

SAFETY CULTURE REVIEW FINAL REPORT

SUBMITTED TO

FEDERAL RAILROAD ADMINISTRATION

US DEPARTMENT OF TRANSPORTATION

SEPTEMBER 1998

 **EVANS
PLANNING GROUP**
organizational development & research

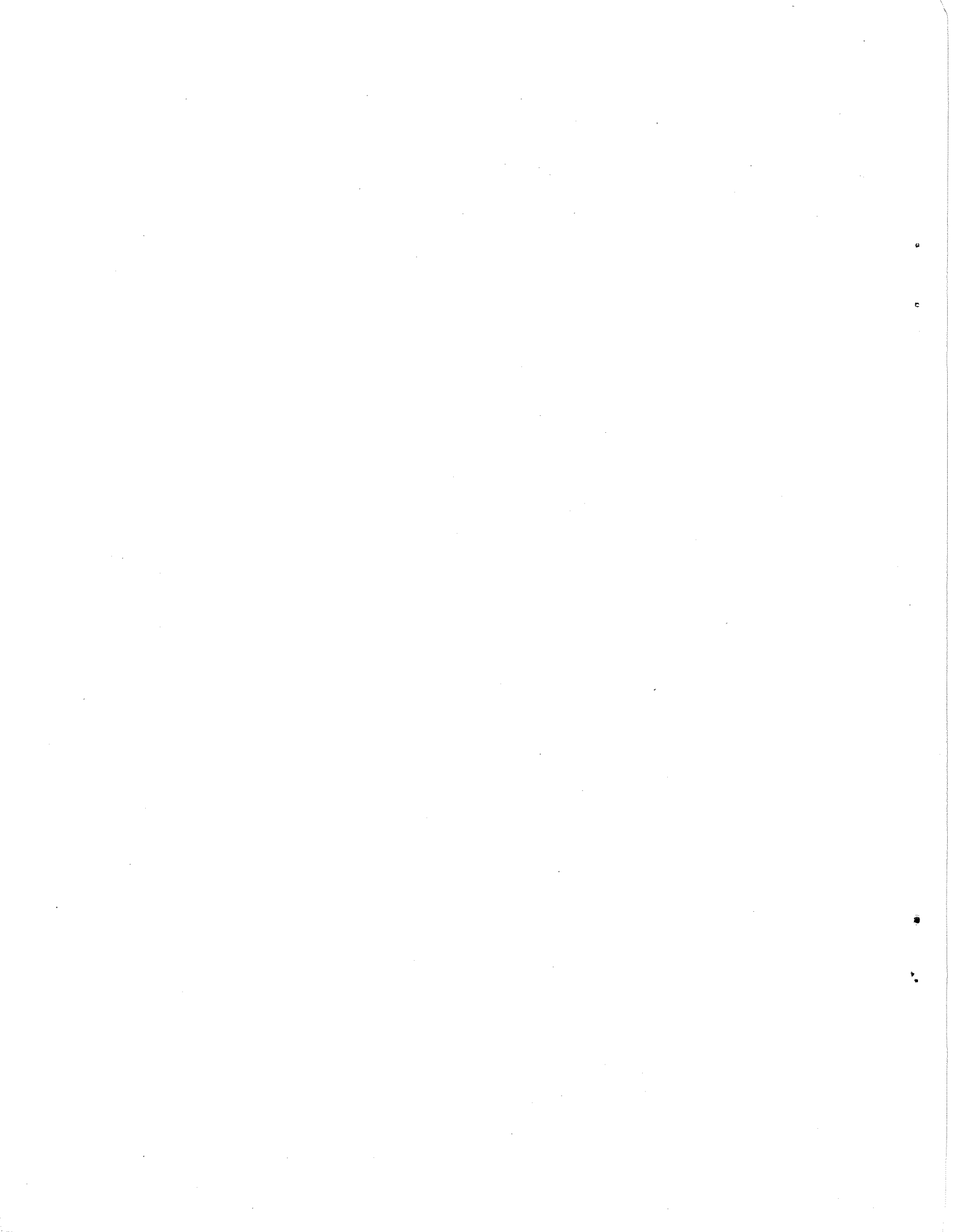


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ACKNOWLEDGEMENTS

Evans Planning Group gratefully acknowledges the many individuals who made this report possible. Administrator Jolene M. Molitoris of the Federal Railroad Administration provided the vision and leadership necessary to bring attention to this important subject. Particular thanks are also given to FRA staff who provided unselfish assistance to this consultant.

Kudos to the Safety Culture Review Team who rallied to the cause during the busiest of times. For their dedication, leadership, tenacity, and patience, we commend you.

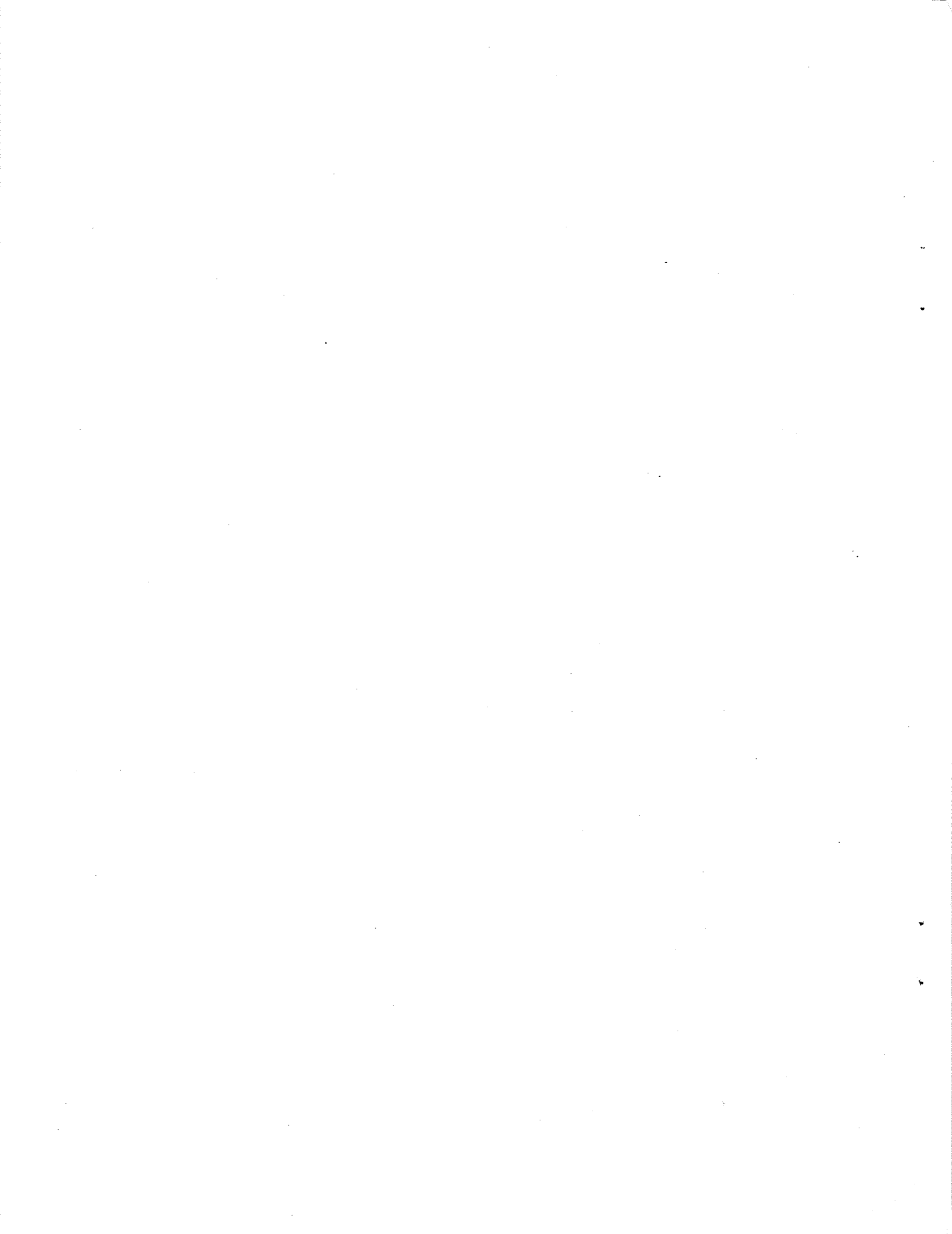
Special thanks are also due to each key interviewee who easily could have said no.

Finally, sincere thanks to the individuals who participated in focus sessions across the country and the many anonymous railroad employees whose comments and feedback helped make this review possible.

Thanks to you all.

SAFETY CULTURE REVIEW FINAL REPORT

INTRODUCTION



INTRODUCTION

PROJECT OVERVIEW

In the current environment of downsizing, mergers, acquisitions, and consolidations within the Class I freight railroad industry, the Federal Railroad Administration was interested reviewing selected Class I railroads to ascertain the present status of the cultural environment at those railroads. Evans Planning Group was selected and tasked by the Federal Railroad Administration to conduct this review of railroad safety culture. The four railroads that were reviewed are CSXT, Union Pacific, Norfolk Southern, and BNSF.

This report highlights the findings from mailed surveys, focus sessions and key interviews conducted for the purposes of this review. It is based upon a methodology designed to provide information that portrays current attitudes regarding the safety culture on the selected railroads. Populations for this review included contract employees representing five operating crafts, railroad management on four Class I railroads, and union leadership.

Corporate/organizational culture is a pattern of beliefs, values, rituals, myths, and sentiments shared by the members of an organization. It influences the behavior of all individuals and groups within the organization. Culture impacts most aspects of organizational life, such as how decisions are made, who makes them, how rewards and/or discipline are distributed, who is promoted, how people are treated, and how the organization responds to its environment.

REPORT ORGANIZATION

The Safety Culture Review was a 12-month effort to assess the current safety climate, or culture, of four Class I railroads.

This final report provides a summary of the process followed to (1) develop and implement a survey, focus sessions, key interviews, (2) analyze the findings, and (3) highlight opportunities for collaborative action.

This report is presented in four main sections:

- I. Introduction— outlines the overall purpose of the review and report organization.
- II. Approach and Methodology— describes steps taken to (a) ensure a collaborative approach, (b) identify survey and focus session participants, (c) conduct the focus sessions and survey, (d) design the survey instrument, and (e) conduct the analysis.
- III. Key Findings— discusses the findings for each phase of the process: (1) survey questionnaire, and (2) focus sessions and key interviews. Significant statistical correlations are also highlighted.
- IV. Summary and Conclusions— presents “core competencies” that suggest opportunities for successful action and recommended next steps.
- V. Attachments— provides frequency data reported for each survey question, representative comments from the focus sessions and key interviews arranged thematically, and sample questionnaires.

SAFETY CULTURE REVIEW FINAL REPORT

APPROACH AND METHODOLOGY

APPROACH AND METHODOLOGY

METHODOLOGY

THE EVANS PLANNING GROUP TEAM UTILIZED a series of methods to complete this project. They include the following:

Secondary Analysis Continuous review of current information about the individual railroads under review, and other pertinent data that might lend itself to the ongoing development of an information base for assessment.

Focus Groups These sessions, facilitated by Evans Planning Group, were conducted as a way to survey a random sample of front-line employees on the safety culture of the individual railroads. Six focus sessions were conducted on-site with each railroad under review.

