

Friendly Fire : Snook's Analysis

List of Facts & partial WBGs

for

Group, Individual & Organisational Factors

© Hannes Fehr, Peter Ladkin,
Jan Paller, Jan Sanders, Jörn Stuphorn
2004

The Third BieleSchweig Workshop on System Engineering: Risk Analysis and Root-Causal Analysis

An event of the German Chapter of the System Safety Society
12-13 February, 2004, Center for Interdisciplinary Research (ZIF)
Bielefeld



List of Facts: Group Factors. Version 4

G1-7

1. AWACS CRW could not question F-15 engagement
2. AWACS failed accurately to track helos
3. Weak crew: "pseudo-team" (3, 50)
4. AWACS inability to control mission aircraft
5. Adoption of a priori scripts instead of norms
6. No emphasis placed on crew "mission readiness"
7. AWACS subordinate position in OPC
8. USAF "two layer" culture
9. Overreliance on org-def positions, SOPs, interaction rules
10. Fundamental leadership failure

G8

11. Major budget cut reversals
12. Negative influence on personnel and equipment
13. Gulf War
14. Downsizing (14, 26)
15. High OPTEMPO
16. Shrinking defence budgets (16, 24)
17. Increasing OPNL deployments (17, 23)
18. Cries for "peace dividends"
19. Changing world order
20. Operations other than war
21. Fall of the Soviet Union

G9

22. Poor morale CMD climate in AWACS unit
23. Increased OPNL deployments (17, 23)
24. Shrinking defense budgets (16, 24)
25. Aging airframes
26. Downsizing (14, 26)
27. Deferred maintenance
28. Delayed fielding of new equipment

G10.1

29. Weakened ability in AWACS to perform required tasks
30. "Organisational shell" based structure (30, 32)
31. Weak leadership by MCC and SD
32. Weak "inner shell" (30, 32)
33. Poor "spin-up" training (33, 38)

G10.2

- 34. Many crew not paying attention
- 35. Confused authority relations amongst AWACS crew
- 36. "Diffuse responsibility" amongst AWACS crew (36, 43, 51, 55, 58)
- 37. Presence of shadow crew on first deployment
- 38. Gap between "spin-up" training and actual deployment (33, 38)

G11

- 39. F15s and helos on different radio frequencies
- 40. No info from AWACS about helos
- 41. AWACS didn't tell helos to change frequencies
- 42. Handoff of helos not properly made
- 43. Diffusion of responsibility (36, 43, 51, 55, 58)
- 44. Enroute controller and TAOR controller not in physical contact
- 45. TAOR controller and supervisor not in visual contact
- 46. Ad hoc seating arrangement in AWACS
- 47. Console failure

G12-1

- 48. Critical failure to act (48, 53)
- 49. Poor launch
- 50. Weak crew (3, 50)
- 51. Diffusion of responsibility (36, 43, 51, 55, 58)
- 52. Helos not integrated into OPC flightops

G12-2

- 53. Failure to act (48, 53)
- 54. Premiss "social definition" fulfilled of social impact theory
- 55. Premiss "diffusion of responsibility" fulfilled of social impact theory (36, 43, 51, 55, 58)
- 56. Truth of Social Impact Theory
- 57. SD & MCC believed, against USAF regs, that surveillance not responsible for tracking Eagle Flight (57, 62)

