



Current Status of the FRA Confidential Close Call Reporting System (C3RS)

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Close Call Definition

“An opportunity to improve safety practices based on a condition, or an incident with a potential for more serious consequences.”

What Is a Close Call System

- Voluntary and confidential safety reporting system
- Proactive program to prevent accidents and save lives
- Accidents preceded by close calls. Early warnings of safety problems. Uncovers hidden at-risk conditions not previously exposed from analysis of reportable accidents and incidents
- Method for identifying and managing risk: Proactive analysis to identify trends or patterns before safety is compromised
- More information collected and shared
- Data collected by third party

A New Approach

How It Is Now . . .

You are highly trained

and

If you did as trained, you
would not make mistakes

so

You weren't careful enough

so

You should be PUNISHED!

How It Should Be . . .

You are human

and

Humans make mistakes

so

Let's *also* explore why the system
allowed, or failed to accommodate,
your mistake

and

Let's IMPROVE THE SYSTEM!

Background: April 2002 - present

- Initiated research project
 - Formed Close Call Planning Committee
 - Developed white paper
 - Conducted workshop: April 2003
- Planned demonstration project
 - Developed model MOU: May 2003 – March 2005
 - Planning committee role changes to oversight: April 2005
 - Began planning program evaluation: April 2005
 - Began pilot site preparation : February 2006
 - Begin C3RS operation: February 2007 at UP North Platte Service Unit
 - Second site started April 2008 at CP Chicago Service Area
 - Third site is New Jersey Transit
 - Amtrak may be the fourth site

