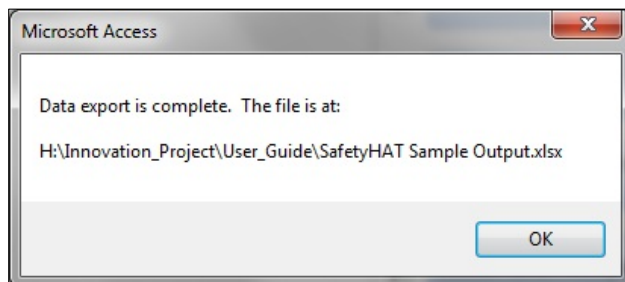


Figure 52: Export Complete Message

The exported file is an unformatted MS Excel spreadsheet. The spreadsheet contains seven tabs (see Figure 53). The first tab contains the fully integrated mapping between system-level accidents and causal factors. The remaining six tabs contain the data you entered into each of the forms in SafetyHAT. Note that the Accident and Hazard Input Forms are combined into a single tab; the seven input forms correspond to six tabs.

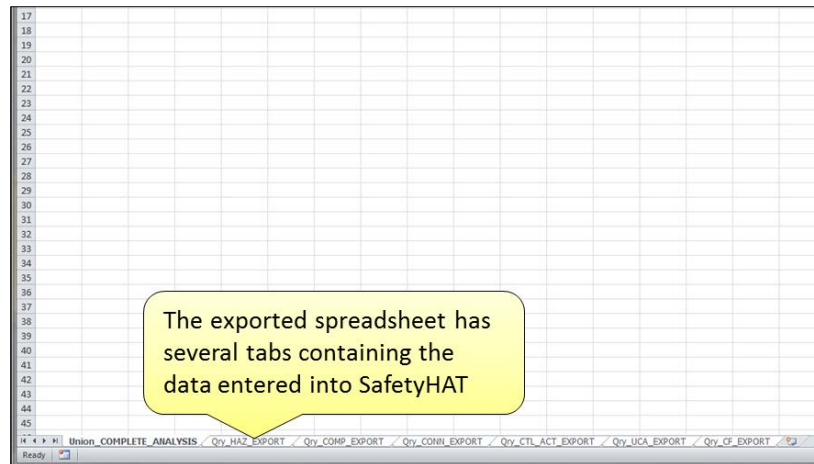


Figure 53: SafetyHAT MS Excel Output File



*When you initially open the Excel output file, all tabs will be selected. Manually select a single tab before applying any formatting, filters, etc. to the spreadsheet.*



## 4. Advanced Options

SafetyHAT is equipped with several advanced options that enable you to customize the STPA framework that underlies SafetyHAT. This section of the user guide walks you through each of the advanced options.



*The advanced option feature is intended for experienced STPA practitioners. Improperly modifying the default information can result in an incomplete or incorrect analysis.*

To access the advanced options features, click the *Advanced Options* button on the main menu screen (Figure 54).

**Main Menu**

Welcome to the Transportation Systems Safety Hazard Analysis Tool (SafetyHAT). This tool will guide you through hazard analysis using the System-Theoretic Process Analysis (STPA) method.

Please complete the Preparatory Steps before accessing the forms below. The Preparatory Steps can be reviewed using the "Review Preparatory Steps" button at the bottom of this screen. A control structure diagram can be uploaded using the "Upload Control Structure Diagram" button at the bottom of this screen.

Complete the forms in the order presented below to ensure a complete analysis.

**Enter System Information**

- 1. Components** This form allows you to enter the components of your system.
- 2. Connections** This form allows you to enter connections between the components of your system.
- 3. Control Actions** This form allows you to enter specific Control Actions issued by controllers in your system.

**Conduct Analysis**

- 4. Accidents or Losses** This form will allow you to enter accidents (or losses) specific to your system.
- 5. Hazards** This form will allow you to enter hazards specific to your system.
- 6. Unsafe Control Action Analysis** This form will guide you through evaluating Unsafe Control Actions and potentially related system hazards.
- 7. Causal Factor Analysis** This form will guide you through evaluating Unsafe Control Actions and potential causal factors.

