



NATIONAL TRANSPORTATION SAFETY BOARD
Investigative Hearing

Washington Metropolitan Area Transit Authority Metrorail train 302 that encountered heavy smoke in the tunnel between the L'Enfant Plaza Station and the Potomac River Bridge on January 12, 2015

GROUP	E
EXHIBIT	
22	

Agency / Organization

WMATA

Title

WMATA Safety Culture Executive Summary



Government Practice • Legal and Compliance Practice

October 28, 2010

Safety Culture Survey Report

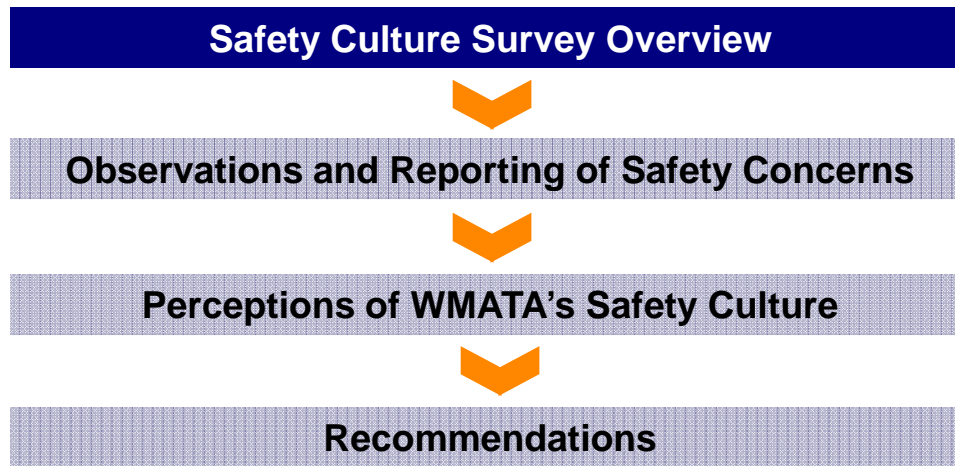
Washington Metro Area Transit Authority

During July 2010, 9,317 employees completed the safety culture survey. This report is designed to:

- Summarize employees' overall perceptions about WMATA's safety culture
- Show how perceptions about the culture vary across management levels
- Illustrate how perceptions of WMATA's culture vary between business units and locations
- Present observed and reported safety violation rates
- Establish a baseline from which WMATA will be able to develop a road map to take action, build and measure progress toward establishing a safety culture



Road Map for Report



Executive Summary

Findings

- **Day-to-Day Work Environment Within Metro Naturally Discourages Employees from Reporting Unsafe Behavior of their Peers**
 - Metro Employees Have Concerns About Retaliation for Reporting Safety Violations
 - Retaliation fears focused on how peers might react and whether WMATA would respond and protect them
- **Reported Safety Issues Are not Consistently Addressed Across Metro**
 - Lack of Consistency Due in Large Part to Resource Constraints
- **Even When Safety Issues Are Appropriately Addressed, Metro Is not Closing the Loop with Employees**

Remediation Steps

- **Focus on Increasing Reporting of Safety Violations**
 - Increase Initiatives Geared Towards Increasing Reporting of Observed Safety Violations
 - Create Incentive Program(s) to Recognize and Reward Safe Behavior
- **Leverage Middle Management to Reinforce Safety Behaviors**



