



**CONFIDENTIAL CLOSE CALL
REPORTING SYSTEM**

Status Report for Regional Administrators

September, 2014

What is C³RS?

Confidential Close Call Reporting System

A system that enables you to:

- Learn about and address safety risks early, *before* incidents or accidents occur
- Understand *why* events occur and proactively address system causes
- Create an organizational culture where people can learn from mistakes
 - Confidential for employees
 - Safe for railroads

Why the railroad industry needs C³RS

- Complements existing safety programs
- Build a positive safety culture
- Proactive (early warning system)
- Focuses on problems, not people
- Provides incentive for learning from error
- Targets the root cause, not the symptom

Why care about Close Calls?



The Bird Triangle

A study by Frank E. Bird into the relationship between varying incident severity

Examples of Close Calls

Trains involved in minor derailments

Passenger car door opened on wrong side of car

Train ran through a switch

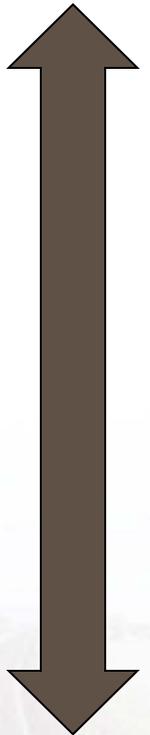
Roadway worker nearly struck by moving train

