

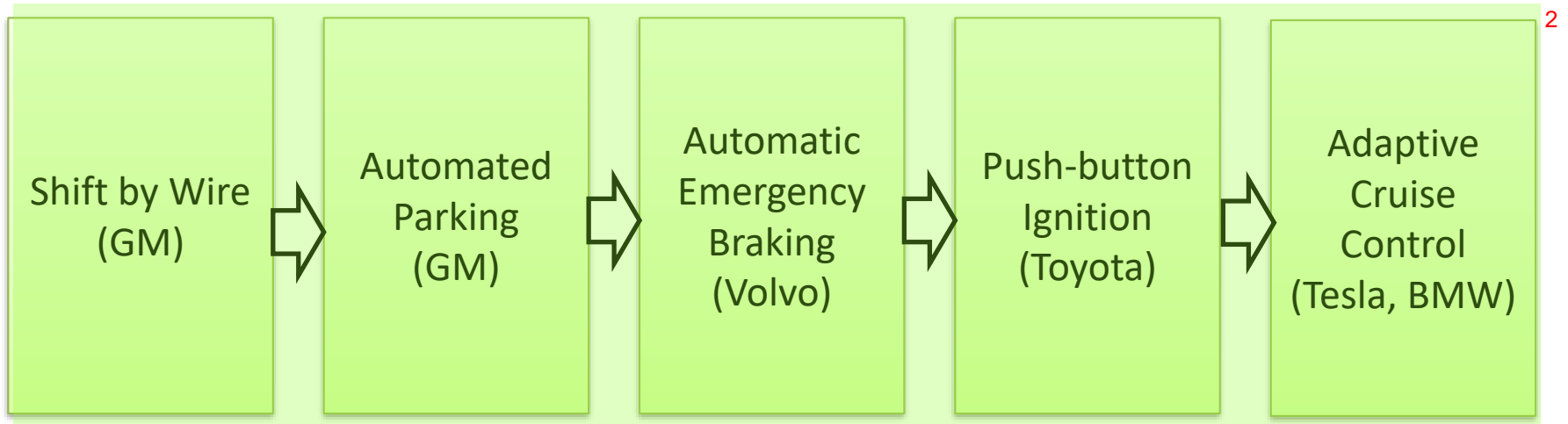


# System-Theoretic Process Analysis<sup>1</sup> (STPA):

## Engineering for Humans

Dr. John Thomas

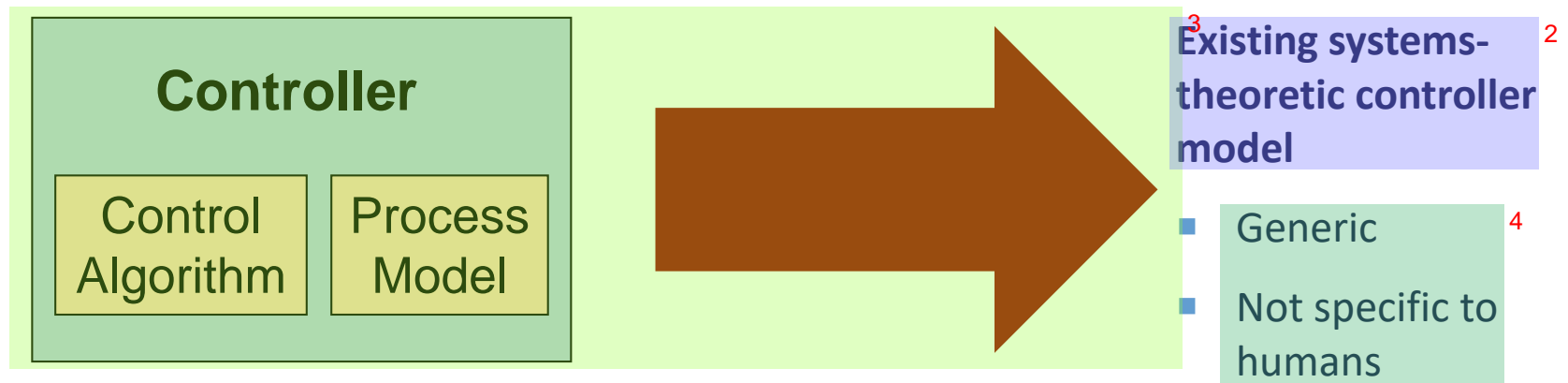
# Past Applications, Progression<sup>1</sup>



## Acknowledgements<sup>3</sup>

Mark A. Vernacchia  
Charles A. Green  
Padma Sundaram  
Joseph D'Ambrosio  
Matt Boesch  
Megan France  
Jeramiah Robertson

# Controller model<sup>1</sup>



# HUMAN FACTORS MODELS

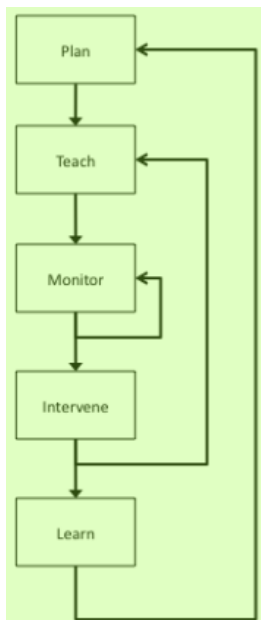


Figure 3. Sheridan's (1992) Supervisory Control Model.

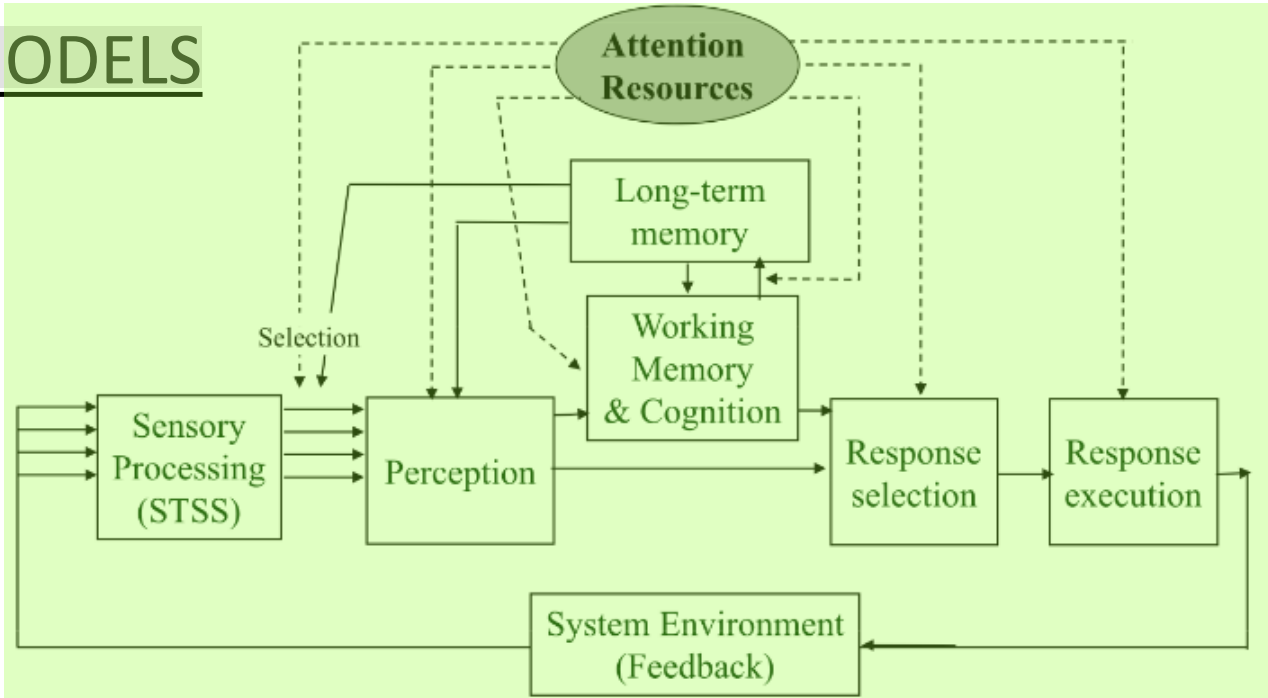


Figure 2. Modified from Wickens and Hollands (2000, p.11).

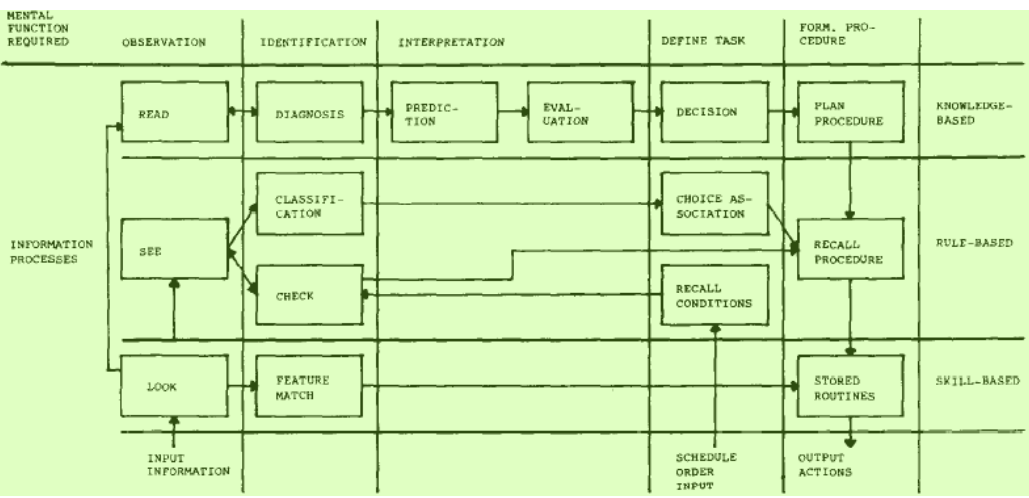


Fig. 3. The diagram illustrates how the same required mental function can be served by different information processes - each with particular error mechanisms.

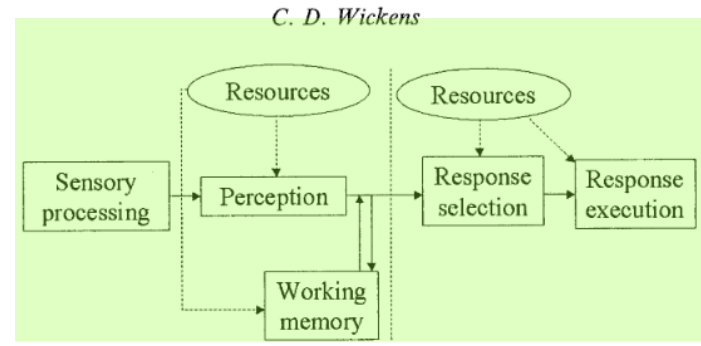
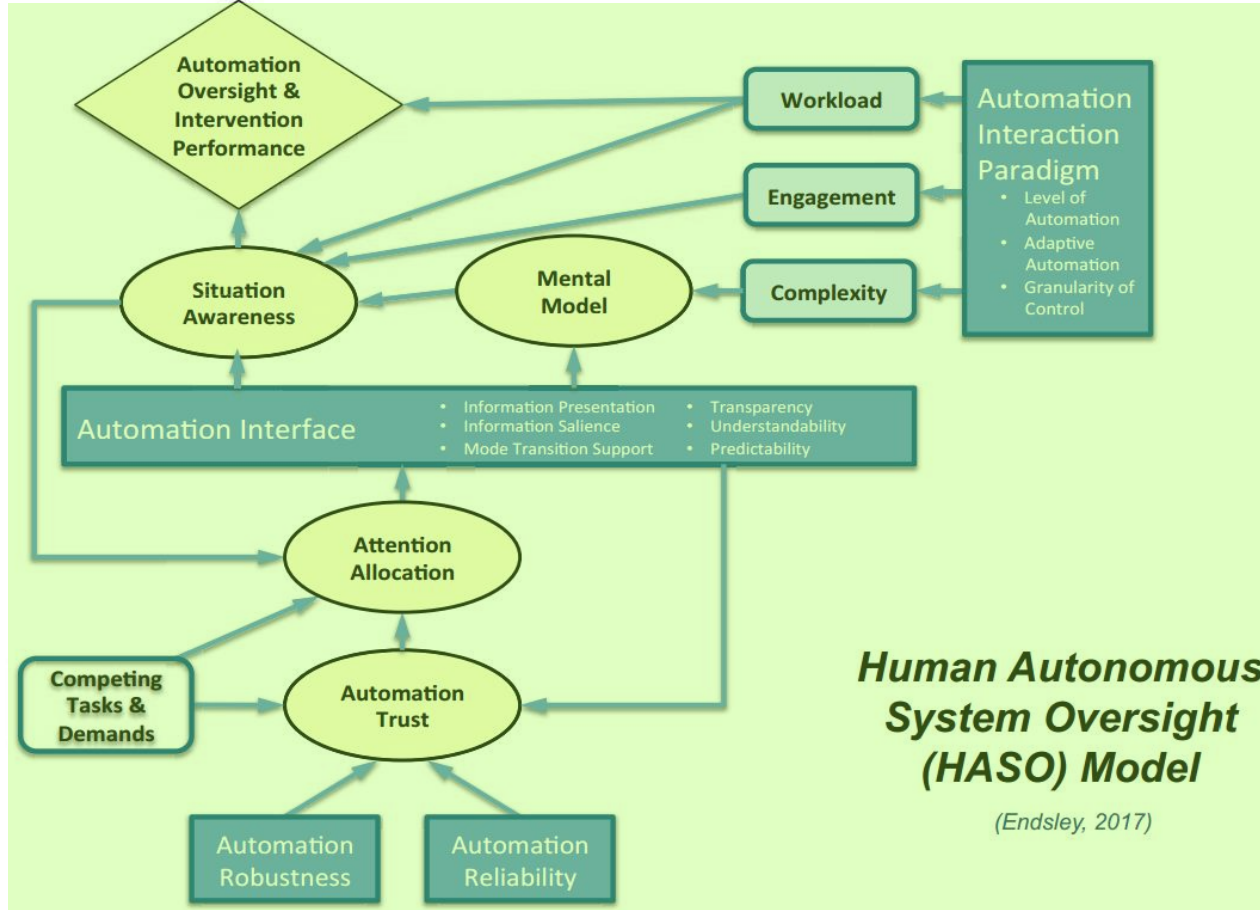


Figure 2. Representation of two resources, supplying the different stages of information processing. Sensory processing, the operation of the peripheral visual and auditory systems, is assumed to be relatively resource-free (after Wickens and Hollands 2000).



2

“This is really complicated, just doesn’t make sense to me”

– Fredrik Matheson, “Promoting trust in AI applications”

Human  
understanding of  
automation

1

2

Automation  
complexity

Human engineers'  
understanding of HF  
model



# Tradeoff<sup>1</sup>

Usability,  
Learnability<sup>3</sup>

Complexity<sup>2</sup>





# STPA Human Model<sup>1</sup>

## Human Controller

Control  
Actions



Control  
action  
selection

### Mental Models

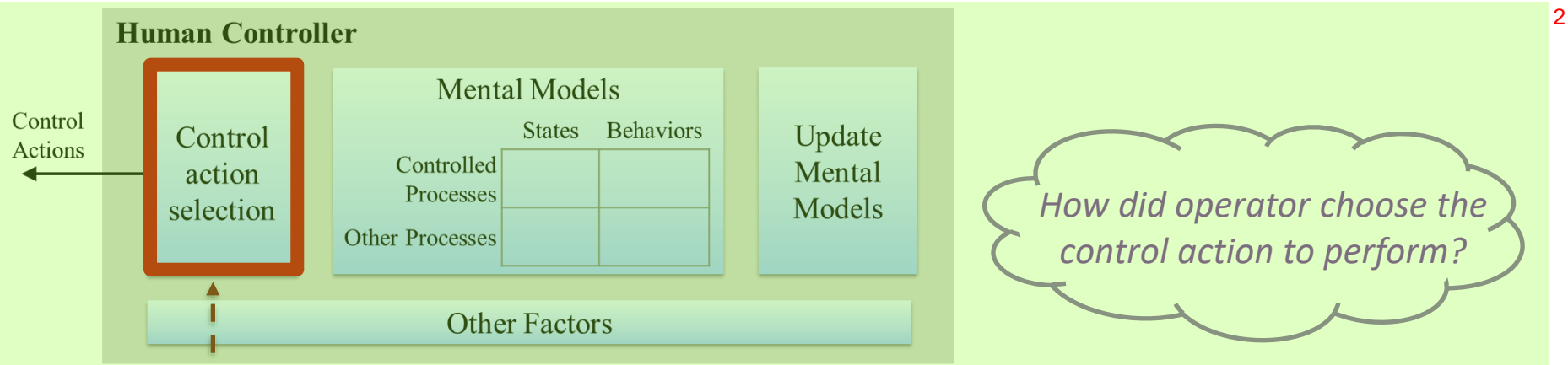
	States	Behaviors
Controlled Processes		
Other Processes		

Update  
Mental  
Models

Other Factors

2

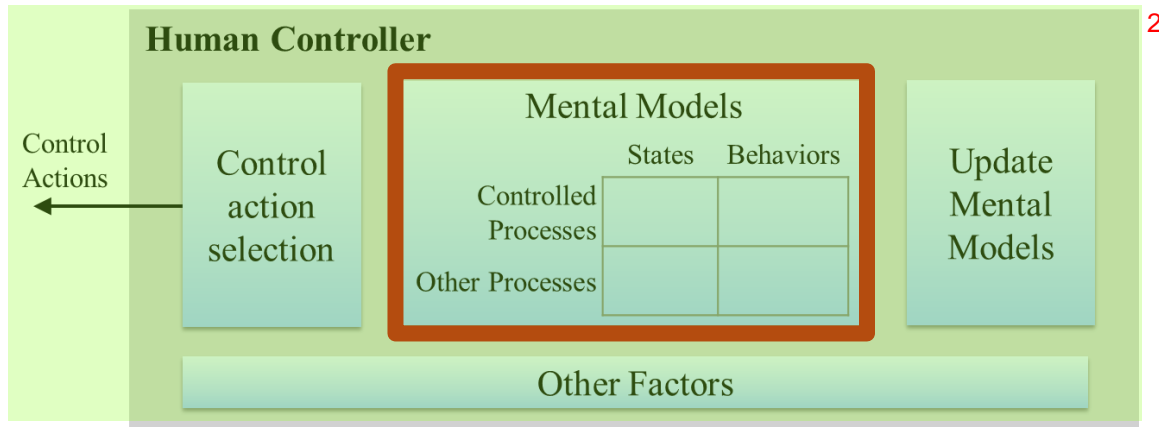
# Control Action Selection<sup>1</sup>



## Control Action Selection<sup>3</sup>

- What were the operator's goals?
- What alternatives was the operator choosing between?
- How automatic or novel was the behavior?
- How might the operator's mental models affect their decision?
- What external factors (*eg. time pressure*) might affect their decision?