STPA results and export the data to MS Excel.

**Advanced Options** **Review Preparatory Steps** **Upload Control Structure Diagram** **Locate Additional STPA Resources**

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Figure 54: Accessing the Advanced Options

Clicking the *Advanced Options* button in the main menu screen will open a secondary menu with the three advanced options (see Figure 55).

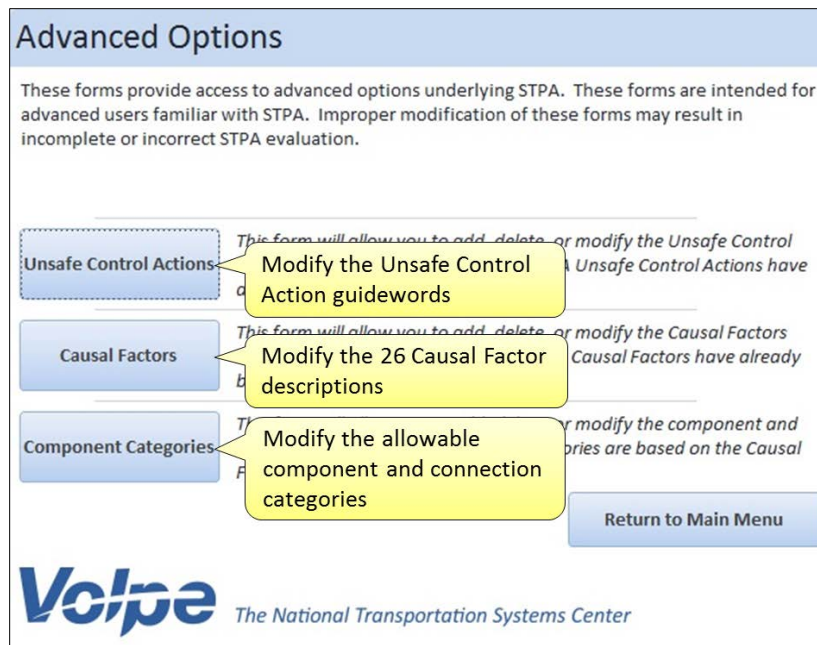


Figure 55: Advanced Options Menu Screen

## 4.1 Editing Unsafe Control Action Guide Phrases

SafetyHAT uses generalized unsafe control action (UCA) guide phrases to assist the user in completing the unsafe control action analysis. SafetyHAT has six pre-loaded guide phrases:

- Provided when control action is not needed and unsafe
- Provided, but the intensity is incorrect (too much or too little)
- Provided, but executed incorrectly <sup>1</sup>
- Provided, but duration is too long or too short
- Provided, but the starting time is too soon or too late
- Not provided when needed to maintain safety

The six UCA guide phrases included in SafetyHAT include the four guide phrases typically applied in STPA, plus two additional guide phrases. The additional guide phrases were added based on our experience in applying STPA to transportation systems.

Clicking on the *Unsafe Control Actions* button in the advanced options menu screen will open the Unsafe Control Action Input Form (see Figure 56). You can add, modify, or delete the UCA guide phrases through the Unsafe Control Action Input Form.

<sup>1</sup> New unsafe control action guide phrase added in SafetyHAT.

**Unsafe Control Action Input Form**

Review Existing Unsafe Control Actions

**Existing Unsafe Control Action**

Provided when control action is not needed and unsafe  
 Provided, but the intensity is incorrect (too much or too little)  
 Provided, but executed incorrectly  
 Provided, but duration is too long or too short  
 Provided, but the starting time is too soon or too late  
 Not provided when needed to maintain safety

**Add New Unsafe Control Action**

Add New Unsafe Control Action

Delete Existing Modify Existing Save As New

Return to Main Menu Close Form

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Form Guidance

Figure 56: Unsafe Control Action Guide Phrase Input Form

To enter a new UCA guide phrase:

1. Enter the UCA guide phrase in the first entry field on the right side of the form.
2. Click the *Save As New* button.

To modify an existing UCA guide phrase:

1. Select the UCA guide phrase you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).

To delete an existing UCA guide phrase:

1. Select the UCA guide phrase you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.

3. Click Yes to confirm deletion.

## 4.2 Editing Causal Factor Guide Phrases

SafetyHAT uses generalized causal factor guide phrases to assist the user in completing the causal factor analysis. SafetyHAT has twenty-six pre-loaded causal factor guide phrases which correspond to the causal factor diagram shown in Figure 57.