Key Interviews These structured interviews with union leadership and railroad management served as additional data for identifying key issues and productive strategies for operational improvement. Their perspectives also provided depth and dimension to the data collected.

Survey A survey questionnaire was mailed to 300 employees of each railroad in order to:

- validate initial findings from the on-site focus groups and interviews
- provide baseline data for the development of appropriate interventions that will have a high likelihood of success and acceptance

Safety Culture Team A team 12 to 15 individuals who functioned in an advisory role to the project participated in meetings, planned and facilitated by Evans Planning Group. Planning team members included a representative from each major labor organization, one representative from each of the four railroads under review, and FRA personnel.

SURVEY QUESTIONNAIRE AND FOCUS SESSIONS

SELECTION OF PARTICIPANTS

To ensure the 'randomness' of the selection lists, each railroad developed a computer-generated list¹. Both railroad and union representatives were present when the computer list was generated. In addition, the random selection of the individuals from the list was conducted jointly by the railroad and the designated union representative in a manner mutually agreed to by the parties². An equal split was accorded each union for each session. The selection of respondents included the names of employees on payroll. Employees who were laid-off or furloughed were not a part of the sampling.

For the surveys, 50 exempt³ employees were also included in the sample of 300 for each railroad.

Participants for focus sessions were scheduled and invited by their railroad. In some cases, unions provided additional notification as a show of support.

THE SURVEY INSTRUMENT

The following steps were taken by Evans Planning Group to assure a valid and reliable survey⁴:

- 1) Facilitated meetings with the Safety Culture Team to determine objectives and anticipated outcomes of the survey,
- 2) Conducted focus sessions with union employees from each of the participating railroads to gain an understanding of their perceptions of railroad safety culture,
- 3) Interviewed various union leaders and railroad management in order to receive feedback on their views of the current safety culture,
- 4) Analyzed findings from the key interviews and focus sessions,
- 5) Facilitated meetings with the Safety Culture Team to receive input to the design of the survey,
- 6) Worked with FRA staff to ensure that the survey complied with FRA and OMB standards and processes.

¹ Each railroad was permitted to modify the random selection process to fit their computer system as long as the list was still random and computer-generated.

² Union Pacific invited union representatives to select their members independently, without a computer-generated list and without Union Pacific's intervention.

³ For the purpose of this review, exempt refers to mid-level supervisory and management personnel.

⁴ A sample survey questionnaire can be found in Attachment C.

Additionally, Evans Planning Group, in partnership with the Safety Culture Team, endeavored to include the following attributes in the survey:

- ✓ A distinct purpose;
- ✓ Questions that examined the current safety culture;
- ✓ Clear instructions;
- ✓ Meaningful questions that were easy to understand;
- ✓ Questions that examined the respondent's attitudes and beliefs about railroad safety culture;
- ✓ Open-ended questions that examined specific issues;
- ✓ Impartial words;
- ✓ Suitable response options; and
- ✓ Anonymity.

THE SURVEY INCLUDED VARIOUS CATEGORIES to ensure that all aspects of current safety culture were examined. Those categories covered:

- 1) Policies and Procedures
- 2) Decision Making and Problem Solving
- 3) Impact of Risk Management
- 4) Management's Role
- 5) Communication
- 6) Safety Program Effectiveness
- 7) Quality of Work Life

DISTRIBUTION OF THE SURVEYS

From the randomly selected lists provided by the railroads, FRA completed the administrative tasks of reproduction and mailing. The 1,200 surveys were mailed from FRA Headquarters on June 23, 1998. Included in each mailing was a cover letter from the Administrator, the tailored survey questionnaire, and a business reply envelope (prepaid postage return envelope) addressed directly to Evans Planning Group. Respondents were given until July 29, 1998 to respond. Only 10 surveys were returned undelivered.

DATA ANALYSIS

Data analysis was conducted using three different methods: (1) frequency distribution, (2) median scores, and (3) Chi-Square associations.

Descriptive Analysis

Responses to the surveys were analyzed using frequency distributions (see Attachment A). Since the purpose of the survey was to gain baseline data on the perceptions and beliefs of the targeted populations as they relate to safety culture, providing the data analysis in this format allows the reader to gain a clear understanding of how respondents ranked particular questions.

Each question is grouped by category (see page 7). Findings are presented such that (1) the statement(s) from the questionnaire correlate with a category, and (2) the response rate for the question(s) is presented as a median score and frequency percentage. The response rate for the "not applicable" category is also included in Attachment A so that the reader may see the number of respondents who did not feel they could respond to certain statements.

Correlations

Following the descriptive analyses, data was analyzed to determine if a correlation existed between (1) union respondents and exempt respondents, and (2) railroads under review. The chi-square analysis did, in fact, show that correlations exist.

The following matrices show response rates by population groups:

RAILROAD	COMPLETED SURVEYS	RESPONSE RATE (%)
BNSF	55	18.3
CSXT	97	32.3
NORFOLK SOUTHERN	88	29.3
UNION PACIFIC	86	28.6
NO RESPONSE	18	6.0

TABLE 1: SURVEY RESPONSE RATES BY RAILROAD

UNION	COMPLETED SURVEYS RETURNED	RESPONSE RATE (%)
BLE	49	19.6
BMWE	86	34.4
TCU	60	24.0
UTU	72	28.8
EXEMPT	58	23.2
NO RESPONSE	19	7.6

TABLE 2: SURVEY RESPONSE RATES BY UNION AND EXEMPT

YEARS OF SERVICE	COMPLETED SURVEYS	RESPONSE RATE (%)
OVER 20	224	74.6
11 - 20	38	12.6
5 - 10	18	6.0
0 - 5	48	16.0
NO RESPONSE	16	5.3

TABLE 3: SURVEY RESPONSE RATES BY YEARS OF SERVICE

FOCUS SESSIONS

DESIGN FOR THE FOCUS SESSIONS

The focus sessions and key interviews were conducted with the following goals in mind:

- ✓ Identify characteristics that are pervasive among the safety cultures of the four selected Class I railroads.
- ✓ Identify outstanding operational safety culture issues that could be addressed through on-going efforts in partnership with the FRA.
- ✓ Ascertain the perceptual differences among employees

CONDUCTING THE FOCUS SESSIONS

Evans Planning Group conducted 12 focus sessions with a total of 248 railroad employees representing five operating crafts from four Class I railroads. These focus sessions were conducted as a way to survey a random sample of front-line employees about their perceptions of their individual railroad's safety culture.

The 2-hour sessions were conducted on-site with each of the railroads participating in this review. Members from the Brotherhood of Maintenance of Way Employees, Brotherhood of Locomotive Engineers, United Transportation Union, and Transportation Communications Union (Carmen and Clerks) were represented at each session⁵. Morning and afternoon sessions were conducted from April 5 through April 24, 1998 at the following locations:

⁵ Two sessions (out of 6) with BNSF did not have representatives from BMW. However, their members made significant contributions in all other sessions in which they participated.

Date	Location	Railroad
April 6	Ft. Wayne, IN	Norfolk Southern
April 7	Roanoke, VA	Norfolk Southern
April 8	Alliance, TX	BNSF
April 9	Ft. Worth, TX	Union Pacific
April 13	Kansas City	BNSF
April 14	Alliance, NE	BNSF
April 15	North Platte, NE	Union Pacific
April 17	Colton, CA	Union Pacific
April 21	Jacksonville, FL	CSX
April 22	Nashville, TN	CSX
April 23	Cincinnati, OH	CSX
April 24	Charlotte, NC	Norfolk Southern

FOCUS GROUP QUESTIONS

The following questions were explored during each focus session.

1. What kinds of people do well in your railroad?
2. Do you feel that the railroad has sacrificed safety in exchange for higher productivity? If so, in what ways.
3. What barriers or impediments to safety exist on this railroad?
4. What motivates employees in your organization?
5. What negatively impacts employee morale and motivation?
6. What, in your opinion, constitutes a "quality of work life" environment?
7. If any employee were concerned about safety in a particular situation, would he/she feel comfortable discussion his/her concerns with his/her supervisor?
8. What do you think influences an employee most when making a decision concerning safety?
9. In what ways has your railroad improved its culture to promote and enhance safety?
10. How are you personally involved in the safety process?

11. How would you define harassment? Intimidation?
12. What is the status of the safety program at your railroad today?
13. What training, additional or different, do you think is needed or would be requested by employees?
14. How does the railroad strengthen the link between training and safety?

OPTIONAL QUESTIONNAIRE

For the benefit of those who wished to provide additional feedback, focus session participants were given the option of completing a short questionnaire. From the total population of session participants, 74% exercised the option of completing the questionnaire. A sample questionnaire can be found in Attachment D.

CONDUCTING THE FOCUS SESSIONS

GUIDELINES AND APPROACH FOR EACH SESSION

Participants were briefed at the beginning of each focus session on the format, purpose, and guidelines of this discussion. In particular, the standards for confidentiality and amnesty were highlighted.

CONFIDENTIALITY

Participants were guaranteed confidentiality by ensuring that notes from the focus sessions were to be used only by Evans Planning Group to guarantee accurate reporting of information, as well as no participant names would be recorded. In addition, focus sessions were conducted off-site at hotel meeting rooms to ensure that participants felt protected. It had been requested previously that no FRA representative be present for any focus session.⁶

AMNESTY

A letter, intended to assure all parties that participants' jobs are protected and that the information they provide will not, in any way, affect their jobs, was signed by FRA and the participating railroads and unions prior to selecting the participants or scheduling the sessions.

⁶ FRA honored this request.

KEY INTERVIEWS

To gain a broader understanding of the issues and challenges for railroads and unions in promoting a healthy safety culture, key interviews were conducted with railroad management and union leadership.

These structured interviews provided supplemental data in ascertaining outstanding issues and productive strategies that could be addressed through on-going railroad, union, and FRA efforts. Their perspectives also provided depth and dimension to the data collected.

The 1-hour, structured interviews were conducted one-on-one with each individual using questions similar to those employed in the focus sessions.