# Control Action Selection<sup>1</sup>



<sup>3</sup>

*What does the operator believe about the system?*

# Control Action Selection

Controller

## Mental Models

	States	Behaviors
Controlled Processes		
Other Processes		

Update  
Mental  
Models

*What does the operator  
believe about the system?*

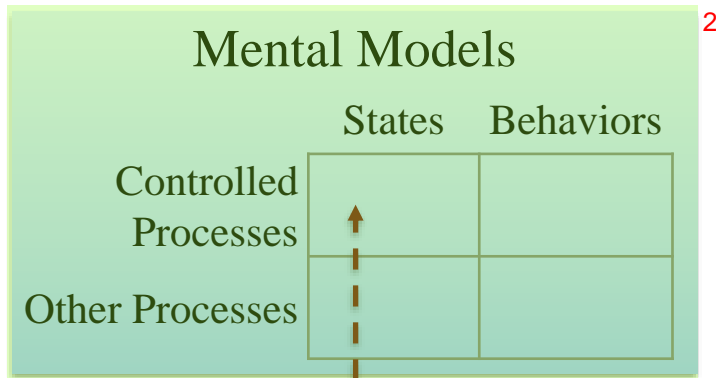
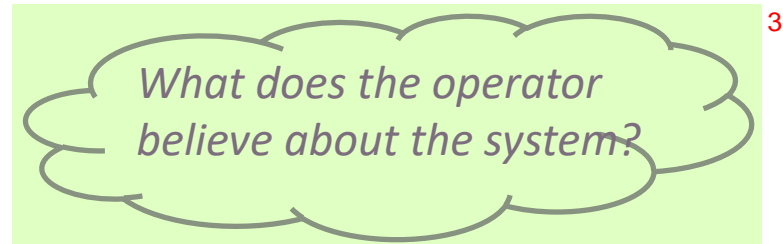
Other Factors

# Mental models<sup>1</sup>

Mental Models		
	States	Behaviors
Controlled Processes		
Other Processes		

*What does the operator believe about the system?*

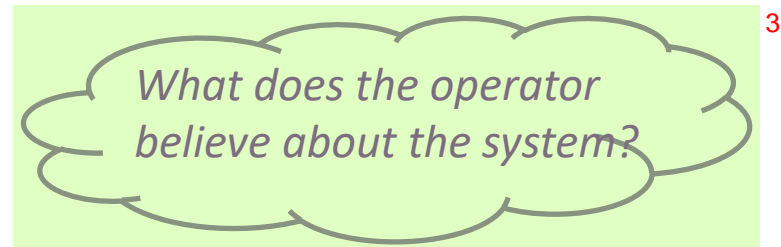
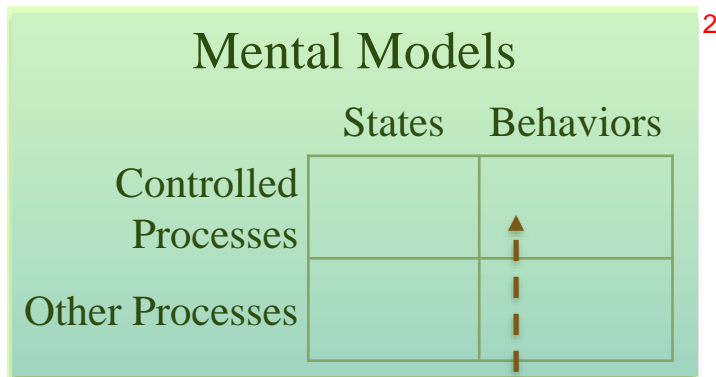
# Mental models<sup>1</sup>



## --- Mental Model of Controlled Process States<sup>4</sup>

- Controlled processes: directly or indirectly controlled (e.g. automation, aircraft, engines, etc.)<sup>5</sup>
- Beliefs about modes and mode changes
- Believes about the current process stage, for processes with multiple stages
- Beliefs about system variables (eg. true/false)

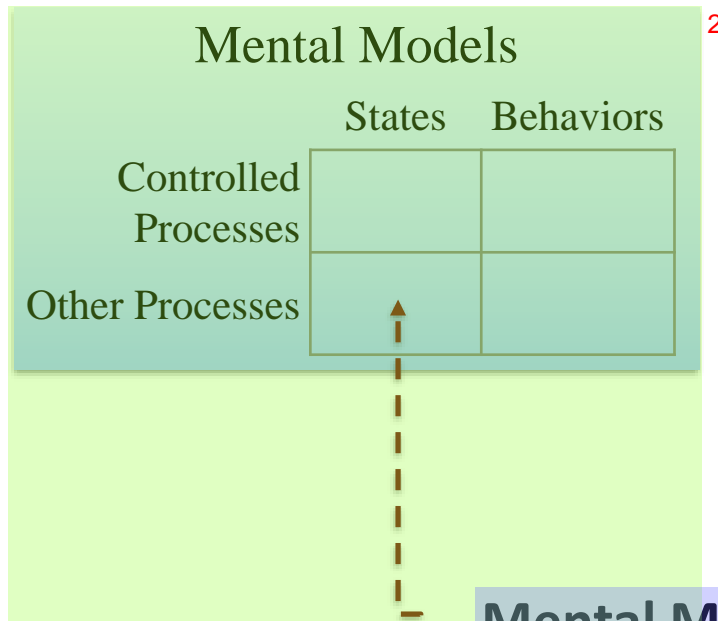
# Mental models<sup>1</sup>



## Mental Model of Controlled Process Behavior<sup>4</sup>

- Beliefs about what processes can do<sup>5</sup>
- Beliefs about how processes will behave in a particular mode or stage of operation
- Beliefs about if-then relationships between operator input and process output

# Mental models<sup>1</sup>



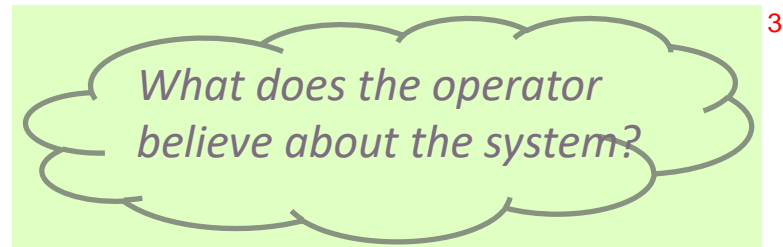
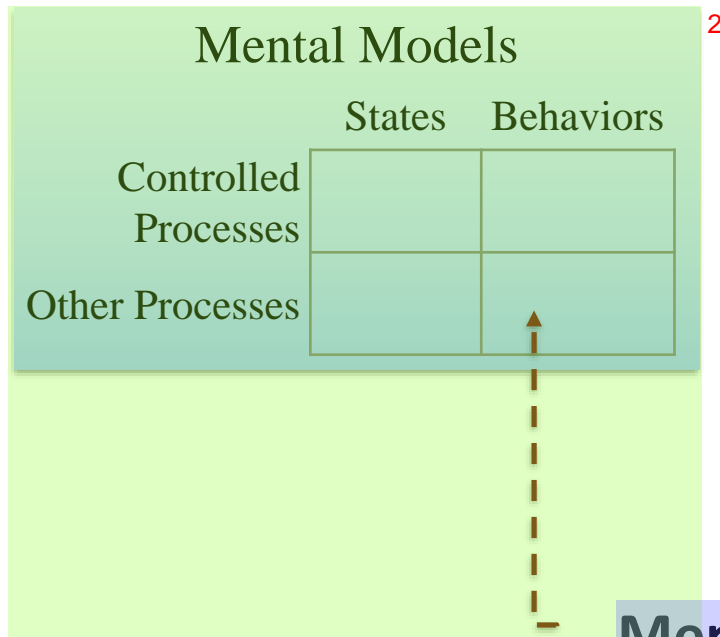
*What does the operator believe about the system?*<sup>3</sup>

## Mental Model of Other Process States<sup>4</sup>

- Changes in environmental conditions
  - Familiar or unfamiliar environments
  - State of outside controllers (e.g. other pilots, ATC)
  - Social and organizational conditions
- <sup>5</sup>



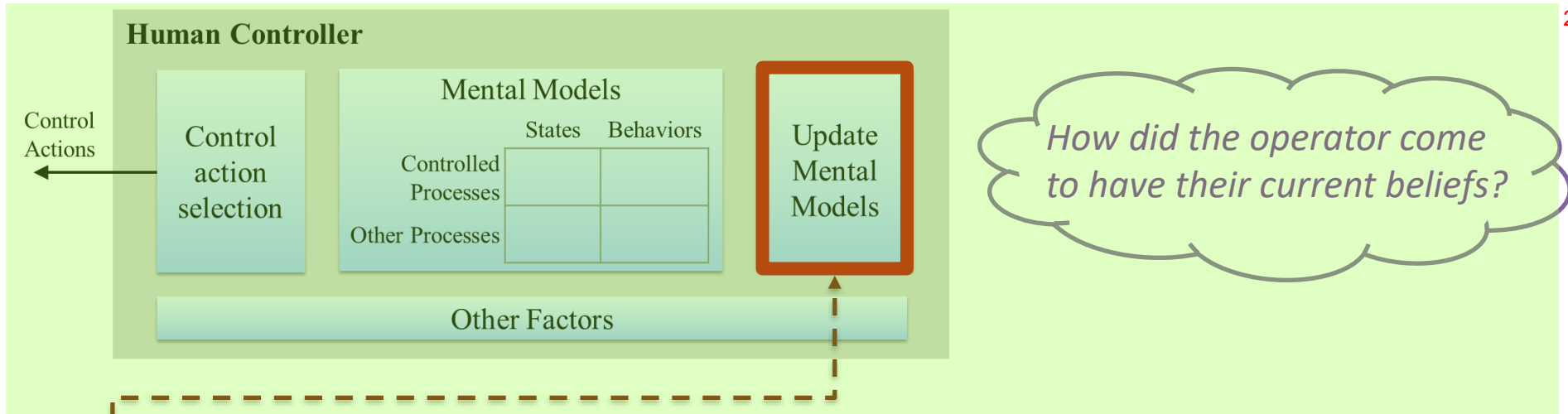
# Mental models<sup>1</sup>



## Mental Model of Other Process States<sup>4</sup>

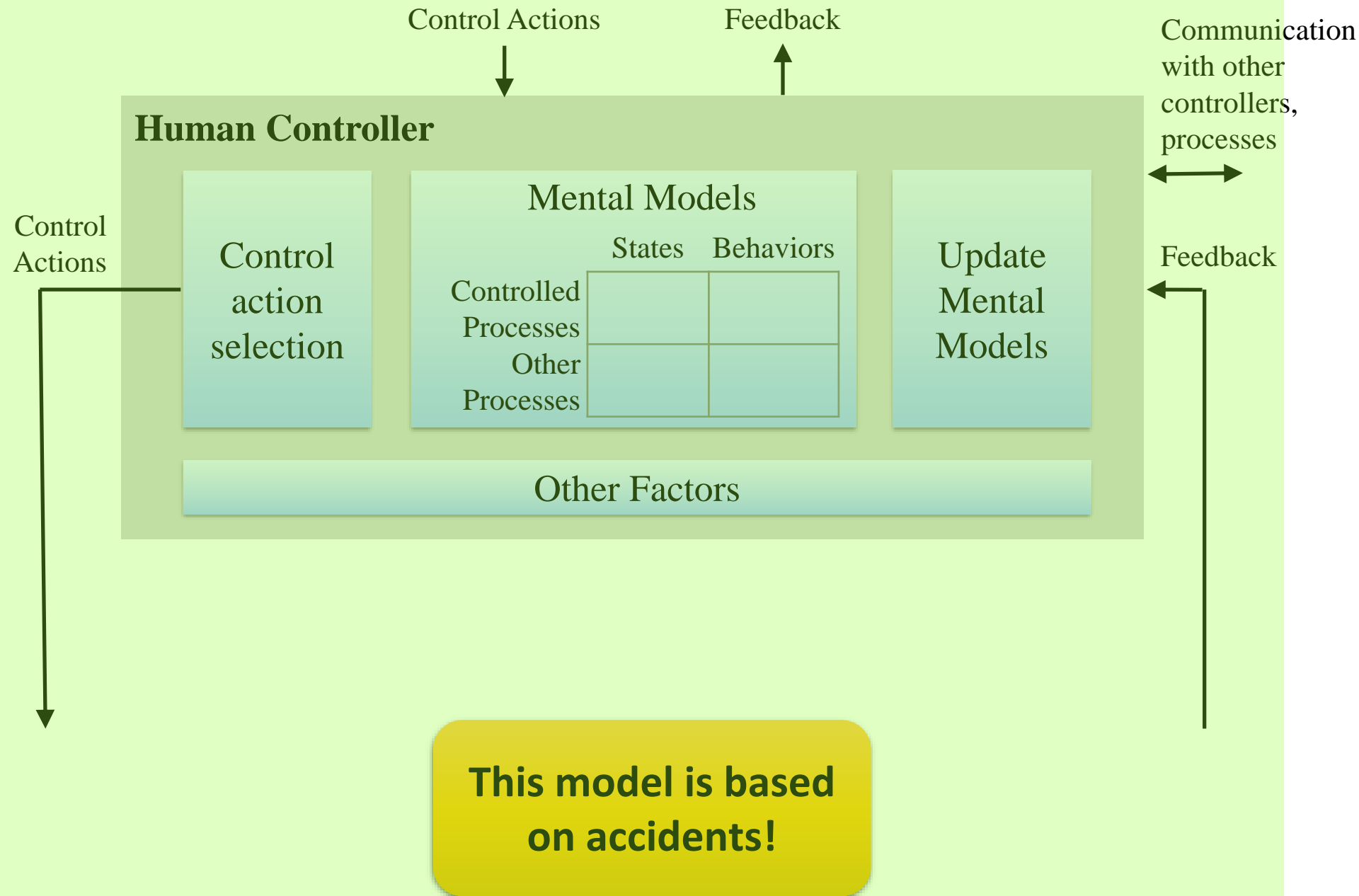
- Behavior and expectations of environment<sup>5</sup>
- Capabilities of outside controllers (e.g. other pilots, ATC)
- Social and organizational expectations

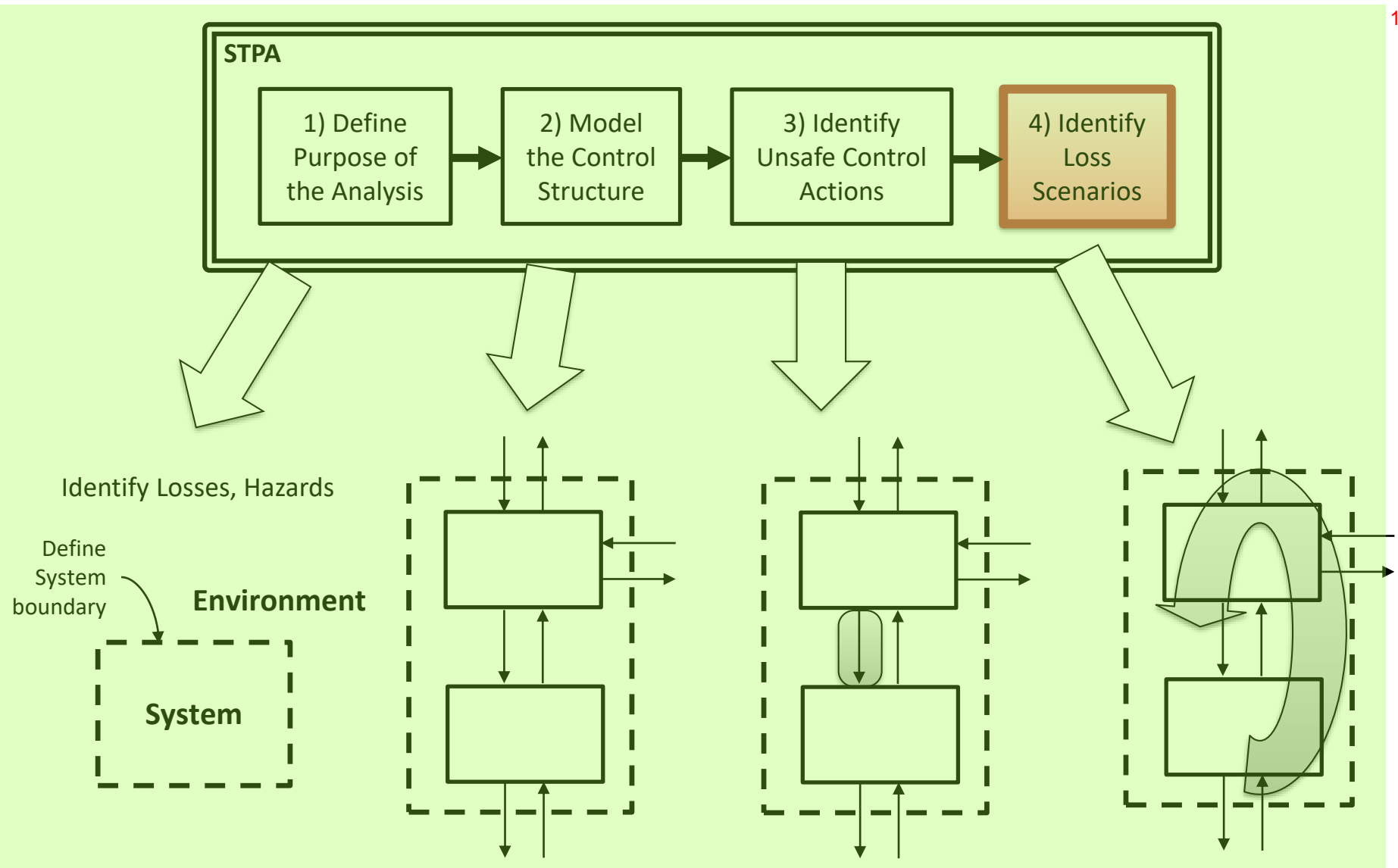
# Mental Model updates<sup>1</sup>



## Mental Model Updates (and Initial Formation!)<sup>3</sup>

- Consider initial formation of mental model vs. later updates<sup>4</sup>
- Consider non-feedback inputs such as training programs and documentation
- Consider whether input/feedback was observed (*salience, expectations*)
- Consider whether input/feedback was correctly perceived & interpreted





# ENGINEERING/ANALYSIS METHOD

- Losses, Hazards<sup>1</sup>
- Control structure
- UCAs
- Build scenarios
  - Identify Mental Model variables
  - Identify Mental Model Flaws
  - Identify flaws in Mental Model Updates
  - Identify unsafe decisions (Control Action Selections)