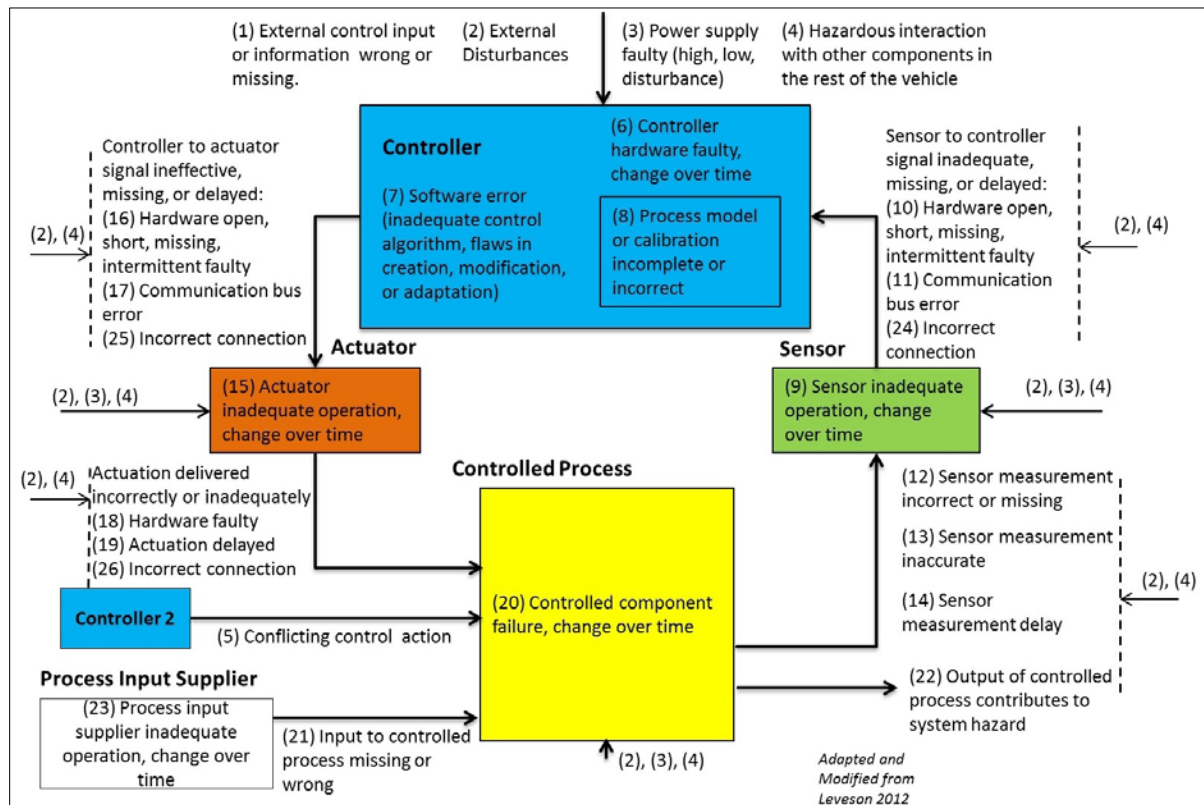


Figure 57: Causal Factor Diagram Showing the Default SafetyHAT Causal Factors

The pre-loaded guide phrases are:

- 1) External control input or information wrong or missing
- 2) External disturbances
- 3) Power supply faulty (high, low, disturbance) <sup>2</sup>
- 4) Hazardous interaction with other components in the rest of the vehicle
- 5) Conflicting control action
- 6) Controller hardware faulty, change over time
- 7) Software error (inadequate control algorithm, flaws in creation, modification, or adaptation)

<sup>2</sup> New causal factor guide phrase added in SafetyHAT.