List of Railroad Key Interviews
Norfolk Southern (December 4-5, 1997)
Mr. David Goode, Chairman, President and Chief Executive Officer (conducted February 3, 1998)
Mr. Robert Spenski, Vice President Labor Relations
Mr. Jon Manetta, Vice President Transportation and Mechanical
Mr. Chuck Wehrmeister, Assistant Vice President Safety and Environmental
Mr. Lou Hale, Assistant Vice President Mechanical Car
CSXT (December 8, 1997)
Mr. A. R. Carpenter, President and Chief Executive Officer
Mr. Gerald Nichols, Vice Chairman
Mr. Carl Taylor, Executive Vice President, Operations
Union Pacific (December 19, 1997)
Mr. Jerry Davis, President and Chief Executive Officer
Mr. Brad King, Vice President, Operations
Mr. Dennis Duffy, Senior Vice President Safety Assurance and Compliance Process
BNSF (January 5, 1998)
Mr. Rob Krebs, Chairman, President and Chief Executive Officer
Mr. Matthew Rose, Senior Vice President and Chief Operating Officer
Mr. David Dealy, Vice President Operations, N. Networks and Operations Center
Mr. Michael Frank, Vice President and Chief Engineer, Engineering

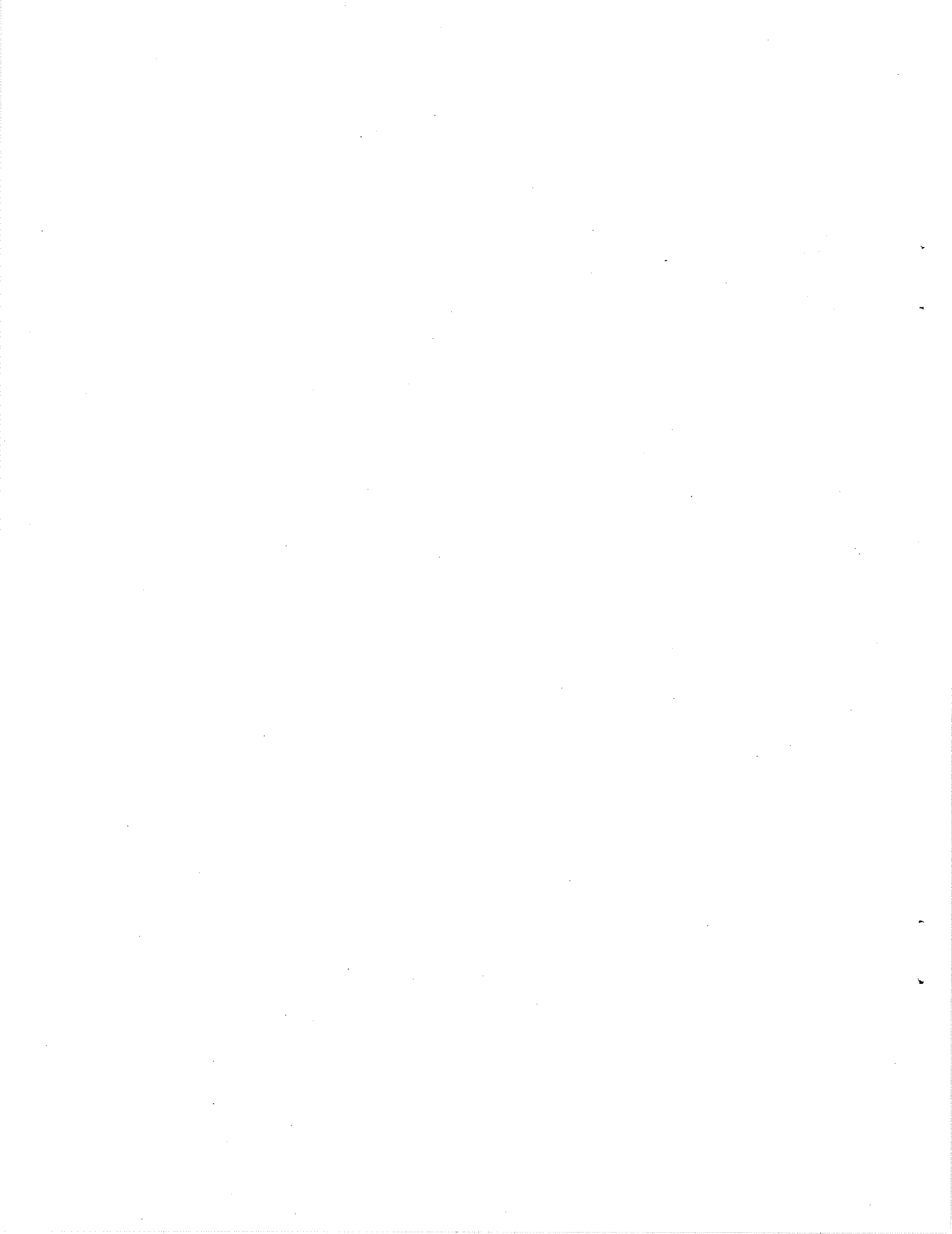
KEY INTERVIEWS WITH UNION LEADERSHIP were an added feature of this review; therefore those individuals were requested to travel to a site designated for focus sessions for their interview.

LIST OF UNION KEY INTERVIEWS	
TGU	
Mr. Carl Brockert	International Vice President
Mr. Jerry Gobel	International Vice President
Mr. Hank Lewin	General Vice President
Mr. James Parry	Assistant General President
BMWE	
Mr. Roger Bobby	Vice Chairman and Secretary-Treasurer
Mr. Randall Brassell	Vice Chairman
Mr. T.R. McCoy, Jr.	General Chairman
Mr. Guy Sackett	Assistant General Chairman and Secretary-Treasurer
UICU	
Mr. Ray Linewebber	State Legislative Director
BEE	
Mr. Raymond Holmes	Chairman
Mr. John Müller	General Chairman (scheduled but missed corrections)
Mr. Cleatus Roy	General Chairman (not able to participate in key interview due to illness)

SAFETY CULTURE REVIEW FINAL REPORT

KEY FINDINGS

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DESCRIPTIVE STATISTICS

This section reports key issues and themes that emerged from the survey questionnaire, focus sessions and key interviews.

It is interesting to note that there is a general clustering in the category of "Agree" to "Somewhat Agree", as defined in the survey satisfaction scale for questions relating to general satisfaction with their railroad and safety programs. However, one can see that there are distinct variances for questions that relate to risk management and the investigative process for injuries and/or accidents.

The data analysis indicates that there are clearly areas that offer possibilities for improvement across all the populations—railroads, union employees, and exempt employees.

KEY FINDINGS FROM SURVEY QUESTIONNAIRES

The survey measured agreement using a Likert Scale (unless otherwise indicated) where:

Strongly Agree =	6
Agree =	5
Somewhat Agree =	4
Somewhat Disagree =	3
Disagree =	2
Strongly Disagree =	1

The frequency values that are referenced below depict the numerical scores that had the highest percentage of responses.

The questions have been placed in affinity groupings to allow easy reference by common topic areas or issues. Some questions are common to several topic areas and therefore appear more than once.

Highlights of data observations follow. Perspectives provided by respondents in the open ended questions of the survey (questions 35 and 36) are incorporated in the "Hot Topics" (page 21) and Representative Comments (Attachment B).

Employees of all the railroads are generally favorable as they relate to their railroad being a safe place to work (question 1) with 34.0% agreeing with this statement. However, union employees predominately chose "agree" (31.6%), while exempt employees selected "strongly agree" (46.6%). The same applies to their evaluation of how much their railroad has improved in the last 5 years (question 6). Of exempt employees, 50.0% "strongly agree", and 25.2% of union employees "somewhat agree."

A majority of employees across all the railroads believe that their railroad accepts that there are safety problems (question 22) with the highest overall percentage selecting "agree" for all populations (27.3%). Interestingly 51.7% of all exempt respondents "agree" with this statement, while only 21.5% of union employees "agree." Union employees "agree" (28.7%) that safety is integrated into the fabric of the organization (question 21); exempt employees "strongly agree" (51.7%) with this statement. Union and exempt employees further acknowledge in question 23 that this is important to a safety culture with 48.3% and 50.0% choosing "strongly agree" respectively.

Exempt employees "strongly disagree" with the survey statement in question 9, "There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad." Meanwhile, the majority of union responses fell into the categories of "strongly agree" to "somewhat agree" with the greatest segment of that population (27.6%) choosing "somewhat agree." Employees also have disparate responses on question 11 stating that counseling or training are offered as alternatives to discipline for safety rule violations with 48.8% of union employees compared to 81.0% of exempt employees selecting "yes". Similarly, union employees seem less convinced that counseling and training are effective alternatives to discipline (question 12) with 28.6% choosing "agree", while 41.4% of exempt employees "agree."

As seen in question 31, attitudes regarding the role of formal reviews for accidents and/or injuries show that union employees "strongly disagree" (28.7%) that this is a preventive effort on the part of the railroads. Exempt employees, on the other hand, "strongly agree" at 44.8% that formal reviews are a proactive initiative.

In question 32, 50.8% union employees "strongly agree" that the railroad seeks to transfer liability for injuries to the employee, and that the railroad isn't always looking for a rule violation when there is an injury. A greater percentage of carmen and clerks support this view over the other crafts. The larger percentage of exempt employees chose "somewhat agree" at 25.9%.

Two questions addressing pressure to take safety risks (questions 7 and 8) show a difference in the responses between union and exempt employees. Union employees selected "never" (question 7: 56.0%) to "frequently" (question 8: 26.2%), while exempt employees predominately said "never" (question 7: 89.7%; question 8: 93.1%). Pressure to take risk was particularly emphasized by carmen and clerks.

Exempt employees believe that "employee personal choice" (79.3%) is the leading cause of rule violations (question 13). There is a scattered distribution among responses from union employees that includes "lack of experience" (21.9%) and "pressure from management" (23.9%), in addition to "employee personal choice" (36.8%). This is particularly true for engineers.

Union and exempt employees disagree on the contribution of surprise efficiency tests in improving safety operations (question 34). While 31% of exempt employees "agree" with this statement, only 24.3% of union employees "somewhat agree."

In question 5, more exempt employees (yes: 81.0%) believe that the process for selecting safety committee members includes unions; only half of union employees (yes: 51.2%) agree with this statement. More MOW and carmen and clerks agree that safety committee members are selected with the participation of unions. Exempt employees "agree" (46.6%) that safety committees are effective, while the highest percentage of union employees (27.5%) "somewhat agree." Among the crafts, MOW and carmen and clerks "strongly agree" that safety committees are effective (MOW: 26.5%; carmen/clerks: 25.6%).

While most agree that their railroad makes an effort to observe and discover work practices that reduce safety vigilance (question 18); however, in questions 17 through 19 union employees "somewhat agree" (26.3%/28.8%/23.2%) that their railroad resolves safety problems; exempt members "agree" (43.1%/34.5%/44.8%) to "strongly agree" (34.5%/39.7%/39.7%) to this.

Among questions 27 through 30 that ask what best describes their railroad, "the way this railroad is structured reinforces a culture of safety" received the highest agreement with 32.2% from union employees. However, exempt employees responded most favorably to "effective communication" (50.0%). Accordingly, in question 10, 48.3% of exempt employees believe that managers communicate the safety message in a consistent manner, while the largest percentage of agreement for union employees is "somewhat agree" at 33.4%. Responses vary most between union and exempt employees regarding "clearly defined job descriptions reinforce a culture of safety" (question 28). Among exempt respondents, 48.3% "agree" with this statement, while 27.0% of union employees "agree".

Exempt employees are more comfortable with their railroad's operating rules and training than union employees (questions 25 and 26) with 41.4% and 50.0% agreeing with

these statements, correspondingly. Of union employees only 26.9% and 28.6% correspondingly agree with these statements.

Overall, there is less agreement among union than among exempt employees (reference the frequencies % on the dominant score for each question). Further, exempt employees are more positive in their responses to all questions.

HOT TOPICS

1. Evaluate effectiveness of mechanisms for communicating about safety programs.
2. Communication needs to be followed by appropriate action with regard to safety problems.
3. Required skills sets may not be present in front line managers and supervisors.
4. The message for safety could be expanded beyond safety rules.
5. More inclusive process for recruiting safety committee members.
6. Lack of experience and pressure from management is believed to be a leading cause of rule violations by engineers.
7. The formal review process for injuries undermines trust and confidence of union employees in their railroad.
8. Formalize and communicate outcomes for counseling and training.
9. Institutionalize procedures for identifying and resolving safety improvements.
10. Evaluate effectiveness of surprise efficiency tests.
11. Counseling and training could provide consistency in discipline for safety rule violations, but is presently seen as another means to build a file on an employee.
12. Competitive budgets, and sometimes personal agendas, get in the way resolving safety problems.
13. Lots of data, to what end?
14. Pressure from supervisors sometimes results in safety risks and rule violations, particularly for carmen, clerks, and MOW.
15. The current review process for injuries undermines trust and confidence of union employees in their railroad.
16. Contrasting perspectives regarding injury cause and effect exist between union and exempt employees.
17. Success and accountability evaluated by desired outcomes, not only statistical performance.

