



National Transportation Safety Board

Legacy Leadership: From the Ashes – Safety Lessons Learned

Robert L. Sumwalt

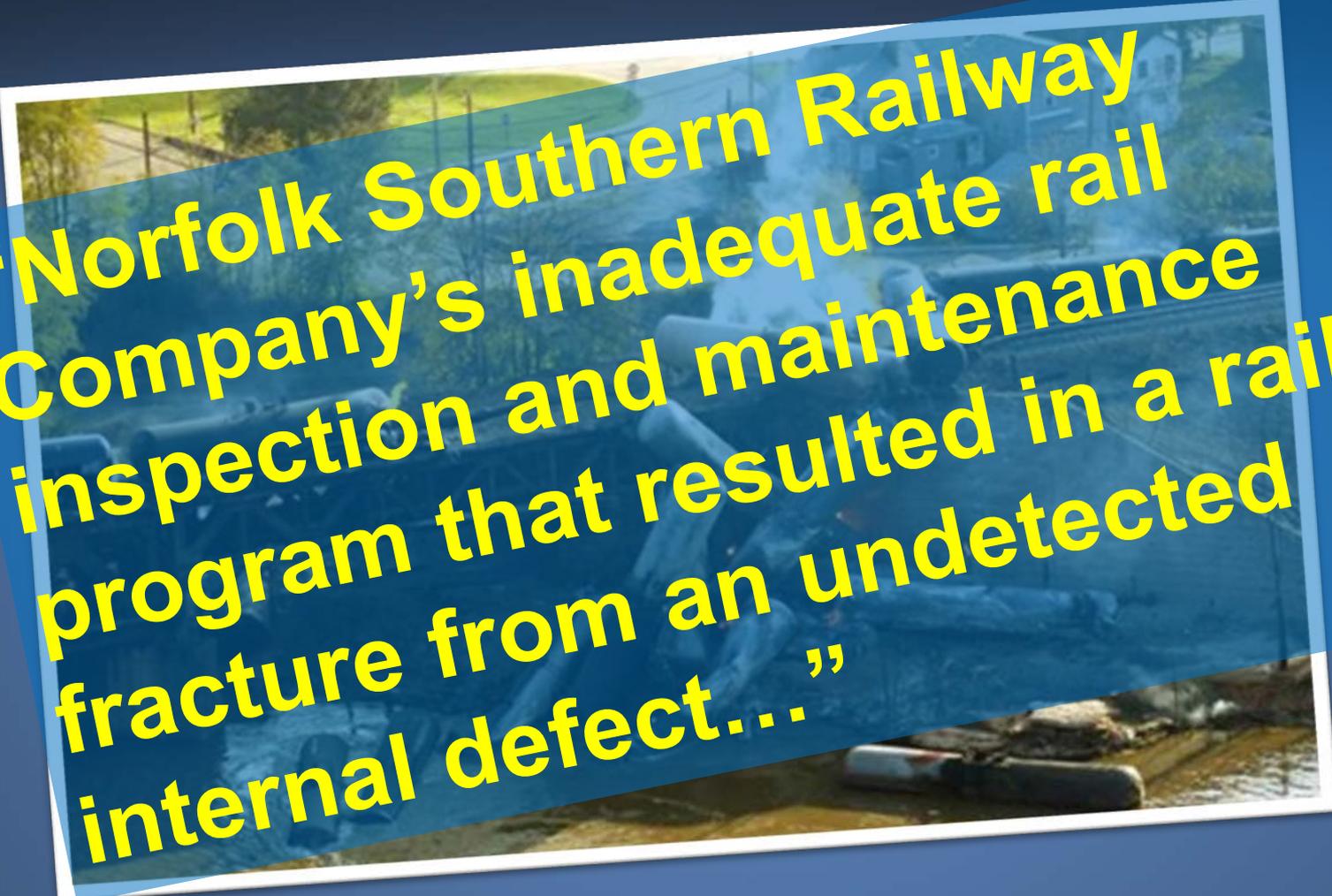


New Brighton, PA. October 2006



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New Brighton, PA. October 2006



“Norfolk Southern Railway Company’s inadequate rail inspection and maintenance program that resulted in a rail fracture from an undetected internal defect...”