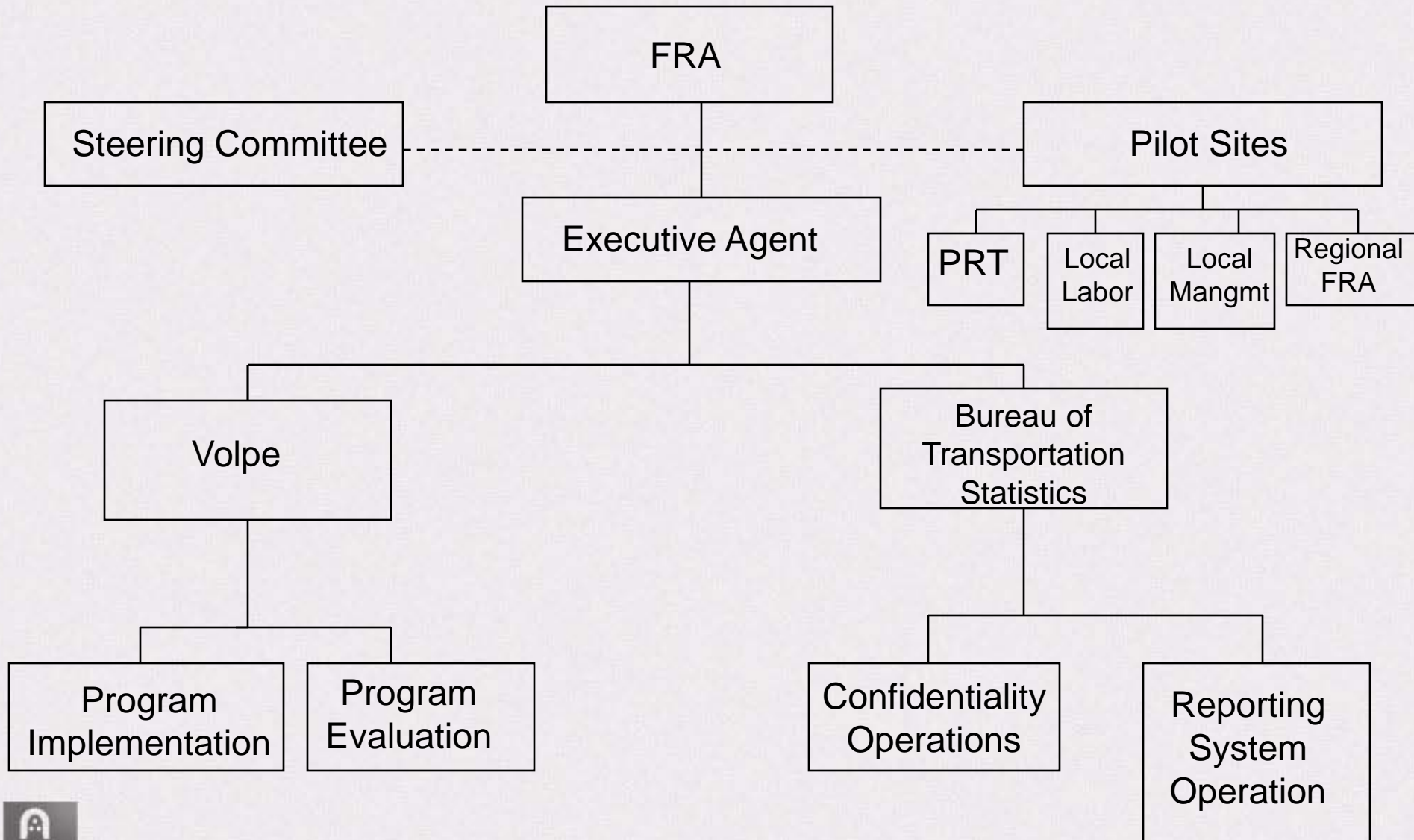


Who is participating?