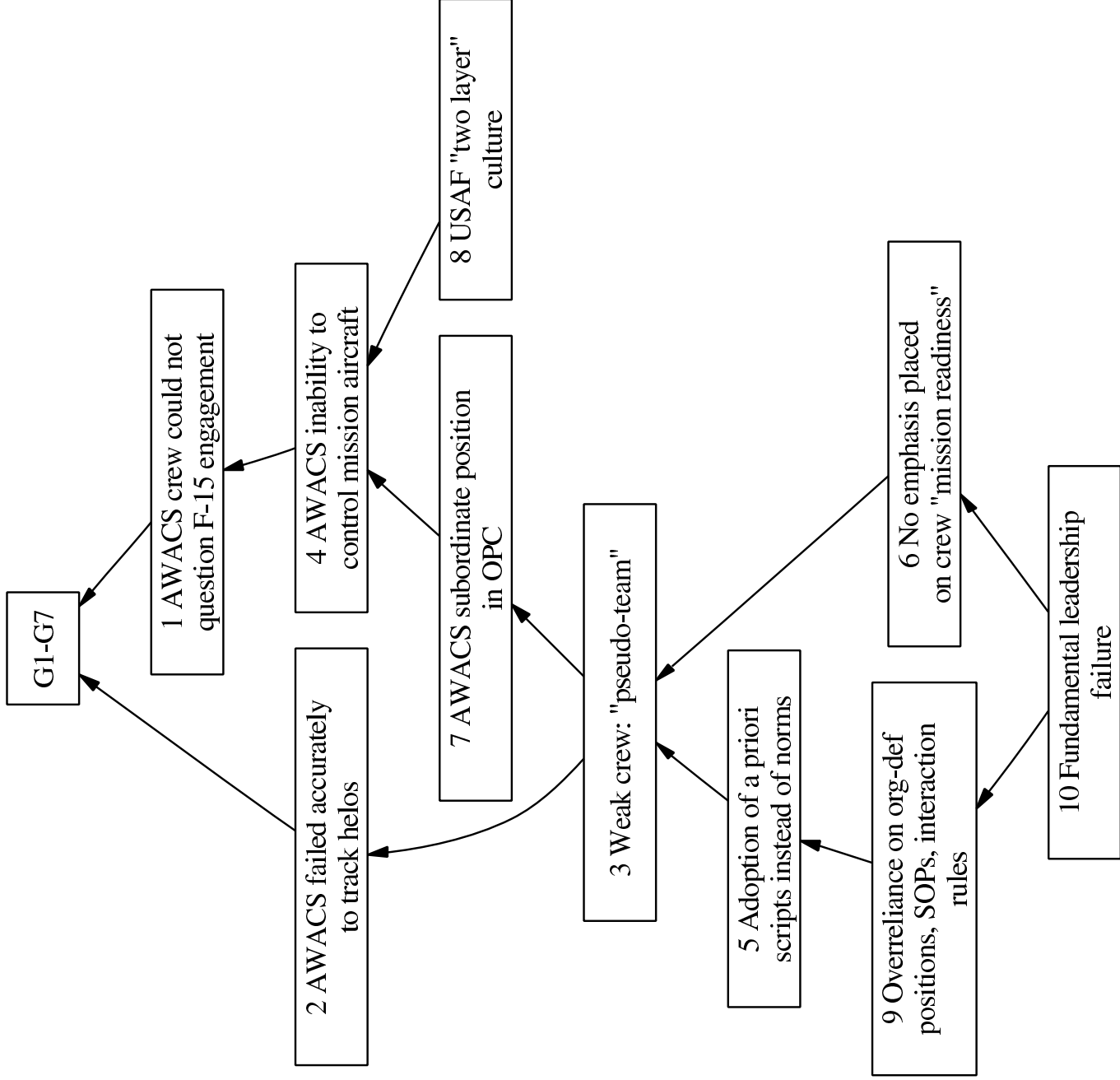
G12-3

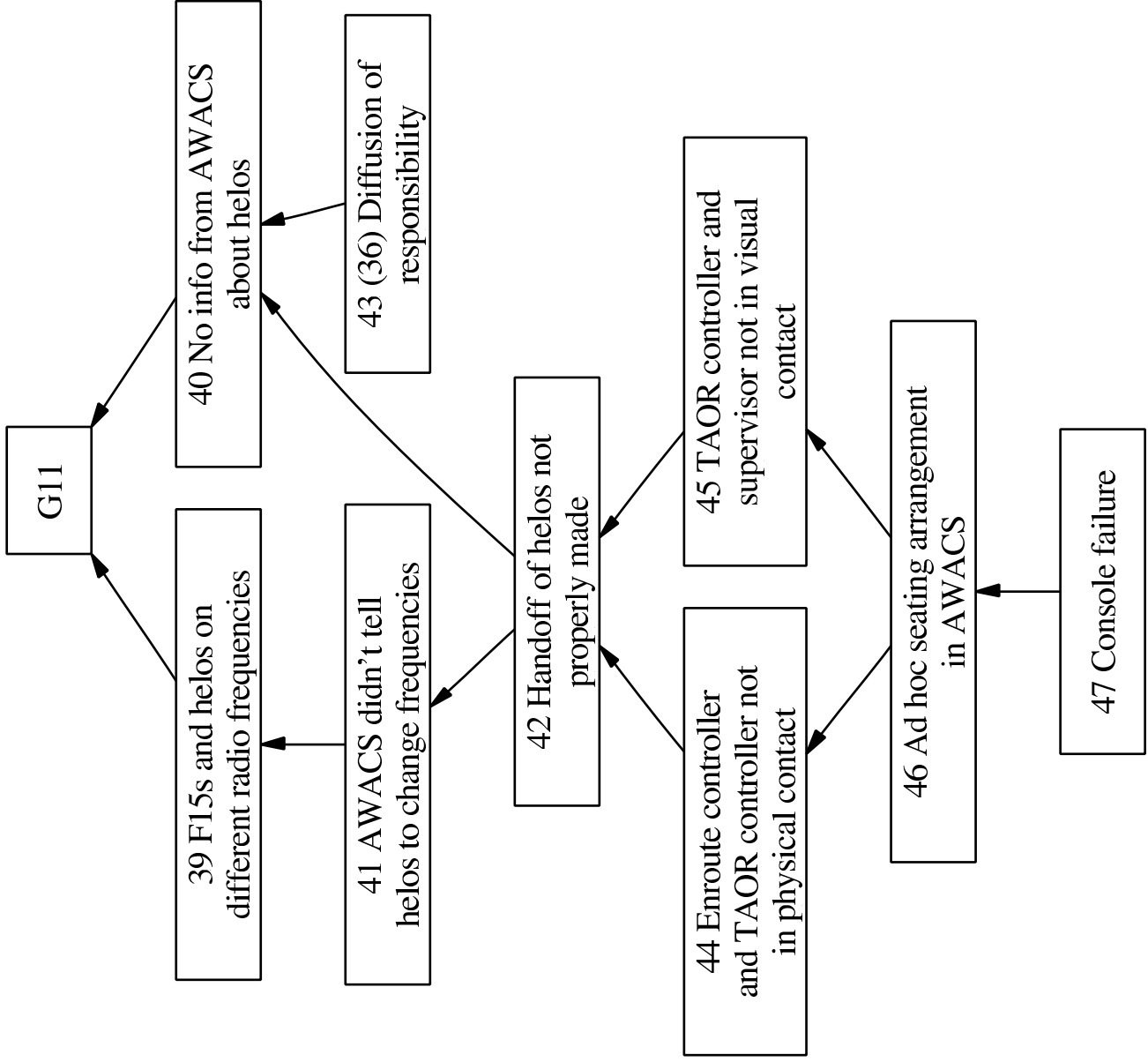
- 58. Premiss "diffusion of responsibility" fulfilled of social impact theory (36, 43, 51, 55, 58)
- 59. Responsibility for tracking helos ambiguous and not well-defined
- 60. For significant time, AWACS "saw and heard" Eagle Flight
- 61. Brown's factors fulfilled
- 62. SD & MCC believed, against USAF regs, that surveillance not responsible for tracking Eagle Flight (57, 62)
- 63. "Others" more able to help
- 64. Proximity
- 65. Prior relationship to victim