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Chicago, IL. November 2007



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Chicago, IL. November 2007

“ ... Amtrak’s failure to ensure that the engineer had the competency to correctly interpret signals across the different territories over which he operated...”



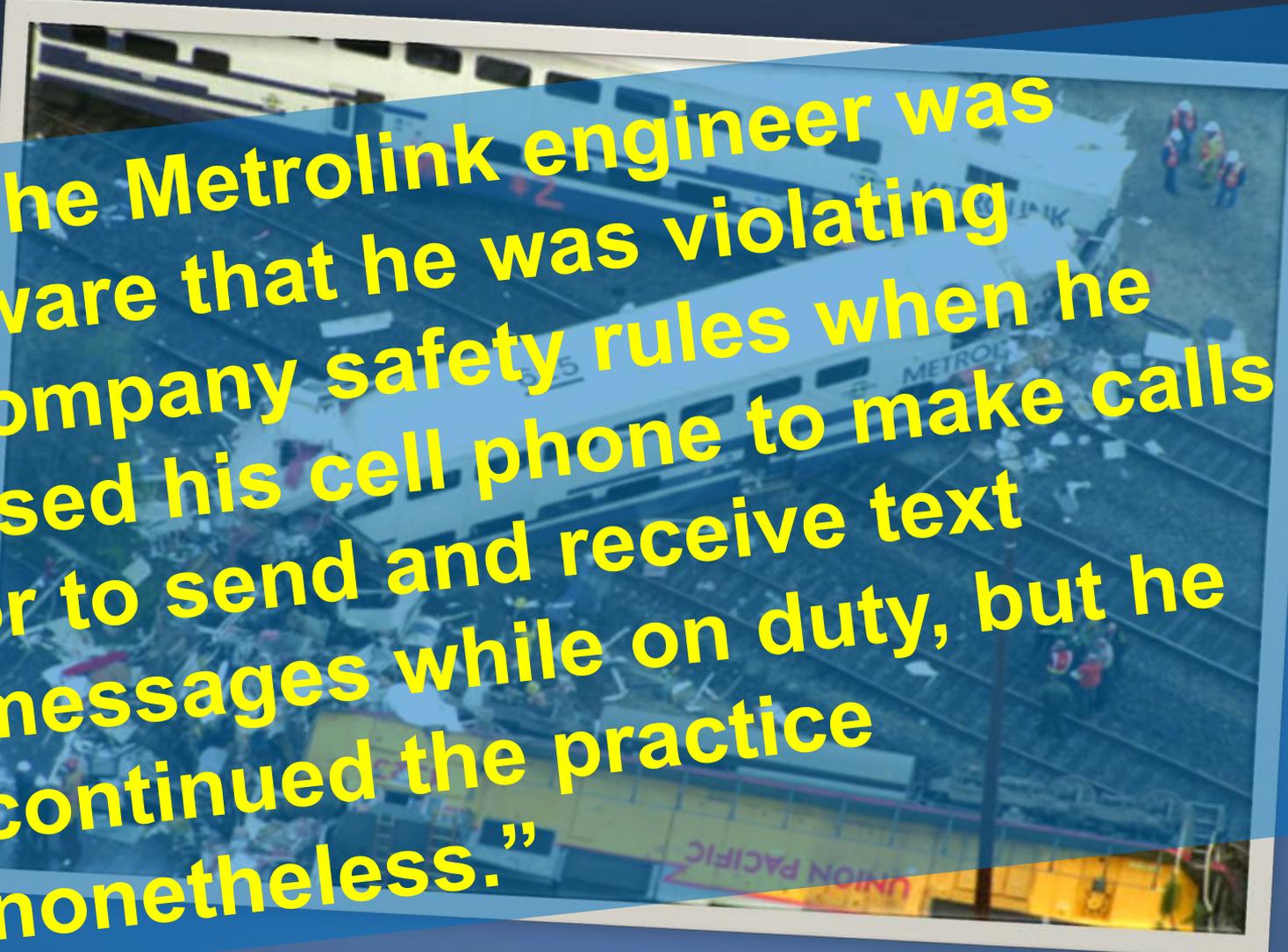
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Chatsworth, CA. September 2008



