

# Lessons from the Ashes: The Critical Role of Safety Leadership

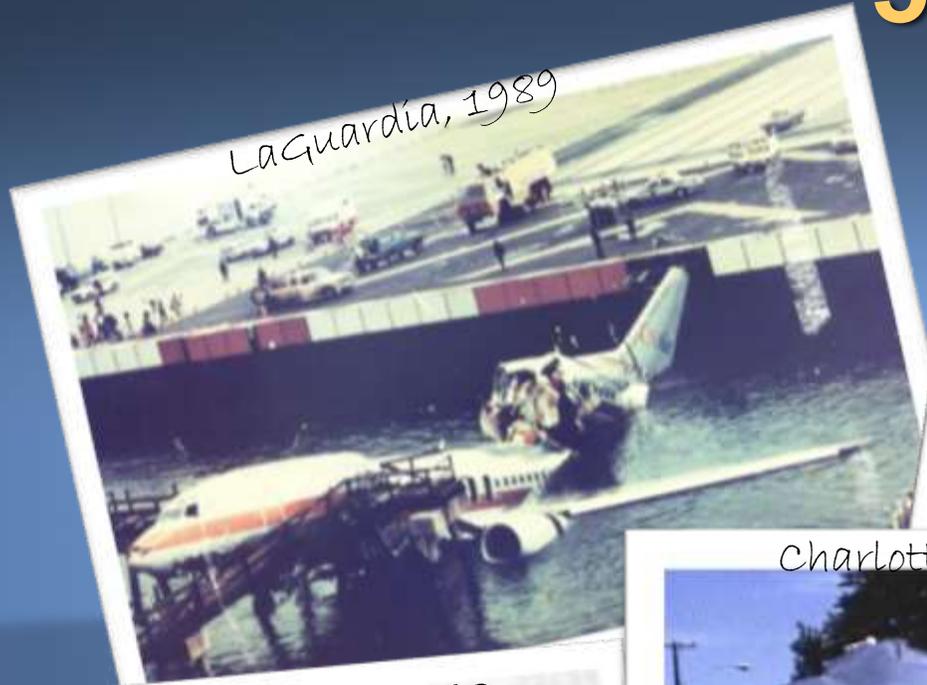


Robert Sumwalt  
April 2, 2019





# 5 in 5





USAir 1016  
July 2, 1994  
Charlotte, North Carolina  
37 fatalities



NTSB

NO. 95  
104TH YEAR  
4 SECTIONS  
46 PAGES  
© 1995 THE STATE

**E**

# *Failure to follow procedures led to crash, board finds*

By CHARLES POPE  
Washington Bureau

## Pilot



**WASHINGTON** — USAir Flight 1016 crashed last year after its pilots blundered into a severe thunderstorm shrouding the Charlotte airport and then responded incorrectly when the threat was recognized, federal safety officials concluded Tuesday.

The picture painted by the Na

## cited

in dangerous weather  
hear situation  
asures to escape the wind shear

y and complete weather

l children  
r advisories

*R.L.*

*Failure to follow procedures led*

**NTSB**

# NTSB Finding



“The FAA ... and USAir’s management were aware of inconsistencies in flightcrew adherence to operating procedures within the airline; however, corrective actions had not resolved this problem.”