Train traveled at excessive speed

Track occupied without authority

Suspended loads not secured properly

**Known
Event**



**Unknown
Event**

Not a Close Call

Damage in excess of the FRA threshold

Any reported personal injury

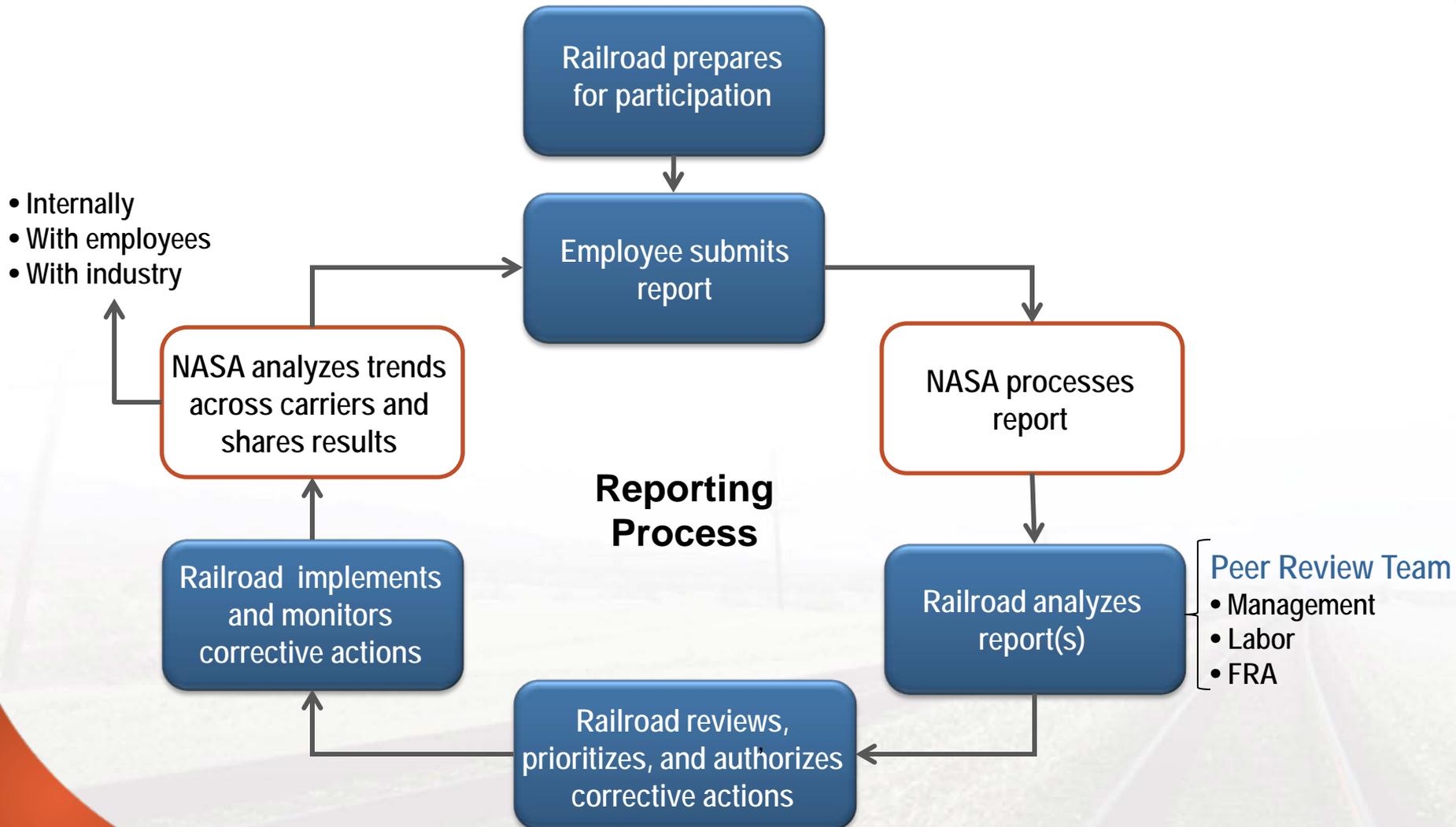
Tampering or willful act

Sabotage

Real-time observation

Alcohol or drug use

How does C³RS work?



Who is participating?

Current Sites

- Amtrak
 - Transportation - System wide
 - Mechanical - Hialeah, Sanford, Lorton, and New Orleans (Remaining shops CY15)
 - Engineering – Albany, NEC CY15
 - Train Directors / Dispatchers – Chicago only, NEC Dispatchers CY15
- NJT – Transportation only system wide including NEC
- UP – North Platte

Who is participating?

Current Sites *cont.*

- Metro North
 - Transportation - System wide
 - Mechanical/Engineering CY15
- Long Island
 - Transportation/Mechanical/Engineering – Partial implementation initially, system wide CY15
- MBTA/Keolis
 - Transportation/Dispatchers - System wide
 - Mechanical/Engineering CY15
- Strasburg – All crafts

Other Possible C³RS Sites

Verbal Commitments

- Metra
- North County Transit District (Sprinter, Metrolink, Amtrak)