## Human Controller<sup>2</sup>

Control<sup>3</sup>  
action  
selection

### Mental Models<sup>4</sup>

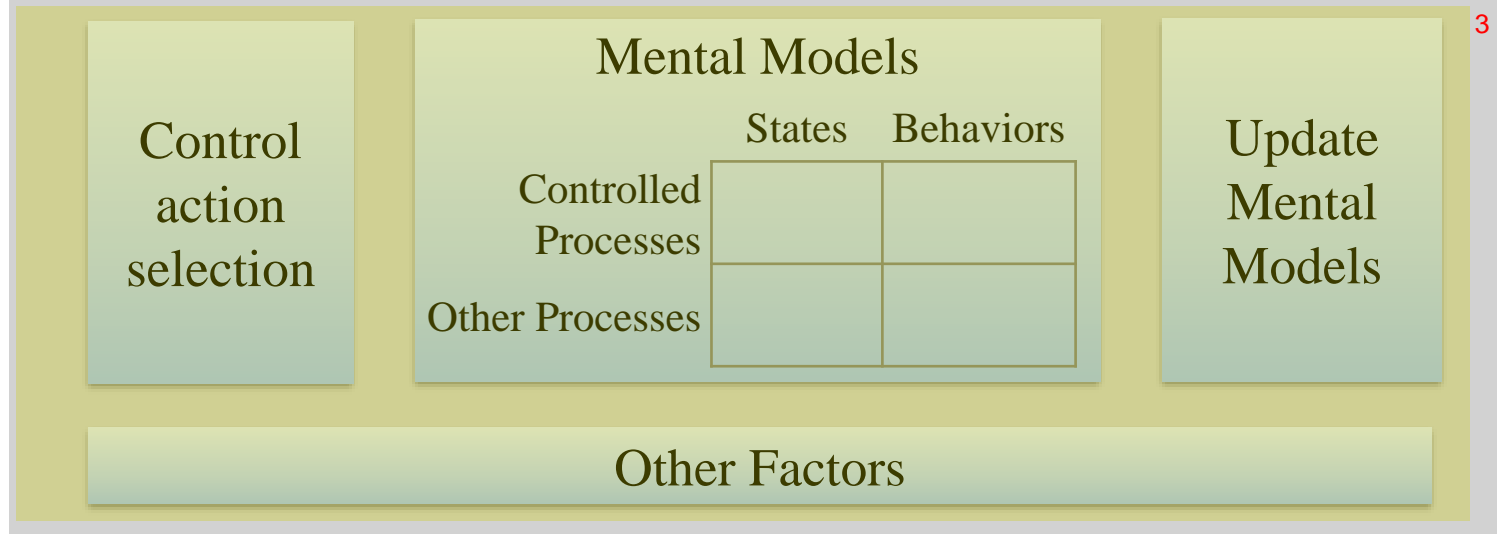
	States	Behaviors
Controlled Processes		
Other Processes		

Update<sup>6</sup>  
Mental  
Models

Other Factors<sup>5</sup>

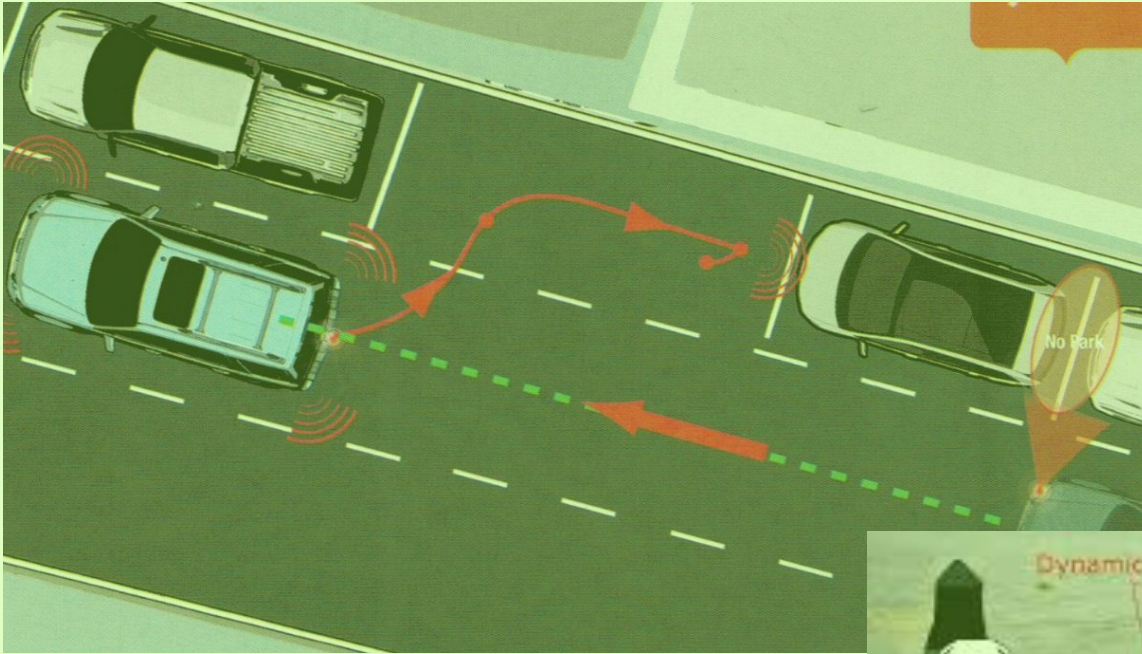
# BENEFITS<sup>1</sup>

## Human Controller<sup>2</sup>



- The new Engineering for Humans approach is **simple to apply**, and each part of the new model provides important insight into human behavior
- It provides **additional guidance** human scenarios, and can be used **early** in the design process
- Most importantly, it fits well into existing processes and provides a “**common language**” for engineers across disciplines to discuss issues

# Automated parking assist<sup>1</sup>



# KEY ASSUMPTIONS ABOUT OUR SYSTEM

- The automation is capable of steering, braking, shifting, and accelerating.<sup>1</sup>
- The driver is expected to monitor the system to respond to unexpected events and obstacles.<sup>2</sup>
- The driver may temporarily override the APA computer's actions by braking or accelerating for short periods of time.<sup>3</sup>
- If the driver<sup>4</sup>
  - grabs the wheel<sup>5</sup>
  - accelerates above a given maximum speed<sup>6</sup>
  - brakes for more than 2 seconds<sup>7</sup>
  - or presses the APA button<sup>8</sup>the automation will be fully disabled.



# ACCIDENTS AND HAZARDS

## System Level Accidents<sup>1</sup>

2

A-1	Death, injury, or property damage resulting from a collision with a person, vehicle, object, or terrain.
A-2	Injury or property damage occurring within the vehicle, without a collision.
A-3	Loss of customer satisfaction with automated parking, without injury or property damage.

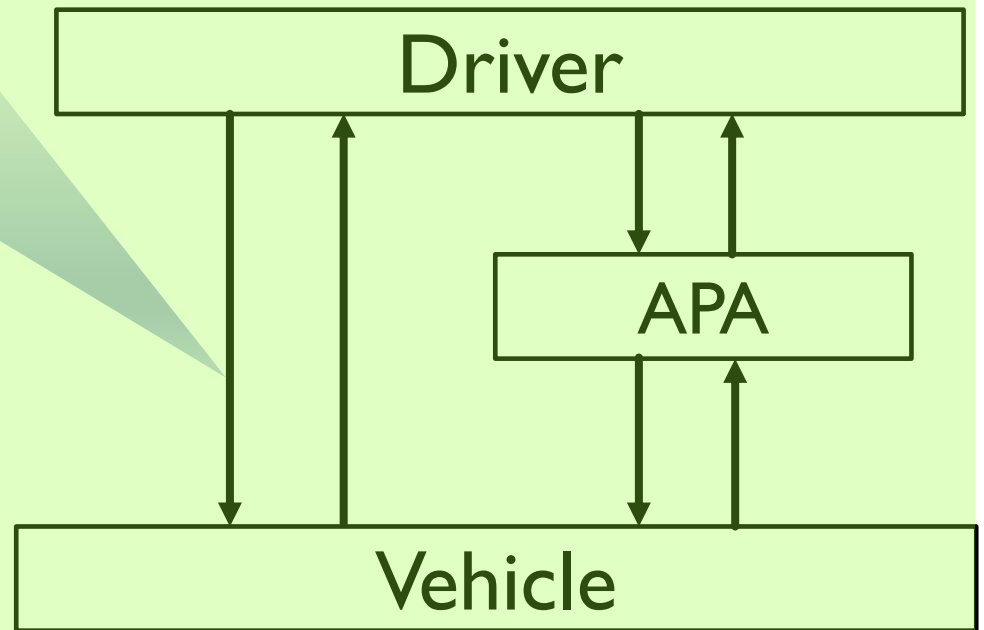
## System Level Hazards

3



H-1	The vehicle does not maintain a safe minimum distance between itself and obstacles such as pedestrians, vehicles, objects, and terrain. [A-1]
H-2	Occupants or cargo are subjected to sudden high forces that may result in injury or property damage. [A-2]
H-3	The vehicle parks inappropriately, either in an unsuitable space (e.g. blocking a fire hydrant) or in violation of parking guidelines (e.g. excessively far from the curb). [A-3]

# UNSAFE CONTROL ACTIONS

	Not Provided	Provided	Too early, too late, out of order	Stopped too soon, applied too long
Brake	<b>UCA-1: Driver does not brake when auto-parking and computer doesn't react to an obstacle</b>			

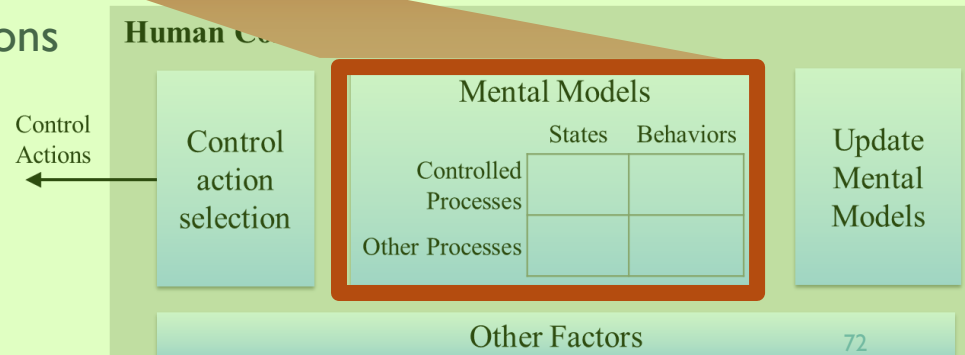


# NEW PROCESS

- 
- 
- 1
    - Identify UCAs<sup>2</sup>
      - UCA-1: Driver does not brake when auto-parking<sup>3</sup> and computer doesn't react to an obstacle<sup>3</sup>
  - Identify Mental Model variables<sup>4</sup>
    - MM-1: APA is enabled/disabled<sup>5</sup>
    - MM-2: APA computer reacting appropriately/inappropriately<sup>6</sup>
    - MM-3: Obstacle on collision path<sup>7</sup>
  - Identify Mental Model Flaws<sup>8</sup>
  - Identify flaws in Mental Model Updates<sup>9</sup>
  - Identify unsafe Control Action Selections<sup>10</sup>

# NEW PROCESS

- Identify UCAs<sup>1</sup>
  - UCA-1: Driver does not brake when auto-parking<sup>2</sup> and computer doesn't react to an obstacle
- Identify Mental Model variables<sup>3</sup>
  - MM-1: APA is enabled/disabled<sup>4</sup>
  - MM-2: APA computer reacting appropriately/inappropriately<sup>5</sup>
  - MM-3: Obstacle on collision path<sup>6</sup>
- Identify Mental Model Flaws
- Identify flaws in Mental Model Updates
- Identify unsafe Control Action Selections



# NEW PROCESS<sup>1</sup>



- Identify UCAs<sup>2</sup>
- Identify Mental Model variables<sup>3</sup>

- MM-1: APA is enabled/disabled
- MM-2: APA computer reacting appropriately/inappropriately
- MM-3: Obstacle on collision path



## Identify Mental Model Flaws<sup>5</sup>

- Identify unsafe decisions (Control Action Selections)
- Identify inadequate Mental Model Updates

## Mental Models<sup>6</sup>

	States	Behaviors
Controlled Processes	1.	2.
Other Processes	3.	4.

## Type of MM flaw

## Examples<sup>7</sup>

1) Incorrect beliefs about controlled process state (including modes)	Driver thinks APA is enabled when APA is really disabled
2) Incorrect beliefs about controlled process behaviors	Driver thinks APA is reacting properly and will brake automatically
3) Incorrect beliefs about other process state (e.g. environment)	Driver thinks there is no obstacle when there is one
4) Incorrect beliefs about other process behavior (e.g. environment)	Driver knows there is an obstacle, but thinks it won't move on a collision path

# NEW PROCESS

8

## Identify UCAs<sup>1</sup>

- UCA-1: Driver does not brake when auto-parking<sup>2</sup> and computer doesn't react to an obstacle

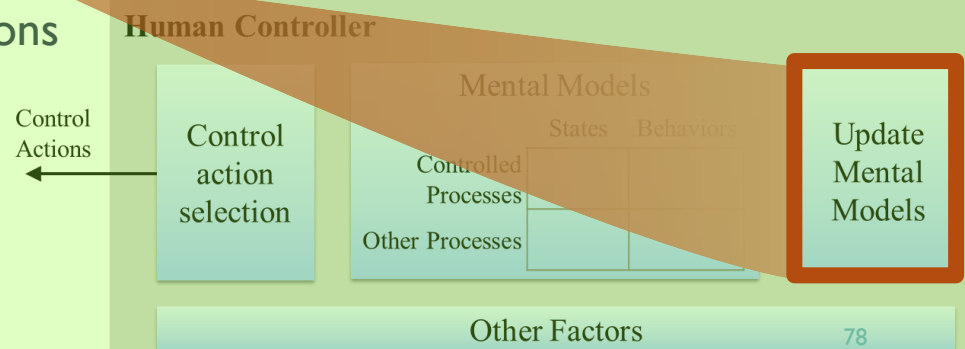
## Identify Mental Model variables<sup>3</sup>

- MM-1: APA is enabled/disabled<sup>4</sup>
- MM-2: APA computer reacting appropriately/inappropriately<sup>5</sup>
- MM-3: Obstacle on collision path<sup>6</sup>

## Identify Mental Model Flaws<sup>7</sup>

## Identify flaws in Mental Model Updates

## Identify unsafe Control Action Selections



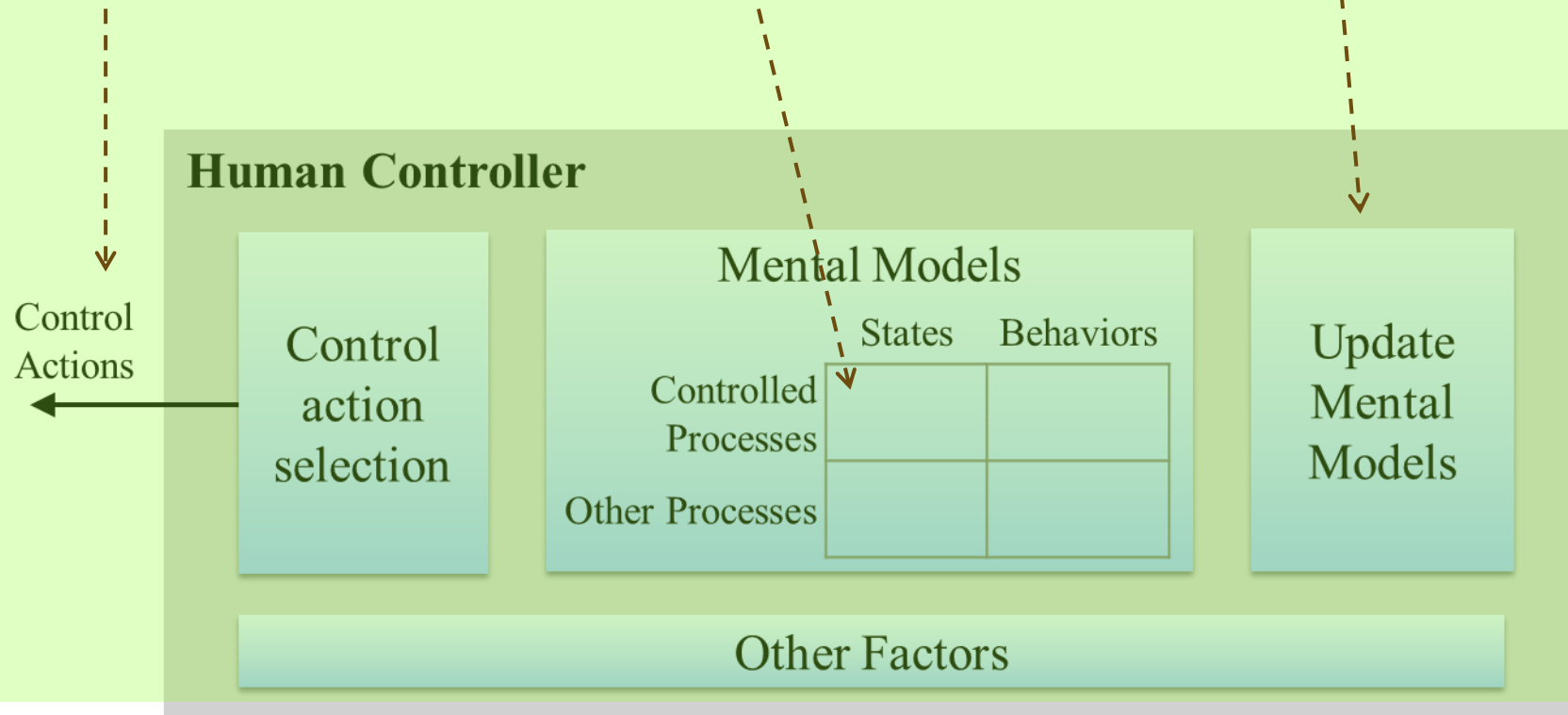
# STPA: ENGINEERING FOR HUMANS

Consider:<sup>1</sup>

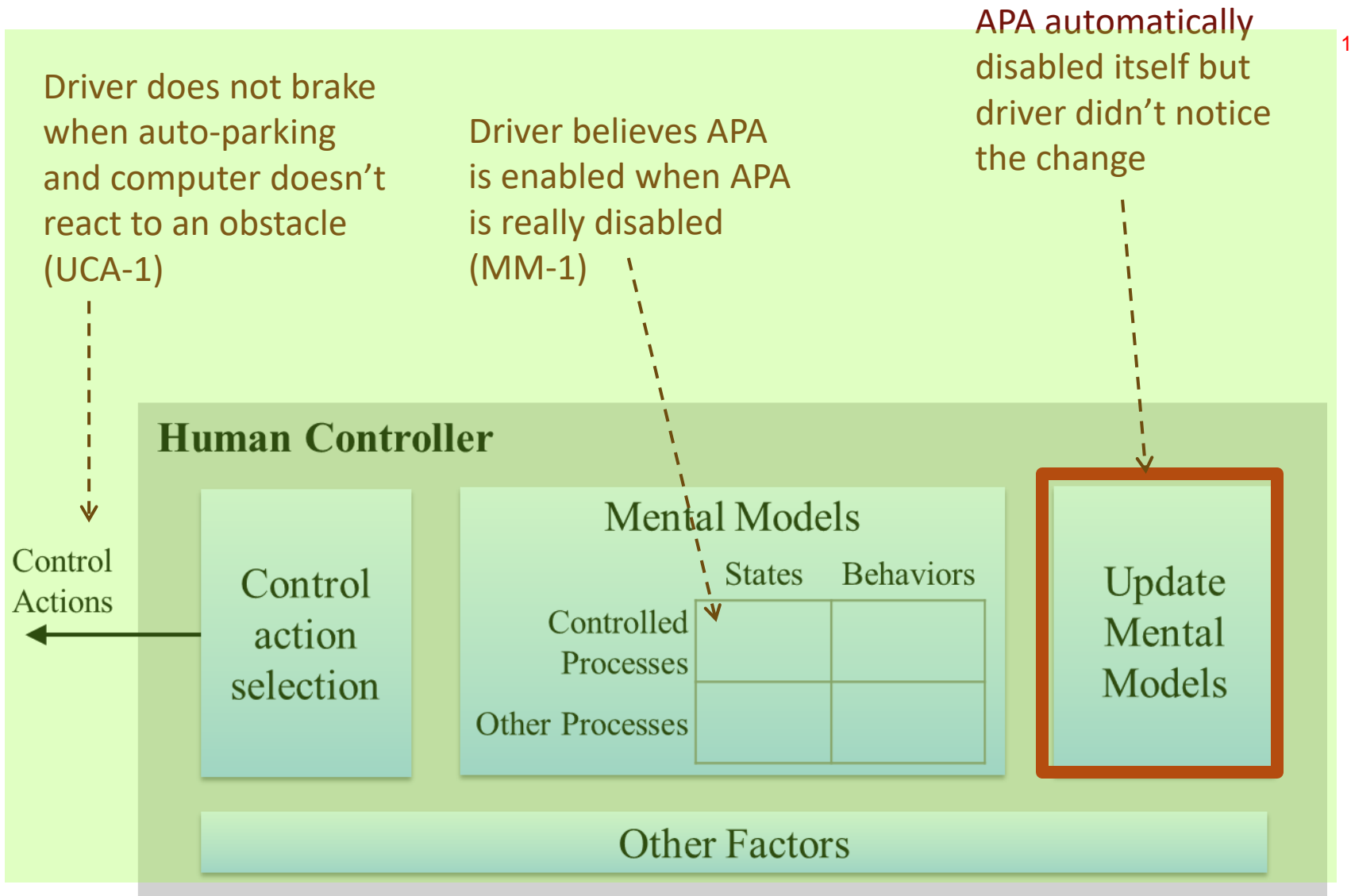
1. Automatic mode changes<sup>2</sup>
2. Previous cmds ignored
3. Phases of operation
4. Etc.