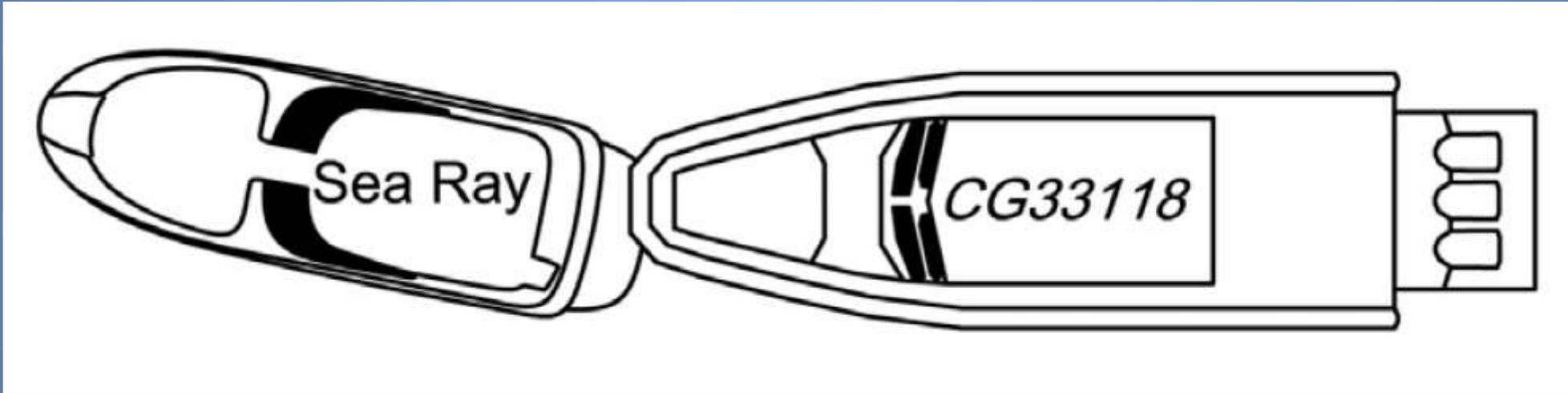


U.S. COAST GUARD

28718

3725

MERCU



Collision Between U.S. Coast Guard Vessel CG 33118 and  
Sea Ray Recreational Vessel CF 2607 PZ  
San Diego Bay, California  
December 20, 2009



Accident Report  
NTSB/MAR-11/03  
PB2011-916403



**National  
Transportation  
Safety Board**

“[US Coast Guard] Station San Diego oversight of small boat operations was ineffective in ensuring compliance with established policies for safe operations.”

“Leadership is about influence.  
Nothing more. Nothing less.”

- John Maxwell

Are you providing leadership  
to positively influence  
safety in CBP Air and  
Marine operations?



**“The best way to predict the  
future is to create it.”**

- Peter Drucker

# Creating a Future of Safety: Three Leadership Questions

1. How strong is our Safety Culture?
2. Are we stressing Standardization, Discipline, and Procedural Compliance?
3. Are we truly providing Safety Leadership?

Creating a Future of Safety

# HOW STRONG IS OUR SAFETY CULTURE?

# Safety Culture is:

“Safety culture is the core values and behaviors resulting from a collective commitment by leaders and individuals to emphasize safety over competing goals to ensure protection of people and the environment.”

Source: U.S. Nuclear Regulatory Commission

**Do you have a good safety culture?**

# Do you have a good safety culture?

- “... it is worth pointing out that if you are convinced that your organization has a good safety culture, you are almost certainly mistaken.”
- “... a safety culture is something that is striven for but rarely attained...”
- “... the process is more important than the product.”
- - James Reason, “Managing the Risks of Organizational Accidents.”

Creating a Future of Safety

**ARE WE STRESSING STANDARDIZATION,  
DISCIPLINE, AND PROCEDURAL  
COMPLIANCE?**

# 5 in 5



Pittsburgh, Sept 1994

# Lautman-Gallimore Study

- Having a strong commitment to standardization and discipline were among the “key elements of safe operations.”
- “Cockpit procedural language is tightly controlled to maintain consistency and to avoid confusion from non-standard callouts .... Callouts and responses are done verbatim.”

# Intentional non-compliance leads to other problems

- Line Operations Safety Audit (LOSA) data revealed that, compared to crews who followed SOPs, crewmembers who intentionally deviated from procedures:
  - averaged making three times more errors
  - mismanaged more errors
  - found themselves in more undesired aircraft situations.

## John T.



- Self-initiating checklist
- Doing checklists from memory

“No other captain has said anything about the way I do checklists.”

“I’ve even flown with check airmen and you’re the first one to ever say anything about this.”

In your leadership role, if you accept anything less than standard, you send a message ...