WHAT THE BEST COMPANIES DO

Road Map for Report

Safety Culture Survey Overview



Observations and Reporting of Safety Concerns



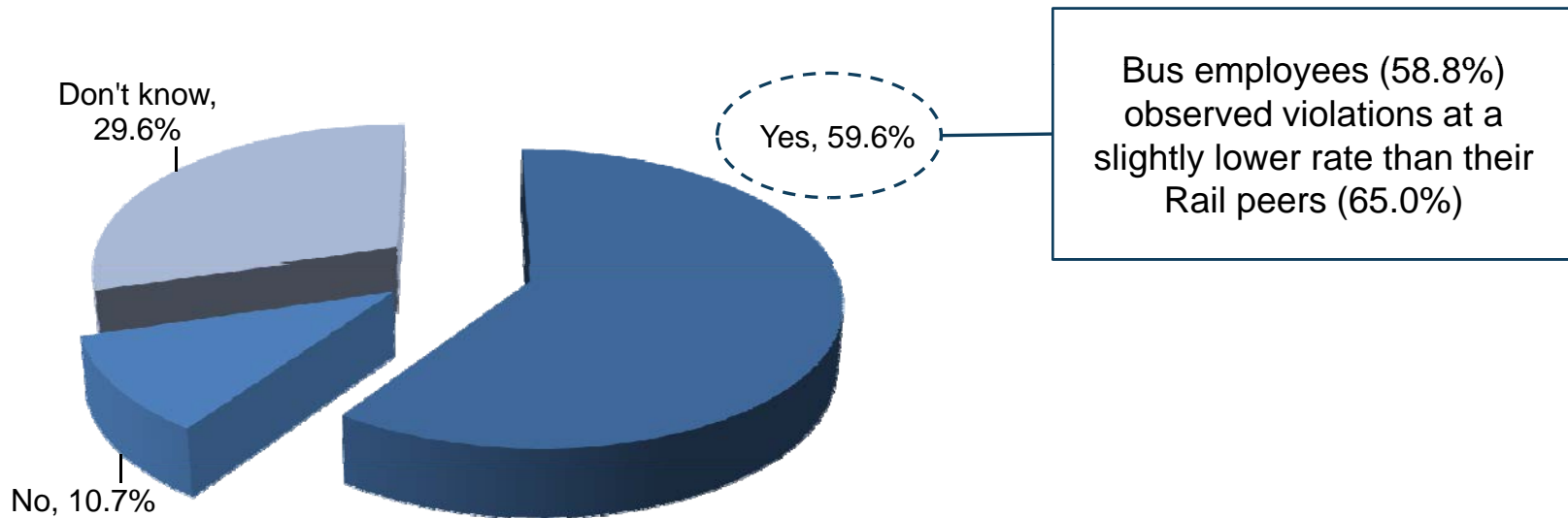
Perceptions of WMATA's Safety Culture



Recommendations

Nearly Two-Thirds of WMATA Personnel Have Observed a Safety Violation in the Past Year

Question to all employees: Did you observe a safety violation or concern at your organization in the past 12 months?