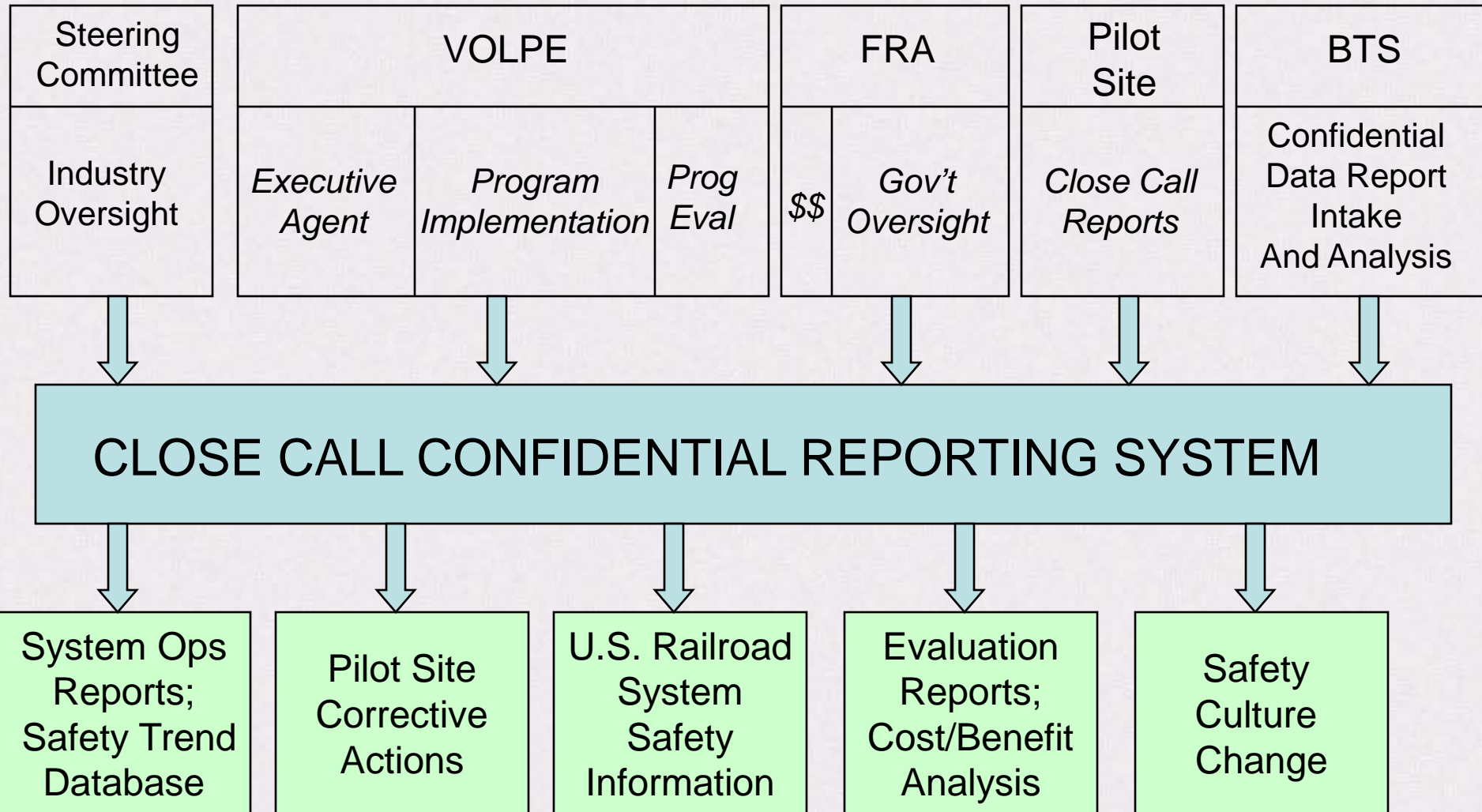
Primary Stakeholders

- Federal Agencies
 - Federal Railroad Administration (FRA)
 - Bureau of Transportation Statistics (BTS)
 - Volpe Center
- Railroad Carriers
 - Union Pacific Railroad
 - Canadian Pacific Railway
 - New Jersey Transit
 - Amtrak
 - Association of American Railroads
 - American Short Line and Regional Railroad Association
- Railroad Labor Organizations
 - BLET
 - UTU
 - BRS