POLICIES AND PROCEDURES

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	4.0	4.0/27.6	1/39.7
11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. (Y/N)	Y/49.7	Y/48.8	Y/81.0
12. Counseling or training works well as an alternative to discipline for safety rule violations	5.0	6.0/28.6	5.0/41.4
13. What do you believe is the leading cause of rule violations on your railroad? (<i>Lack of training=1; Lack of experience=2; Pressure from management=3; Employee's personal choice=4</i>)	4/43.3	4/36.8	4/79.3
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	4.0	4.0/26.3	5.0/43.1
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	4.0	4.0/29.4	6.0/39.7
19. Identifying safety problems or making suggestions to improve safety is positively recognized.	4.0	4.0/28.8	5.0/44.8
20. Safety-related incentives and rewards improve safety on your railroad.	4.0	4.0/23.2	4.0/37.9
25. Your railroad's operating rules are clear and easy to understand.	4.0	5.0/26.9	5.0/41.4
26. Your railroad's current training on operating rules is effective.	4.0	5.0/28.6	5.0/50.0
27. The following describes your railroad: The way this railroad is structured (divisions, units, etc.) reinforces a culture of safety.	4.0	4.0/32.3	5.0/41.4
28. Clearly defined job duties reinforce a culture of safety.	5.0	5.0/27.0	5.0/48.3
32. Your railroad always finds a rule violation when an injury is reported.	5.0	6.0/50.8	4.0/25.9
34. Surprise efficiency tests contribute to improved safety in operations.	4.0	4.0/24.3	5.0/31.0

TABLE 4: Questions Related to Policies and Procedures

DECISION MAKING AND PROBLEM SOLVING

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. (Y/N)	Y/47.7	Y/48.8	Y/81.0
12. Counseling or training works well as an alternative to discipline for safety rule violations.	5.0	6.0/28.6	5.0/41.4
14. You are encouraged to report unsafe working conditions and/or equipment.	5.0	6.0/28.6	6.0/60.3
15. You can speak clearly about safety problems without fear of discipline by your railroad.	5.0	6.0/29.7	6.0/67.2
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	4.0	4.0/26.3	5.0/43.1
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	4.0	4.0/28.8	6.0/39.7
24. When you report a safety problem, your railroad takes prompt action to correct it.	4.0	4.0/30.2	5.0/46.6
25. Your railroad's operating rules are clear and easy to understand.	4.0	5.0/26.9	5.0/41.4
26. Your railroad's current training on operating rules is effective.	4.0	5.0/28.6	5.0/50.0
33. Your railroad conducts formal reviews of safety problems to find solutions.	4.0	5.0/20.6	5.0/53.4

TABLE 5: Questions Related to Decision Making and Problem Solving

IMPACT OF RISK MANAGEMENT

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
7. How often do you take safety risks because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day = 1</i>)	4/63.1	4/56.0	4/89.7
8. How often do you violate safety rules because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day = 1</i>)	4/64.5	4/56.0	4/93.1
13. What do you believe is the leading cause of rule violations on your railroad? (<i>Lack of training=1; Lack of experience=2; Pressure from management=3; Employee's personal choice=4</i>)	4/43.3	4/36.8	4/79.3

22. This railroad denies there are safety problems.	3.0	2.0/21.5	2.0/51.7
23. Denial of safety problems causes a poor safety culture.	5.0	6.0/48.3	6.0/50.0
31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.	3.0	6.0/16.0	6.0/44.8
32. Your railroad always finds a rule violation when an injury is reported.	5.0	6.0/50.8	4.0/25.9
33. Your railroad conducts formal reviews of safety problems to find solutions.	4.0	5.0/20.6	5.0/53.4

TABLE 6: Questions Related to Impact of Risk Management

MANAGEMENT'S ROLE

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
7. How often do you take safety risks because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day =1</i>)	4/63.1	4/56.0	4/89.7
8. How often do you violate safety rules because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day =1</i>)	4/64.5	4/56.0	4/93.1
10. Your managers communicate the safety message in a consistent, straightforward manner.	4.0	4.0/33.4	6.0/48.3
19. Identifying safety problems or making suggestions to improve safety is positively recognized.	4.0	4.0/23.2	5.0/44.8
20. Safety-related incentives and rewards improve safety on your railroad.	4.0	4.0/23.4	4.0/37.9
24. When you report a safety problem, your railroad takes prompt action to correct it.	4.0	4.0/30.2	5.0/46.6
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	5.0	5.0/27.6	5.0/48.3

TABLE 7: Questions Related to Management's Role

COMMUNICATION

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	4.0	4.0/27.6	1.0/39.7
10. Your managers communicate the safety message in a consistent, straightforward manner.	4.0	4.0/33.4	6.0/48.3
15. You can speak clearly about safety problems without fear of discipline by your railroad.	5.0	6.0/29.7	6.0/67.2
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	4.0	4.0/26.3	5.0/43.1
19. Identifying safety problems or making suggestions to improve safety is positively recognized.	4.0	4.0/23.2	5.0/44.8
24. When you report a safety problem, your railroad takes prompt action to correct it.	4.0	4.0/30.2	5.0/46.6
25. Your railroad's operating rules are clear and easy to understand.	4.0	5.0/26.9	5.0/41.4
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	5.0	5.0/27.6	5.0/48.3
30. Effective methods of communication reinforce a culture of safety.	5.0	5.0/32.0	5.0/50.0

TABLE 8: Questions Related to Communication

SAFETY PROGRAM EFFECTIVENESS

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
2. Your railroad has an employee safety committee. (Y/N)	Y/91.9	Y/89.7	Y/98.3
3. The first priority for members of the safety committee is to represent the interests of safety for the employees.	5.0	6.0/34.3	5.0/48.3
4. Safety committees are effective in improving safety.	4.0	4.0/27.5	5.0/46.6
5. The members of the safety committee are selected with participation from unions. (Y/N)	Y/55.5	Y/51.2	Y/81.0

9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	4.0	4.0/27.6	1.0/39.7
24. When you report a safety problem, your railroad takes prompt action to correct it.	4.0	4.0/30.2	5.0/46.6

TABLE 9: Questions Related to Safety Program Effectiveness

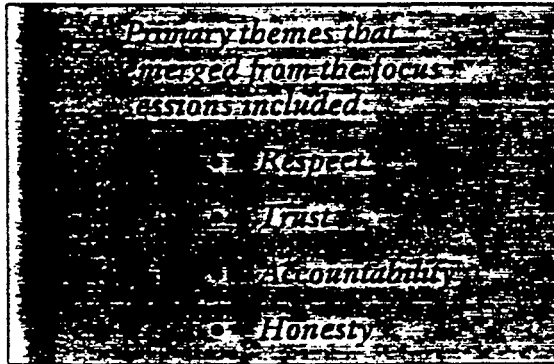
QUALITY OF WORK LIFE

SURVEY QUESTION	MEDIAN SCORE TOTAL POP	UNION FREQUENCY (SCORE/%)	EXEMPT FREQUENCY (SCORE/%)
1. Your railroad is a safe place to work	5.0	4.0/46.7	6.0/46.6
7. Safety has improved on your railroad in the last 5 years.	4.0	4.0/25.2	6.0/50.0
16. Your railroad has fostered the kind of safety culture that produces trust in its employees.	4.0	4.0/29.4	5.0/41.4
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	4.0	4.0/28.8	6.0/39.7
21. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your railroad's organization.	5.0	5.0/28.7	6.0/51.7

TABLE 10: Questions Related to Quality of Work Life

KEY FINDINGS FROM FOCUS SESSIONS

Employees are particularly sensitive to the implications of the Federal Employee Liability Act and their perception of how it drives the nature and burden of railroad operating rules. As far as they are concerned, the whole basis of the



investigative/disciplinary process is designed to place liability on the employee for all incidents and/or injuries. This is a dominant theme for all the railroads in this review. This is further complicated by the nature of statistical reporting

as required by Federal law. Employees say this encourages false reporting and pressure to not report injuries and/or incidents. The combination of these factors sets the stage for harassment and intimidation.

Railroad employees spent a great deal of time speaking about how disconnected they feel from their railroad. Similar to many large corporations, they are acutely aware of the impact of a technological system that has created barriers to human contact. Decision-making via computers, less merit for experience, and the susceptibility of technological failure, are just a few things that collectively contribute to railroad employees feeling that they are not respected as they once were.

YEARS OF SERVICE	PARTICIPANT RATIO (%)
OVER 20	67%
11 - 20	15%
5 - 10	9%
UNDER 5	9%

TABLE 11: FOCUS SESSION PARTICIPANTS YEARS OF SERVICE

They are further convinced that there is no accountability on the part of the railroads to their employees. They view their railroads as run by accountants and attorneys; in other words,

only profit and liability count—people don't. What's more, due to a seemingly increased emphasis on personal liability, implied by the manner in which injuries and incidents are handled and the overabundance of operating rules, employees have concluded that their railroad is not genuine or honest with a message that speaks to the importance of personal safety.

Safety initiatives are not well received. They are viewed as a compliance tool in response to FRA mandates. Opportunities for no-fault learning are not acknowledged, in spite of some innovative programs initiated on some railroads. Again, a lack of trust impedes any well-intended safety efforts on the part of railroads.

Extraordinary work schedules have burdened both the work and family life of railroad crews. Employees cite a variety of reasons for being overworked and fatigued: poor crew utilization, inefficient transportation of dead-headed crews, shortages in workers, disparities in bargaining agreements, poor train line ups, budget constraints. Employees have no difficulty in pointing out policies and procedures that have resulted in their stress and fatigue. They regard the problem of fatigue and scheduling as too complex. They are also of the belief that given a choice between their human needs or profit, the railroads will choose on the side of profit every time. Consequently, they have little faith in their railroad's interest in treating them as human beings.

While employees acknowledge that supervisors are also under pressure to get as much work out of them as possible, they see no benefit in giving 110%. Workers on each railroad complained of not receiving accurate compensation as a minimum (unmet) expectation for time worked. Needless to say, this reinforces their lack of trust for their employer.

SURVEY CORRELATIONS

Pearson Product-Moment correlations (r 's) were computed as a measure of the degree of relationship between among the railroads and among the unions. The higher the Pearson (r), the more among all the railroads or all the union for that question, the greater the relationship. Those questions that have a high statistical significance for both unions and railroads are likely to yield the greatest degree of change in safety culture across all the railroads and unions under review.

Significance values measure whether questions are statistically important for railroads and for unions. A lower significance variable, indicates that there are fewer differences among the responses and therefore, the significance is greater. The higher the significance variable, the more scattered the responses for either unions or railroads.

Statements/questions where there is the most agreement among all the railroads and/or the most statistical significance are listed below.

- ✓ 1. Your railroad is a safe place to work.
- ✓ 5. The members of the safety committee are selected with participation from unions.
- ✓ 11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations.
- ✓ 15. You can speak clearly about safety problems without fear of discipline by your railroad.
- ✓ 18. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your railroad's organization.
- ✓ 19. Identifying safety problems or making suggestions to improve safety is positively recognized.
- ✓ 24. When you report a safety problem, your railroad takes prompt action to correct it.
- ✓ 31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.
- ✓ 32. Your railroad always finds a rule violation when an injury is reported.
- ✓ 33. Your railroad conducts formal reviews of safety problems to find solutions.