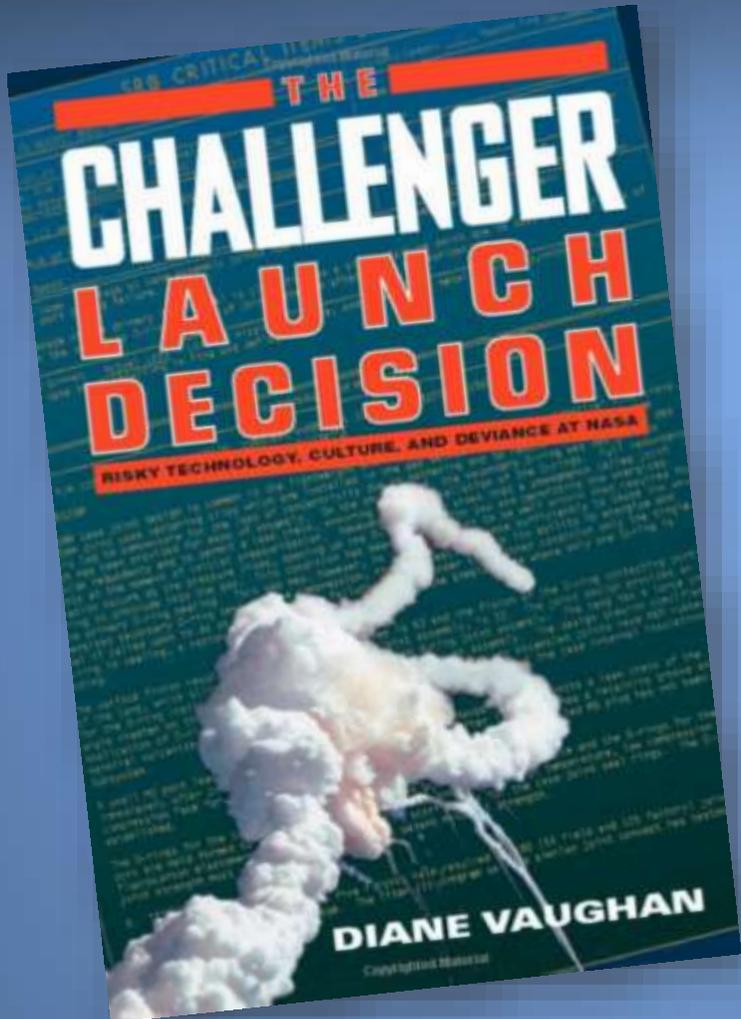
In your leadership role, if you accept anything less than standard, you send a message **that it is okay to perform to a lower standard.**

# Avoid Selective Compliance



- “That is a stupid rule.”
- “I don’t have to comply with that one.”