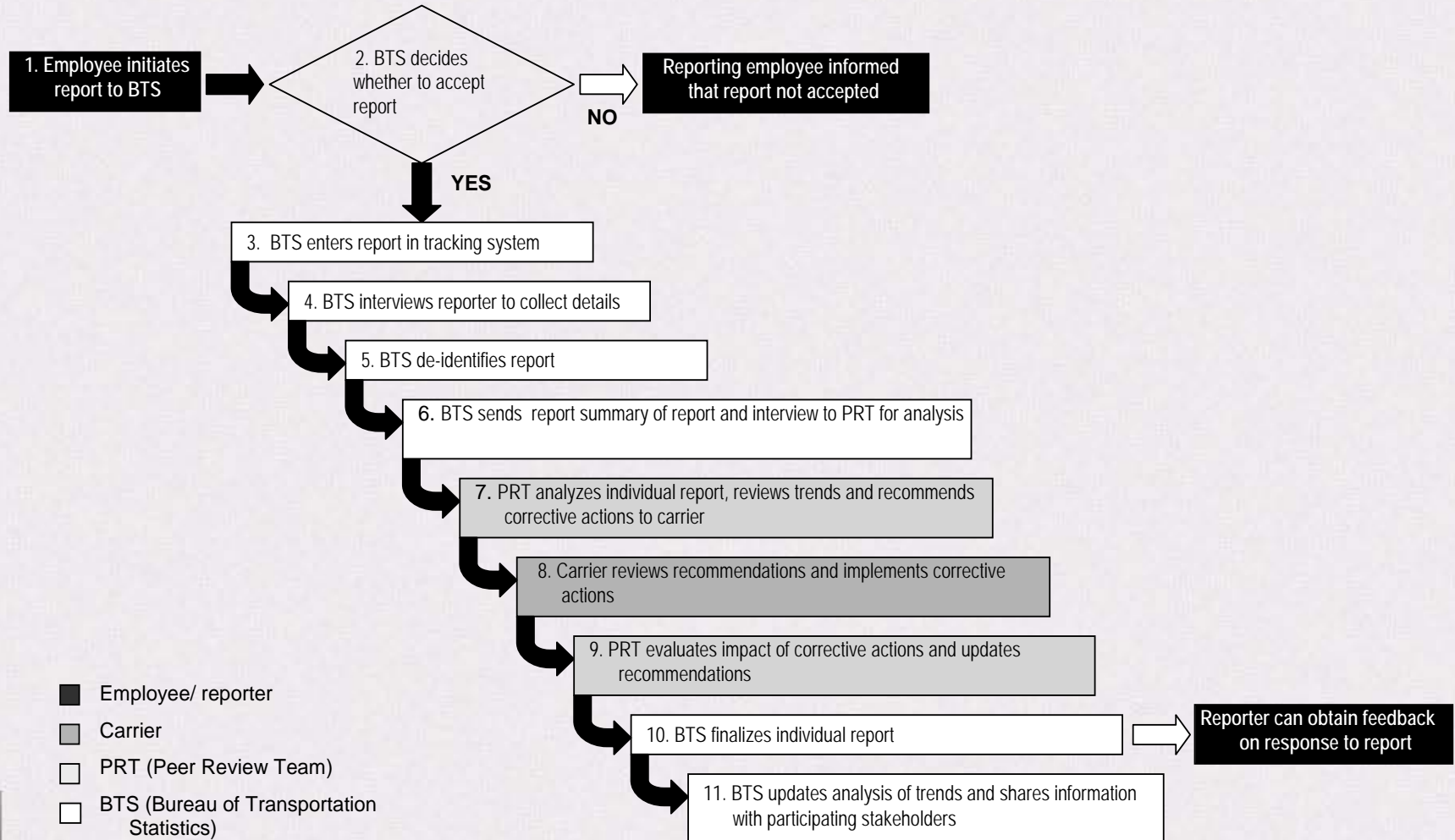
C3RS Organizational Structure



High-Level C3RS Concept of Operations



C3RS model: How a report moves through the system





Challenges to Creating a Learning Railroad Safety Culture

- Existing blame based culture
 - Investigation process tends to start and stop with the front line employee
 - Fault based liability system (FELA) creates adversarial environment for company safety investigations
 - Corrective actions tend to focus on front line employee actions
 - e.g. Graniteville SC. switching accident
- Beliefs for achieving goals within stakeholder organizations vary:
 - e.g. national vs. local view of waivers
 - e.g. discipline vs. coaching
- Resistance to change
 - Labor: “Flavor of the month”
 - Management: locus of control
 - Regulator: tension between enforcement and partnership
- Sustaining the changes across the organization and over time

Creating the Conditions for Change

- Build Trust
 - Non-regulatory approach. Stakeholders participate voluntarily.
 - Use consensus driven process that includes all stakeholders (planning committee, peer review team)
 - Team building exercises
 - Develop IMOU – work through all concerns raised
 - Establish ground rules for meetings to model new learning culture
 - Share leadership roles
 - Practice giving feedback on strengths and weaknesses
 - Established core operating principles
 - Voluntary, confidential, non-punitive, recommend corrective actions, provide feedback