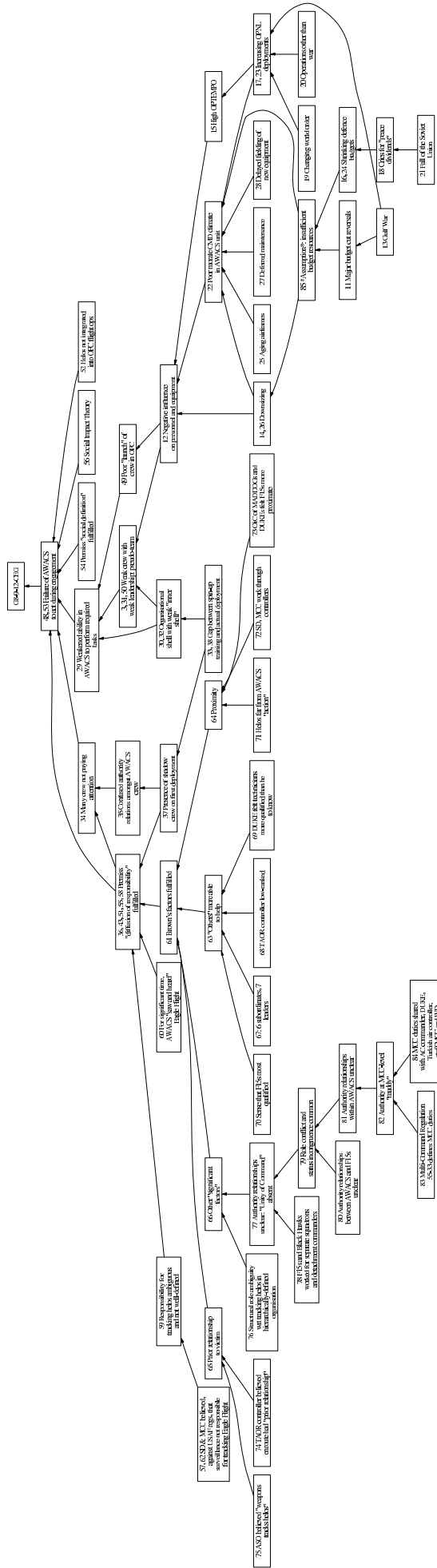
66. Other "significant factors"
67. 6 subordinates, 7 leaders
68. TAOR controller low-ranked
69. DUKE felt technicians more qualified than he to know
70. Sense that F15s most qualified
71. Helos far from AWACS "action"
72. SD, MCC work through controllers
73. OiC of MADDOGs and DUKEs felt F15s more proximate
74. TAOR controller believed enroute had "piori relationship"
75. ASO believed "weapons tracks helos"
76. Structural role ambiguity wrt tracking helos in hierarchically-defined organisation
77. Authority relationships unclear: "Unity of Command" absent
78. F15s and Black Hawks worked for separate squadrons and detachment commanders
79. Role conflict and status incongruence common
80. Authority relationships between AWACS and F15s unclear
81. Authority relationships within AWACS unclear
82. Authority at MCC-level "muddy"
83. Multi-Command Regulation 55-33 defines MCC duties
84. MCC duties shared with AC commander, DUKE, Turkish air controller, staff MCC and WD

