

Risk
Reduction
Education
Packet



Our Path to Zero



December 15, 2016

INTRODUCTION TO RISK REDUCTION EDUCATION

Why am I receiving this packet? You were eligible for and accepted Risk Reduction Education for a recent incident. This packet outlines all the elements and expectations of your participation.

What is Risk Reduction Education? Risk Reduction Education, or RRE, provides the majority of scheduled BNSF employees with the same opportunity of an alternative to formal discipline. It is designed to be an engaging and meaningful discussion about an at-risk behavior that leads to the discovery of contributing factors and finishes with an impactful action plan.

What can I expect? You can expect to have an engaging discussion between the participating employee and a local supervisor, or another identified facilitator. This discussion is not about the people involved. It is about identifying risk and learning how to effectively mitigate that risk. This learning will only be successful if both people are willing to be open, honest and respectful of each other. The discussion will be in the form of a unique brainstorming tool called the “5 Whys.” This style uses a series of questions to help discover the contributing factors that led to the incident. These questions are not intended to be an interrogation; they are intended to push us to look beyond the obvious.

How should I prepare? Review this packet. Everything needed to be successful is included. On page 2 is a checklist that outlines each step of the RRE process. There are additional resources on the BNSF intranet.

What happens when I am done? A couple of things. First, the facilitator will enter specific details of the discussion into a safety database. This is only to identify trends across the system. These details include the at-risk behavior, the answers to the 5 Whys and the action plan. Second, the facilitator will complete the RRE process by closing out the alternative handling event. Third, the action plan that was created will need to be completed within 30 days of the RRE discussion. In successfully completing the action plan, the employee remains eligible for future RRE events (*to the extent RRE would otherwise be available in accordance with the PEPA Policy*).

RRE PROCESS CHECKLIST

Below is a checklist to help with the completion of the RRE process for both the facilitator and employee.

Actions to complete BEFORE the discussion:

Facilitator:

1. Per PEPA timeline, complete necessary documents/waivers to obtain the RRE packet and provide the packet to the employee.
2. Schedule RRE discussion and confirm the meeting details with the employee
3. Review the entire RRE packet and additional RRE resources (FAQs, videos, etc...)
4. Be sure to complete the Preparation Worksheet in this packet prior to the meeting. (pg. 4)

Employee:

1. Per PEPA timeline, contact facilitator to request RRE and complete the RRE acknowledgment form.
2. Obtain RRE packet from facilitator.
3. Confirm RRE discussion schedule and location with facilitator.
4. Review additional RRE resources (FAQs, videos, etc...).
5. Be sure to complete the Preparation Worksheet in this packet prior to the meeting. (pg. 4)

Actions to complete DURING the discussion:

Facilitator:

1. Lead a review of the RRE process, Preparation Worksheet and Root Cause Discovery Discussion Instructions with the employee (pgs.4-6)
2. Lead the 5-Whys and 5-Hows, root cause discovery discussion and co-develop the Action Plan with the employee (pgs.7-9)
3. Record the employee's responses to the 5-Whys, 5-Hows and Action Plan items in your packet (pg. 7-9)
4. Confirm recorded items with employee

Employee:

1. Participate in a review of the RRE process, Preparation Worksheet and Root Cause Discovery Discussion Instructions with the facilitator (pgs.4-6)
2. Document your responses to the 5-Whys and 5-Hows, and the Action Plan on provided worksheets (pgs.7-9)
3. Review and discuss all of your recorded responses for the facilitator to document in their packet (pgs. 7-9)
4. Confirm recorded items with facilitator

Actions to complete AFTER the discussion:

Facilitator:

1. Conduct scheduled reviews with employee to ensure the Action Plan is completed in 30 days

Employee:

1. Work through the Action Plan and participate in scheduled reviews with facilitator to complete Action Plan in 30 days

RRE PREPARATION WORKSHEET

Risk Reduction Education (RRE) is a collaborative alternative to formal discipline that encourages a non-punitive discussion about an incident. Through this process, both the employee and facilitator work together to identify root causes of an incident and develop preventive measures.