# “Normalization of deviance”

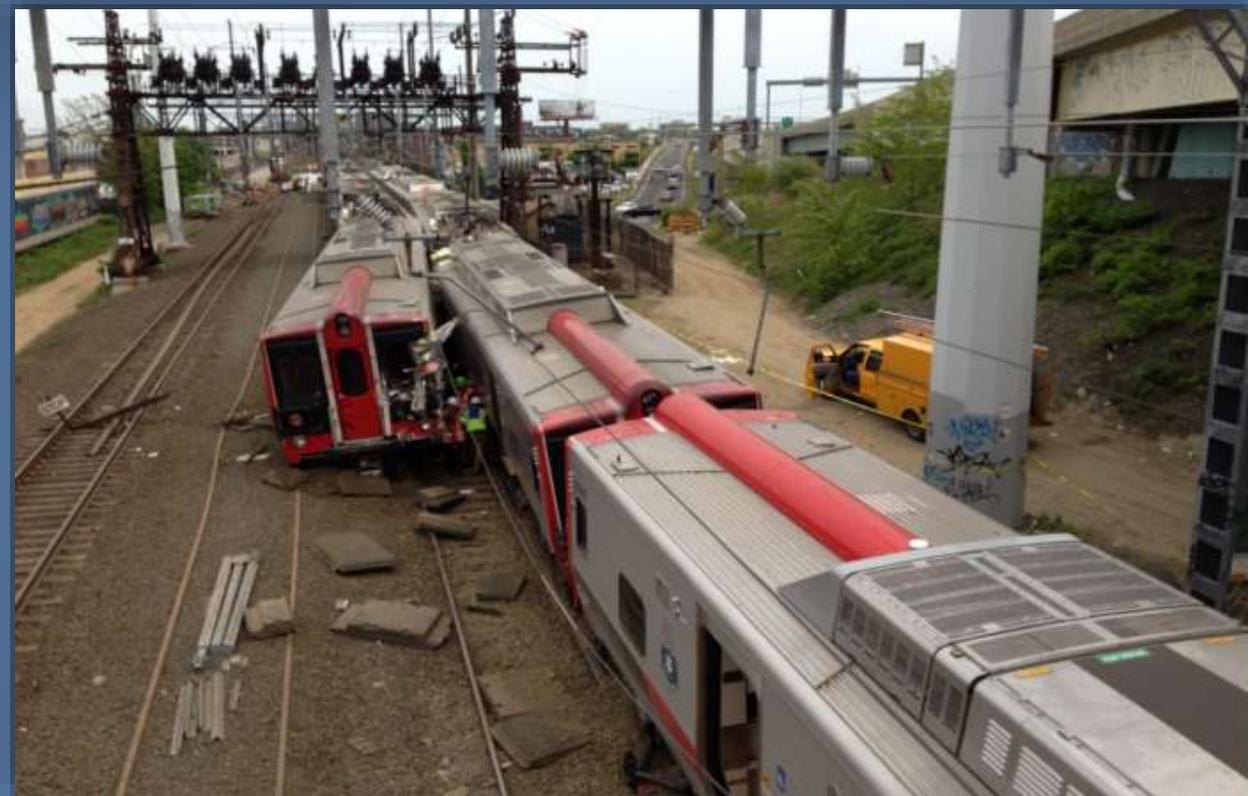


- When not following procedures and taking “short cuts” and becomes an accepted practice.