New Nodes

85. **** Assumption**** Insufficient budget resources





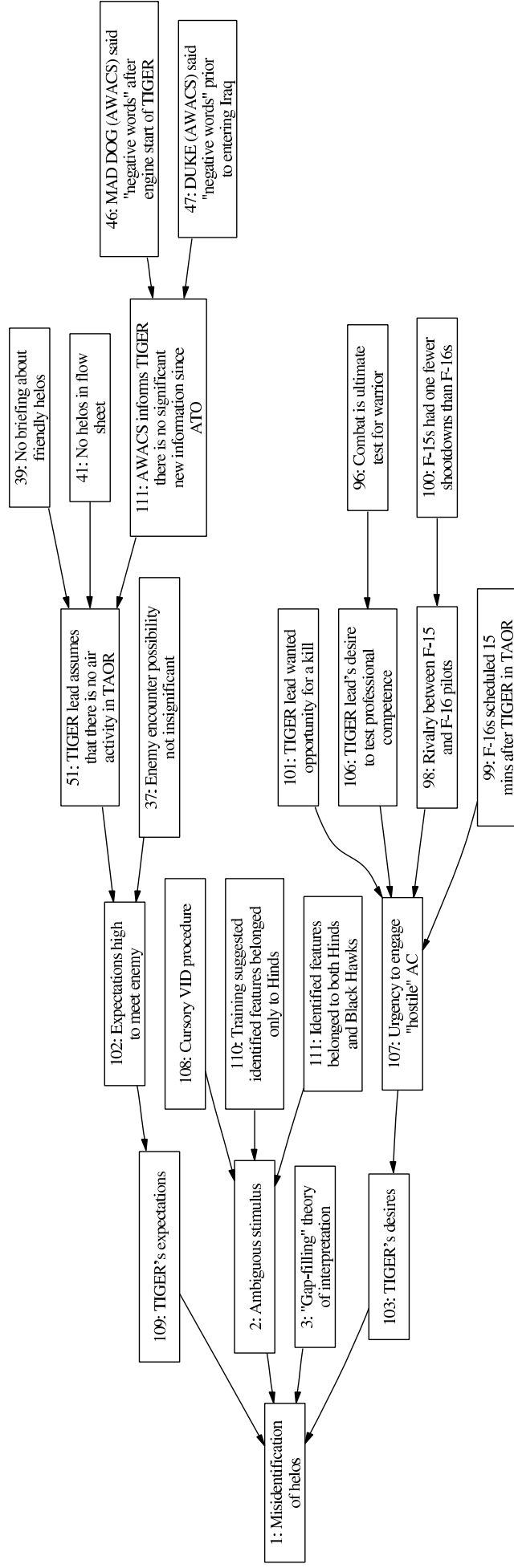


List of Facts: Individual Factors Version 3

1. F-15 pilots misidentified Black Hawks
2. stimulus unclear
3. when stimulus is unclear, we fill the gaps (p78)
4. high speed difference between helos and F-15s
5. helos had 130 knots (p76)
6. F-15s flew approx. 450 knots (p76)
7. slant range was 1100 - 1500 feet (p76)
8. camouflage of helos (p76)
9. pilots are taught that: tapered empennage+rear slanting tail+ordnance sponsons = Hind (p78)
10. F15s above Black Hawks (p78)
11. limited visual recognition training previous to accident (p78)
12. disruption of normal vis-recog-training (p78)
13. relocation from Germany to Turkey (p78)
14. only 5% of training slides depicted helicopters (p79)
15. most of helo-slides taken from ground looking up, none from above (p79)
16. army provided helo-slides (p79)
17. ground-up angle most convenient for army (p79)
18. very few slides showed Black Hawks (p79)
19. no Black Hawk slides with wings and aux-tanks (p79)
20. no Intel briefing about Iraqi camouflage scheme (p79)
21. F-15 pilot's helo recognition skills are limited (p79)
22. F-15 pilots consider helo recognition as rel. unimportant (p79)
23. most air superiority fighters spend rel. little time flying low (p79)
24. primary mission for airsuperiority fighters is dogfighting (p79)
25. F-15s greatest moving threat is another fighter (p79)
26. most F-15-pilots attention is focused on most likely contacts (p79)
27. helos are relatively harmless contacts (p79)
28. helos fly low and slow (p79)
29. when lead saw helos, he already believed that they were enemy (p80)
30. TIGER lead's book contained no photos of Black Hawks (p80)
31. both pilots had experience in the region (p81)
32. Lead flew 12 missions on prev. OPC tour (p81)
33. wing flew approx. 15 missions in Iraq, a few during Desert Storm (p81)
34. intelligence reported great Iraqi troop movements into northern Iraq (p81)
35. TAOR was designated as combat zone (p81)
36. combat flights are not to be taken lightly (p81)
37. enemy encounter possibility not insignificant (p81)
38. enemy flak had moved to unknown position (p81)
39. no briefing about friendly helos (p83)
40. after tactical brief, pilots had a mental picture of coming mission (p83)
41. no helos in flow sheet (p84)
42. no reconnaissance before TIGER that day (p84)
43. TIGER is first flight that day (p84)
44. according to ACO, aircraft with AI radar would be 1st to enter TAOR each day (p84)