Below is a series of questions to encourage both the employee and the facilitator to reflect on the incident potential contributing factors. This worksheet will not be collected or filed. It is intended only to foster a focused and productive discussion leading to proactive learning. Please complete the worksheet by writing your answers in the space provided below.

Provide a short summary of the incident:

What was the at-risk behavior?

What could have led to this at-risk behavior?

What is the safe-behavior alternative?

What can I do to make sure this discussion is a success?

What questions or concerns do I have about this discussion?

ROOT CAUSE DISCUSSION INSTRUCTIONS

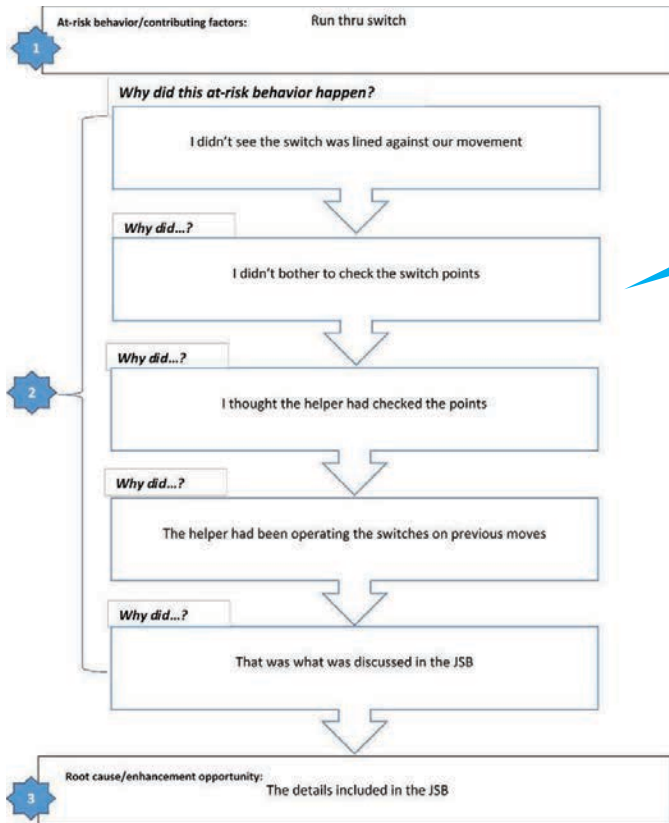
This is a brainstorming tool to help identify root cause(s) of an at-risk behavior. Remember that a behavior is an observable act; something that can be seen, not a feeling or attitude.

Once an at-risk behavior has been recognized, asking five “why-style” questions will help to identify the person, task or process that triggered the at-risk behavior. Asking these questions allows you to move beyond the obvious causes and discover the less obvious explanations or causes. By working through the answers to those questions, you are able to consider ways to avoid the at-risk behavior in the future.

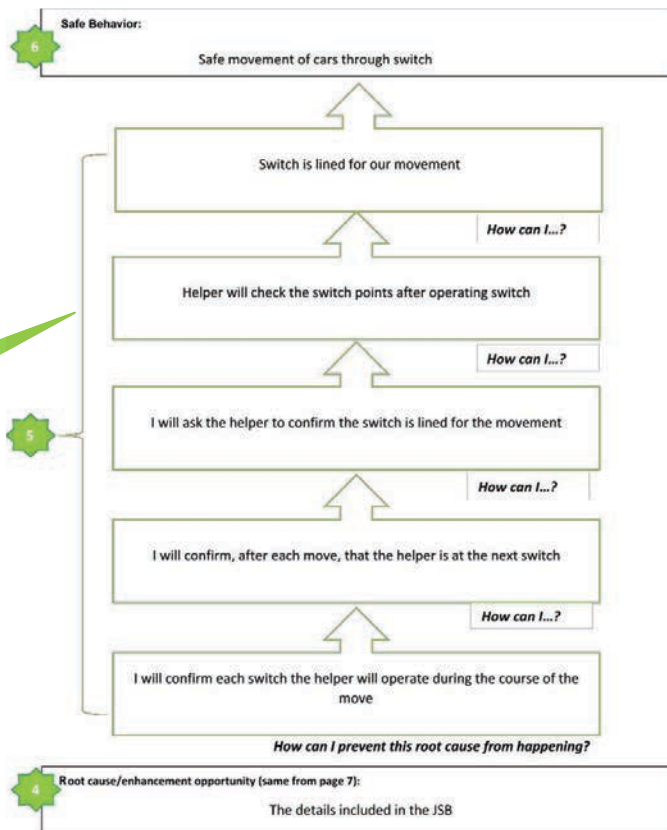
Step-by-Step Instructions for the 5-Whys Worksheet