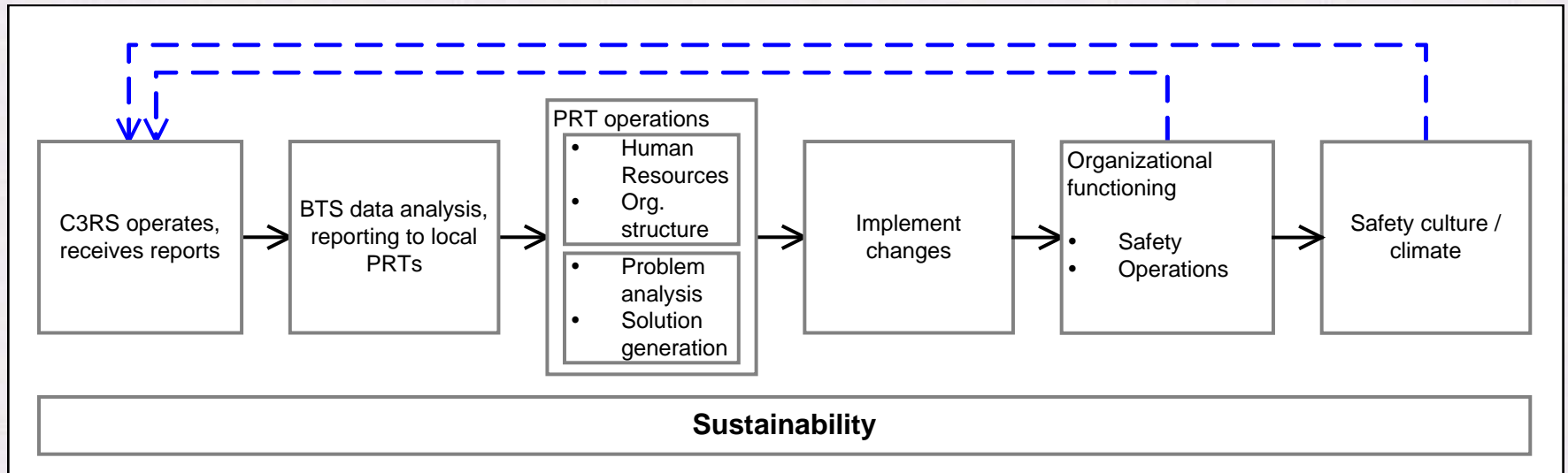
Creating the Conditions for Change (Continued)

- Identify and involve all key stakeholders
 - National level: Planning/Steering Committee
 - Local level: Peer Review Team
- Empower stakeholders to make important decisions
 - Planning/Steering Committee: Structure system, Give guidance and oversight
 - PRT: Multi-causal incident analysis, make recommendations, communicate with employees, coordinate with BTS
- Provide flexibility to adapt to local conditions
 - Develop Implementing MOUs that differ between sites
- Identify and educate individual C3RS champions within each stakeholder organization to communicate with their fellow stakeholders the value of an informed culture

Creating the Conditions for Change (Continued)