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Chatsworth, CA. September 2008

An aerial photograph showing a Metrolink train derailed at a station in Chatsworth, CA. The train is off the tracks, and several emergency responders in high-visibility vests are visible on the ground. The station building in the foreground has "UNION PACIFIC" written on it. The text is overlaid on a blue semi-transparent background.

“The Metrolink engineer was aware that he was violating company safety rules when he used his cell phone to make calls or to send and receive text messages while on duty, but he continued the practice nonetheless.”

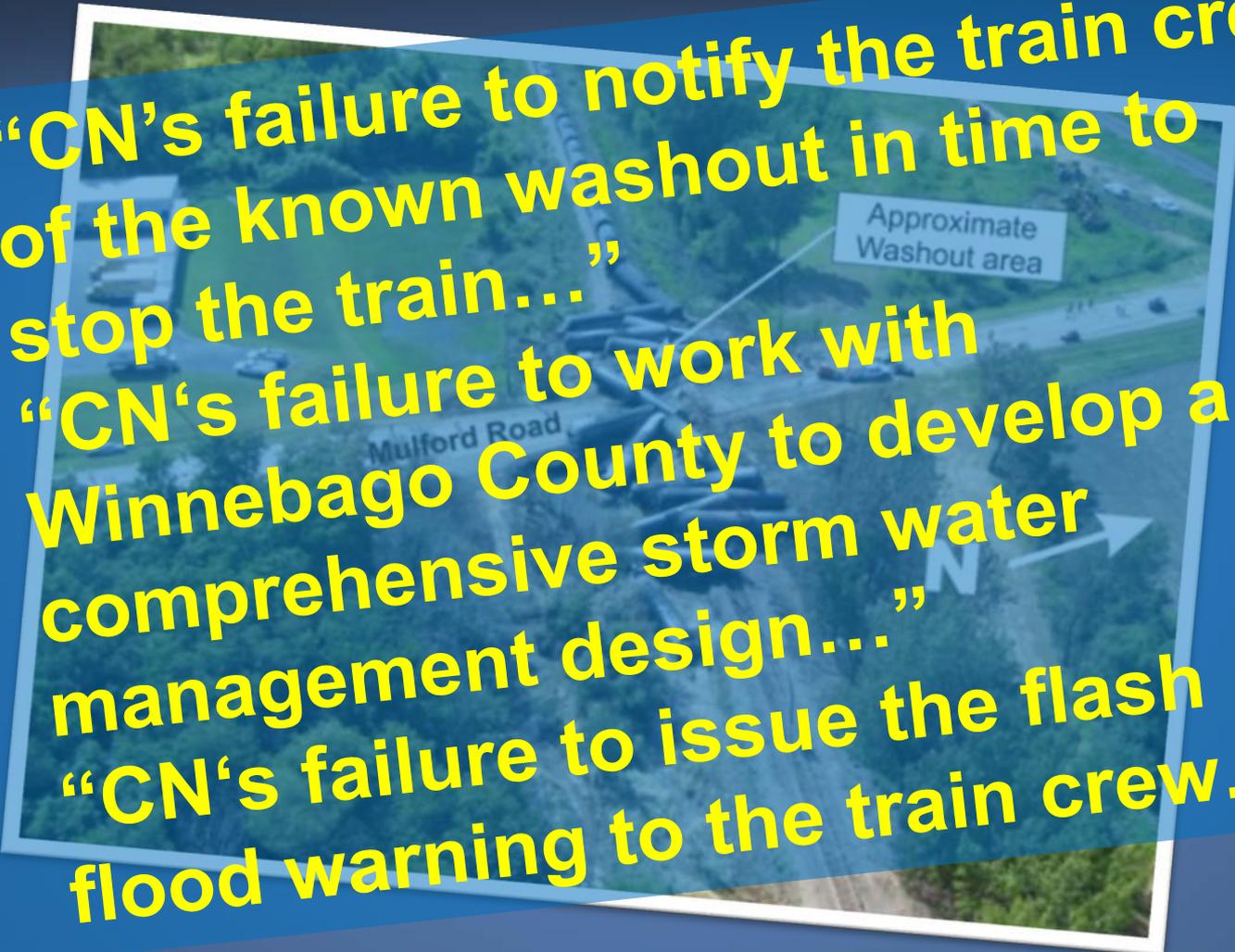


Cherry Valley, IL. June 2009



Cherry Valley, IL. June 2009

- “CN’s failure to notify the train crew of the known washout in time to stop the train...”
- “CN’s failure to work with Winnebago County to develop a comprehensive storm water management design...”
- “CN’s failure to issue the flash flood warning to the train crew...”



Washington, DC. June 2009



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Washington, DC. June 2009

- “WMATA’s failure to ensure that an enhanced track circuit verification test was institutionalized and used system-wide ...”
- “WMATA’s lack of a safety culture...”
- “WMATA’s failure to effectively maintain and monitor performance of the ATC system...”
- “Ineffective oversight by WMATA Board of Directors”



Two Harbors, MN. September 2010



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Two Harbors, MN. September 2010



“Contributing to the accident was the Canadian National Railway’s use of after-arrival track authorities in nonsignaled territory, a procedure that is vulnerable to human error and lacks inherent safety redundancies to ensure consistent, safe operation.”