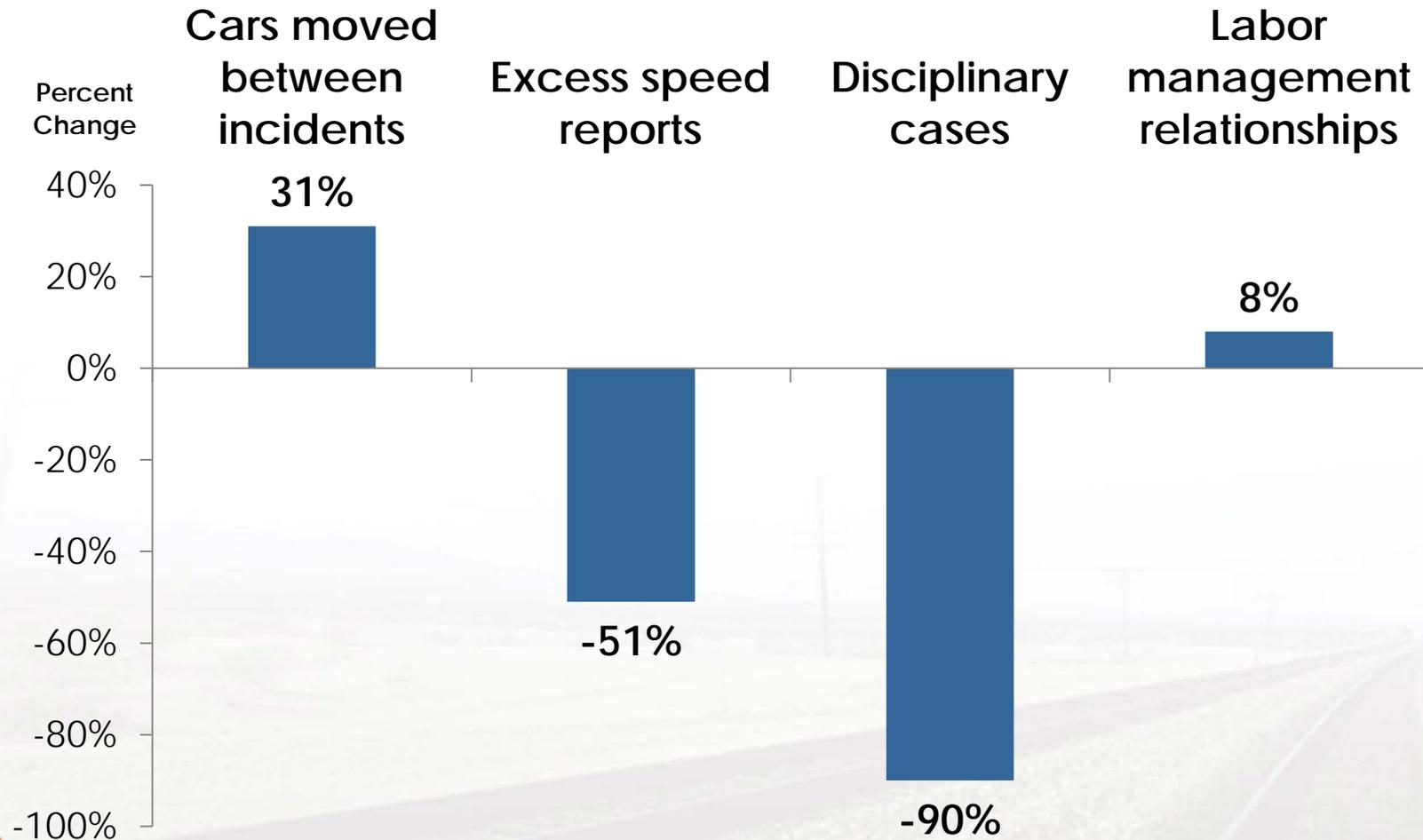
Expressed Recent Interest

- NCTD
- NICTD
- Caltrain
- Alaska Railroad
- Red River Valley & Western
- Twin Cities & Western
- Utah Transit
- Denver RTD

Noteworthy IMOU Changes

- Template ready for smoother acceptance
- Boundary language to contain long range vision of program
- Tenant/host acceptance of close calls
- Collaborative problem solving between PRT's (tenant/host operations)
- Accountables eligible for close calls
- Wider acceptance of other "real-time" events

What results have you seen?



Testimonials from C³RS Users

"We've come an unbelievable distance in a very short time. Managers love it!"

— *Director of Safety, PRT member*

"We have had a 60% improvement in safety numbers."

— *Superintendent of Operations*

"All following events went down at our site:

- Total Recordable Incident Rate (workplace safety indicator)
- Human Factors Incidents
- Run Through Switches
- Decertifications."

— *Joint Labor-Management-FRA team*

"I love the content and spirit of C³RS. This program is about change. This is part of moving safety forward."

— *Executive VP, Operations*

FRA's plans for national implementation

- Three research pilots done in Nov. 2014
- Two will transition to FRA's operational program
- Plan to add a few railroads each year until all are participating (concrete goals are still in development)
- Creating an implementation strategy, beginning with a communications strategy that will be flexible to support emerging plans

What's in it for FRA?