Statements/questions where there is the most agreement among all employees and/or the most statistical significance are listed below.

- ✓ 1. Your railroad is a safe place to work.
- ✓ 9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.
- ✓ 10. Your managers communicate the safety message in a consistent, straightforward manner.
- ✓ 11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations.
- ✓ 13. Leading causes of rule violations on your railroad
- ✓ 14. You are encouraged to report unsafe working conditions and/or equipment.
- ✓ 15. You can speak clearly about safety problems without fear of discipline by your railroad.
- ✓ 17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.
- ✓ 18. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your railroad's organization.
- ✓ 19. Identifying safety problems or making suggestions to improve safety is positively recognized.
- ✓ 22. This railroad denies there are safety problems.
- ✓ 24. When you report a safety problem, your railroad takes prompt action to correct it.
- ✓ 31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.
- ✓ 32. Your railroad always finds a rule violation when an injury is reported.
- ✓ 33. Your railroad conducts formal reviews of safety problems to find solutions.

The following tables present the correlations and their significance levels. The data is presented by union and by railroad for both correlation and significance.

POLICIES AND PROCEDURES

SURVEY QUESTION	CORRELATION		SIGNIFICANCE	
	FOR UNION	FOR RR	FOR UNION	FOR RR
9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	91.154	26.852	.00000	.31139
11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. (Y/N)	80.704	75.722	.00002	.00000
12. Counseling or training works well as an alternative to discipline for safety rule violations	40.656	24.122	.09277	.45461
13. What do you believe is the leading cause of rule violations on your railroad? (<i>Lack of training=1; Lack of experience=2; Pressure from management=3; Employee's personal choice=4</i>)	72.815	34.668	.00000	.00441
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	92.726	28.864	.00000	.22529
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	78.109	49.885	.00029	.02286
19. Identifying safety problems or making suggestions to improve safety is positively recognized.	101.58	39.346	.00000	.02511
20. Safety-related incentives and rewards improve safety on your railroad.	46.850	24.672	.02573	.42373
25. Your railroad's operating rules are clear and easy to understand.	62.834	26.011	.00041	.35256
26. Your railroad's current training on operating rules is effective.	69.188	27.549	.00006	.27949
27. The following describes your railroad: The way this railroad is structured (divisions, units, etc.) reinforces a culture of safety.	57.853	27.105	.00166	.29958
28. Clearly defined job duties reinforce a culture of safety.	49.111	34.569	.01531	.13803
32. Your railroad always finds a rule violation when an injury is reported.	93.790	45.514	.00000	.00506
34. Surprise efficiency tests contribute to improved safety in operations.	66.627	27.754	.00014	.27052

TABLE 12: Correlations Related to Policies and Procedures

DECISION MAKING AND PROBLEM SOLVING

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR	BY UNION	BY RR
11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. (Y/N)	80.704	75.722	.00002	.00000
12. Counseling or training works well as an alternative to discipline for safety rule violations.	40.656	24.122	.09277	.45461
14. You are encouraged to report unsafe working conditions and/or equipment.	72.979	33.944	.00002	.08567
15. You can speak clearly about safety problems without fear of discipline by your railroad.	77.691	37.865	.00000	.03579
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	92.726	28.864	.00000	.22529
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	78.109	49.885	.00029	.02286
24. When you report a safety problem, your railroad takes prompt action to correct it.	106.551	37.320	.00000	.04065
25. Your railroad's operating rules are clear and easy to understand.	62.834	26.011	.00041	.35256
26. Your railroad's current training on operating rules is effective.	69.188	27.549	.00006	.27949
33. Your railroad conducts formal reviews of safety problems to find solutions.	112.230	43.425	.00000	.00889

TABLE 13: Correlations Related to Decision Making and Problem Solving

IMPACT OF RISK MANAGEMENT

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR	BY UNION	BY RR
7. How often do you take safety risks because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day =1</i>)	42.513	21.830	.00237	.14876
8. How often do you violate safety rules because of pressure from your supervisor? (<i>Never=4; Infrequently=3; Frequently=2; Every day =1</i>)	40.107	27.270	.00484	.03857
13. What do you believe is the leading cause of rule violations on your railroad? (<i>Lack of training=1; Lack of experience=2; Pressure from management=3; Employee's personal choice=4</i>)	72.815	34.668	.00000	.00441
22. This railroad denies there are safety problems.	72.620	38.528	.00002	.03059
23. Denial of safety problems causes a poor safety culture.	29.316	21.399	.50102	.61506
31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.	112.319	51.969	.00000	.00079
32. Your railroad always finds a rule violation when an injury is reported.	93.790	45.514	.00000	.00506
33. Your railroad conducts formal reviews of safety problems to find solutions.	112.230	43.425	.00000	.00889

TABLE 14: Correlations Related to Impact of Risk Management

MANAGEMENT'S ROLE

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR	BY UNION	BY RR
7. How often do you take safety risks because of pressure from your supervisor? (Never=4; Infrequently=3; Frequently=2; Every day = 1)	42.513	21.830	.00237	.14876
8. How often do you violate safety rules because of pressure from your supervisor? (Never=4; Infrequently=3; Frequently=2; Every day = 1)	40.107	27.270	.00484	.03857
10. Your managers communicate the safety message in a consistent, straightforward manner.	73.940	28.131	.00001	.25452
19. Identifying safety problems or making suggestions to improve safety is positively recognized.	101.589	39.346	.00000	.02511
20. Safety-related incentives and rewards improve safety on your railroad.	46.850	24.642	.02573	.42373
24. When you report a safety problem, your railroad takes prompt action to correct it.	106.551	37.320	.00000	.04065
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	72.679	25.796	.00004	.36355

TABLE 15: Correlations Related to Management's Role

COMMUNICATION

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR	BY UNION	BY RR
9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	91.154	26.852	.00000	.31139
10. Your managers communicate the safety message in a consistent, straightforward manner.	73.940	28.131	.00001	.25452
15. You can speak clearly about safety problems without fear of discipline by your railroad.	77.691	37.865	.00000	.03579
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	92.726	28.864	.00000	.22529

19. Identifying safety problems or making suggestions to improve safety is positively recognized.	101.589	39.346	.00000	.02511
24. When you report a safety problem, your railroad takes prompt action to correct it.	106.551	37.320	.00000	.04065
25. Your railroad's operating rules are clear and easy to understand.	62.834	26.011	.00041	.35256
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	70.679	25.796	.00004	.36355
30. Effective methods of communication reinforce a culture of safety.	45.948	28.548	.03143	.23759

TABLE 16: Correlations Related to Communication

SAFETY PROGRAM EFFECTIVENESS

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR.	BY UNION	BY RR.
2. Your railroad has an employee safety committee. (Y/N)	8.421	16.745	.58779	.03287
3. The first priority for members of the safety committee is to represent the interests of safety for the employees.	52.406	35.700	.00068	.36854
4. Safety committees are effective in improving safety.	57.619	35.234	.00177	.06500
5. The members of the safety committee are selected with participation from unions. (Y/N)	53.153	41.472	.02525	.04858
9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	91.154	26.852	.00000	.31139
24. When you report a safety problem, your railroad takes prompt action to correct it.	106.551	37.320	.00000	.04065

TABLE 17: Correlations Related to Safety Program Effectiveness

QUALITY OF WORK LIFE

SURVEY QUESTION	CORRELATION WITH AGREEMENT		SIGNIFICANCE	
	BY UNION	BY RR	BY UNION	BY RR
1. Your railroad is a safe place to work	75.848	55.124	.00001	.00030
7. Safety has improved on your railroad in the last 5 years.	89.268	33.971	.00000	.08518
16. Your railroad has fostered the kind of safety culture that produces trust in its employees.	76.199	23.582	.00000	.08518
18. Your railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	76.199	23.582	.00001	.48567
21. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your railroad's organization.	78.109	49.885	.00000	.00001

TABLE 18: Correlations Related to Quality of Work Life

SAFETY CULTURE REVIEW FINAL REPORT

SUMMARY AND CONCLUSIONS

**SUMMARY
AND
CONCLUSIONS**



SUMMARY AND CONCLUSIONS

Certain core competencies are required for railroads, employees and FRA in the rail industry of the future. It is important to recognize their impact on potential changes in safety culture. Today's performance management concepts all have one thing in common: they try to show that individual "performance level" is a collective term, which actually refers to an individual's or team's ability to utilize a variety of knowledge, skills, and behaviors to accomplish organizational goals.

Core competencies provide focus on important business systems and processes, as well as the supporting knowledge, skills, abilities, and behaviors that are necessary for success.

As a result of this review, we have identified six core competencies important to safety culture improvements. They are:

- ✓ *Leadership* Become a servant-leader with integrity and provide values based vision and direction
- ✓ *Decision Making* Secure relevant information identifying key issues and relationships to make timely decisions, render judgements, take action when appropriate, and commit to a position.
- ✓ *Interpersonal Skills* Work effectively with others to accomplish organization safety goals and identify and resolve problems.
- ✓ *Communication* Create an atmosphere in which timely and high quality information flows smoothly.
- ✓ *Organizational Skills* Creation of, and use of, a systematic course of action to assure accomplishment of specific objectives within established performance standards.
- ✓ *Self-management* Taking effective action with commitment and vitality, and without duress.

NEXT STEPS

In order to employ the information from this review in an efficient and meaningful way, we recommend the following approach:

1. Administrator's Roundtable

- ✓ Key recommendations or issue areas, developed by the Safety Culture Team on September 30, are presented at an Administrator's Roundtable.
- ✓ Additional industry and union partners have the opportunity to volunteer to join with Safety Culture Team members, now organized by topic areas into Safety Culture Work Groups.

2. Work Group Purpose

- ✓ Define program or action goals relative to their assigned topic.
- ✓ Benchmark best practices within rail or other industries.
- ✓ Develop pilot model specific to the goal and outcome of the work group
- ✓ Recommend implementation strategies for pilot model.

3. Work Group Design

- ✓ Each Safety Culture Work Group will be self-managed. FRA will serve as the coordinating agent (work group timelines and goals) and administrative agent.
- ✓ Each work group will be diverse in its membership, and will be comprised of unions, railroads, FRA, and other interested stakeholders.

With this approach it is possible to bring meaningful change to the safety culture of the railroad industry, while continuing the Federal Railroad Administration tradition of partnership and collaboration.