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Goodwell, OK. June 2012



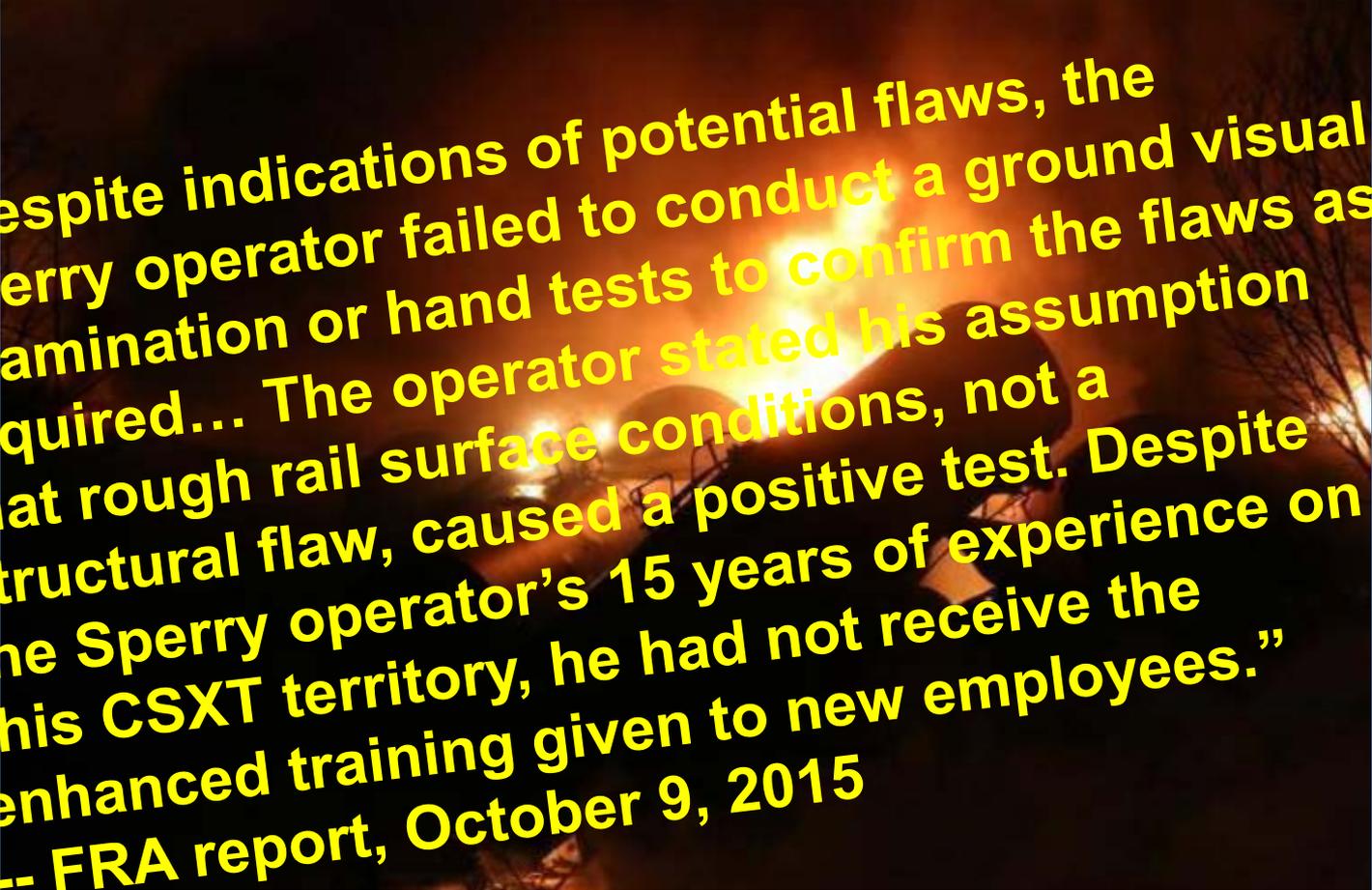
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Goodwell, OK. June 2012

- “Union Pacific Railroad failed to adhere to its policy requiring written documentation from an outside source to verify visual acuity and failed to perform follow-up testing recommended by its own chief medical officer...”
- “The field test used by the UP Railroad fails to ensure that UP employees have adequate color perception to perform in safety-sensitive positions.”



Mount Carbon, WV. February 2015



“Despite indications of potential flaws, the Sperry operator failed to conduct a ground visual examination or hand tests to confirm the flaws as required... The operator stated his assumption that rough rail surface conditions, not a structural flaw, caused a positive test. Despite the Sperry operator’s 15 years of experience on this CSXT territory, he had not receive the enhanced training given to new employees.”
-- FRA report, October 9, 2015



A common thread woven between these tragedies is a failure of leadership at some level.



An Impressive Operation



An Impressive Operation

- Full time crew
- Impeccable maintenance
- High training standards
- Going above minimum standards
- Positive audit comments



Positive 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 Flight Ops Manual 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”



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

- John Fenton



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And, fool the auditors, they did...



Gulfstream G-IV Crash
Bedford, MA
May 31, 2014
7 Fatalities



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And, perhaps they even fooled themselves ...

“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



Metro-North Railroad



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Organizational Factors in Metro-North Railroad Accidents