- 8) Process model or calibration incomplete or incorrect
- 9) Sensor inadequate operation, change over time
- 10) Sensor to controller signal inadequate, missing, or delayed: Hardware open, short, missing, intermittent faulty
- 11) Sensor to controller signal inadequate, missing, or delayed: Communication bus error
- 12) Sensor measurement incorrect or missing
- 13) Sensor measurement inaccurate
- 14) Sensor measurement delay
- 15) Actuator inadequate operation, change over time
- 16) Controller to actuator signal ineffective, missing, or delayed: Hardware open, short, missing, intermittent faulty
- 17) Controller to actuator signal ineffective, missing, or delayed: Communication bus error
- 18) Actuation delivered incorrectly or inadequately: Hardware faulty
- 19) Actuation delivered incorrectly or inadequately: Actuation delayed
- 20) Controlled component failure, change over time
- 21) Input to controlled process missing or wrong
- 22) Output of controlled process contributes to system hazard
- 23) Process input supplier inadequate operation, change over time
- 24) Sensor to controller signal inadequate, missing, or delayed: Incorrect connection
- 25) Controller to actuator signal ineffective, missing, or delayed: Incorrect connection
- 26) Actuation delivered incorrectly or inadequately: Incorrect connection

The 26 causal factor guide phrases included in SafetyHAT include the 16 guide phrases typically applied in STPA, plus ten additional guide phrases. The original STPA guide phrases were modified and additional guide phrases were added based on the Volpe Center staff's experience in applying STPA to transportation systems.

Clicking on the *Causal Factors* button in the advanced options menu screen will open the Causal Factor Input Form (see Figure 58). You can add, modify, or delete the causal factor guide phrases through the Causal Factor Input Form.

**Causal Factor Input Form**

Review Existing Causal Factors

**Existing Causal Factors**

Number	Description	Component/Connection Type
1	External control input or information wrong or missing	Controller
2	External disturbances	Controller
2	External disturbances	Actuator-Controlled
2	External disturbances	Controlled Process-
2	External disturbances	Sensor-Controller
2	External disturbances	Controller-Actuator
2	External disturbances	Actuator
2	External disturbances	Sensor
2	External disturbances	Controlled Process
2	External disturbances	Controller
3	Power supply faulty (high, low, disturbance)	Controller
3	Power supply faulty (high, low, disturbance)	Actuator
3	Power supply faulty (high, low, disturbance)	Sensor
3	Power supply faulty (high, low, disturbance)	Controlled Process
4	Hazardous interaction with other components in the rest of the	Controller
4	Hazardous interaction with other components in the rest of the	Actuator
4	Hazardous interaction with other components in the rest of the	Sensor
4	Hazardous interaction with other components in the rest of the	Controlled Process
4	Hazardous interaction with other components in the rest of the	Controller-Actuator
4	Hazardous interaction with other components in the rest of the	Actuator-Controlled
4	Hazardous interaction with other components in the rest of the	Controlled Process-
4	Hazardous interaction with other components in the rest of the	Sensor-Controller
4	Hazardous interaction with other components in the rest of the	Process Input Suppl
5	Conflicting control action	Controlled Process
6	Controller hardware faulty, change over time	Controller
7	Software error (inadequate control algorithm, flaws in creation,	Controller
8	Process model or calibration incomplete or incorrect	Controller
9	Sensor inadequate operation, change over time	Sensor

**Add New Causal Factor Description**

Causal Number:  Select Causal Factor Category:

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**Callouts:**

- Assign an identification number to the causal factor description
- Associate the description with a component or connection type
- Enter the causal factor description

Figure 58: Causal Factor Guide Phrase Input Form

To enter a new causal factor guide phrase:

1. Enter a numerical identifier for the causal factor description in the first entry field on the right side of the form.

Figure 57 illustrates how numerical identifiers are associated with each causal factor description. Each causal factor description should have a unique numerical identifier. If a causal factor description applies to multiple component or connection types, the same numerical identifier should be used. For example, in Figure 58 the numerical identifier “2” is associated with the “External disturbances” causal factor for all component and connection types.