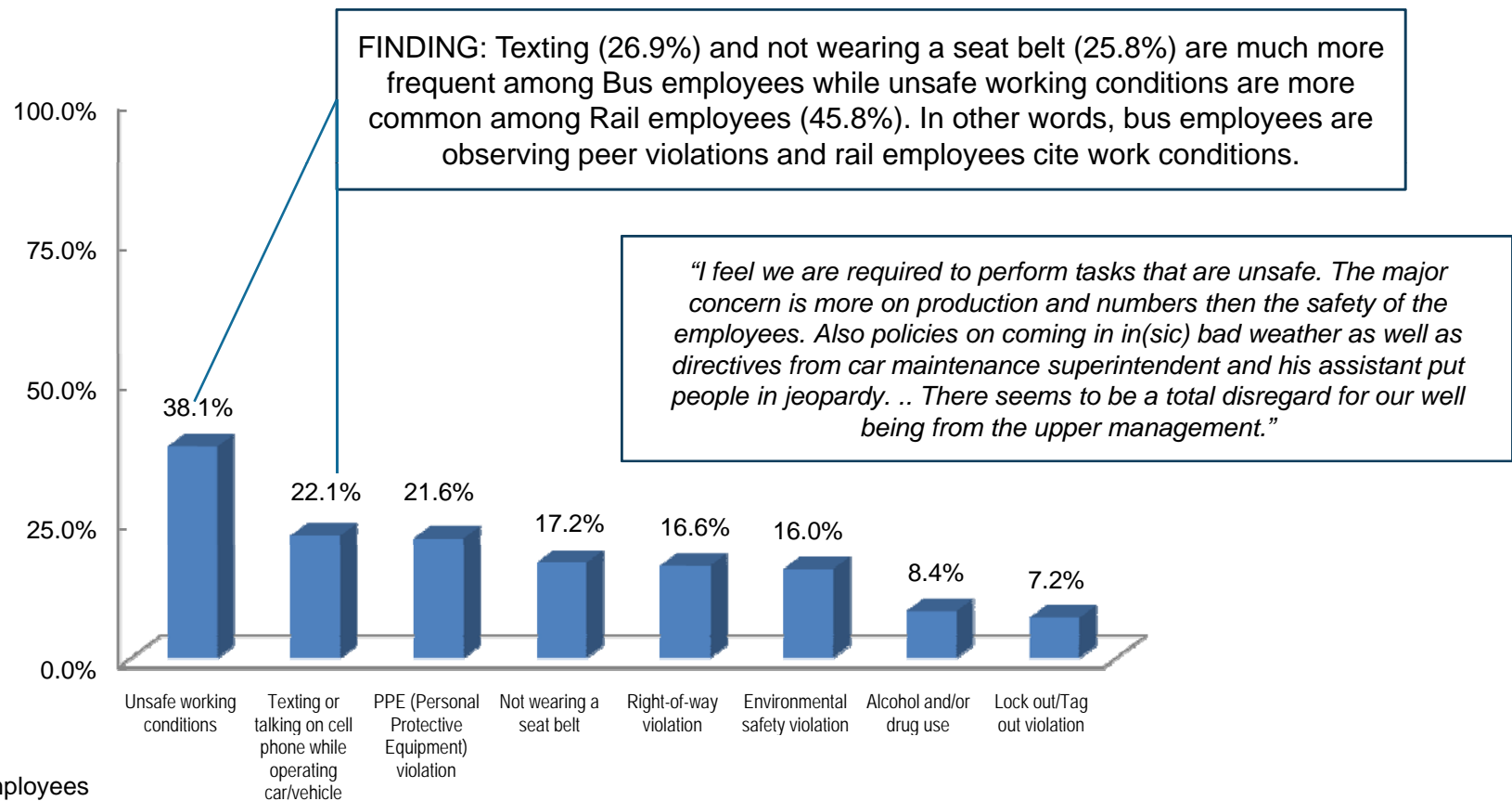


Transit Infrastructure and Eng Services (Rail Infrastructure) = 62.6%
Track Structure, Systems, and Maintenance (Rail Maintenance) = 66.1%

n=8,949 employees

Unsafe Working Conditions Is the Top Form of Safety Violations

When asked what type of violation they observed in the past 12 months, employees responded “**yes**” to observing the following.*