For additional information or questions regarding the findings of this report
contact:

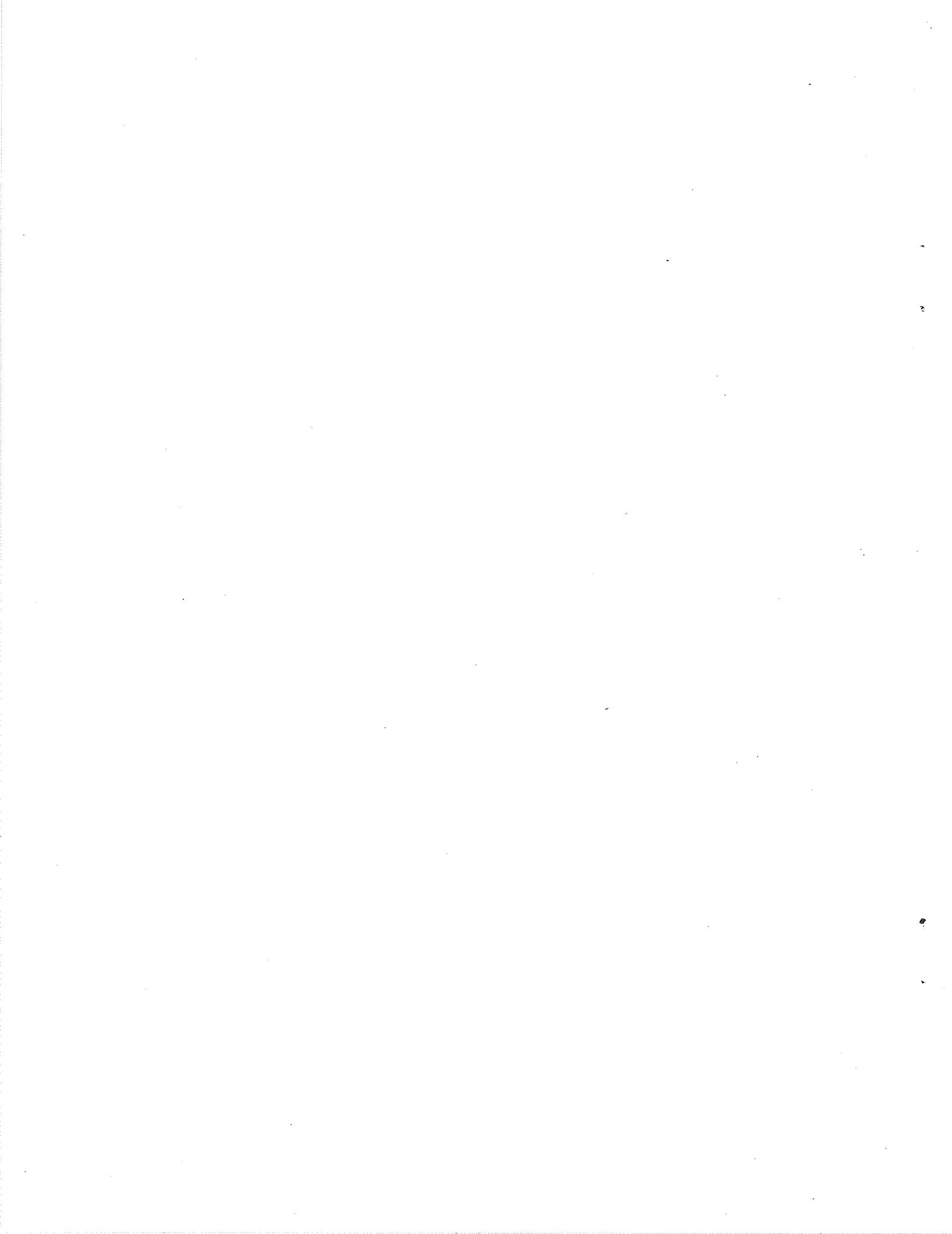
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**SAFETY CULTURE REVIEW
FINAL REPORT**

ATTACHMENT A

FREQUENCY DATA REPORTED FOR EACH SURVEY QUESTION

SURVEY QUESTION	STRONGLY DISAGREE						STRONGLY AGREE
	1	2	3	4	5	6	N/A
1. Your railroad is a safe place to work.	15	17	33	86	117	68	8
2. Your railroad has an employee safety committee. <i>Y=1; N=2</i>	316	24					4
3. The first priority for member of the safety committee is to represent the interests of safety for the employees.	9	20	29	52	105	119	10
4. Safety Committees are effective in improving safety.	19	28	36	94	90	64	13
5. The members of the safety committee are selected with participation from the unions. <i>Y=1; N=2</i>	191	125					17
6. Safety has improved on your railroad in the last 5 years.	28	25	16	78	105	83	9
7. How often do you take safety risks because of pressure from your supervisor? <i>Never=4; Infrequently=3; Frequently=2; Every day=1</i>	17	32	75	217			3
8. How often do you violate safety rules because of pressure from your supervisor? <i>Never=4; Infrequently=3; Frequently=2; Every day=1</i>	12	32	75	222			3
9. There are significant difference between this railroad's formal written safety program and what actually occurs on this railroad.	56	55	20	83	46	79	5
10. Your managers communicate the safety message in a consistent, straightforward manner.	18	25	32	104	80	82	3

11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. <i>Y=1; N=2</i>	164	159					21
12. Counseling or training works well as an alternative to discipline for safety rule violations.	13	14	14	71	103	92	37
13. What do you believe is the leading cause of rule violations on your railroad? <i>Lack of training=1; Lack of experience=2; Pressure from management=3; Employee's personal choice=4</i>	41	69	77	149			8
14. You are encouraged to report unsafe working conditions and/or equipment.	12	16	19	66	97	130	4
15. You can speak clearly about safety problems without fear of discipline by your railroad.	18	26	30	63	86	117	4
16. Your railroad has fostered the kind of safety culture that produces trust in its employees.	51	49	41	92	63	47	1
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	29	42	40	87	76	65	5
18. Your railroad makes an effort to resolve and discover work practices that reduce safety vigilance or alertness.	36	39	23	87	80	70	9
19. Identifying problems or making suggestions to improve safety is positively recognized.	16	45	43	77	84	78	1
20. Safety-related incentives and reward improve safety on your railroad.	24	41	31	96	71	67	14
21. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your organization.	11	23	24	73	106	105	2
22. This railroad denies there are safety problems.	67	94	40	52	41	42	8

23. Denial of safety problems causes a poor safety culture.	3	7	5	31	121	170	7
24. When you report a safety problem, your railroad takes prompt action to correct it.	41	40	28	97	75	61	2
25. Your railroad's operating rules are clear and easy to understand.	39	33	41	74	101	54	2
26. Your railroad's current training on operating rules is effective.	30	32	45	83	104	44	6
27. The way this railroad is structured (divisions, units, etc.) reinforces a culture of safety.	17	38	49	107	87	35	11
28. Clearly defined job duties reinforce a culture of safety.	12	21	35	87	112	68	9
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	21	23	27	64	110	92	7
30. Effective methods of communication reinforce a culture of safety.	11	24	22	58	123	99	7
31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.	86	49	38	50	50	67	4
32. Your railroad always finds a rule violation when an injury is reported.	15	21	24	47	80	152	5
33. Your railroad conducts formal reviews of safety problems to find solutions.	38	37	43	90	84	47	5
34. Surprise efficiency tests contribute to improved safety in operations.	49	45	50	88	61	39	12

**SAFETY CULTURE REVIEW
FINAL REPORT**

ATTACHMENT B

REPRESENTATIVE COMMENTS FROM SURVEYS, FOCUS SESSIONS AND KEY INTERVIEWS

These representative comments are provided to help texturize the survey feedback, focus session and key interview analysis. The survey questions asked: (1) What changes would you like to see at your railroad to improve its safety culture? (2) What should be done to improve your railroad's safety program?

There is no ascribed significance to the comments' order of presentation.

CULTURE AND COMMUNICATION

Surveys

- ✓ Employees recognize an inconsistency in what the safety program states and what actions are taken for the sake of production.
- ✓ It is not considered a safety item if it 1) costs money or 2) is an inconvenience for management.
- ✓ Railroads talk safety. However, the unwritten rule is do not delay the trains or hold up production.
- ✓ There needs to be more communication between different departments.
- ✓ Employees want to be able to trust officials. There is a feeling that officials are not truly concerned for the employees' safety, only about achieving a record on paper.
- ✓ There should be a unified understanding of the rules, instead of allowing officials to interpret their understanding of them.
- ✓ Better communication among employees, i.e. dispatchers, conductors, yardmasters, and crew management.

Focus Sessions

- ✓ Employees have heard about culture and read about it, but believe it is still about following rules and regulations.
- ✓ Employees are told that they are empowered, but wonder what they are empowered to do.
- ✓ It boils down to respect. For 30 years an employee can have a clean record, but if they do one small thing wrong, they get fired.
- ✓ Centralized services for the customer need to be localized. The shipper has nowhere to go but to us [when they have a problem].

- ✓ Crew clerks used to have information. Now they don't even have the time to offer help or information.
- ✓ Managers don't talk to each other.
- ✓ Dispatchers have no empowerment, and often don't know enough to handle questions and problems. Frequently, they don't even know "where they're at."
- ✓ Top management sends the message, but what the supervisors are hearing is, "Generate the statistics we want and do this at any cost."
- ✓ The message to employees is: get the job done. It's only wrong if they catch you.
- ✓ Supervisors think of hours in terms of dollars, employees think in terms of safety. Someone should be responsible for this issue.
- ✓ Nobody cares about anything but budget.
- ✓ Each budget is run separately and this affects how the trains are scheduled.

REWARDS AND INCENTIVES

Surveys

- ✓ Safety performance should not be related to managers' bonuses or their pay.
- ✓ Stock incentives

Focus Sessions

- ✓ Team awards and stock options promote peer pressure to not report injuries.
- ✓ Reward good performance and reliability with days off.
- ✓ Bonuses [for supervisors/managers] are tied to movement of freight and returned money in their budgets.
- ✓ All railroads are using the same formula that uses bonuses for mid-management people. Mid-management has no choice but to meet the numbers.
- ✓ The goals in the yard don't allow for correcting unsafe conditions.

TRAIN OPERATIONS

Surveys

- ✓ Employees would like to work regularly with the same crewmembers.
- ✓ Safety practices should be consistent, even in the event that trains are late and behind schedule.

Focus

- ✓ Mechanical is seen as interfering with train operations.
- ✓ There is a blatant disregard for safety. Trainmasters regularly give orders to move cars out that have not been air tested.
- ✓ Regarding safety and quality—supervisors are giving management what they want to see.

RULES, DISCIPLINE, AND INVESTIGATION

Surveys

- ✓ A rule violation should be an excuse to fire someone (within reason).
- ✓ Employees would like to feel trusted instead of having general foreman hide behind bushes trying to catch them violating a rule.
- ✓ Employees are prevented from filling out accident reports by means of disciplinary actions or discharging an employee.
- ✓ The rules need to be simplified.
- ✓ There should be less pressure when reporting minor injuries.
- ✓ FRA is the key to improvement. They need to make sure rules, such as in-bound, and out-bound inspections, are enforced all the time.
- ✓ Employees want more officials (FRA) to oversee the railroads and employees.
- ✓ FRA needs to talk more with employees, not just safety and union officials.

Focus Sessions

- ✓ Reporting an injury guarantees an investigation. Blame is placed on the individual in order to relieve the company of liability.
- ✓ The damage is already done [to the employee] when they are investigated. It doesn't have to go to discipline.
- ✓ Employees understand that if you admit you got hurt, you are fired.
- ✓ The discipline policy is so intimidating that some fear the discipline more than the safety risk.
- ✓ Application of discipline is inconsistent. It's often tied to personalities and the supervisor's mood of the day.
- ✓ The issue of the day receives the strongest discipline.
- ✓ Railroad has created rules that prohibit the employees' ability to do their job.
- ✓ When somebody gets hurt, the railroad changes the rule.
- ✓ Rules are a "knee jerk" reaction to injuries because the railroads are afraid of lawsuits.
- ✓ Rules don't help employees become a safer employee.
- ✓ The statistics may have improved but employees are not reporting the little things for fear of being investigated.