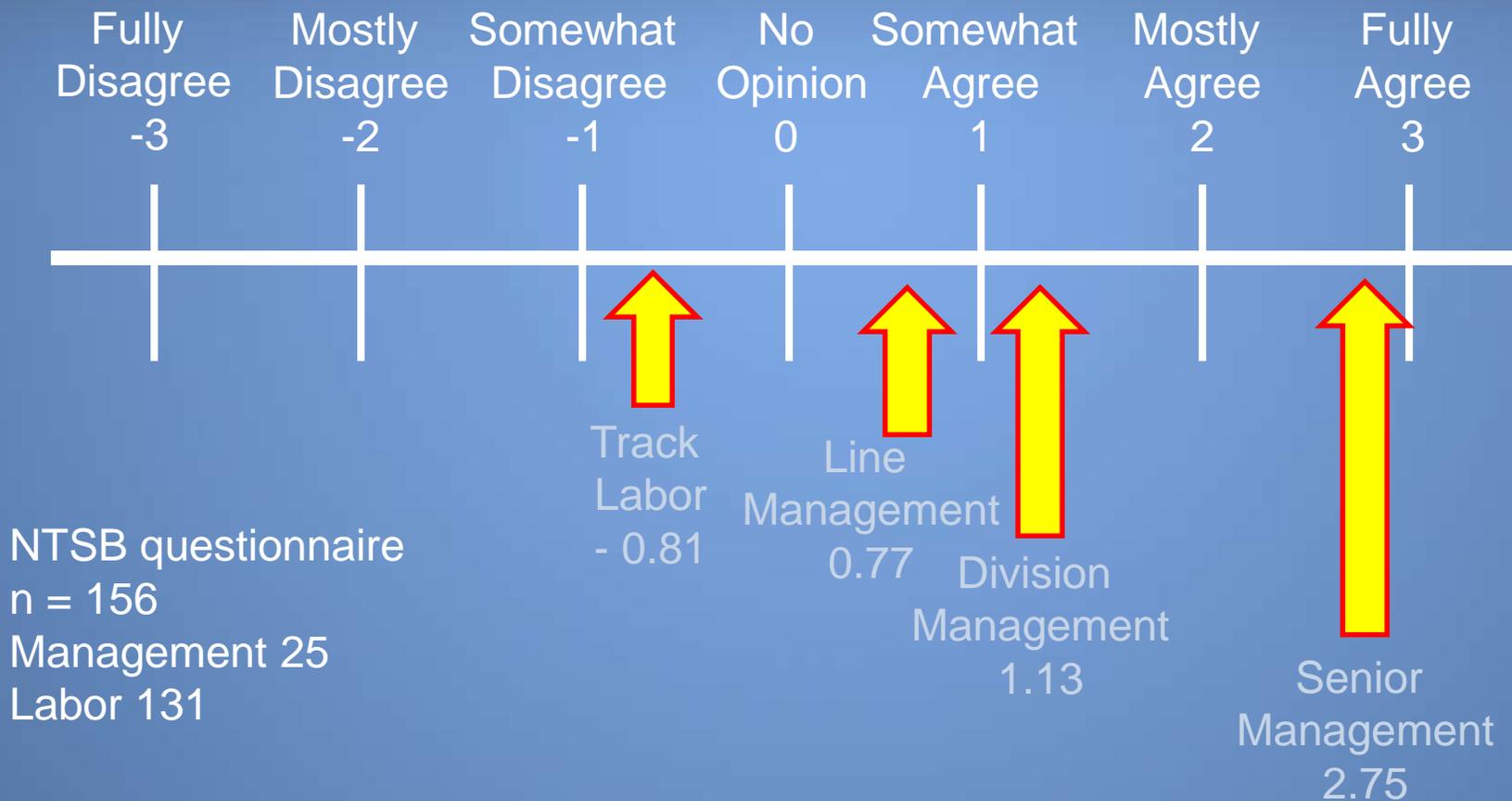
Creating a Future of Safety

**ARE WE TRULY PROVIDING  
SAFETY LEADERSHIP?**

# Metro-North Railroad



Metro North management is committed to workplace safety and participates regularly in safety events.



Management does not pressure staff to maintain service or operations, potentially at cost of safety.



# Employee Comments

- “Sometimes I feel safety is priority one as long as it's convenient.”
- “Metro-North pays lip service to safety. On time performance & budgets take precedence over safety.”
- “The railroad only cares about the on-time performance.”
- “It’s all about on-time performance and safety rules are thrown out the window to keep on time performance. Management has no clue.”

# How leaders influence safety

“The safety behaviors and attitudes of individuals are influenced by their perceptions and expectations about safety in their work environment, and they pattern their safety behaviors to meet demonstrated priorities of organizational leaders, regardless of stated policies.”

- Dov Zohar, as cited in NTSB accident report

# An Impressive Operation



# Full Time Flight Crew

- Chief Pilot
  - Employed by operator for 27 years
  - Over 18,000 flight hours
  - 2,800 hours in G-IV
- Pilot 2
  - Employed by operator for 12 years
  - Over 11,000 flight hours
  - 1,400 in G-IV
- Flight attendant
  - Employed by operator for 16 years
- Crew flies together almost exclusively.
  - Rarely use contract pilots or flight attendant

# Impeccable Maintenance

- Maintenance on the aircraft was “impeccable.”
- Director maintenance was “meticulous about the airplane”



# Going above Minimum Standards

- The company –  
pursuing IS-BAO  
Stage 3 registration.