Special Investigation Report

NTSB/SIR-14/04
PB2015-101211



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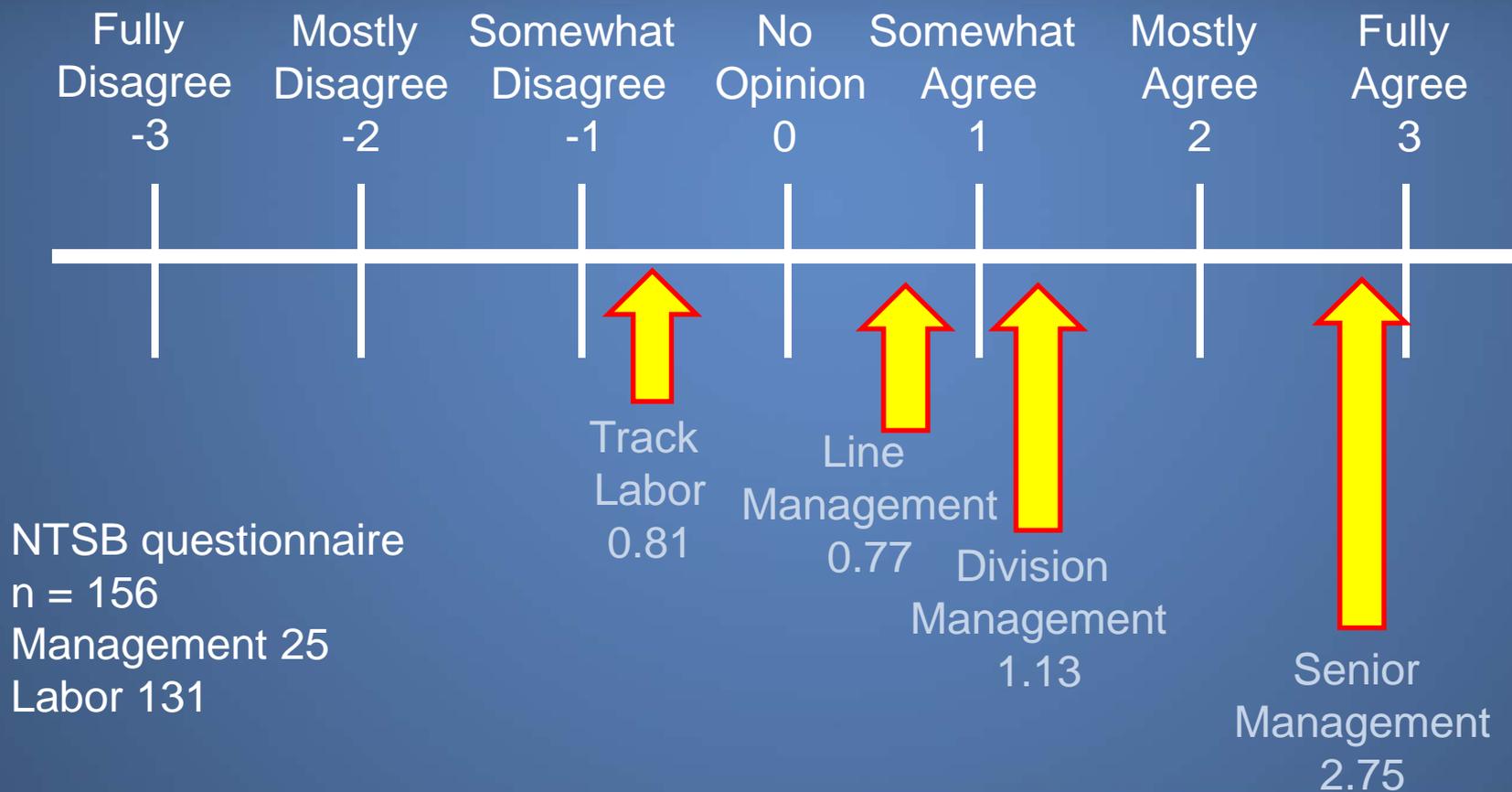
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5.1 Findings