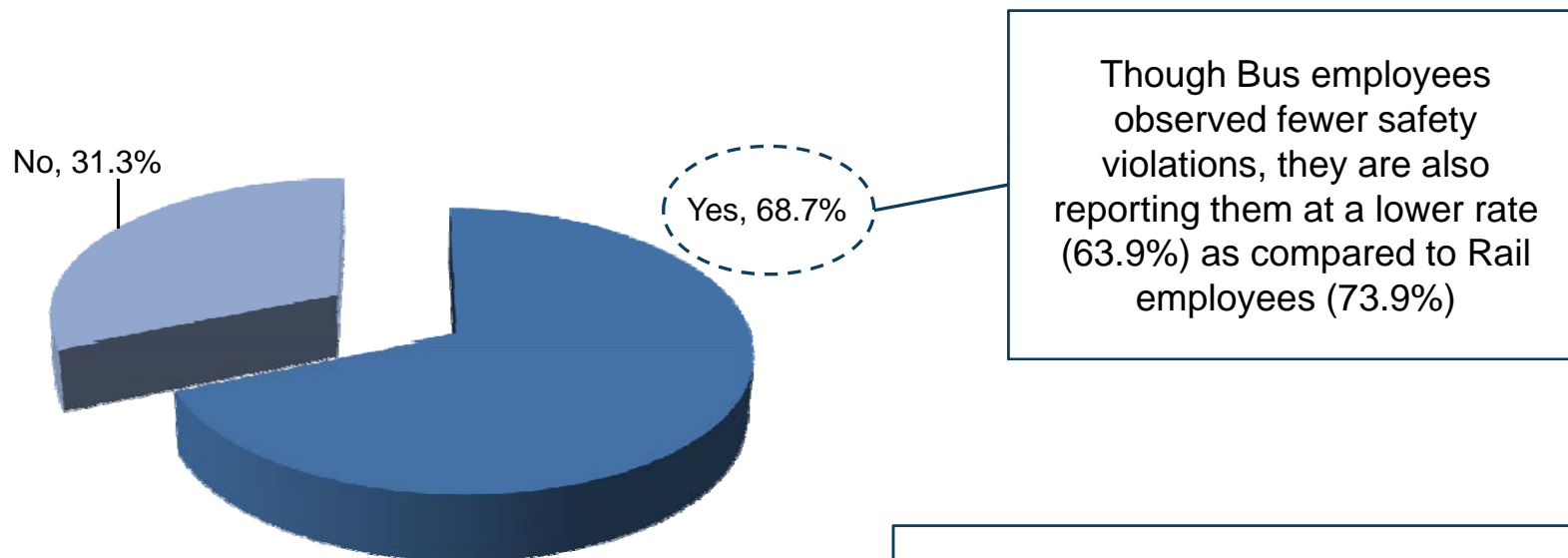
n=9,317 employees

*Multiple responses permitted.

© 2010 The Corporate Executive Board Company.

Observed Safety Violations Are Reported Nearly 70 Percent of the Time

Question to employees who observed a safety violation*: Did you report the misconduct or raise a concern?



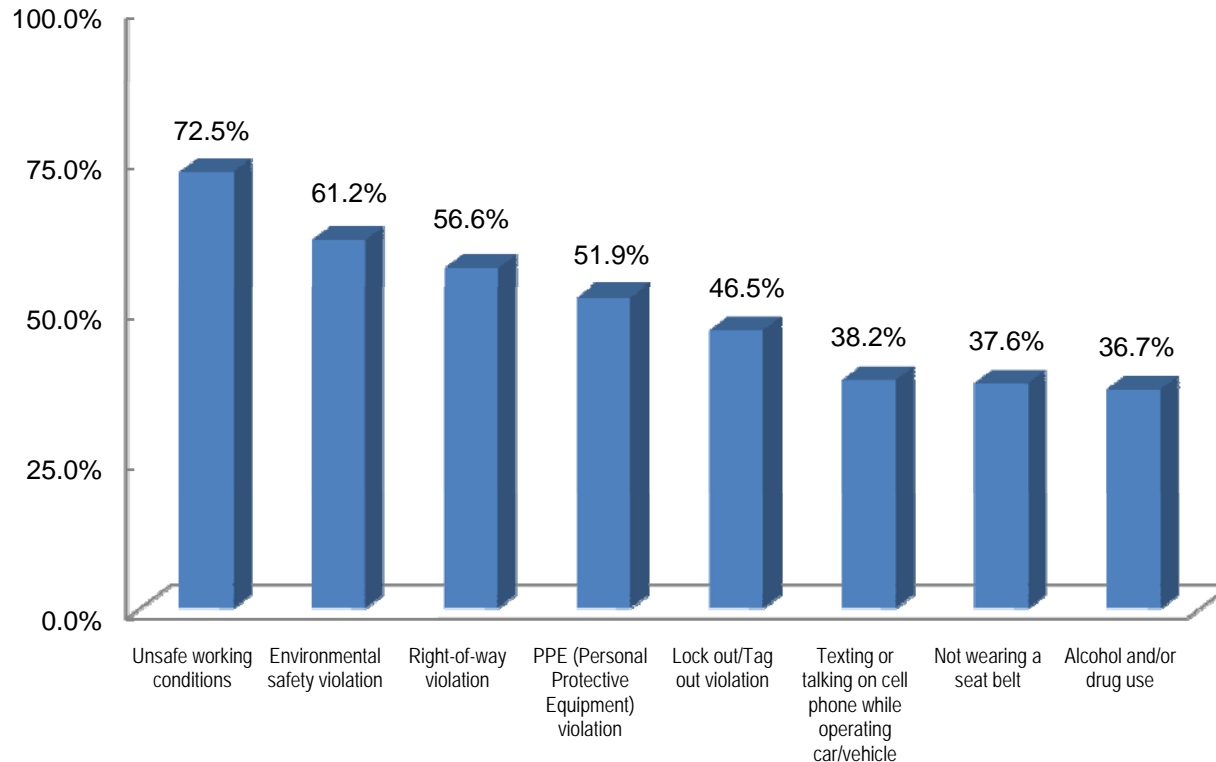
"I felt my concern was handled quickly and appropriately the issue was resolved quickly."