SAFETY AUDITS

Surveys

- ✓ Employees would like to feel trusted, instead of having general foremen hide behind bushes trying to catch them violating a rule.

Focus Sessions

- ✓ Safety audits are conducted with malicious intent in order to build a record on the employee, not to improve safety performance.
- ✓ Testing is not a training tool but used to discipline.
- ✓ Supervisors give very little positive reinforcement or recognition for a job well done.
- ✓ Supervisors don't ride with crews anymore. They are only looking for faults.
- ✓ Supervisors are pressured to find more failures in the audits. If safety audits don't turn up violations, supervisors are told to look harder.

HIRING AND TRAINING

Surveys

- ✓ Establish an on-going training program. Lack of training is the weakest link in the railroad.
- ✓ There are too many employees that have not been adequately trained.
- ✓ New hires need more hands on experience.
- ✓ Need more workers- the biggest problem I see with safety is the fatigued workforce.
- ✓ Increasing the number of workers to an amount that enables us to get the job done safely and effectively.
- ✓ More drills and training on how to work safely.
- ✓ There should be more training for "movement" positions.

Focus Sessions

- ✓ Standardized training should incorporate more hands-on experience.
- ✓ Newer workers are trained on paper, but have limited experience. A simulator is not a substitute for experience.
- ✓ New employees are certified, but are they qualified?
- ✓ The loss of clerks has impacted crews. When trains are in the yards, crews can't get any information. Computers can't talk to each other.
- ✓ The ratio of clerks to mechanical is unbalanced.
- ✓ Railroads bring in contract people so that they don't have to pay full-time employees. This is also perceived as a means of getting out of the liability issue.
- ✓ Railroads will never admit that they have a shortage of people.
- ✓ There are more injuries when there are not enough people to do the work.
- ✓ Railroads are hiring young college people who will come in at a low salary. They are hiring them because they can save money and they know computers.

QUALITY OF WORK LIFE

Surveys

- ✓ Treat all employees with the same respect and dignity.
- ✓ Employees would like management to trust that they know their jobs.
- ✓ Employees want less intimidation from management, so they do not have to work with the constant fear of being fired.
- ✓ Listen to employees.
- ✓ We are always worried about being fired.

Focus Sessions

- ✓ Employees would like to spend time with their families and to be able to plan ahead for time off.
- ✓ Until train line-ups are corrected, there will be no improvement in quality of life.
- ✓ Heart attacks and hypertension are occurring at a younger age in railroad employees.
- ✓ Crews can't synchronize their lives with the pattern of crew calling.
- ✓ Can't get through; the system is not user friendly. Have to go through too many people.
- ✓ We have to lie to call off. Say the magic word, "sick."
- ✓ How can railroads build trust when they leave you on a train?
- ✓ Railroads now use transportation services that put employees' lives in the hands of unsafe drivers and vehicles.
- ✓ The train line-ups say there are trains, so crews are called, but nothing will be there. There is not enough communication between callers and the yard.

SAFETY PROGRAMS

Surveys

- ✓ Despite elaborate programs for safety, few employees are involved in any organized safety program.
- ✓ Safety glasses and ear plugs— that's safety.
- ✓ There is very little input from people on what would be [safety] improvements.
- ✓ There are safety meetings but no feedback or opportunities for input.

Focus Sessions

- ✓ Include all employees in the safety program, not just the chosen few.
- ✓ Get employees from all crafts involved in a safety program that will allow input without all the usual criticism.
- ✓ Employees want a safety program with the power to get things taken care of instead of just talking about problems.

KEY INTERVIEWS

Representative comments from the key interviews with union leadership and railroad management follow in this section. They are arranged by the same topics as the representative comments from the focus sessions with union employees. As mentioned earlier, they are included to provide depth, and at times contrast, to the perceptions of expressed by union employees. They may also provide the reader with a picture of what distinguishes the guiding principles of unions and railroads.

CULTURE AND COMMUNICATION

Union Leadership

- ✓ Railroad culture has been developed exclusively by management.
- ✓ The appeals process is too slow. When a service unit loses a claim, it should come out of their budget, not labor relations.
- ✓ There should be a local review of how managers are applying discipline as a form of accountability. A management review panel is suggested as a way to uphold empowerment.

Railroad Management

- ✓ There are pockets of openness and change; but it boils down to individuals, and culture backs it up.
- ✓ Communication is difficult geographically now that railroads have become so large. We're getting better at talking about what's important to us. We've tried to encourage increased communication but have not been as successful with the middle-level ordering or priorities.
- ✓ Start at the top—everyone looks to the CEO. The mindset of managers is to be “talkers”, not “listeners.”
- ✓ We were very headquarters-oriented before, but we're trying to push that down.

REWARDS AND INCENTIVES

Railroad Management

- ✓ Money is important, as well as being recognized.
- ✓ Unions keep employees stovepiped. How can we let employees do what they want to do?

TRAIN OPERATIONS

Union Leadership

- ✓ As long as there is pressure to move freight, railroads will continue to have the operations side pressuring mechanical side to let trains go. It's being driven by profit.
- ✓ Railroads not keeping track of in-bound inspections in order to track where the defective cars are coming from. It takes longer for a train crew to inspect a car than a carman.

Railroad Management

- ✓ We never want employees to compromise safety to move a train.
- ✓ Congestion has contributed to cases of lack of focus.

RULES, DISCIPLINE, AND INVESTIGATION

Union Leadership

- ✓ There should be a peer review separate from bargaining agreements.
- ✓ FRA, management and labor should work in partnership to create rules.
- ✓ The complexity of rules has eroded the intent of the rule.

Railroad Management

- ✓ The most difficult decision of all is when are the appropriate times to hold an investigation? Railroads feel they are being taken advantage of. How do we enforce accountability and not be perceived as harassing or intimidating?
- ✓ Policies and procedures need to be understood below and reflected above.

SAFETY AUDITS

Union Leadership

- ✓ Is unannounced utilization of Yellow Flag relevant in efficiency testing?

HIRING AND TRAINING

Union Leadership

- ✓ Railroads are historically considered militaristic. The military is trained to work as a unit but on the railroad you work [make decisions] as an individual.
- ✓ Front-line employees should be involved in the hiring process.
- ✓ Crisis management cannot continue. There must be a sufficient workforce in place.

Railroad Management

- ✓ We have not done a good job of educating front-line supervisors in being good people managers and how to handle conflict and multiple priorities.

- ✓ Things are changing. People who do well are those who are results-oriented. We are benefiting from each other's expertise, not in spite of it. The shouters and screamers are no longer effective. People watch and it's less possible to be a one-man show.

QUALITY OF WORK LIFE

Union Leadership

- ✓ Differences between contracts don't allow napping to apply.

Railroad Management

- ✓ Employees are demanding a quality of life for everyone. There is a need to have a sense of community within the workplace.
- ✓ The way we call crews has changed. There should be a unilateral rule that when one gets home, you get 14 hours off— no questions asked.
- ✓ Typically, it is not a violation of rules, but a lapse of thought. Fatigue issues can cause that lapse. We have to understand the relationships.
- ✓ Railroad officials do not have training in fatigue counter-measures.

SAFETY PROGRAMS

Union Leadership

- ✓ Safety and SACP should come out of system-wide budget instead of the service unit budget. The current budget structure currently discourages participation in safety or SACP.
- ✓ SACP gives railroads a chance, but it doesn't reach the employee.

Railroad Management

- ✓ Each person is instructed that if you can't do something safely— don't do it.

SAFETY CULTURE REVIEW FINAL REPORT

ATTACHMENT C

SAMPLE SURVEY QUESTIONNAIRE
Federal Railroad Administration
Railroad Safety Culture Survey

Place your response to each statement in the adjacent box according to the following scale:

Strongly Agree	6
Agree	5
Somewhat Agree	4
Somewhat Disagree	3
Disagree	2
Strongly Disagree	1
This does not apply to my railroad	N/A

Use the scale indicated for the question if it is different from above.

1. Your railroad is a safe place to work.	<input type="checkbox"/>
2. Your railroad has an employee safety committee. <i>(select one)</i> YES = Y NO = N	<input type="checkbox"/>
3. The first priority for members of the safety committee is to represent the interests of safety for the employees.	<input type="checkbox"/>
4. Safety committees are effective in improving safety.	<input type="checkbox"/>
5. The members of the safety committee are selected with participation from unions. <i>(select one)</i> YES = Y NO = N	<input type="checkbox"/>
6. Safety has improved on your railroad in the last 5 years.	<input type="checkbox"/>
7. How often do you take safety risks because of pressure from your supervisor? <i>(select one)</i> NEVER = 4 INFREQUENTLY = 3 FREQUENTLY = 2 EVERY DAY = 1	<input type="checkbox"/>
8. How often do you violate safety rules because of pressure from your supervisor? <i>(select one)</i> NEVER = 4 INFREQUENTLY = 3 FREQUENTLY = 2 EVERY DAY = 1	<input type="checkbox"/>

Strongly agree	6
Agree	5
Somewhat Agree	4
Somewhat Disagree	3
Disagree	2
Strongly Disagree	1
This does not apply to my railroad	N/A

9. There are significant differences between this railroad's formal written safety program and what actually occurs on this railroad.	<input type="checkbox"/>
10. Your managers communicate the safety message in a consistent, straightforward manner.	<input type="checkbox"/>
11. Your railroad offers counseling or training as an alternative to discipline for safety rule violations. (select one) YES = Y No = N	<input type="checkbox"/>
12. Counseling or training works well as an alternative to discipline for safety rule violations.	<input type="checkbox"/>
13. What do you believe is the leading cause of rule violations on your railroad? (select one) Lack of training = T Lack of experience = E Pressure from management = M Employee's personal choice = C	<input type="checkbox"/>
14. You are encouraged to report unsafe working conditions and/or equipment.	<input type="checkbox"/>
15. You can speak clearly about safety problems without fear of discipline by your railroad.	<input type="checkbox"/>
16. Your railroad has fostered the kind of safety culture that produces trust in its employees.	<input type="checkbox"/>
17. When you disagree with a local safety practice or work condition, there are ways to resolve your concerns.	<input type="checkbox"/>
18. You railroad makes an effort to observe and discover work practices that reduce safety vigilance or alertness.	<input type="checkbox"/>

Strongly Agree	6
Agree	5
Somewhat Agree	4
Somewhat Disagree	3
Disagree	2
Strongly Disagree	1
This does not apply to my railroad	N/A

19. Identifying safety problems or making suggestions to improve safety is positively recognized.	<input type="checkbox"/>
20. Safety-related incentives and rewards improve safety on your railroad.	<input type="checkbox"/>
21. Safety is an important aspect of your day-to-day work activities, and is integrated into the very fabric of your railroad's organization.	<input type="checkbox"/>
22. This railroad denies there are safety problems.	<input type="checkbox"/>
23. Denial of safety problems causes a poor safety culture.	<input type="checkbox"/>
24. When you report a safety problem, your railroad takes prompt action to correct it.	<input type="checkbox"/>
25. Your railroad's operating rules are clear and easy to understand.	<input type="checkbox"/>
26. Your railroad's current training on operating rules is effective.	<input type="checkbox"/>
The following describe your railroad:	<input type="checkbox"/>
27. The way this railroad is structured (divisions, units, etc.) reinforces a culture of safety.	<input type="checkbox"/>
28. Clearly defined job duties reinforce a culture of safety.	<input type="checkbox"/>
29. Opportunities to openly discuss safety concerns with my supervisor reinforce a culture of safety.	<input type="checkbox"/>
30. Effective methods of communication reinforce a culture of safety.	<input type="checkbox"/>