45. always a chance for last-minute exception to ACO policy (p84)
46. MAD DOG said "negative words" after engine start of TIGER (p85)
47. DUKE (AWACS) said "negative words" prior to F-15s entering Iraq (p85)
48. TIGER switched IFF-Mode from 43 to 52 (p85)
49. TIGER lead reports to COUGAR (at 1020) (p86)
50. COUGAR gives no picture call (p86)
51. TIGER lead makes assumption that there is no air activity in AOR (p86)
52. COUGAR crew was aware of Eagle flight, who had already checked in 3 times (p86)
53. TIGER lead picks up radar hits 40 miles out (p86)
54. TIGER lead asks wing „hits there“ (p86)
55. TIGER wing confirms „hits there“ (p86)
56. TIGER lead checks target with IFF Mode 1 and 4 negative (p86)
57. TIGER lead asks COUGAR about hits (p87)
58. COUGAR responds „Clean there“ (p87)
59. TIGER lead asks again (p87)
60. TIGER wing confirms that hits are not road traffic (p87)
61. COUGAR responds with „Hits there“ not „Paint there“ (p87)
62. rules of engagement: still have to prove if hostile (p87)
63. Visual ID needed (p87)
64. TIGER lead not used to flying low (p88)
65. valley gets narrower (p88)
66. TIGER lead pulls up over top of helo (p88)
67. TIGER lead has to take care not to hit the near mountains (p88)
68. TIGER lead had no doubt it was a Hind (p88)
69. TIGER lead asks wing to confirm Hinds (p89)
70. TIGER wing responds „Tally two“ (p89)
71. TIGER wing's response nonstandard (p89)
72. TIGER wing's response ambiguous (p89)
73. pilots use clipped phraseology (p89)
74. clipped phraseology doesn't work (p89)
75. TIGER lead interprets „Tally two“ as positive confirmation (p90)
76. TIGER wing identification interprets helos neither as hostile nor as friendly (p90)
77. TIGER wing is Tiger lead's squadron commander (p99)
78. in two-ship flight, what lead says goes (p91)
79. TIGER wing was famous for the only kill of an Iraqi Hind in Gulf War (p91)
80. TIGER wing had tremendous amount of confidence in TIGER lead (p91)
81. TIGER lead's unit had intercepted more helicopters than any other unit in Bosnia (p92)
82. TIGER made use of limited available information (p92)
83. TIGER socially constructed two enemy Hinds (p92)
84. decision thresholds are governed by expectancy (p92)
85. TIGER lead expected to see a Hind (p93)
86. decision threshold was low (p93)
87. enemy aircraft unexpected (p93)
88. TIGER had high levels of arousal (p93)
89. extended practice produces automatic rather than consciously-controlled processes (p93)
90. overlearning is purchased at the expense of flexibility (p93)
91. F-15 pilots are overtrained to engaged hostile fighters (p94)

92. F-15 pilots are not trained to intercept helicopters (p94)
93. intercepting helos (task) looked too much like intercepting fighters (p94)
94. TIGER miscoded situation (p94)
95. very quick engagement after VID (p94)
96. Combat is ultimate test for professional warrior (p95)
97. TIGER wing felt pretty excited after shootdown (p95)
98. rivalry between F-15 and F-16 pilots (p96)
99. F-16s scheduled 15 mins after TIGER in TAOR (p96)
100. F-15s had one shootdown less than F-16s (p96)
101. TIGER wanted opportunity for a kill (p96)
102. TIGER's expectations high to meet enemy
103. TIGER's desires
104. Behavior conformant with air-to-air combat training
105. TIGER wanted to see enemy (p95)
106. personal desire to test professional competence (p96)
107. urgency to engage hostile aircraft (p96)
108. Cursory visual ID (p145! Organisational Factors)
109. TIGER'S expectations
110. Training suggested visual characteristics belonged only to Hinds
111. Identified features belonged to both Hinds and Black Hawks
112. AWACS informs TIGER there is no significant new information



1. In peacetime, we (the Army) rarely trained with the Navy (p.140)
2. Combined Task Force failed to integrate helicopter operations with other air operations in the „no fly zone“ (*Perry, 1994, p.142*)
3. F-15 pilots were not made aware of the Black Hawk flight prior to take off (*Perry, 1994, p.142*)
4. Black Hawks were allowed to enter the „no fly zone“ before the F-15s (*Perry, 1994, p.142*)
5. The aircraft were not all communicating on the same radio frequencies (*Perry, 1994, p.142*)