n=5,167 employees

* Calculation only includes employees who responded "yes" when asked if they had observed a safety violation.

WMATA Personnel Report Safety Violations at Different Rates

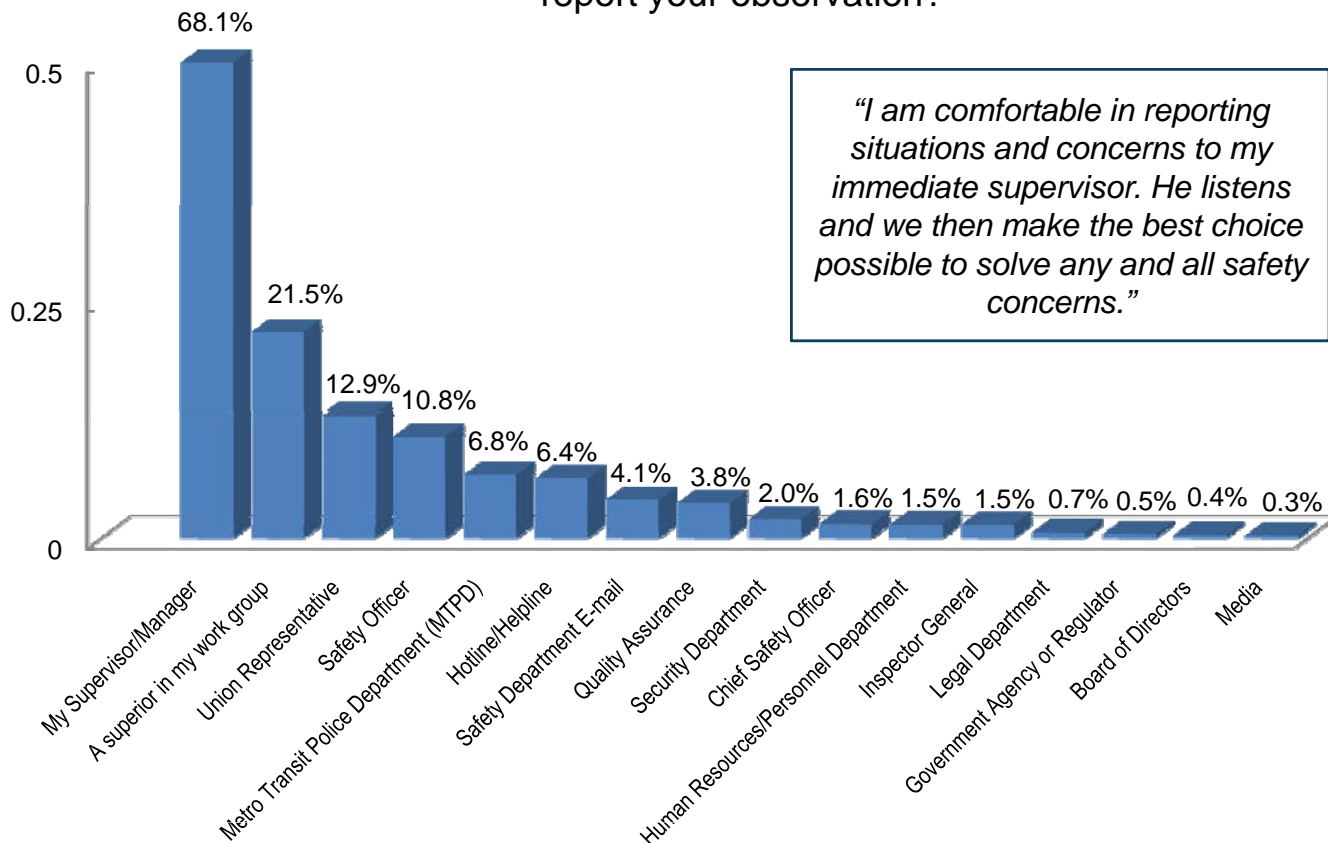
Of employees who responded “**yes**” to observing certain types of violations, the following shows the percentage of those observations that employees indicated they reported.*