Driver does not brake when auto-parking and computer doesn't react to an obstacle (UCA-1)

Driver believes APA is enabled when APA is really disabled (MM-1)

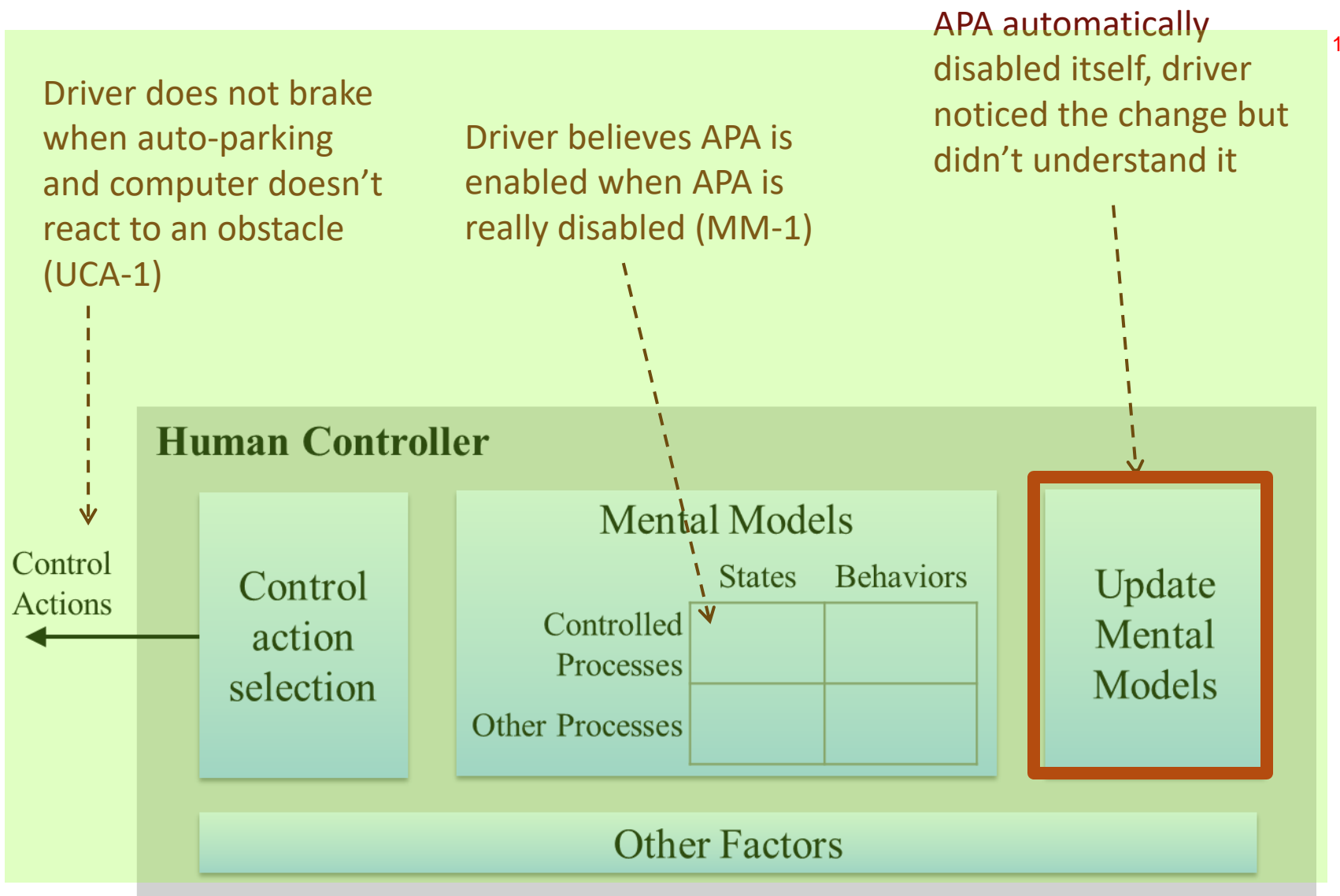


# STPA: ENGINEERING FOR HUMANS

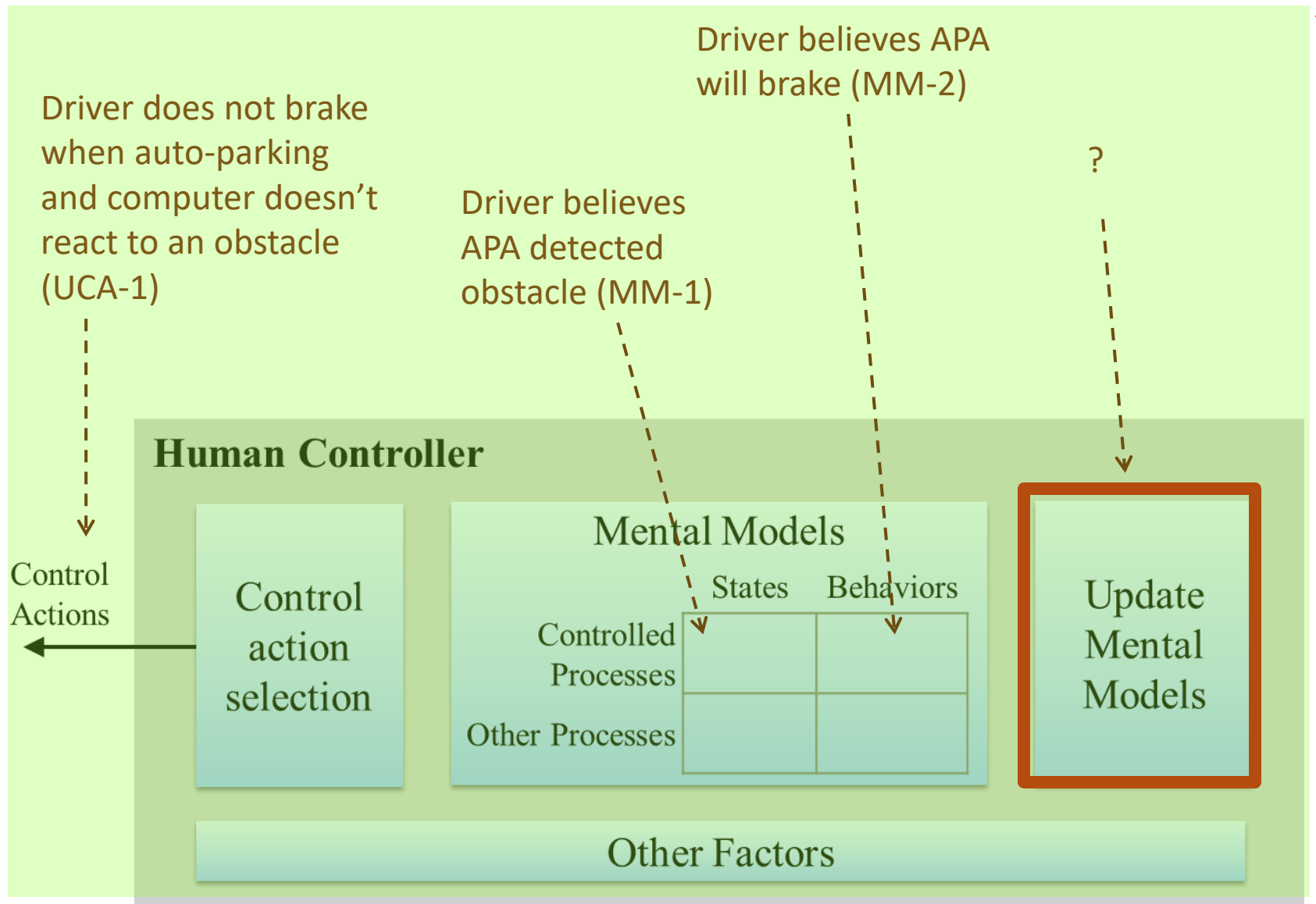




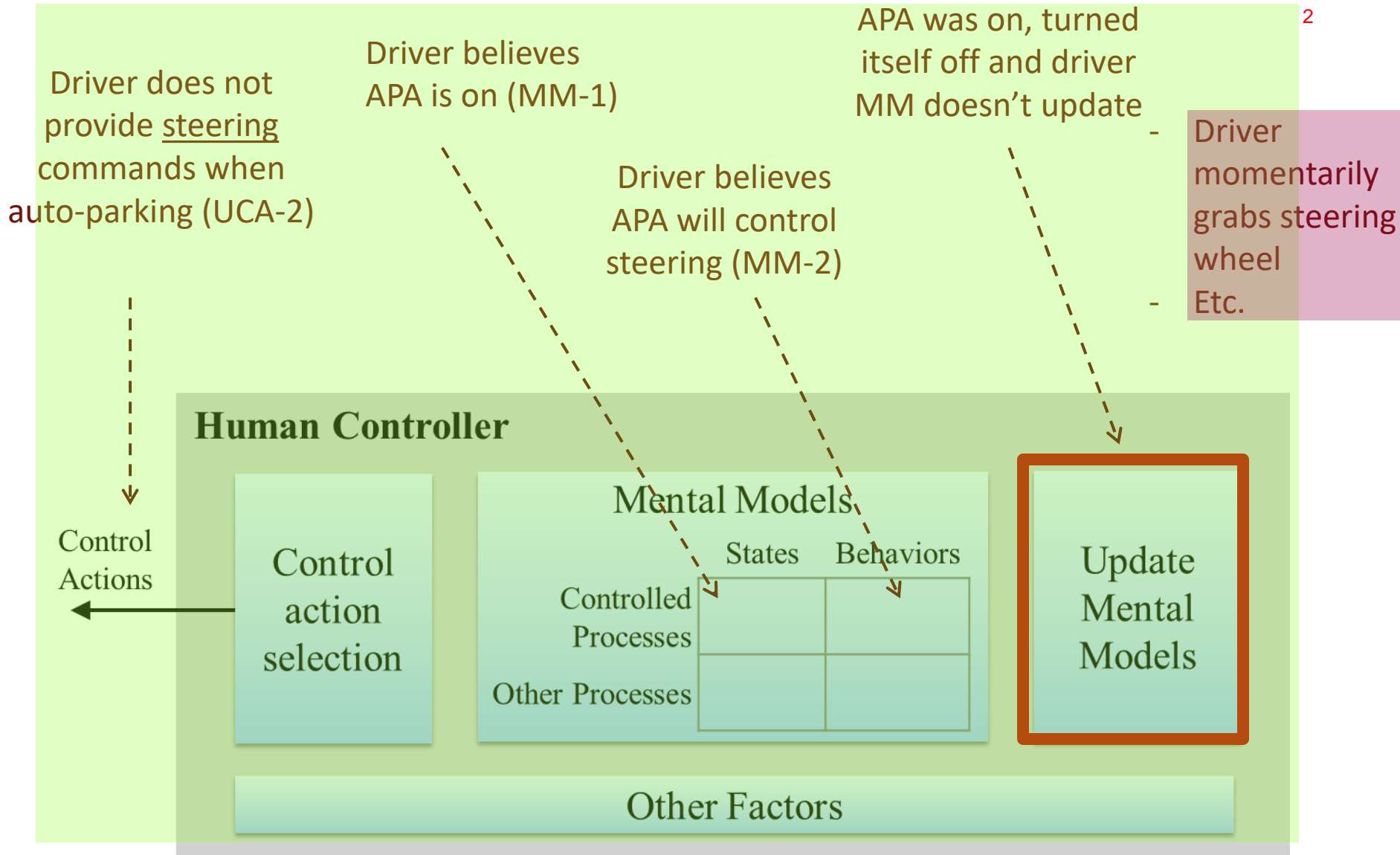
# STPA: ENGINEERING FOR HUMANS



# STPA: ENGINEERING FOR HUMANS



# STPA: ENGINEERING FOR HUMANS



# NEW PROCESS<sup>1</sup>

2

## Identify UCAs<sup>3</sup>

- UCA-1: Driver does not brake for an obstacle when computer does not react appropriately to the obstacle<sup>4</sup>

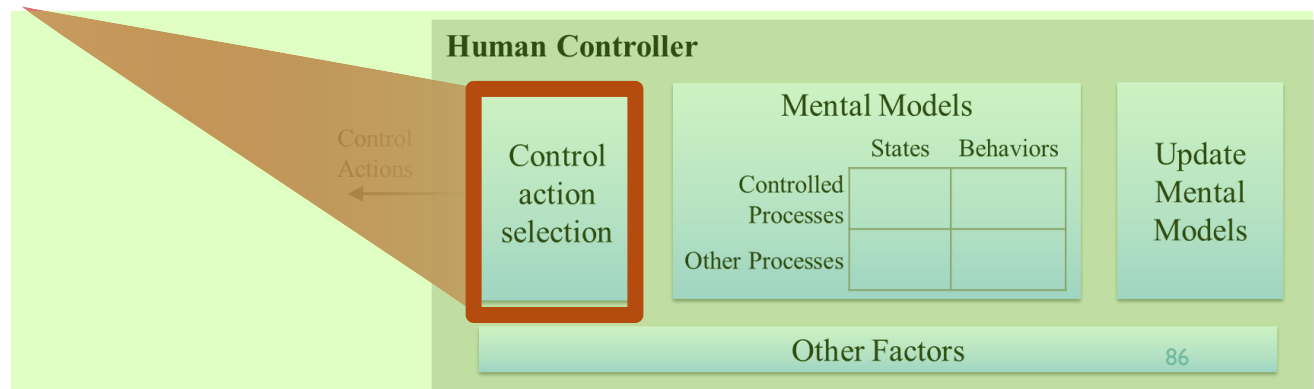
## Identify Mental Model variables<sup>5</sup>

- MM-1: APA reacting appropriately/inappropriately<sup>6</sup>
- MM-2: Obstacle on collision path<sup>7</sup>

## Identify Mental Model Flaws<sup>8</sup>

## Identify flaws in Mental Model Updates<sup>9</sup>

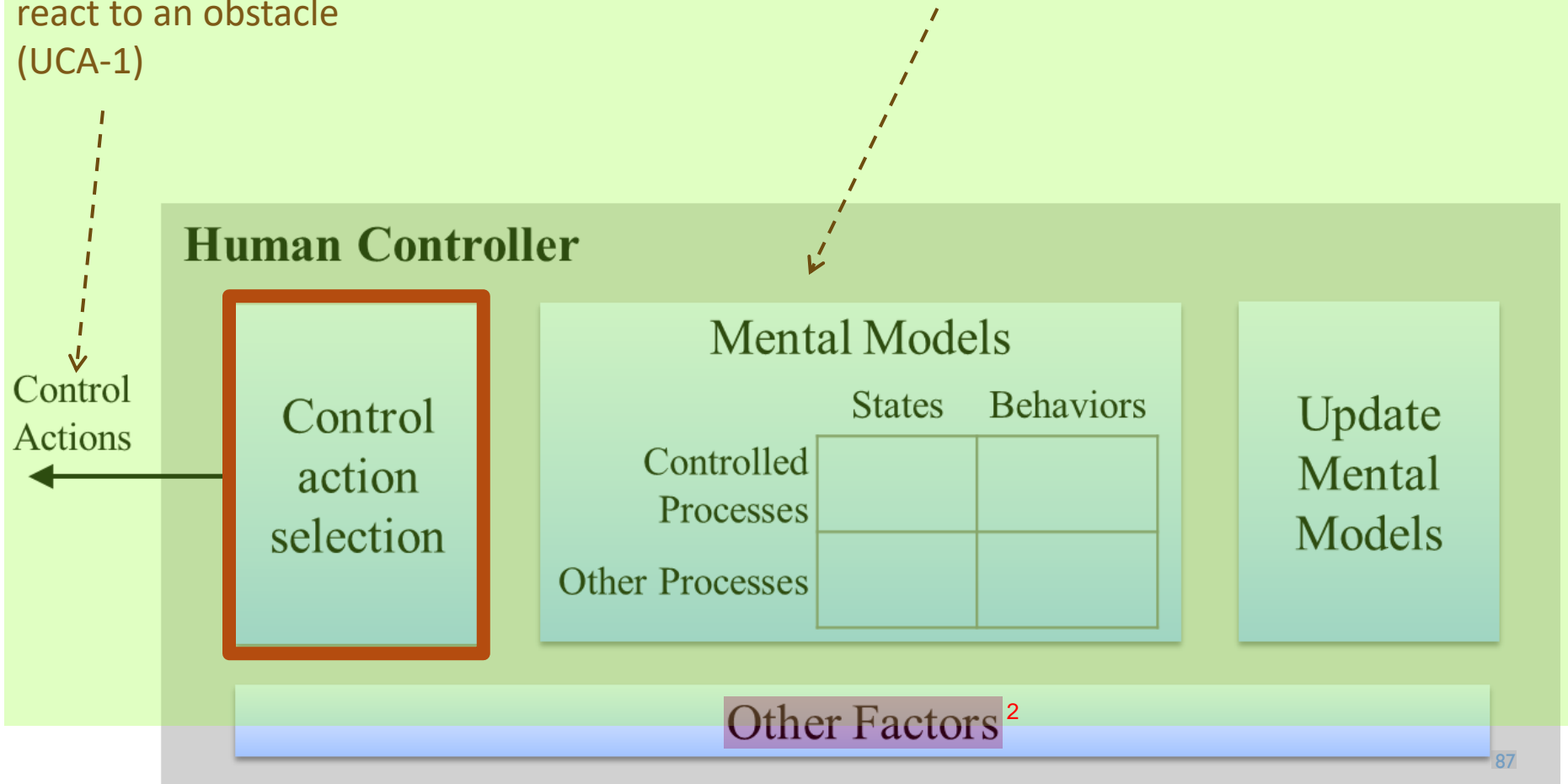
## Identify unsafe Control Action Selections<sup>10</sup>