6. Different orientations toward goals between Army aviators and Air Force pilots and planners
7. Different orientations toward time between AWACS and F-15s (p. 145)
8. Interpersonal orientation
(15-17: *three dimensions along which various subunits might differ in how their members think and work, Lawrence and Lorsch, 1969*)
9. Eagle Flight flew many missions for the MCC commander (p. 144)
10. Helicopter pilots didn't learn detail of the flight until after they landed at Zakhu (p.144)
11. It was impractical to anticipate the length of meetings (p.144)
12. exact takeoff times and detailed flight plans were impossible to schedule in advance
13. „Flexible“ flight plans from Eagle Flight
14. Air Force aircraft flew as part of larger „package“
15. F-15s were following synchronized flow
16. F-15s were scheduled by „flow sheet“
17. F-15s didn't expect anyone to be in TAOR ahead of them.
18. Air Force fighter pilots and Army aviators known for their bravado
19. AWACS crew members technicians
20. Long history of service separatism
21. AWACS, fighter and helicopter communities physically and socially isolated from one another
22. Primary tasks demanded different orientations toward goals, time and interpersonal relations
23. divergent cognitive and emotional orientations

24. Eagle Flight not well integrated from perspective of the Air Force
25. „Kind of an autonomous operation“
26. „Generally not considered part of the package“
27. „it was a different set of rules for those guys“
28. „I never felt the UH-60s were part of OPC“

29. Flight procedures accepted by CTF for over 3 years as standard procedure (p.148)
30. Members of Task force did not „practice, live, eat, or play together.“
31. F-15 crews did not practice with AWACS
32. AWACS heavily tasked
33. Eagle Flight aviators lived in WWII style huts
34. Air Force officers lived in modern hotel-style Visiting Officers Quarters (VOQ)

- Thompson, Levels of interdependence (p.152)*
35. pooled interdependence
36. sequential interdependence
37. reciprocal interdependence

- pooled interdependence (coordination by standardization) (p.153)*
38. Different Mode I IFF codes in and outside TAOR (p.153)
39. Eagle Flight never realized different Mode I IFF codes (p.153)
40. ACO states that „deconfliction ist strictly by altitude“ (p.153)
41. Fighters to use AOR (> 1000ft) (p.153)
42. Helicopters to use AGL (< 400ft) (p.153)
43. ACO, ARF, ROE, OPLANs/OPORDs, SOP use coordination through standardization (p.153)
44. IFF developed to provide integration of services (p.154)
45. ATO is definitive coordination document for flights in OPC (p.155)
46. Flight schedule, radio frequencies and IFF codes included in ATO (p.155)
47. Communication between CFACC FRAG Shop and Eagle Flight operations broke down (p.155)

48. 1992 CFAC decided to change instructions pertaining to IFF modes and codes (p.156)
49. change was communicated through daily ATO (p.156)
50. Eagle Flight ATO differed from Air Force ATO (p.156)
51. Eagle Flight ATO received electronically (p.156)
52. Eagle Flight ATO transmitted through Air Force communications center (p.156)
53. Eagle Flight ATO contained no mention of two Mode I codes. (p.156)
54. 14.04.94 Eagle Flight squawked IFF Mode I code 42 instead of code 52 inside TAOR (p.157)
55. AWACS has capability to determine the IFF Mode I code used by plane (p.158)

sequential interdependence (coordination by plan) (p.153)