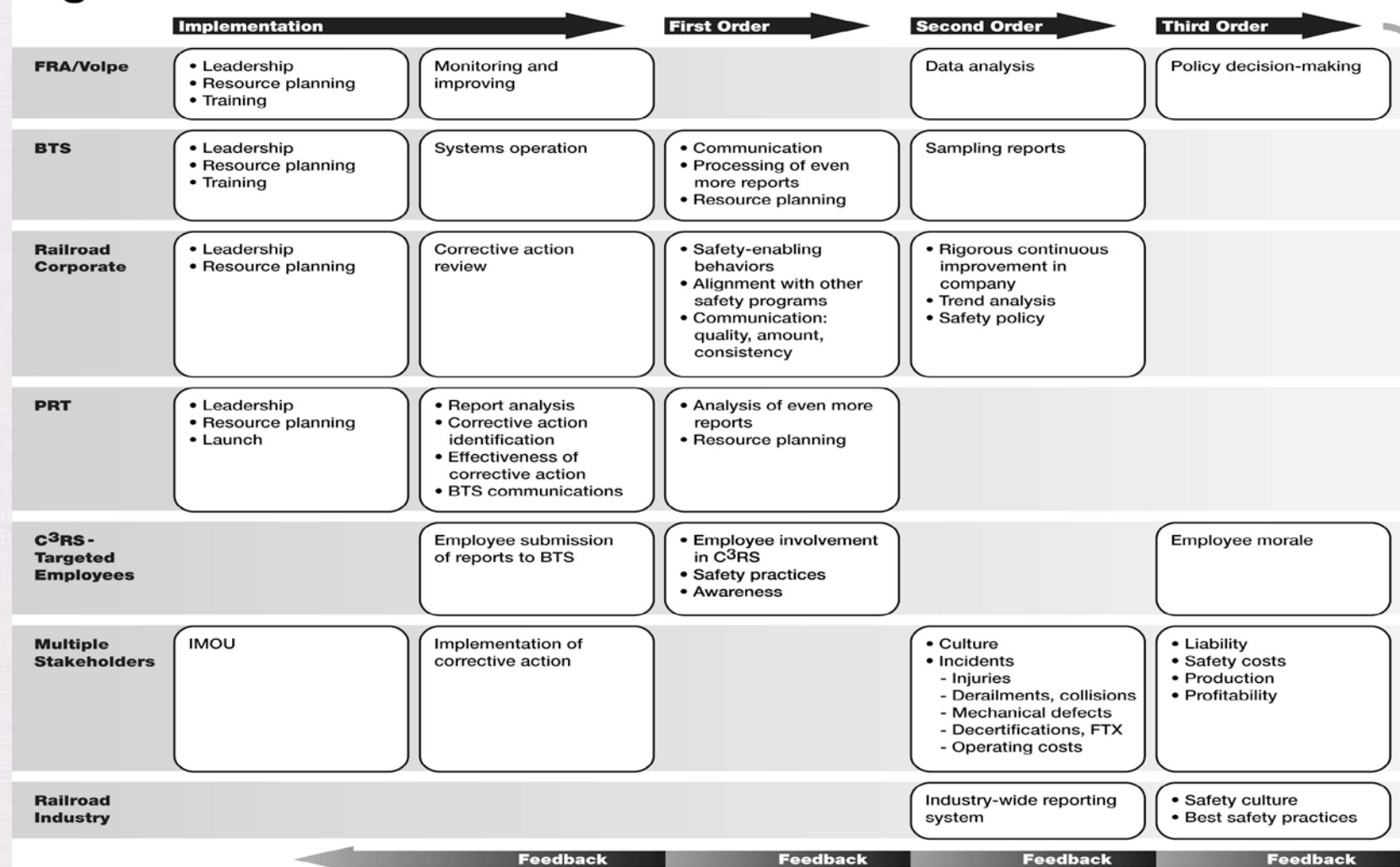
- Communicate with all levels of management
 - C3RS publications
 - PRT communications with employees
- Identify outcomes important to each stakeholder
- Measure impact and demonstrate value to management and employees
 - Show trends in number of reports received
 - Make feedback available on individual reports
 - Communicate corrective actions taken
 - Measure safety and productivity impact
 - Provide formative feedback to improve system effectiveness