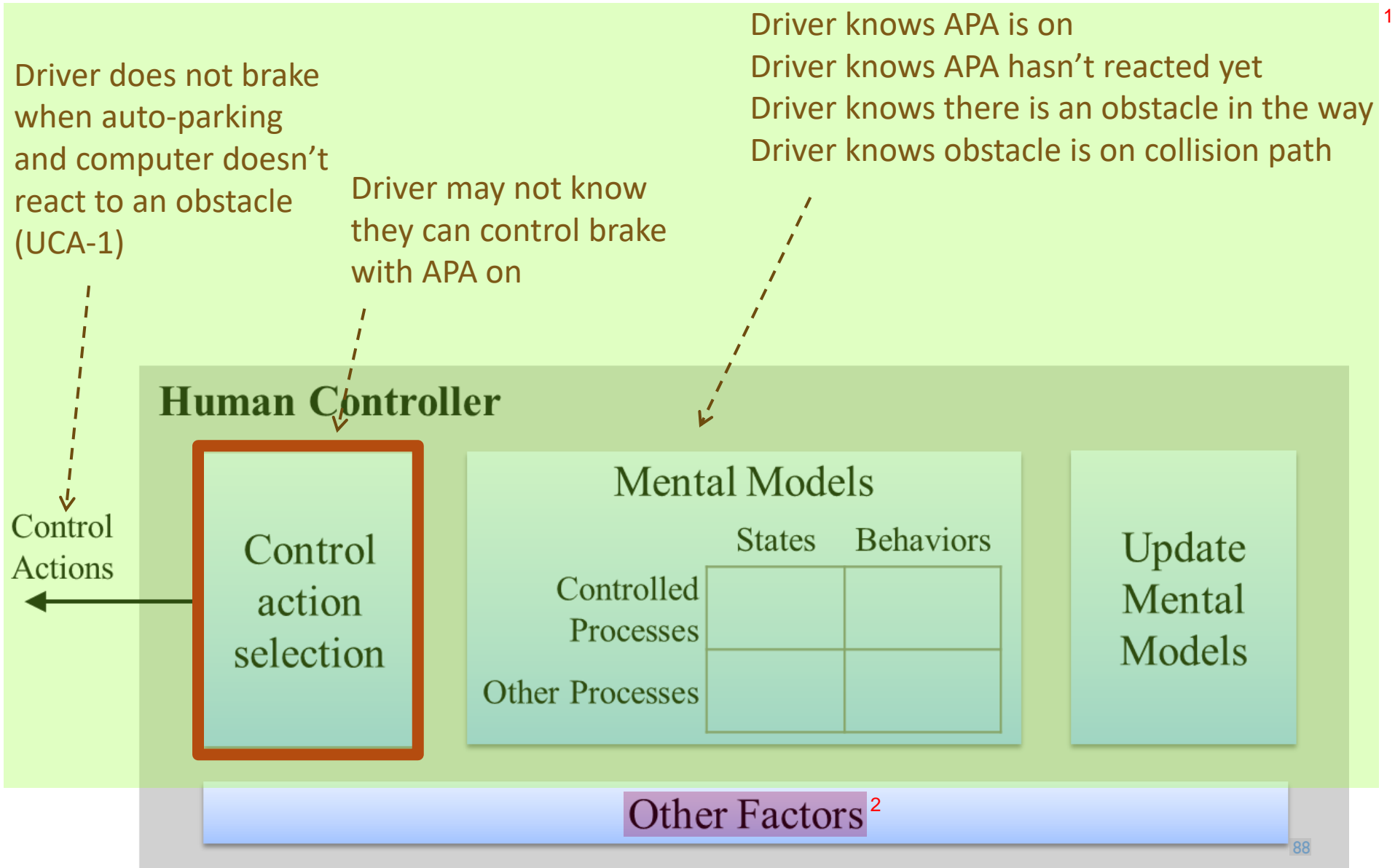
# STPA: ENGINEERING FOR HUMANS

Driver does not brake  
when auto-parking  
and computer doesn't  
react to an obstacle  
(UCA-1)

Driver knows APA is on  
Driver knows APA hasn't reacted yet  
Driver knows there is an obstacle in the way  
Driver knows obstacle is on collision path



# STPA: ENGINEERING FOR HUMANS



# STPA: ENGINEERING FOR HUMANS

Driver does not brake  
when auto-parking  
and computer doesn't  
react to an obstacle  
(UCA-1)

Driver may decide to  
disable APA instead

Driver knows APA is on  
Driver knows APA hasn't reacted yet  
Driver knows there is an obstacle in the way  
Driver knows obstacle is on collision path

## Human Controller

Devise  
control  
actions

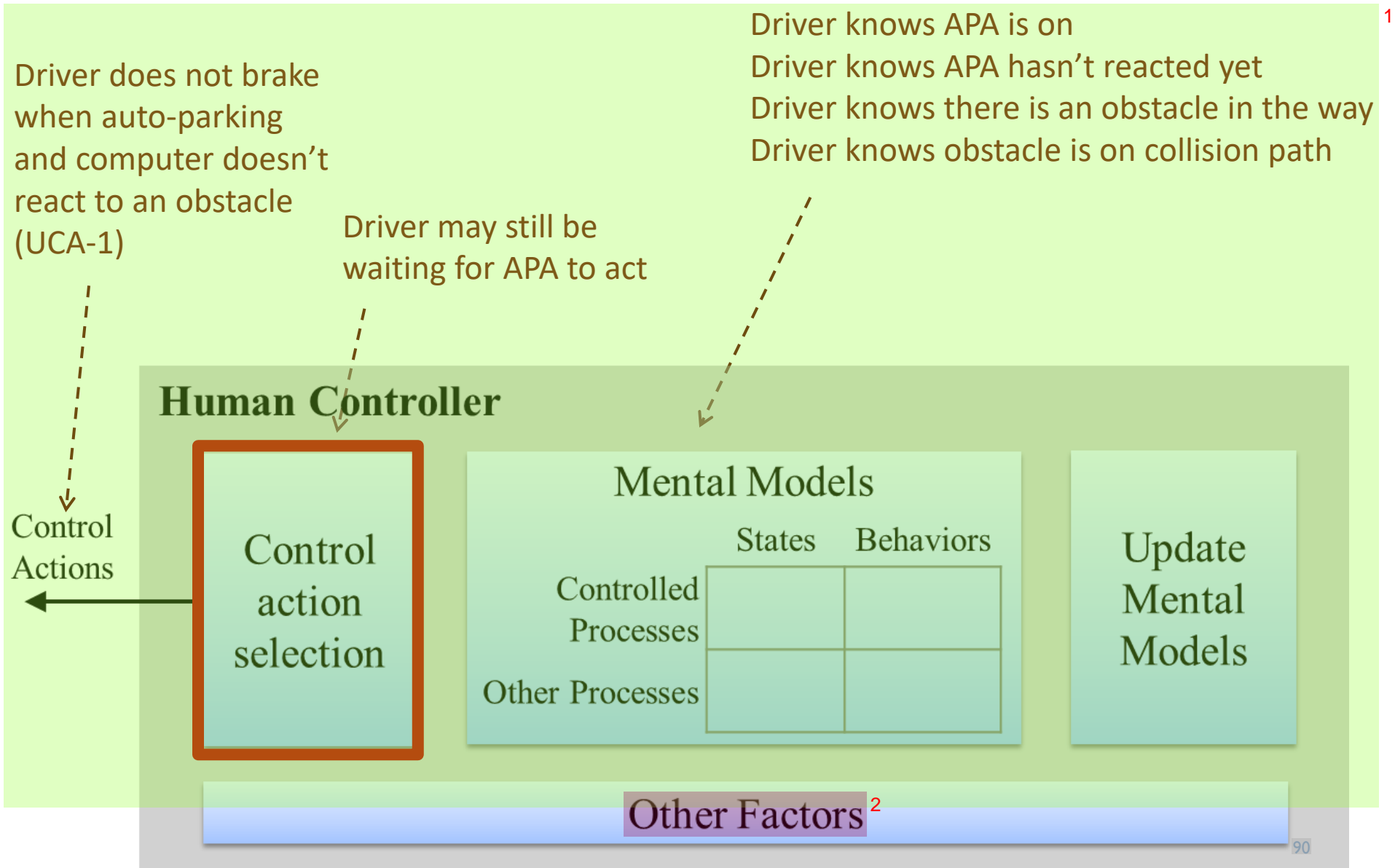
## Mental Models

	States	Behaviors
Controlled Processes		
Environment		

Update  
Mental  
Models

Other Factors<sup>2</sup>

# STPA: ENGINEERING FOR HUMANS



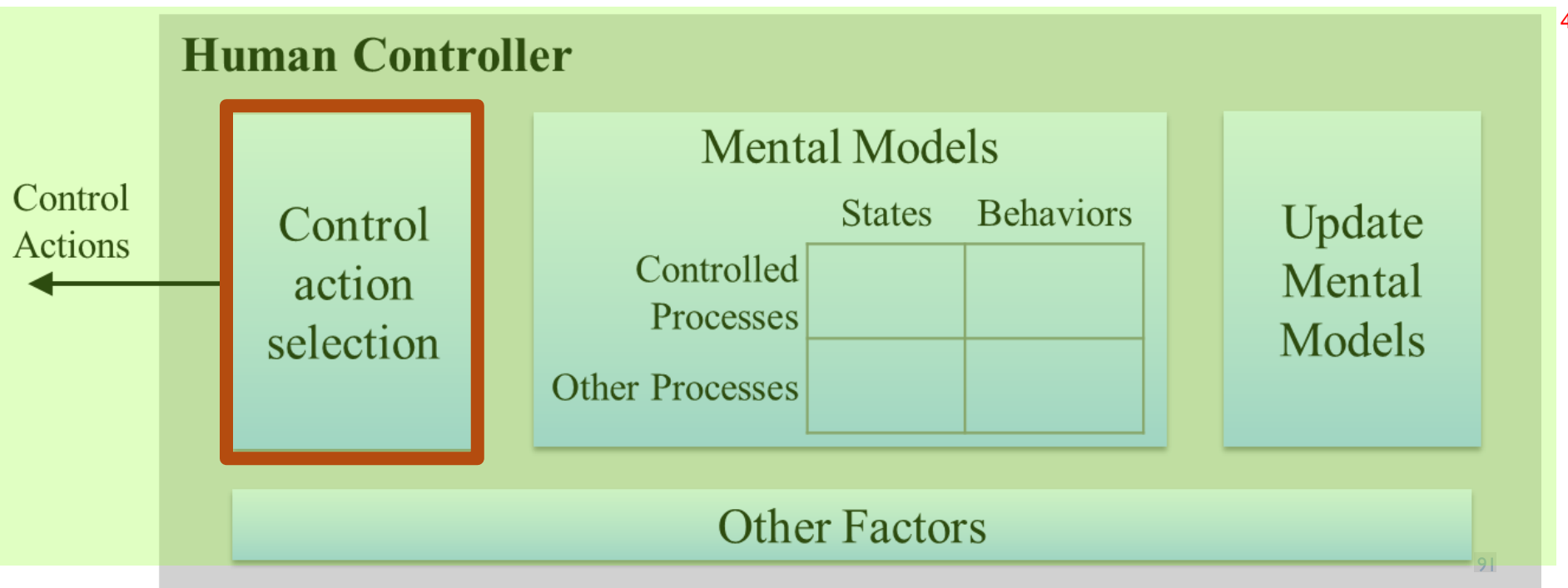


# STPA: ENGINEERING FOR HUMANS

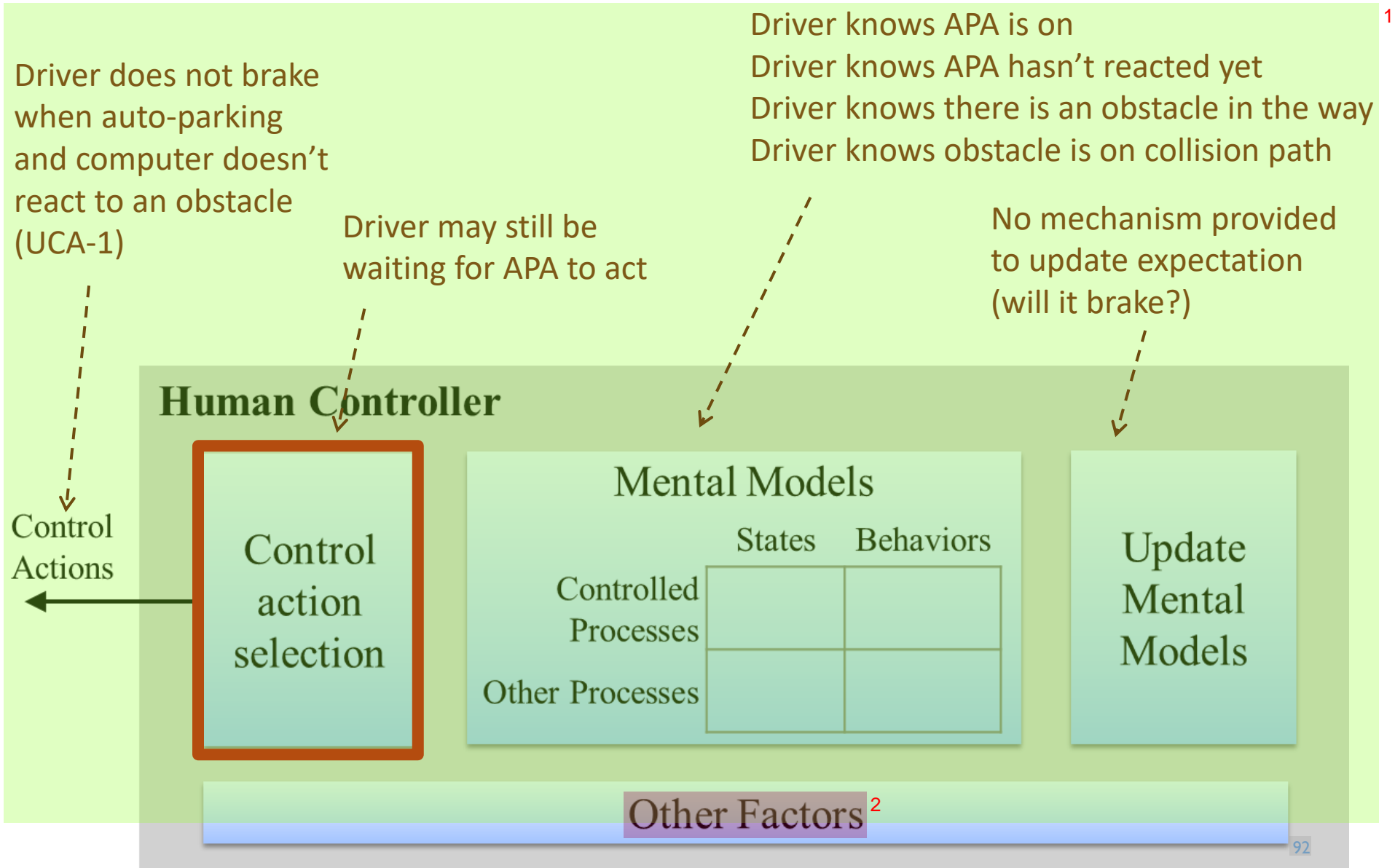


## ■ Identify unsafe Control Action Selections<sup>2</sup>

- Consider whether the driver is aware they can control X<sup>3</sup>
- Consider alternative driver controls/actions
- Consider other driver goals



# STPA: ENGINEERING FOR HUMANS



# STPA: ENGINEERING FOR HUMANS

1

Driver does not brake  
when auto-parking  
and computer doesn't  
react to an obstacle  
(UCA-1)

Driver rule: I don't need  
to brake when APA is on

Driver knows APA is on  
Driver knows APA hasn't reacted yet  
Driver knows there is an obstacle in the way  
Driver knows obstacle is on collision path

Driver has seen APA brake for  
parked cars, assumes it can  
brake for all obstacle types