2. Select a component or connection type from the drop-down list on the right side of the form to associate with the causal factor description

A causal factor description can be associated with multiple component or connection types by creating a new entry. In Figure 57, several causal factor descriptions, such as “(2) External Disturbances”, are associated with multiple components and connections.

3. Enter a description for the causal factor in the last entry field on the right side of the form.

4. Click the *Save As New* button.

To modify an existing causal factor guide phrase:

1. Select the causal factor guide phrase you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click *Yes* to confirm your change(s).

To delete an existing causal factor guide phrase:

1. Select the causal factor guide phrase you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.



*Modifying or deleting a causal factor description will only affect the selected entry. Each separate occurrence of a causal factor description will need to be modified or deleted.*

## 4.3 Editing Component / Connection Categories

In order to develop a representation of your system, SafetyHAT relies on component and connection categories. These categories are used to assign component and connection types in Step 2 of SafetyHAT. There are five pre-set component categories and five pre-set connection categories.

### Components:

- Actuator
- Controlled Process
- Controller
- Process Input Supplier
- Sensor



### Connections:

- Actuator-Controlled Process
- Controlled Process-Sensor
- Controller-Actuator
- Process Input Supplier-Controlled Process
- Sensor-Controller

Each of the components and connections listed above corresponds to components and connections shown in Figure 57.

The Component / Connection Type Input Form allows you to enter, modify, or delete the component and connection types used by SafetyHAT. The general layout of the Component / Connection Type Input Form is shown in Figure 59.

Component / Connection Type Input Form

Review Existing Component / Connection Types

Existing Component / Connection Categories

- Actuator
- Actuator-Controlled Process
- Controlled Process
- Controlled Process-Sensor
- Controller
- Controller-Actuator
- Process Input Supplier
- Process Input Supplier-Controlled Process
- Sensor
- Sensor-Controller

Add New Component / Connection Type

Select Type

Component

Connection

Delete Existing Modify Existing Save As New

Return to Main Menu Close Form

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Form Guidance

Figure 59: Component and Connection Type Input Form

To add a new component type:

1. Select “Component” from the selection box on the right side of the form.
2. Enter a name for the component type in the entry field on the right side of the form (see Figure 60).



3. Click the *Save As New* button.

Component / Connection Type Input Form

Review Existing Component / Connection Types

Existing Component / Connection Categories

- Actuator
- Actuator-Controlled Process
- Controlled Process
- Controlled Process-Sensor
- Controller
- Controller-Actuator
- Process Input Supplier
- Process Input Supplier-Controlled Process
- Sensor
- Sensor-Controller

Add New Component / Connection Type

Select Type

Component

Connection

Component Type Name

Enter the component type

Cancel Save As New

Return to Main Menu

Close Form

Form Guidance

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Figure 60: Entering a New Component Type in the Component and Connection Type Input Form

To add a new connection type:

1. Select "Connection" from the selection box on the right side of the form.
2. Select an originating component type from the first drop-down list on the right side of the form (see Figure 61).
3. Select a terminating component type from the second drop-down list on the right side of the form.
4. Click the *Save As New* button.

Figure 61: Entering a New Connection Type in the Component / Connection Type Input Form



*Before a connection can be established, both the originating and terminating component types must be added using the “add a new component type” procedure outlined above.*

To modify an existing component or connection type:

1. Select the component or connection type you want to edit from the box on the left side of the form.
2. Make the necessary changes in the fields on the right side of the form.
3. Click the *Modify Existing* button.
4. Click Yes to confirm your change(s).

To delete an existing component or connection type:

1. Select the component or connection type you want to delete from the box on the left side of the form.
2. Click the *Delete Existing* button.
3. Click *Yes* to confirm deletion.

## 5. References

- [1] Leveson, N. Engineering a Safer World. MIT Press. Cambridge MA. 2012.
- [2] MIT Partnership for a Systems Approach to Safety (PSAS). <http://psas.scripts.mit.edu/home/>  
[Accessed February 21, 2014].

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