Simple Program Evaluation Logic Model



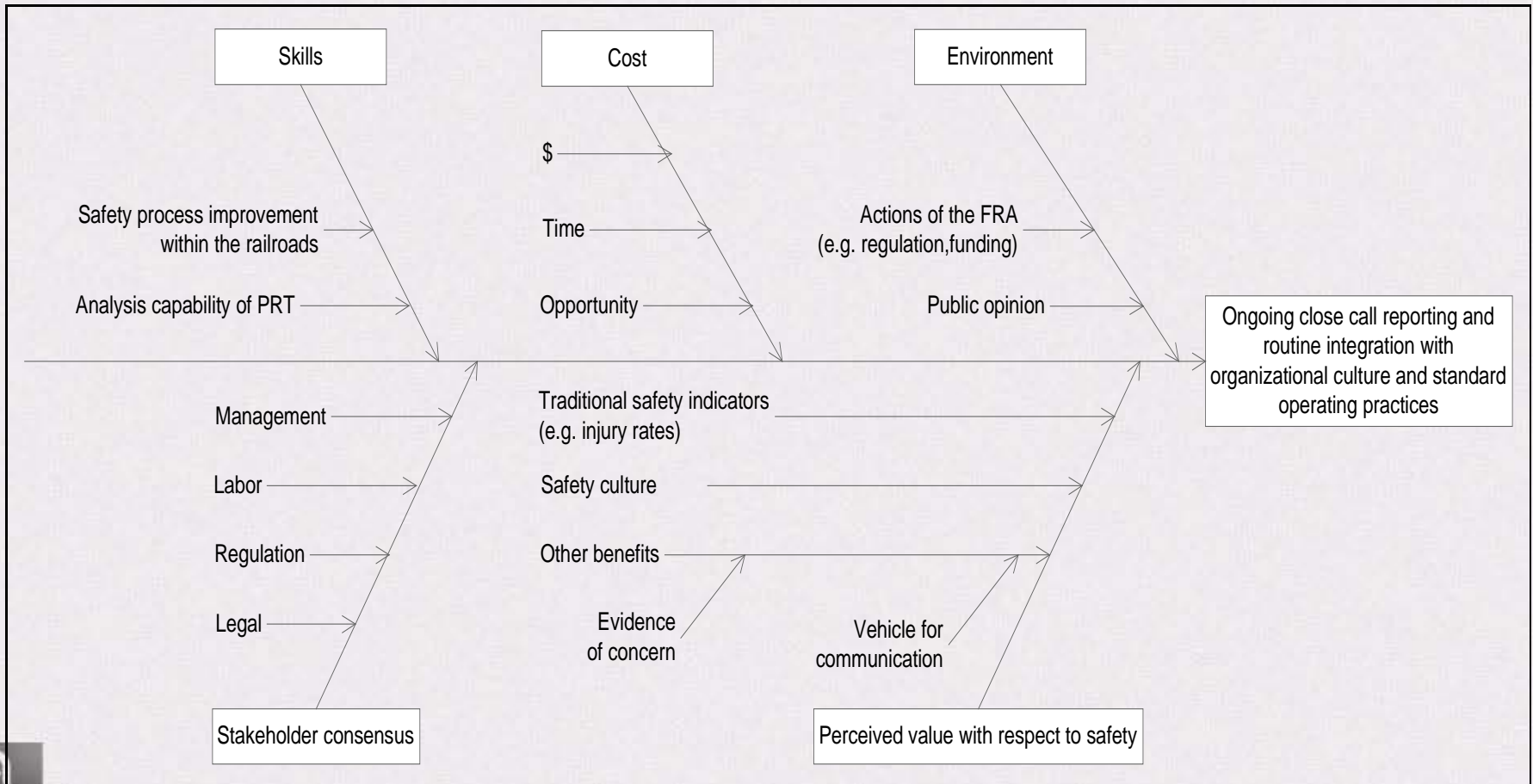
Complex Program Evaluation Logic Model

Logic Model: How C³RS Works



← Feedback Feedback Feedback Feedback

The Final Task: Determine the Critical Elements for Sustainability



What have we learned so far?

- Steady reporting rate \approx 1.5 reports/day
- Reports are almost exclusively first-person.
- PRT has begun to identify trends in reports.
- Identified events that were unknown to carrier.
 - Slow Orders
 - Train Bulletins
- Corrective actions showing positive impact on safety.
- Dispute resolution process needs clarification.

What have we learned so far?

- The system is being tested – Can employees trust it?
- Confidentiality and IMOU pose challenges for sharing information about what is being learned within carrier.
- Eagerness of participants to move forward as quickly as possible constrained by time-consuming work required to develop good processes, conduct thorough analysis as well as production pressures.

Resources

- Close Call Website:
 - <http://www.closecallsrail.org/>
- FRA Website:
 - <http://www.fra.dot.gov/>
- FRA Human Factors Web Page:
 - <http://www.fra.dot.gov/us/content/418>
- Sign-up to receive the HF eFlyer:
 - Pauline.Easter@dot.gov