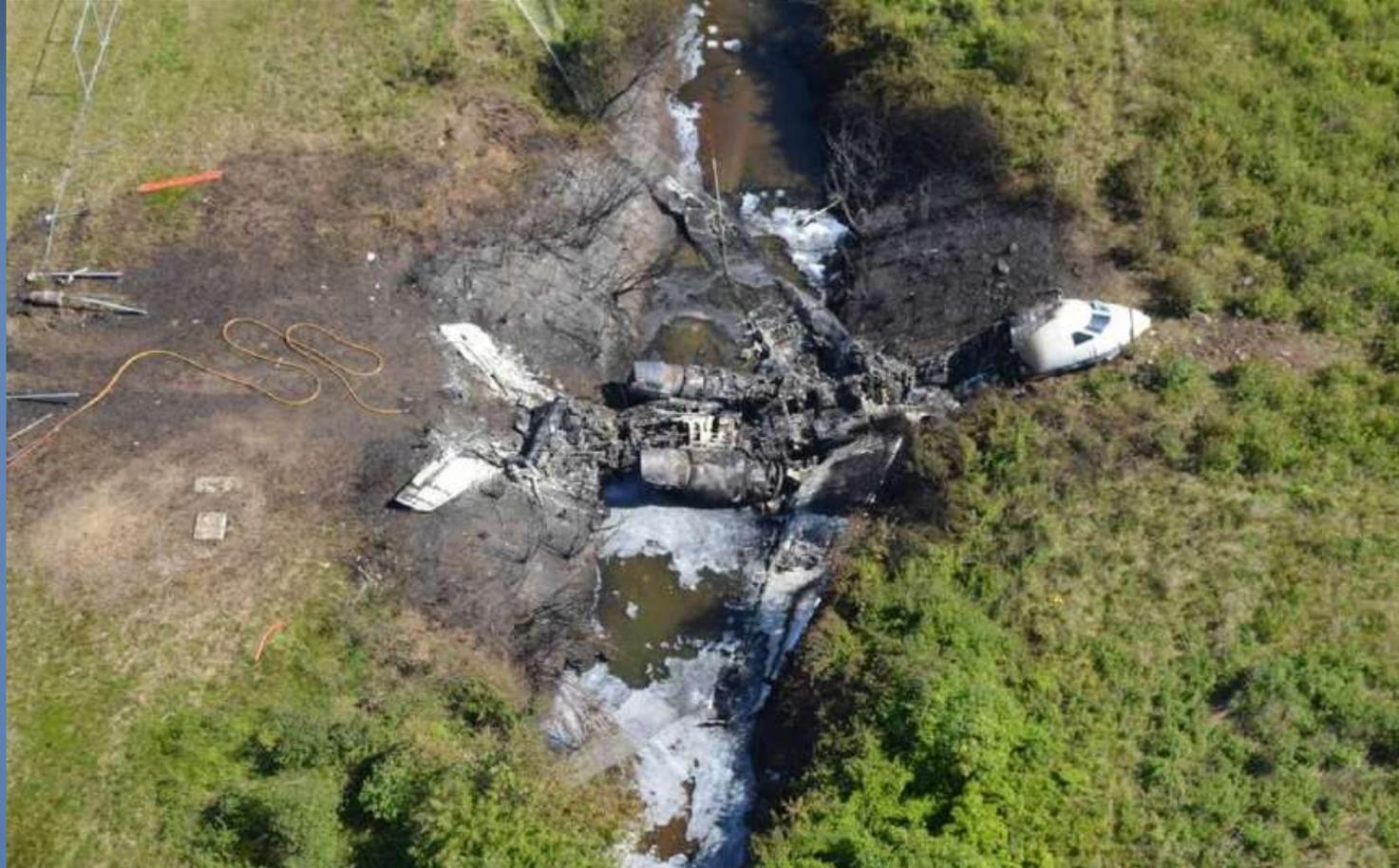


# Positive IS-BAO Audit Comments

- “The SMS of this operator is well-developed”
- “Best practices are consistently employed in all facets of the program”
- “Continuous SMS improvement is actively pursued”
- “The FOM is remarkably well-written and comprehensive”
- “Safety culture within the department is shared among all team members”
- “Open reporting of hazards is consistently encouraged by management”
- “Solid safety program, maturing nicely”

# Bedford, MA

May 2014



# NTSB Investigation Found

- The flight crew failed to disengage the gust lock.
- No complete flight control check for 173 of the past 175 flights.
- None of the five manufacturer specified-checklists were verbalized on the accident flight.



# “Good can be Bad”

- With good safety performance, people/organizations can easily become complacent.
- Don't ever believe that a lack of accidents means you are “safe.”
- To counter this complacency, there must be a leadership obsession with continuous improvement.

- Courtesy of Jim Schultz

**“You can fool the auditors,  
but never fool yourself.”**

- John Fenton

# Are employees comfortable reporting?

- They are open to report safety problems, if they receive assurances that:
  - The information will be acted upon
  - Data are kept confidential or de-identified
  - They will not be punished or ridiculed for reporting

# “Just” Culture

- Employees realize they will be treated fairly
  - Not all errors and unsafe acts will be punished (if the error was unintentional)
  - Those who act recklessly or take deliberate and unjustifiable risks will be punished

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