- Improved safety
- A proactive, proven safety intervention tool
- Safety information that would otherwise not be known
- A program to offer railroads to meet requirements in new rules (Risk Reduction, System Safety)
- Opportunity to expand field workforce skills, capabilities, influence, and effectiveness

What's in it for a railroad?

- Improved safety
- Reduced costs: insurance, accidents, injury claims, litigation, loss of time, property damage
- Fewer discipline cases and therefore:
 - Less paperwork and time/money spent on investigations
 - More time spent managing and conducting operations
- Improved employee engagement, morale, and productivity

What's in it for a railroad? *(cont.)*

- Meets FRA Risk Reduction mandate: An additional commitment to positive culture change
- NASA provides confidentiality, so employees report on risks that **otherwise would not be known**
- Cross-functional team provides more effective corrective actions
- Safety issues and corrective actions shared across railroads
- Fosters improved relations between labor and management

Market Assessment Scope

- Baseline, mid-term, and final evaluations of pilots
- Existing web sites, collateral, and best practices
- Media coverage and environmental scan
- APTA stakeholder focus group (2013)
- C³RS PRT user group meeting and focus group
- Discussions with:
 - *C³RS leadership (FRA, NASA, Volpe)*
 - *PRT members*
 - *FRA Regional Administrators and inspectors*
 - *Railroad managers*
 - *Union representatives*
 - *Railroad association leaders*

Issues and concerns raised by FRA and railroads

- FRA in a new and different role
 - Is it soft on enforcement?
 - Does it provide a “get out of jail free card”?
 - How does it work with enforcement actions?
- Impact on resources
 - Will inspectors’ and others’ jobs change?
 - Will inspectors be expected to do the same number of inspections if on a PRT?
 - Is it more work without more resources?
- Protecting data from civil litigation and public disclosure
- Labor–management relationships

Stakeholder Needs & Actions



**FRA
Employees**



**RR
Managers**



**PRTs/Support
Teams**



**Workers/
Unions**



**Broad Railroad
Safety
Community**

NEEDS

- Program priorities
- Roles
- Responsibilities
- Support resources

To serve as
champions

- Roles
- Why their support is critical
- What results they can expect/
timeline

To serve as
champions

- Best Practices
- Templates
- Training

To communicate
effectively with
each other and
C³RS outcomes

- Reporting: “How to, what, & why”
- Confidentiality
- Immunity

To understand
how and why to
participate

- Outcomes
- How it works
- Why it works
- Who is involved
- Where to get info

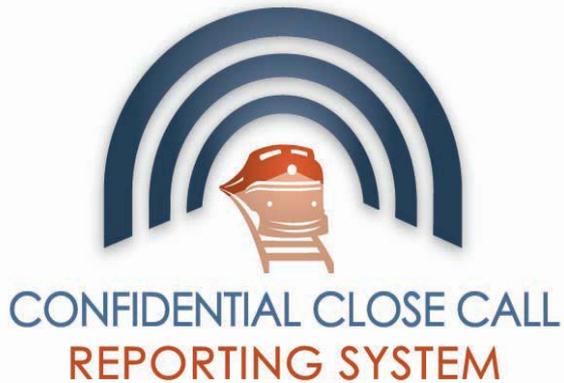
To understand
C³RS’ impact on
improving safety

Stakeholder Messaging Requirements

- Everyone wants to hear about close calls so errors can be corrected before harm occurs
- Everyone wants to know the program delivers safety improvements
- Most want to know when they report a close call, it's confidential
- Consistent and frequent message repetition is needed to keep reporting top-of-mind

Next Steps

- Leadership engagement is key to success
- FRA needs champions inside and outside of the Agency
- Please join us in learning more about C³RS by:
 - Visiting the websites
 - Talking with people who have been involved in the pilot sites
 - Attending a session with executives at an onboarding railroad
 - Volunteering to speak at a conference (we'll help with talking points or other tools)



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Discussion and Q&A