56. F-15 pilots were never informed of Eagle Flight's mission (p.159)
57. Eagle Flight entered TAOR prior to fighter sweep (p.159)
58. Need for effective integration of package (p.159)
59. Detailed schedule required (p.159)
60. F-15 pilots flew with „flow-sheet“ clipped on knee board (p.159)
61. Helicopters were not well integrated in OPC flight operations (p.159)
62. Helicopters were not on F-15s flow-sheet (p.159)
63. Plans failed (p.160)
64. Departure and arrival times of Eagle Flight were listed „as required“ in ATO (p.160)
65. MCC daily mission requirements based on events of the previous day (p.160)
66. MCC exercised flexibility in scheduling helicopter flights (p.160)
67. Weekly flight schedule provided to CTF C3 (p.160)
68. Firm itinerary no available before next day's ATO was published (p.160)
69. Information neither detailed nor firm enough for effective coordination and scheduling (p.160)
70. Helicopter flight plans distributed to F-16s squadron but not F-15s squadron (p.160)
71. each evening MCC sent SITREP to JOIC, listing next day's helicopter flight (p.161)
72. SITREPs received to late to be published in ATO (p.161)
73. Eagle Flight would call JOIC to „activate“ the ATO line (p.161)
74. Activation send to Turkish C3 for approval (p.161)
75. C2 representative in JOIC consolidated weekly schedule and SITREP (p.161)
76. Consolidated work passed by secure channels to operational squadrons (p.161)
77. Activation not passed to CFAC (p.161)
78. CFAC operated off its own internally generated set of plans and schedules (p.161)
79. Information channels were primarily one-way communications (p.161)
80. CFAC was not soliciting input (p.161)
81. F-15s designed primarily for air superiority (p.162)
82. F-16s designed as all-purpose fighters (p.162)
83. It was common for F-16s to fly low (p.162)
84. F-16s did low-level training (p.162)
85. F-16 squadrons had fear of midair collisions with friendly helicopters (p.162)
86. F-16 squadrons regularly briefed details concerning helicopter operations (p.162)
87. Army aviators believed that ACO “fighter sweep” restriction didn't apply to them (p.163)
88. To Army aviators the word “aircraft” didn't include helicopters (p.163)
89. Air Force staff planners didn't consider UH-60s to be aircraft for coordination purposes (p.163)
90. AWACS crew members didn't consider UH-60s to be aircraft for control purposes (p.163)
91. Eagle Flight had official exception to fly in TAOR without AWACS coverage (p.163)

reciprocal interdependence (coordination by mutual adjustment) (p.153)

92. The aircraft were not all communicating on the same frequencies (p.166)
93. strong norms of radio discipline (p.166)
94. service interoperability issues (p.166)
95. “min comm” Task Force policy restricted radio conversations to short bursts (p.166)
96. Separate service procurement systems (p.166)
97. Air Force and Army aircraft with incompatible radios (p.166)
98. physical line of sight restrictions (p.166)
99. steep terrain limits radio contact at low altitudes (p.166)
100. Helicopters in “contour” terrain flight mode inside TAOR (p.167)
101. AWACS and F-15s equipped with HAVE QUICK II radios (frequency hopping, anti jamming) (p.167)
102. Eagle Flight helicopters equipped with incompatible HAVE QUICK I radios (p.167)
103. non-HAVE QUICK II capable aircraft were to use ATO Tactical freqs inside TAOR (p.168)

- 104.Eagle Flight didn't use ATO Tactical frequencies (p.168)
- 105.AWACS didn't have Eagle Flight change to the mission frequency (p.169)
- 106.procedural habit because most Eagle Flight mission lead from Diyarbakir to Zakhu and back. (p.170)
- 107.AWACS reluctant to enforce rules (p.171)

Fallacy of Centrality

- 108.Co-Commander of OPC General Pilkington was active F-16 pilot (p.174)
- 109.F-16s briefed by SOC2 (p.175)
- 110.SOC2 Briefing included Eagle Flight missions (p.175)
- 111.F-15s briefed by SOC1 (p.175)
- 112.SOC1 never briefed Eagle Flight activities (p.175)
- 113.Gen. Pilkington was not aware of organizational deficiency (p.175)
- 114.Gen. Pilkington was many times passenger of Eagle Flight (p.174)
- 115.Gen. Pilkington attended Eagle Flight briefings and communications (p.176)
- 116.Observations didn't contradict his expectations
- 117.Assumption that system is working properly
- 118.Fallacy of centrality (p.177)