- 1 Metro-North Railroad did not effectively use its System Safety Program Plan or Priority One Program for their intended purposes of providing guidance for managing the safety of the Metro-North Railroad operations and employees.
- 2 The Metro-North Railroad Safety and Security Department was ineffective in identifying and resolving operational or process safety issues across its departments, and the organizational structure of Metro-North Railroad and its safety programs did not support effective safety risk management of all its departments and functions.
- 3 Metro-North Railroad did not effectively investigate accidents and incidents and address known deficiencies to continuously improve and revise processes to prevent recurrences.
- 4 Metro-North Railroad did not have an effective system for identifying, monitoring, analyzing, and mitigating safety risks.
- 5 Metro-North Railroad did not have an effective program that encouraged all employees to report safety issues and observations.
- 6 The Metro-North Railroad program of operational testing for speed compliance was inadequate at the time of the December 1, 2013, derailment in The Bronx.
- 7 Metro-North Railroad lacked an effective oversight and enforcement program to ensure that employees and managers understand and comply with established safety procedures.
- 8 Metro-North Railroad managers often lacked the ability to effectively conduct audits, operational testing processes, and safety risk management actions as described in the Metro-North Railroad System Safety Program Plan.
- 9 Metro-North Railroad medical protocols lacked appropriate guidance regarding sleep disorders and medications.
- 10 Metro-North Railroad and the Long Island Railroad did not have adequate protocols to screen employees, especially those performing safety-sensitive functions, for sleep disorders despite the implementation of a protocol at New York City Transit.



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.”



Legendary Leadership Principle # 1 :

**LEADERS CREATE A VISION
AND LIVE THEIR VALUES**



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“Good business leaders create a vision, articulate the vision, passionately own the vision, and relentlessly drive it to completion.”

- Jack Welch

Values

- Is safety the top priority of your organization?



Mount Carbon, WV. February 2015



"Safety is CSX's highest priority, and CSX has fully complied with all regulations pertaining to crude oil transportation and other aspects of rail safety."

- CSX statement, October 9, 2015

Safety as a Priority vs. a Core Value

Don't make it a priority – make it a core value.



Mount Carbon, WV. February 2015



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Ideas
Intended
Actions
Thoughts



Legendary leaders ensure everything they do (or plan to do) is run through the filter of the core values to make sure they are being true to them.

The Way We Do Business

The Leader's Role

- As a leader in Patriot Rail, your role is to ensure that values are lived in everything you do.



But, the problem is ...



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Safety is one of our core values. I truly mean that!!





I've been in this business for 28 years. I know what he REALLY WANTS. Get the job done.



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Come on guys.
We are behind
on all of our
performance goals.
Our bonus depends
on moving these
loads.



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No problem.
We know how
to get the job
done. We know
some shortcuts.
Don't you worry,
Sugar.



NTSB



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But, all I
really wanted
was safety.

How did this
go so wrong?



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WORD OF THE DAY

Tuesday, October 13, 2015

align-ment *noun* \ə-'līn-mənt\
Where the leaders and front line employees, and everyone in between, share and practice the same values.





Safety is one of our core values. I truly mean that!!



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We are little backed up moving product, but if we dump carloads across the countryside, that won't be good either. Take the time to do it right.



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Guys, we all know John wants safety above all else. Remember - one way to ensure we **don't** get bonus if we derail a bunch of cars. Do what you need to do it right.