## Human Controller

Control  
action  
selection

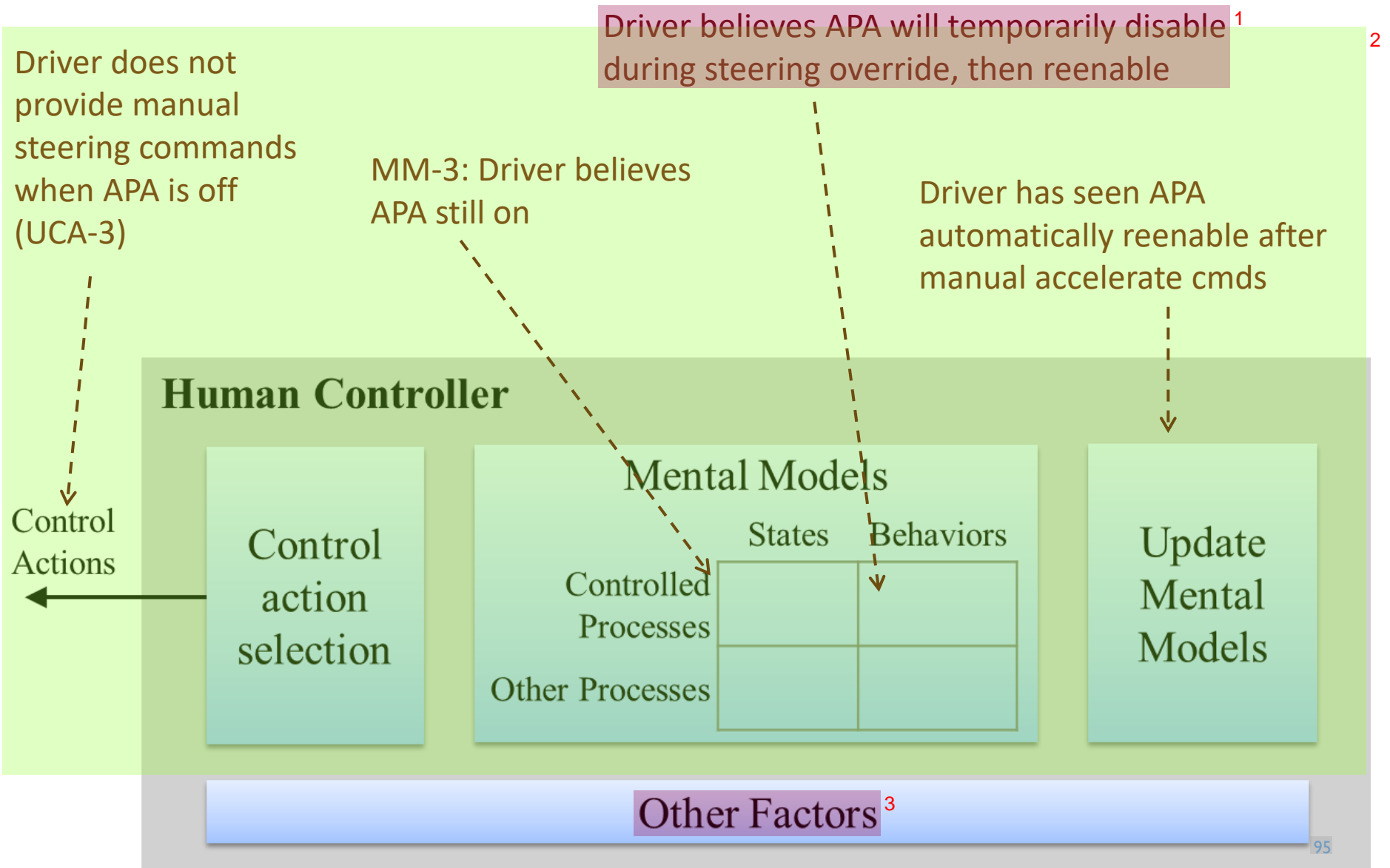
## Mental Models

	States	Behaviors
Controlled Processes		
Other Processes		

Update  
Mental  
Models

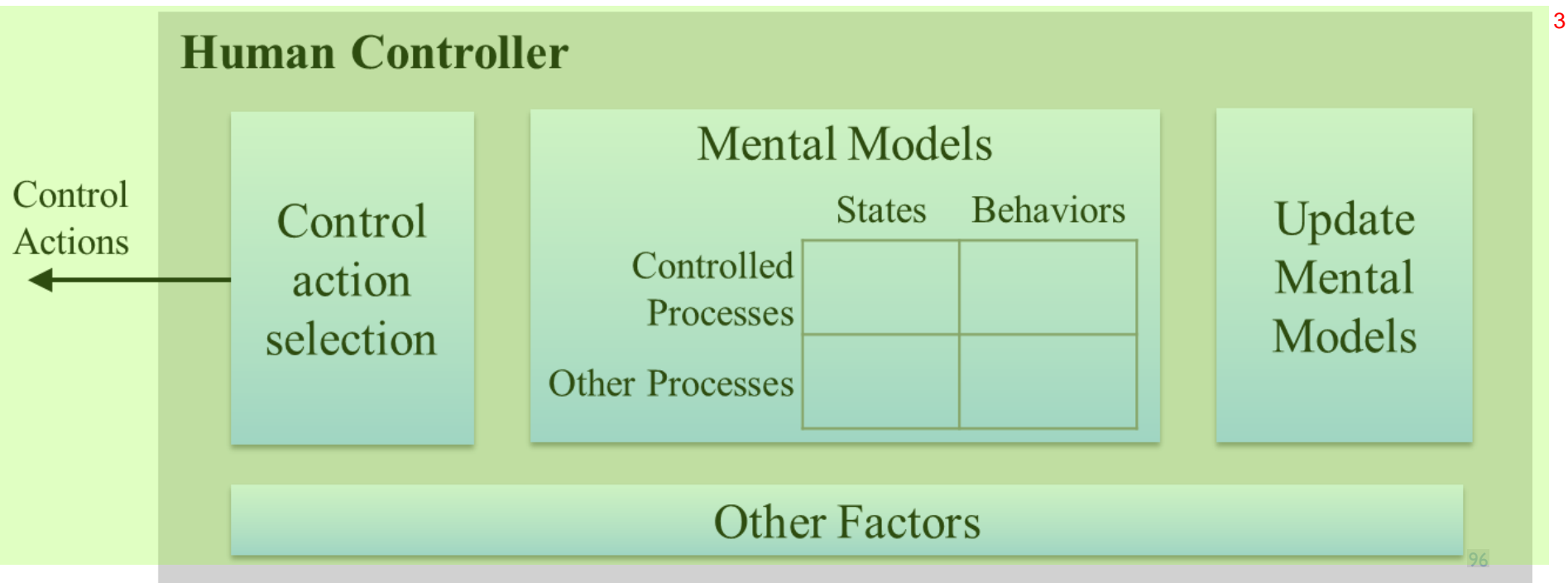
Other Factors<sup>2</sup>

# STPA: ENGINEERING FOR HUMANS



# STPA: ENGINEERING FOR HUMANS<sup>1</sup>

- Identify UCAs<sup>2</sup>
- Identify Mental Model variables
- Identify Mental Model Flaws
- Identify flaws in Mental Model Updates
- Identify unsafe decisions (Control Action Selections)



Can it work for other systems?<sup>1</sup>

# VOLVO CITY SAFETY SYSTEM

From Volvo website:<sup>1</sup>

- City Safety is a support system designed to help the driver avoid low speed collisions when driving in slow-moving, stop-and-go traffic.<sup>2</sup>
- City Safety triggers brief, forceful braking if a low-speed collision is imminent.<sup>3</sup>



# VOLVO CITY SAFETY PREVENTING AN ACCIDENT





# VOLVO CITY SAFETY PREVENTING AN ACCIDENT



[www.PortlandVolvo.com](http://www.PortlandVolvo.com)

# ACCIDENT WITH CITY SAFETY



## VOLVO RESPONSE

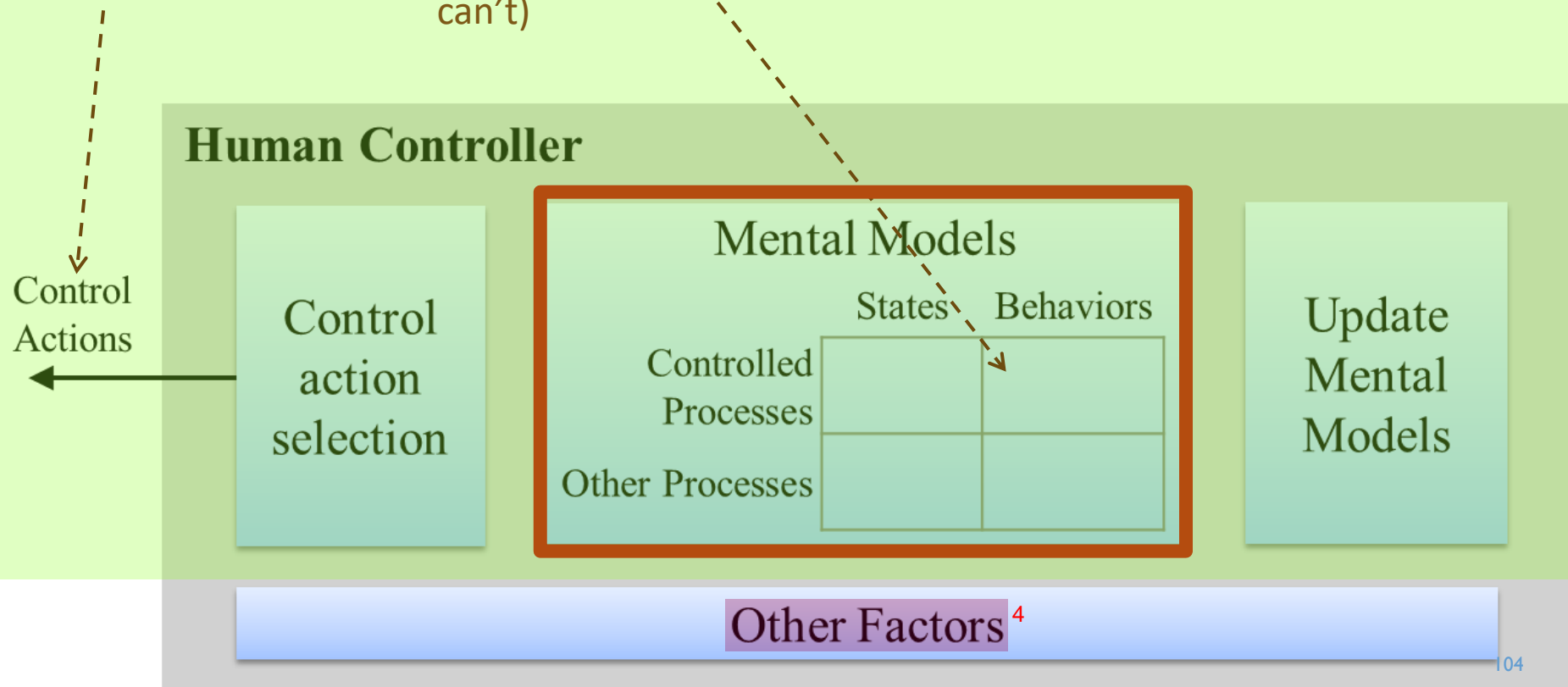
- “The Volvo XC60 comes with City Safety as a standard feature <sup>1</sup>
- “however this does not include the Pedestrian detection functionality ... this is sold as a separate package.” <sup>2</sup>
- Optional pedestrian detection functionality costs \$3,000 <sup>3</sup>

# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



Driver does not brake for pedestrian (UCA-1)

Driver believes City Safety System can automatically brake for pedestrians (it can't)

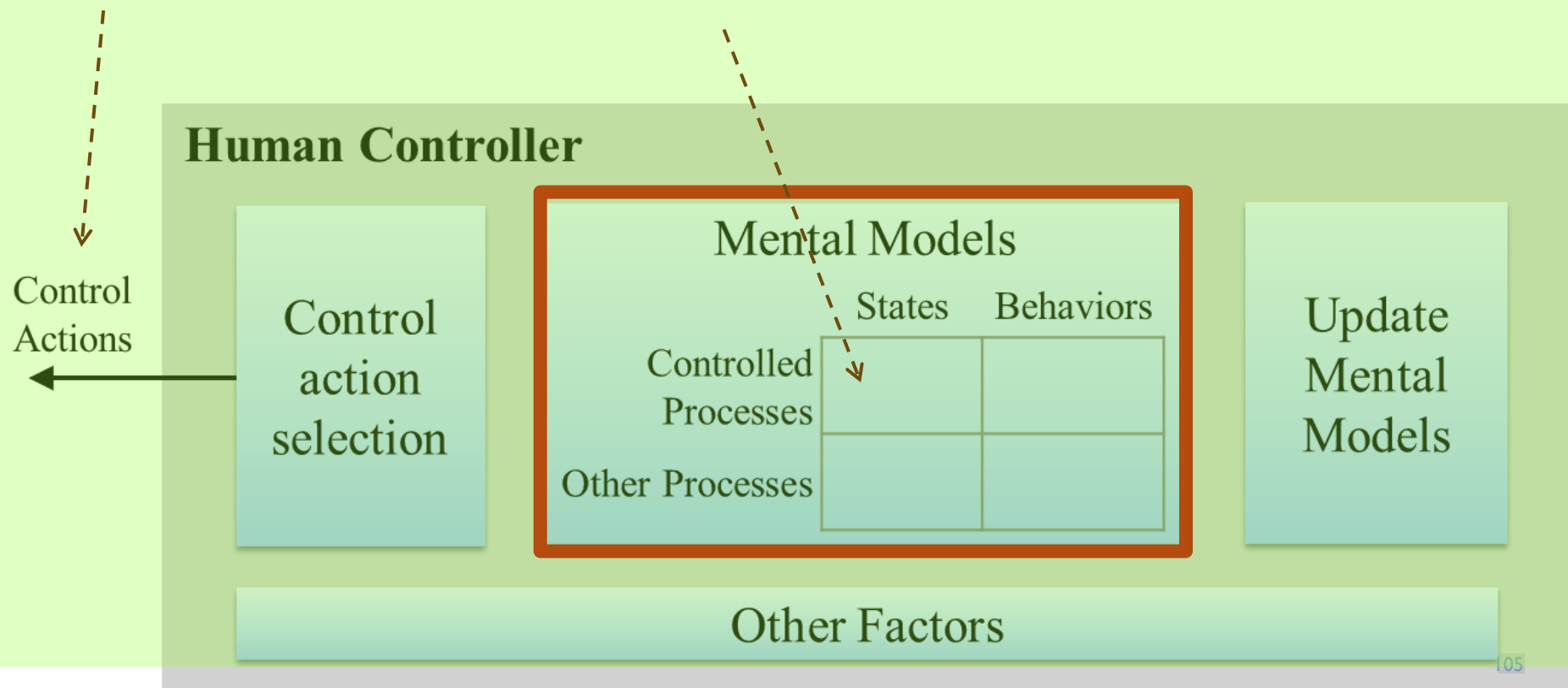


# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



Driver does not brake  
for pedestrian (UCA-1)

Driver thinks City Safety  
System is on (it is really off)





## VOLVO RESPONSE

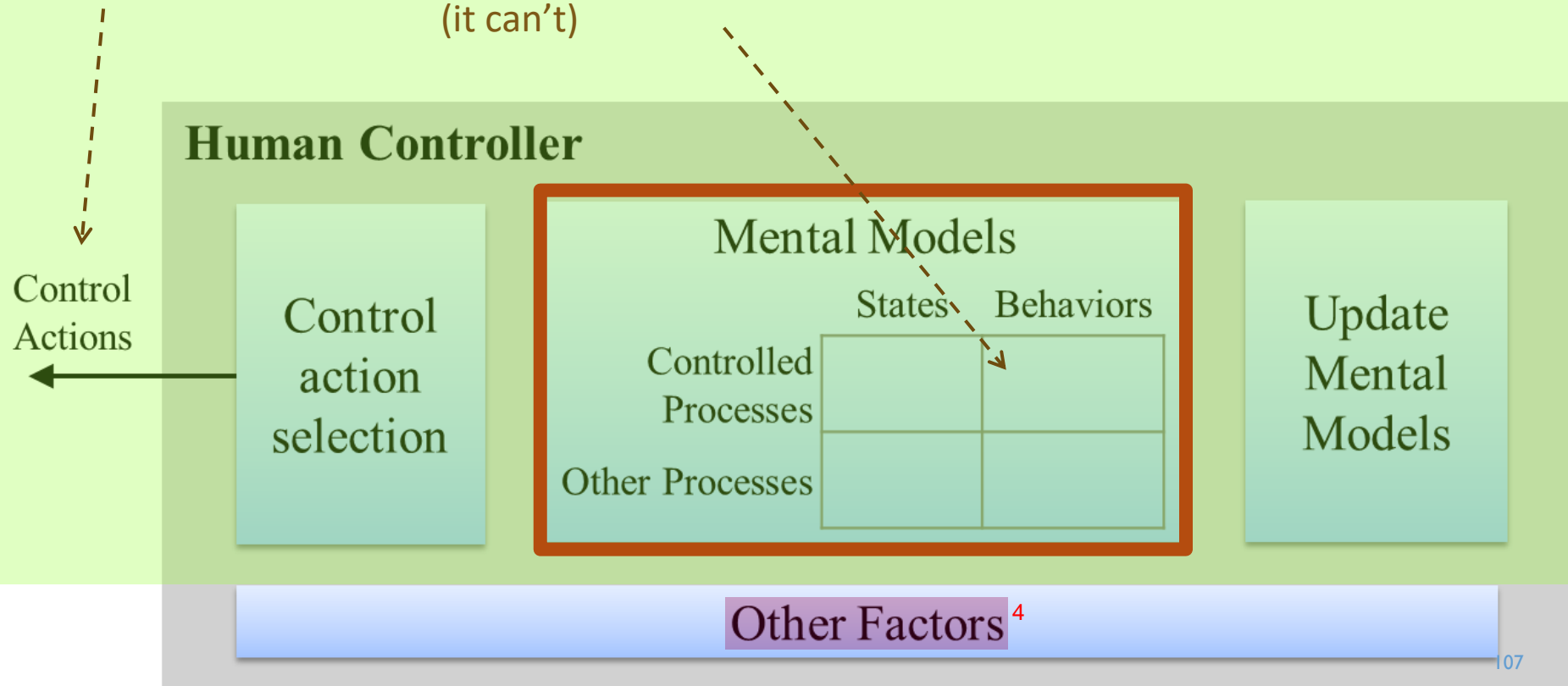
- “The Volvo XC60 comes with City Safety as a standard feature ...<sup>1</sup>
- “however this does not include the Pedestrian detection functionality ... this is sold as a separate package.”<sup>2</sup>
- Optional pedestrian detection functionality costs \$3,000<sup>3</sup>
- Even with pedestrian detection, it mostly likely would not have worked because the driver accelerated<sup>4</sup>

# STPA: ENGINEERING<sup>1</sup> FOR HUMANS



Driver does not brake  
for pedestrian (UCA-1)

Driver thinks City Safety  
System can intervene  
during acceleration  
(it can't)



# TESLA SUMMON



*This feature will park Model S while the driver is outside the vehicle. Please note that the vehicle may not detect certain obstacles, including those that are very narrow (e.g., bikes), lower than the fascia, or hanging from the ceiling. As such, Summon requires that you continually monitor your vehicle's movement and surroundings while it is in progress and that you remain prepared to stop the vehicle at any time using your key fob or mobile app or by pressing any door handle.*

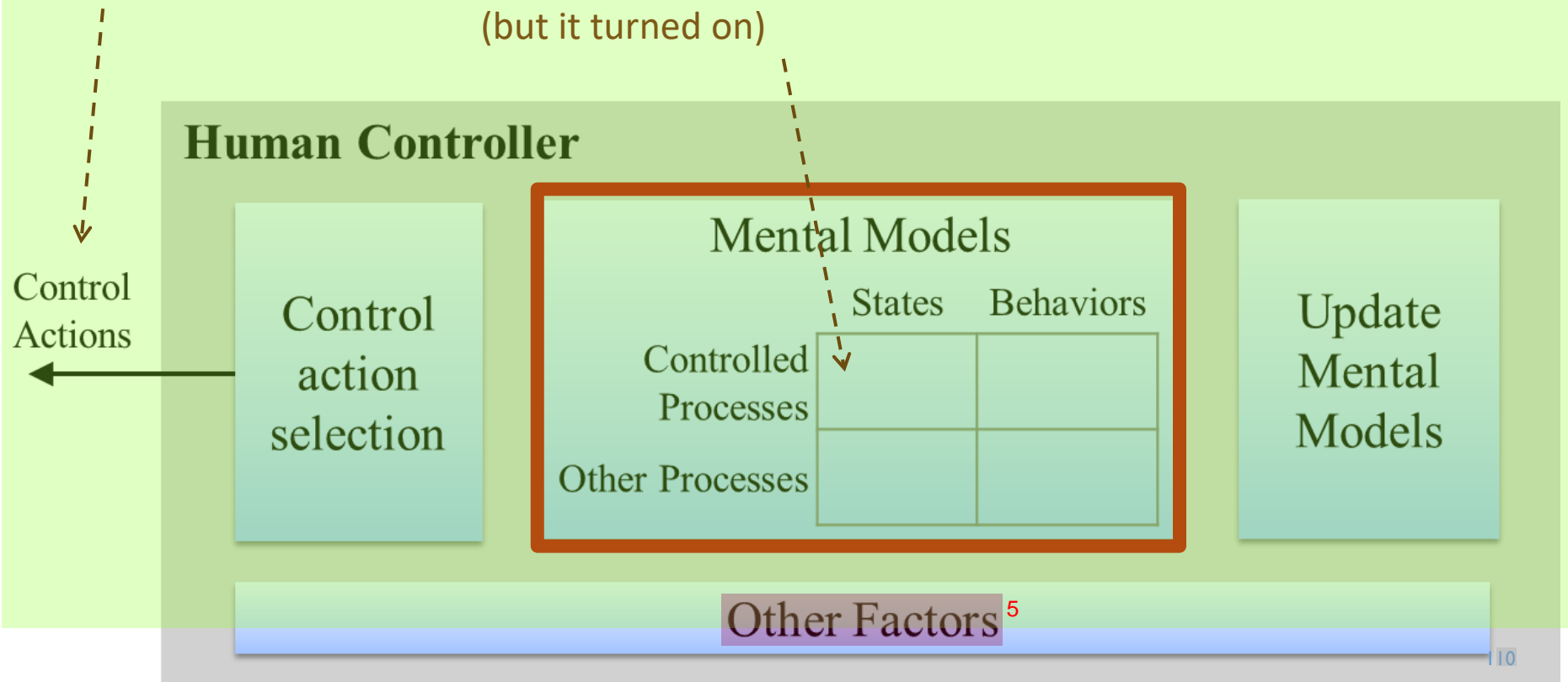


# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



Driver does not provide manual override when obstacle in path (UCA-1)<sup>2</sup>