- 1. Identify the at-risk behavior and contributing factors** - Discuss and agree upon one at-risk behavior and its contributing factors. Write the behavior in the corresponding box. If there is more than one behavior, this process should be performed separately to address each.
- 2. Ask the “5 Whys”** - Start asking “why” questions related to the at-risk behavior. The first question will include the at-risk behavior in the question. Each “why” question that follows will include the answer to the previously asked question. There can only be one answer to each question. Be sure to write your answer in the corresponding boxes.
- 3. Identify the Root Cause** - Ask as many “whys” as needed to uncover the root cause of the at-risk behavior. You will know you have reached your final “why” when 1) it does not make logical sense to ask again, 2) the answer pertains to a specific person, task, or process, and 3) the action was within your control. Write this answer in the root cause box.
- 4. Find Solutions by Asking “How”** - Once the root cause is discovered, we now need to work toward a solution. Write the same root cause that is at the bottom of page 6, on the bottom of page 7. Starting at the bottom, you will work your way toward a solution by asking “how” questions. The first question will include the root cause in the question. Each “how” question that follows will include the answer to the previously asked question. Be sure to write your answers in the corresponding boxes.
- 5. Identify Safety Enhancement Opportunities** – Ask the same amount of “how” questions that you asked in “why” questions. Each answer should address the challenge identified in the corresponding “why” answer. The final “how” answer will provide you with the safe alternative to the at-risk behavior. Write this answer in the corresponding box.
- 6. Create a Safe Behavior Action Plan** - Using the answers from the series of “how” questions, develop an action plan that provides the necessary support to perform the safe behavior. This action plan will 1) be completed within 30 days after the discussion, 2) provide specific action items, and 3) include both parties. Use page 8 to write down ideas.

Example:



Use "Whys" to Identify the Root Cause of At-Risk Behaviors



Use "Hows" to Identify Safe Behavior Alternatives

5-WHYS WORKSHEET

At-risk behavior/contributing factors:

Why did this at-risk behavior happen?



Why did...?



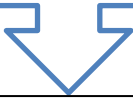
Why did...?



Why did...?




Why did...?



Root cause/enhancement opportunity:

5-HOWS WORKSHEET

Safe Behavior:



How can...?



How can...?



How can...?



How can...?



How can I prevent this root cause from happening?

Root cause/enhancement opportunity (*same from page 7*):

ACTION PLAN

Write your action plan based on your discussion in the space provided below. Remember:

1. Your action plan should indicate who is responsible for each action item.
2. All items of your action plan should be completed within 30 days of today.
3. Your action plan should include a way to discuss progress of action items with the appropriate people.
4. Your action plan should be specific, actionable and include a way to measure success.

Action items:	To be completed by	Timeline
<i>I will provide more detail is JSB on location of crew members.</i>	<i>Employee</i>	<i>12-15-2016</i>
<i>I will attend two JSBs with crew to provide feedback</i>	<i>Facilitator</i>	<i>12-22-2016</i>

REVIEW

Use this page to write notes from scheduled reviews prior to completion of the 30-day Action Plan period, and to document any ideas or thoughts after completion of the Action Plan