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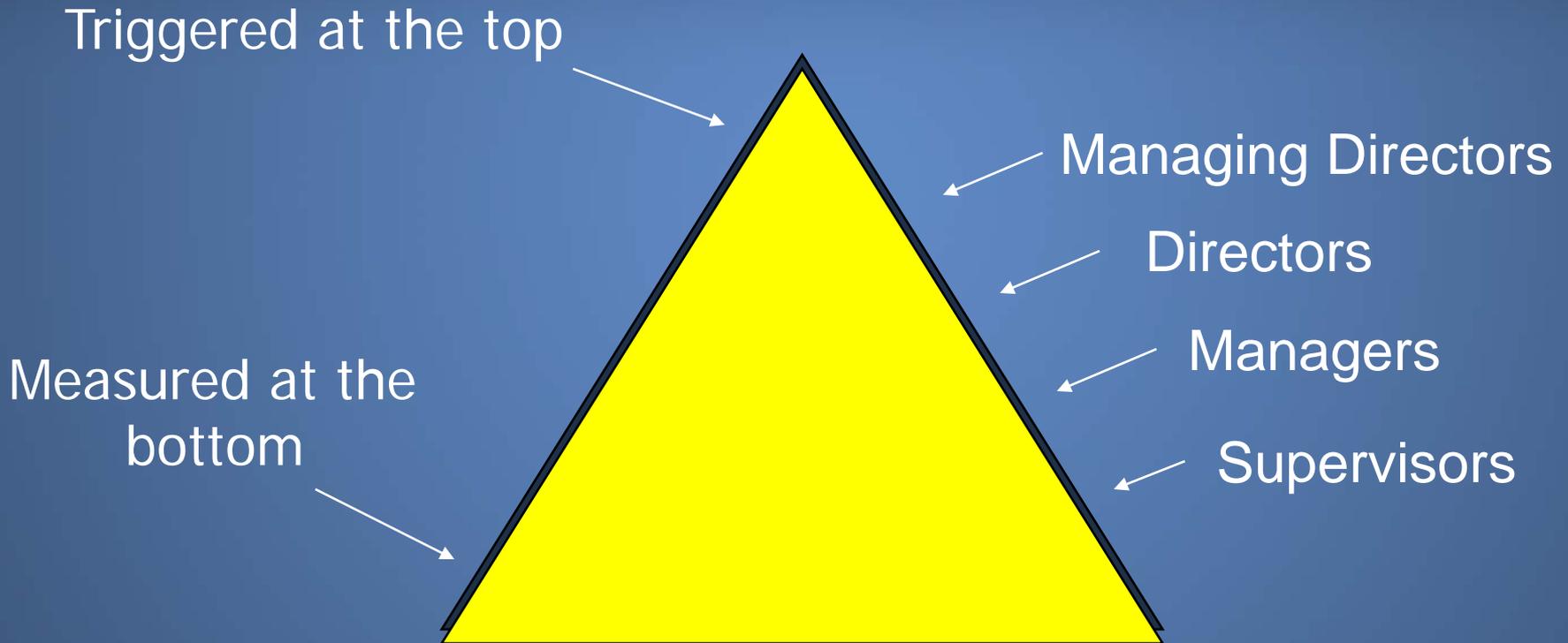


Understand completely. Thanks for the support. We'll provide an update in a few hours.



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Safety Culture is:



Safety culture starts at the top of the organization and permeates the entire organization.

Legendary Leadership Principle # 2 :

LEADERS FOCUS ON THE TEAM



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The performance of the team – good or bad – is directly related to the effectiveness of its leader.



Servant Leadership

Effective leaders realize their role is to support those who work on their team.



What would a servant leader do?

A flightcrew calls the aviation department manager from the air phone and says they are running late due to ATC delay at New York.

They will be very tight on time before their planned departure to Atlanta and won't have time to eat.



What would a servant leader do?

A). “That okay. Judging from that belly of yours, you really could stand to skip a meal.”

B). “I’ll run up to the corner deli and grab some sandwiches for you. What would you like?”

C). “If you have to delay the departure to Atlanta, that’s okay.”

D). “I’m the aviation department manager. This is your problem. Perhaps you should have thought of this yourself.”



Legendary Leadership Principle # 3:

**LEADERS HAVE COURAGE
AND ARE FAIR**



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*“Leaders have the
courage to stand
alone.”*

- Hon. Andy Card
Former Sec. of Transportation
Former White House Chief of Staff

Legendary Leaders

- Can be counted on to stand up for their employees and support them when they are right.



Fair and Just

- Employees know they will be treated fairly.
 - If you are trying to do the right thing and commit an error, you will not be punished or ridiculed.
 - If you act recklessly or take deliberate and unjustifiable risks, you can expect consequences.



Legendary Leadership Principle # 4:

LEADERS POSITIVELY INFLUENCE SAFETY



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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



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