Driver thinks Summon is off (but it turned on)

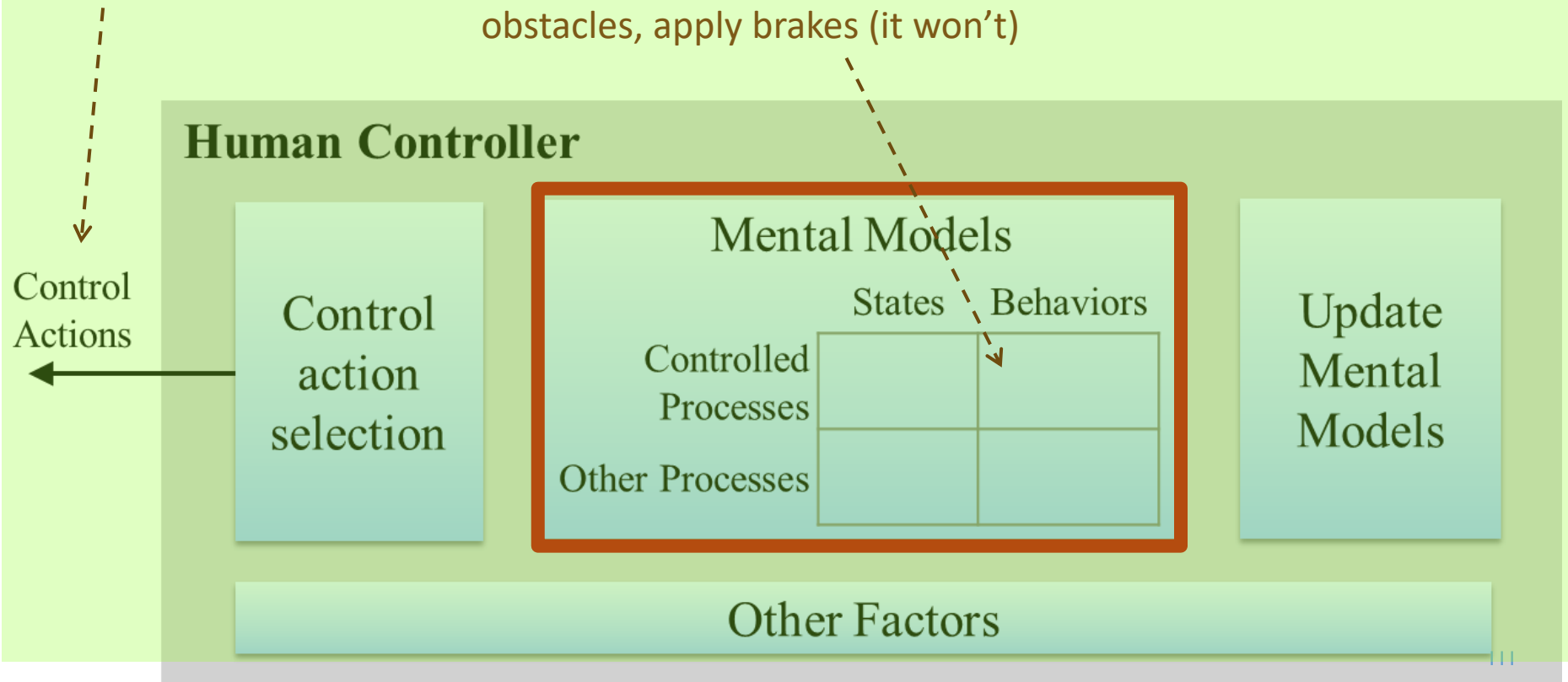


# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



Driver does not provide manual override when obstacle in path (UCA-1)<sup>2</sup>

Driver thinks Summon will detect raised obstacles, apply brakes (it won't)



# MONOSTABLE SHIFTER DESIGN



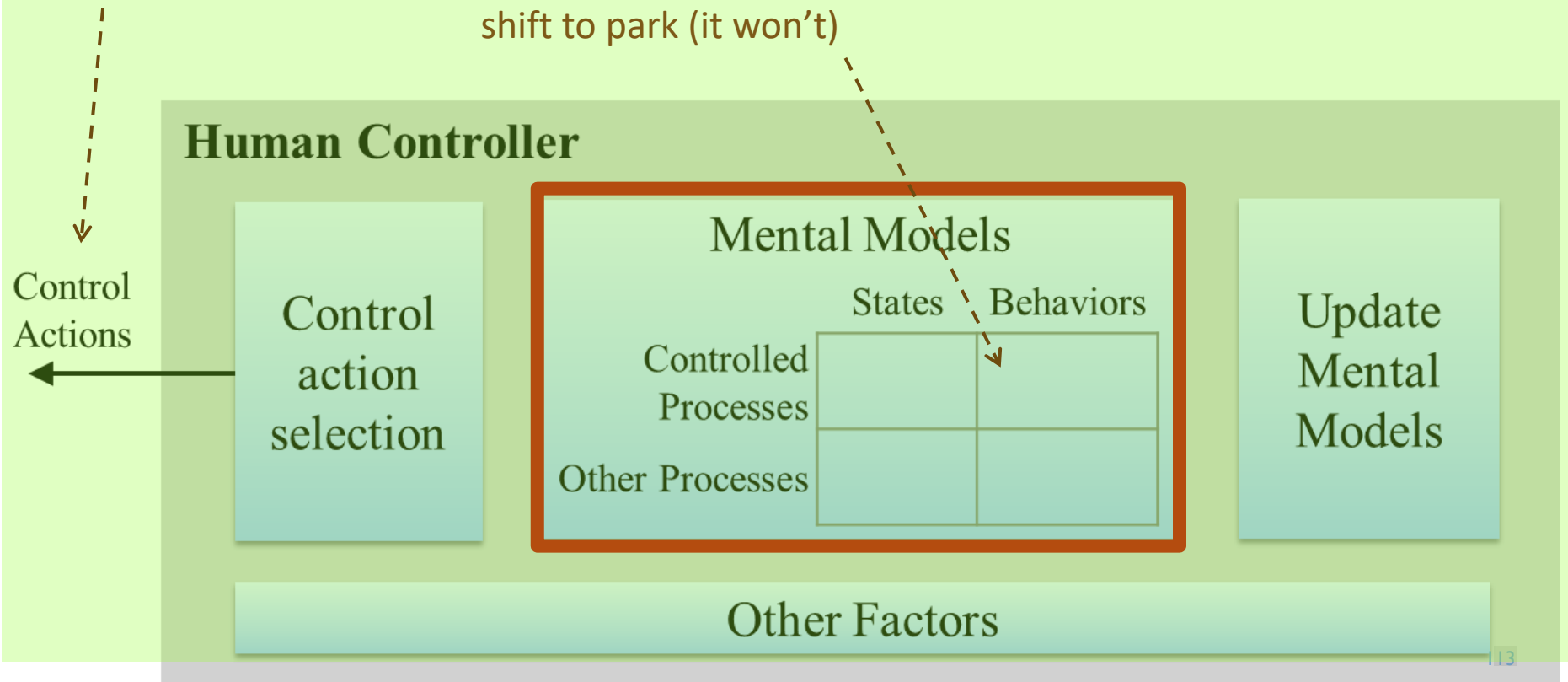
Audi A8: Similar design, but SW will automatically activate electronic park brake if driver exits

# STPA: ENGINEERING FOR HUMANS



Driver does not provide<sup>1</sup>  
Park cmd before exiting  
vehicle (UCA-1)

Driver believes vehicle will automatically  
shift to park (it won't)

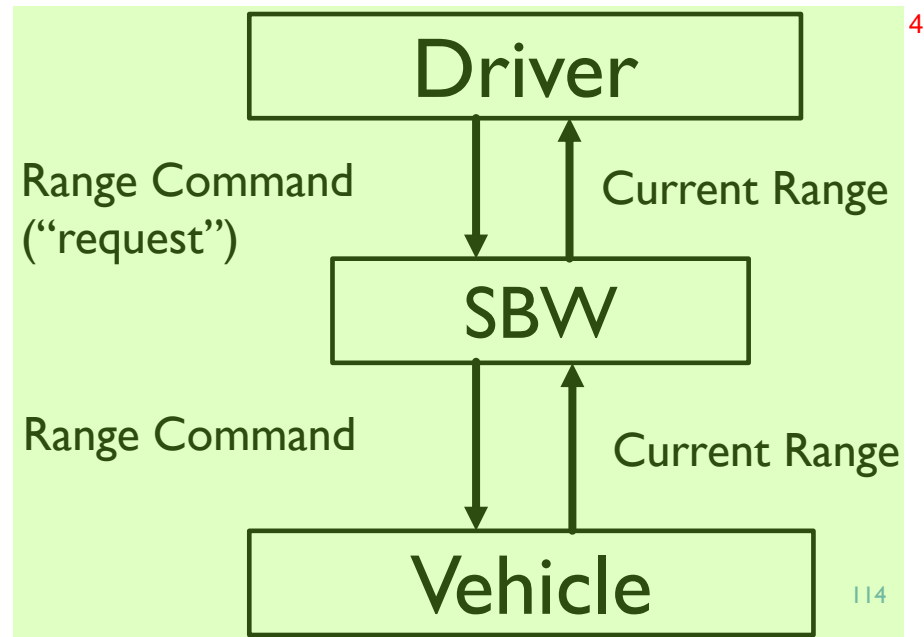




Range = <sup>2</sup>

<sup>3</sup>

- Park
- Reverse
- Neutral
- Drive
- Etc.

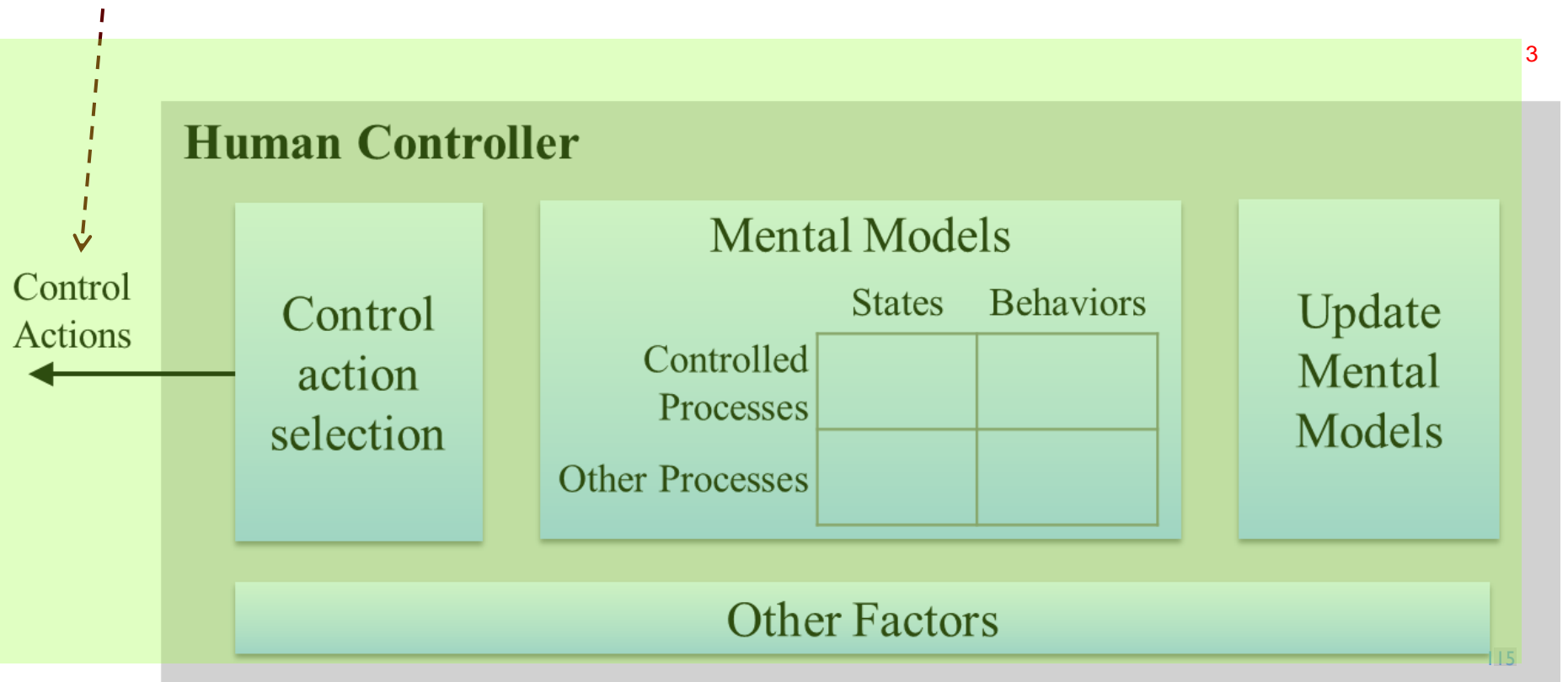




# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



Driver exits vehicle  
when vehicle is not in  
park (UCA-1)



# STPA: ENGINEERING FOR HUMANS

Consider:<sup>1</sup>

1. Automatic mode changes<sup>2</sup>
2. Previous cmds ignored
3. Phases of operation
4. Etc.

Driver exits vehicle  
when vehicle is not in  
park (UCA-1)

Driver incorrectly  
believes vehicle is in  
Park (MM-1)