Strongly Agree	6
Agree	5
Somewhat Agree	4
Somewhat Disagree	3
Disagree	2
Strongly Disagree	1
This does not apply to my railroad	N/A

31. Your railroad conducts formal reviews of accidents/injuries not to seek blame, but rather to prevent and better respond to future problems.	<input type="checkbox"/>
32. Your railroad always finds a rule violation when an injury is reported.	<input type="checkbox"/>
33. Your railroad conducts formal reviews of safety problems to find solutions.	<input type="checkbox"/>
34. Surprise efficiency tests contribute to improved safety in operations.	<input type="checkbox"/>
35. What changes would you like to see at your railroad to improve its safety culture? _____ _____ _____ _____	
36. What should be done to improve your railroad's safety program? _____ _____ _____ _____	

Please check the following that apply to you:

Employed by which railroad:

- BNSF
- CSXT
- Norfolk Southern
- Union Pacific

Craft employee/Union affiliation:

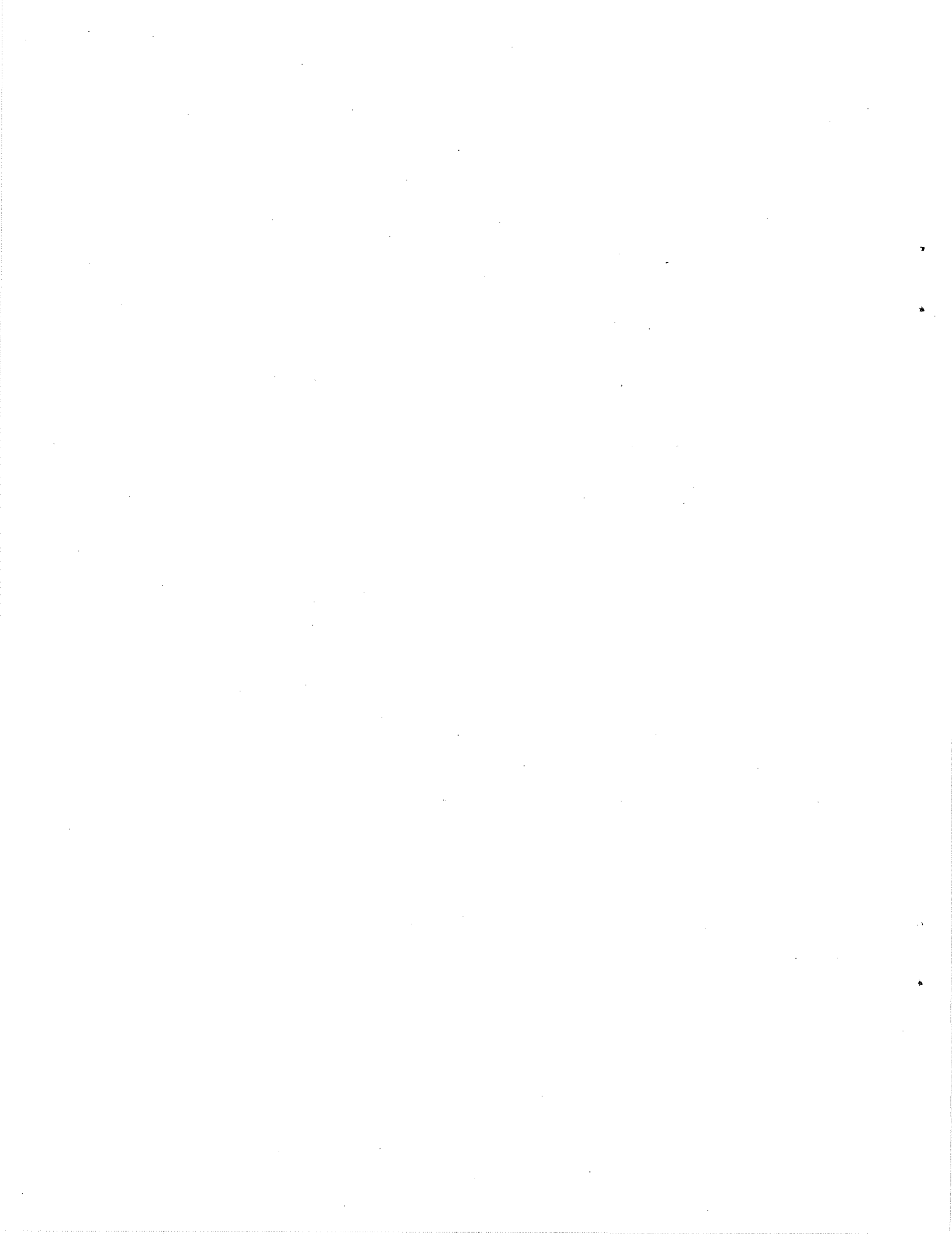
- BMWE
- TCU
- BLE
- UTU

- Supervisor

Number of years employed with this railroad

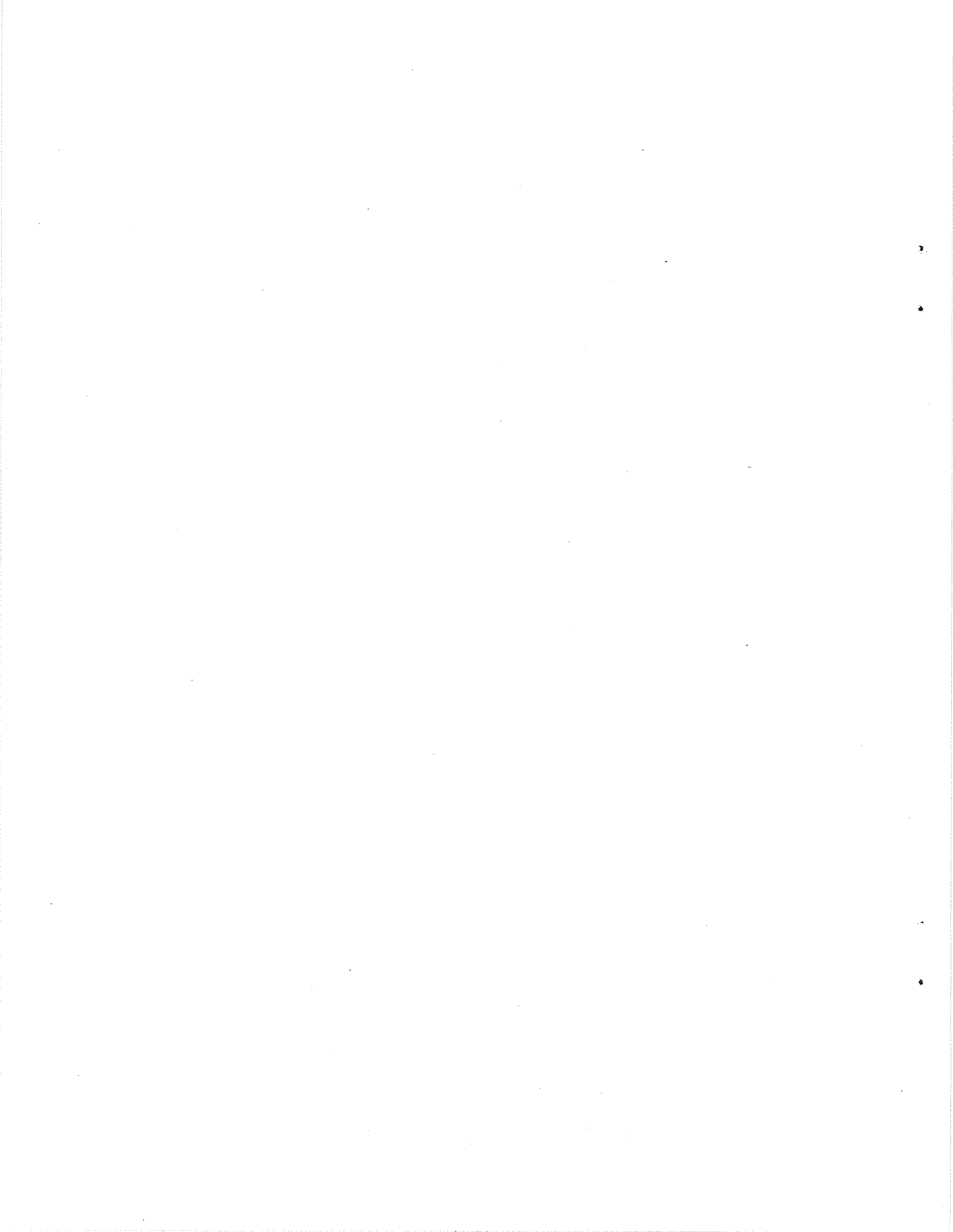
- Under 5 years
- 5-10 years
- 11-20 years
- Over 20 years

Thank you again for your contribution to this effort!



SAFETY CULTURE REVIEW FINAL REPORT

ATTACHMENT D



SAMPLE FOCUS SESSION QUESTIONNAIRE

Please check the appropriate rating:

1. There are significant discrepancies between the formal written or "ideal" description of the role and function of safety and the actual day-to-day safety functions and activities
 - Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

2. Safety personnel communicate a consistent message in a straightforward manner.
 - Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

3. There is a clear policy of "no-fault" learning.
 - Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

4. Those involved in safety problems and issues are encouraged to share pertinent information openly, knowing they will not be punished for making honest mistakes
 - Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

5. The railroad has fostered the kind of culture that produces trust in its employees.
 - Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

6. The railroad offers conflict resolution training
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
7. Conflict resolution training would significantly enhance the safety culture.
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
8. The railroad tries to uncover key taken-for-granted assumptions and routines that reduce safety vigilance
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
9. The detection of threats to safety and safety related improvements are specifically rewarded
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
10. There is a benefit to making such rewards
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
11. Safety is integrated into the very fabric of the organization
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

12. Denial mechanisms or beliefs hinder the development of an effective safety culture
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
13. If there are denial mechanisms, they are limited to certain departments, business units or functions
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
14. Often safety is a process that is more a reflection of the organization than individual actions. how do the following characteristics of the railroad either contribute to or detract from a culture of safety
- 14.a Formal organizational structure
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
- 14.b Job descriptions
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
- 14.c Reward mechanisms
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
- 14.d Authority/power structure
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree
- 14.e Formal/informal channels of communication
- Strongly agree
 - Agree
 - Disagree
 - Strongly disagree

15. The railroad conducts formal reviews of past crises, near crises and safety problems, not to seek blame, but to prevent and better respond to future problems

- Strongly agree
 Agree
 Disagree
 Strongly disagree

16. The current safety inventory or audit of this railroad contributes to reducing its risk to future safety problems

- Strongly agree
 Agree
 Disagree
 Strongly disagree

17. Briefly describe those aspects of the railroad's culture that work for it and against it in handling safety problems and crises.

Please check the following that apply to you:

Employed by which railroad:

- BNSF
- CSXT
- Norfolk Southern
- Union Pacific

Craft employee/Union affiliation:

- BMWE
- TCU
- BLE
- UTU

Number of years employed with this railroad

- Under 5 years
- 5-10 years
- 11-20 years
- Over 20 years

Home base is located in what state?

**Thank you again for your contribution
to this effort!**