## Human Controller

Control  
action  
selection

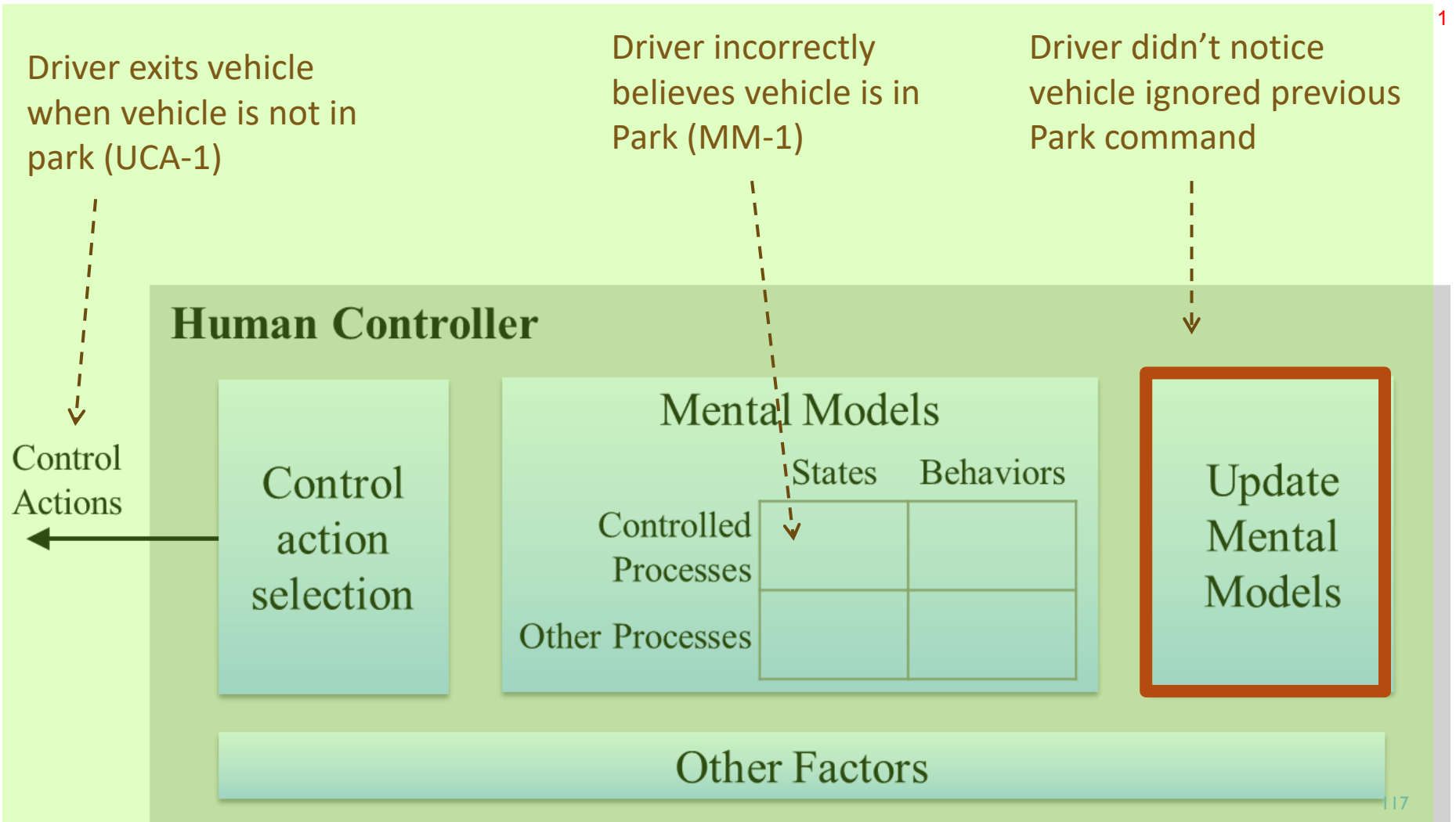
### Mental Models

	States	Behaviors
Controlled Processes	↓	
Other Processes		

Update  
Mental  
Models

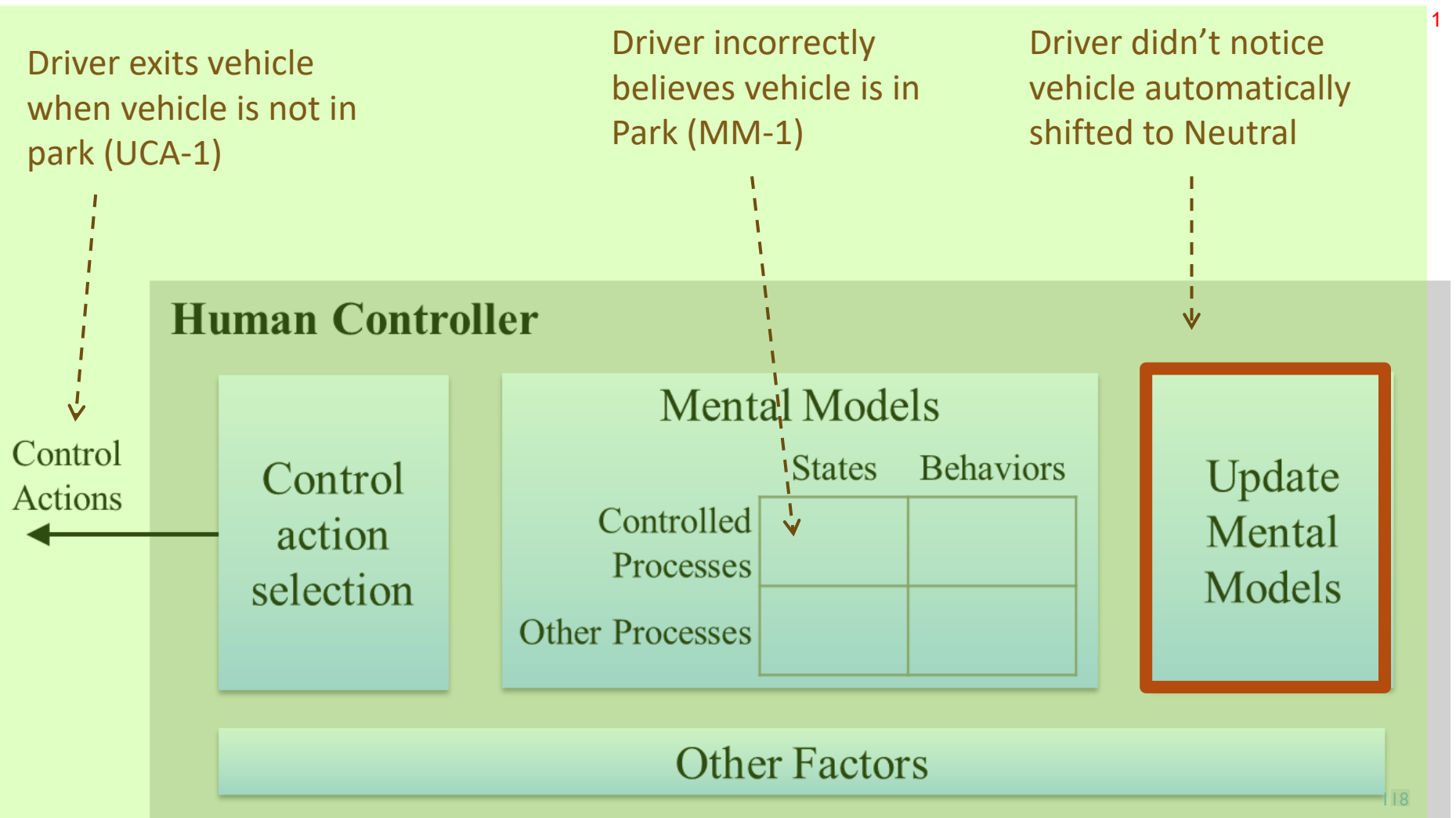
Other Factors

# STPA: ENGINEERING FOR HUMANS

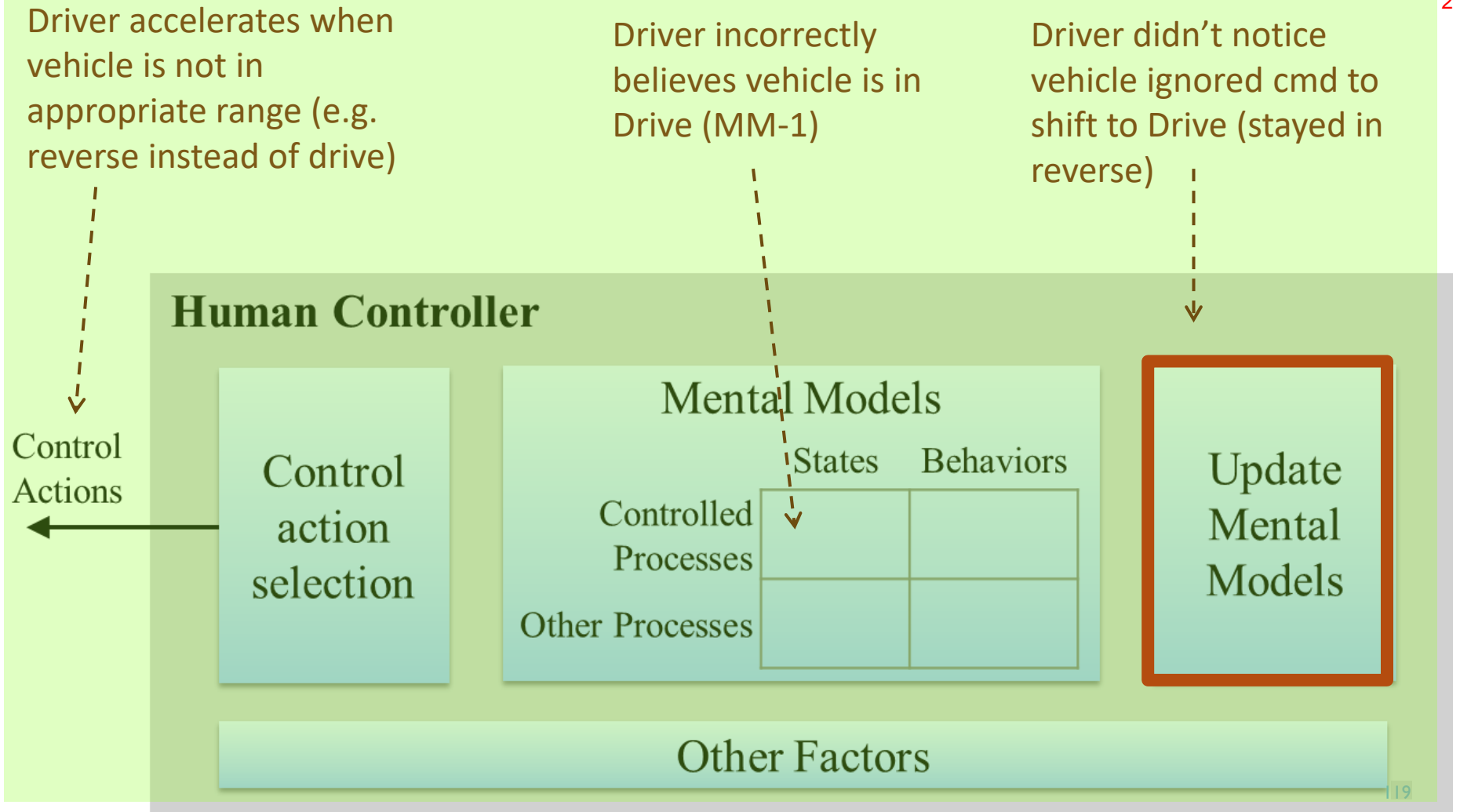




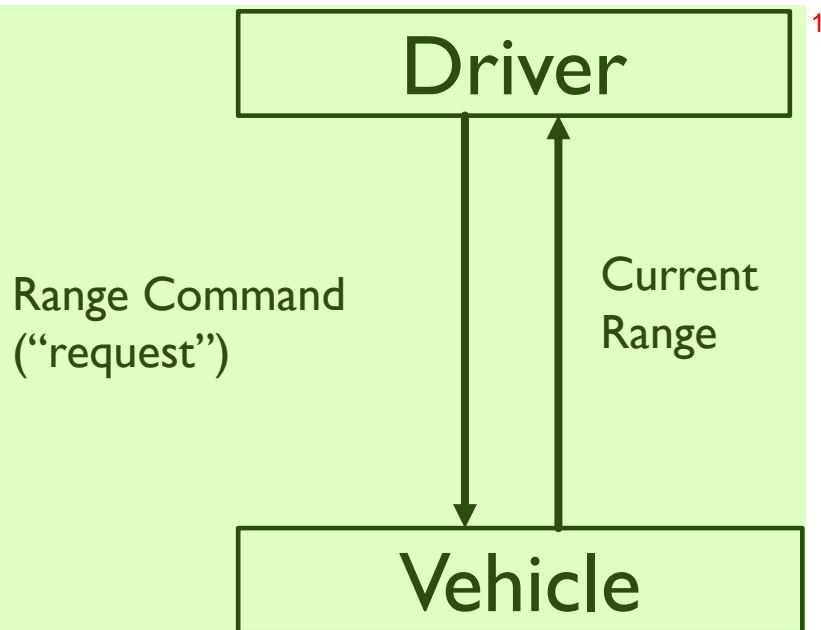
# STPA: ENGINEERING FOR HUMANS



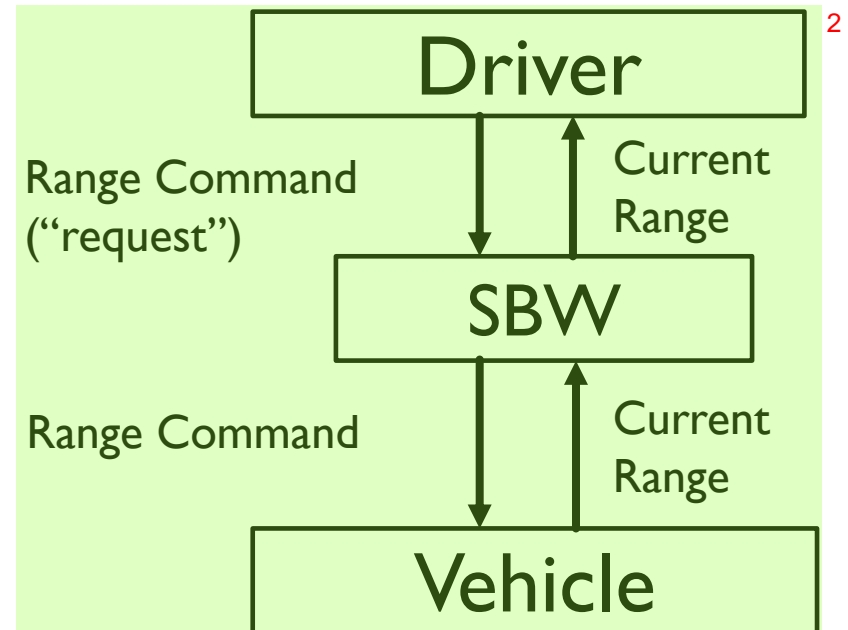
# STPA: ENGINEERING FOR HUMANS<sup>1</sup>



# Old System



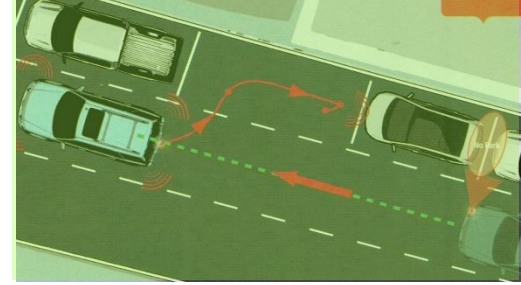
# New System



# Driver Unsafe Scenarios

# Driver Unsafe Scenarios

# AUTOMATED PARKING



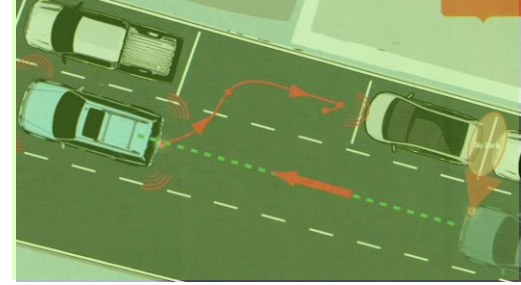
Features of each system considered for this analysis:<sup>2</sup>

	Level 0*	Level 1	Level 2a	Level 2b	Level 3
	No Driving Automation	“Driver Assistance”	“Partial Automation”	“Partial Automation”	“Conditional Automation”
Steering	-	✓	✓	✓	✓
Braking	-	-	✓	✓	✓
Shifting and Acceleration	-	-	-	✓	✓
Object and Event Detection and Response	-	-	-	-	✓

\*System numbering is consistent with SAE definitions for levels of automation, while “a” and “b” indicate different implementations which are classified within the same SAE level.<sup>4</sup>

Analysis reuse<sup>5</sup>

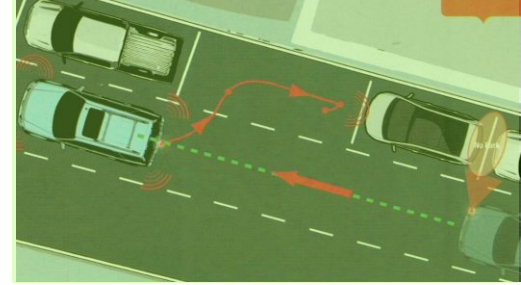
# AUTOMATED PARKING



2

	<b>Level 1</b> <b>“Driver Assistance”</b>	<b>Level 2a</b> <b>“Partial Automation”</b>	<b>Level 2b</b> <b>“Partial Automation”</b>	<b>Level 3</b> <b>“Conditional Automation”</b>
Driver UCAs	42	41	38	44
APA Computer UCAs	5	13	28	28
Total				

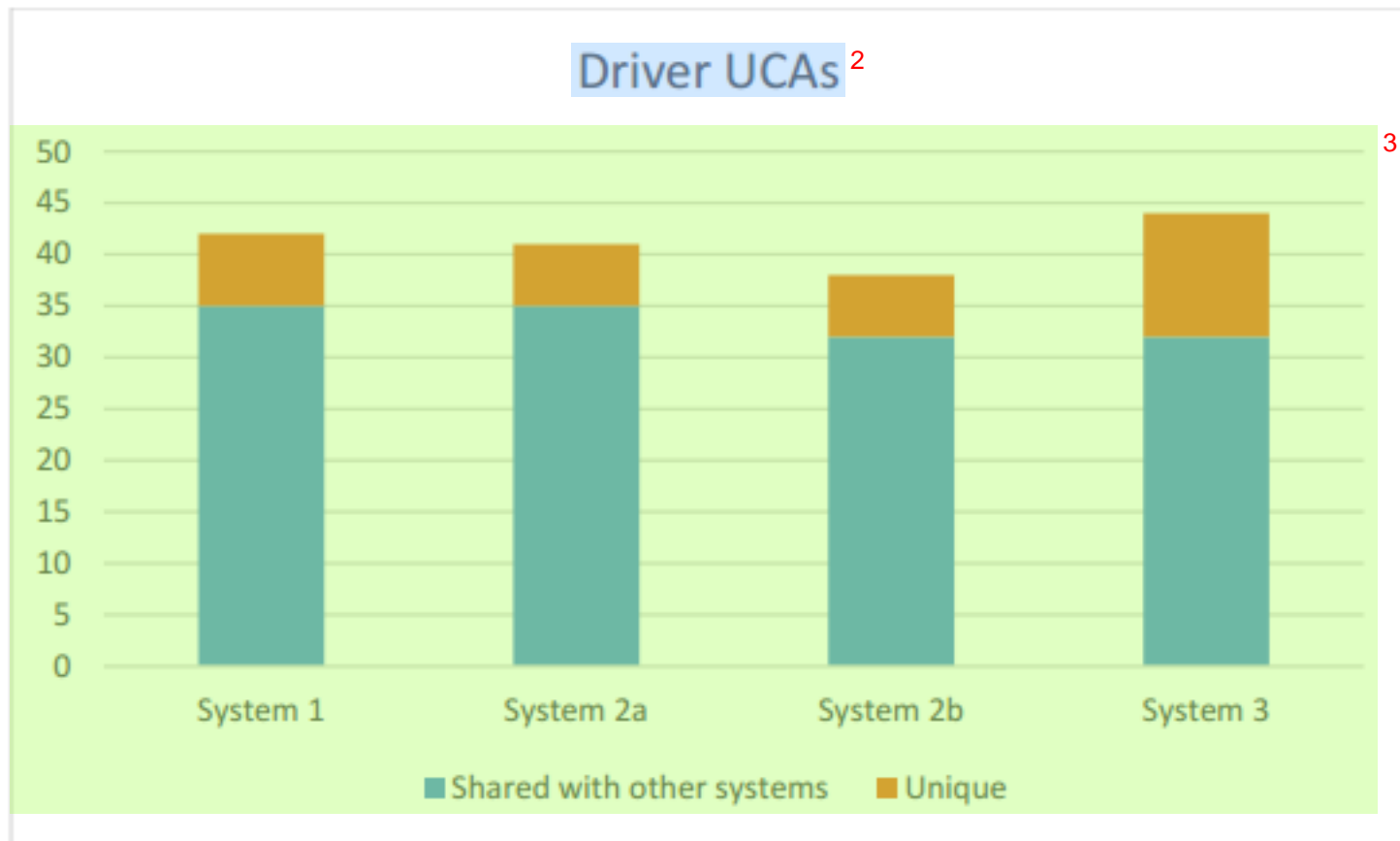
# AUTOMATED PARKING



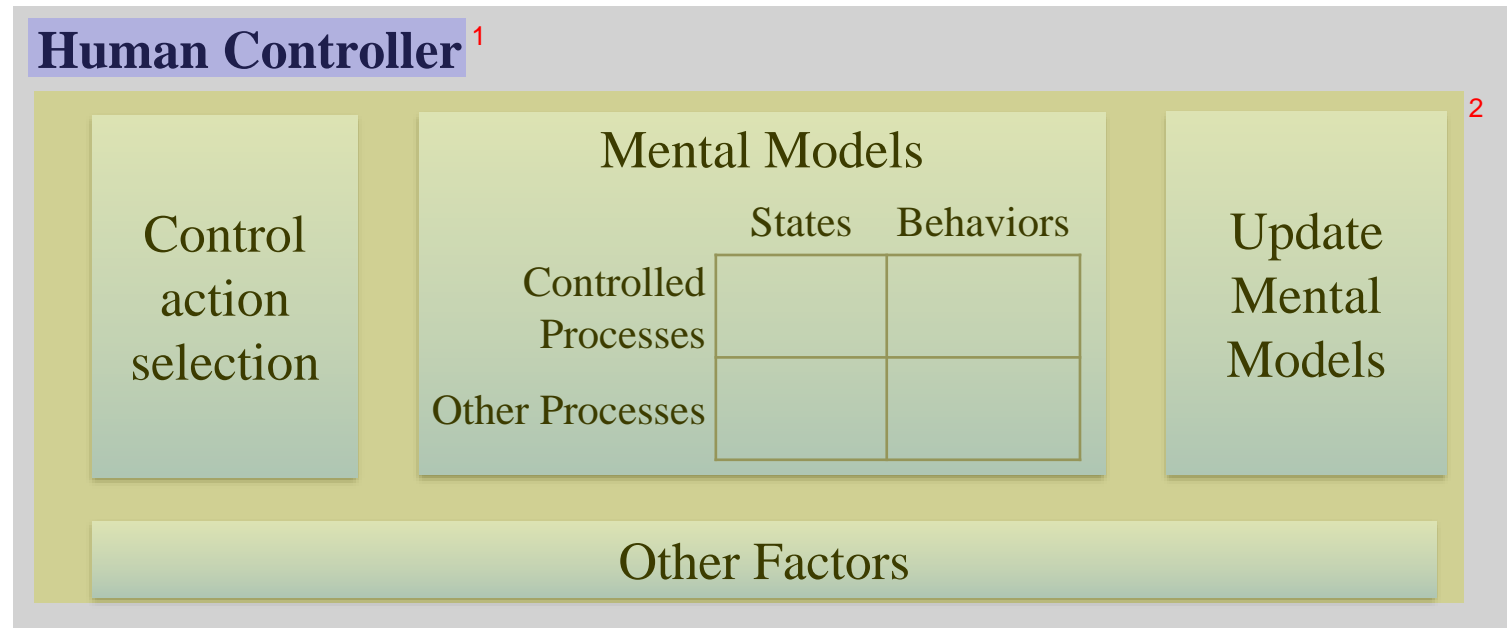
2

	Level 1 “Driver Assistance”	Level 2a “Partial Automation”	Level 2b “Partial Automation”	Level 3 “Conditional Automation”
Driver UCAs	42	41	38	44
	35 in common		32 in common	
	30 in common			
APA Computer UCAs	5	13	28	28
	5 in common		28 in common	
	13 in common			
Total	47	54	66	72
	40 in common		60 in common	
	43 in common			

	Level 1	Level 2a	Level 2b	Level 3
Driver UCAs	42	41	38	44
APA Computer UCAs	5	13	28	28
Total	47	54	66	72



# CONCLUSIONS



## New human engineering process strengths:<sup>3</sup>

- Easy for engineers to learn, use
- Drive engineering requirements and concepts from the start
- Can be used earlier in design process than detailed simulations or prototypes
- Successful in industry, adoption