*Multiple responses permitted.

WMATA Personnel Turn to Their Direct Supervisor When Reporting Safety Violations

Question to employees who indicated they reported a violation*: Where did you report your observation?



n=4,357 employees

* Calculation only includes employees who responded "yes" when asked if they had reported a safety violation. Multiple responses permitted.

Fear of Retaliation and Lack of Information Are Key Drivers of Non-Reporting

Question to employees who indicated there are reasons why they would not report a safety violation*: Why would you not report a violation?

Reasons for Not Reporting Violation	Percentage	Reasons for Not Reporting Violation	Percentage
I was concerned I would experience retaliation or other negative consequences for reporting a potential violation	34.1%	I knew the person who committed the potential violation and did not want to report him/her	5.1%
I did not think I had enough information about the violation	33.8%	I am not sure how or to whom I would raise the concern	4.9%
I assumed the organization already knew about the safety violation	28.0%	I settled or resolved it myself	3.9%
I have raised concerns before and nothing ever happened	21.0%	I was concerned that it would negatively impact customers	3.4%
I did not want to become involved	16.8%	I don't know why I didn't report it	3.2%
I did not think the organization would do anything about my report	10.6%	I did not think anyone would believe my claim	3.1%
I fear that reporting it might jeopardize my department or organization's performance goals	10.0%	I am related to the person who committed the potential violation and did not want to report him/her	2.3%
The person who committed the potential violation was very senior and I was afraid to report to him/her	7.4%	I was concerned that it would negatively impact the organization or my work group	2.1%
I have heard stories about people raising concerns before and nothing ever happened	6.8%	I didn't have time	1.8%
I assumed someone else would report it	6.6%	I did not want to get anyone fired or penalized	1.0%
I wasn't certain what constituted a violation	5.7%	Other	11.2%

n=2,140 employees

*25.4% of employees indicated they had reasons why they would not report an observed safety violation. Multiple responses permitted.



WHAT THE BEST COMPANIES DO™

Road Map for Report

Safety Culture Survey Overview



Observations and Reporting of Safety Concerns



Perceptions of WMATA's Safety Culture



Recommendations



Overall Safety Index

The Safety Index is made up of the 14 italicized and bolded questions. Your Safety Index is an average of the 14 questions. These 14 questions collectively explain the core of your safety culture. From a statistical standpoint, the questions in the Index collectively provide the greatest explanatory power of your overall culture.

Following extensive factor analysis and reliability testing of the responses to the 21 scaled safety culture survey, it was determined that there were 8 themes or components to your culture. The 8 components include: Tone at the Top, Supervisor Leadership, Reporting Tendency, Responsiveness to Incidents, Comfort Speaking Up, Awareness and Preparedness, Openness of Communications, and Fairness.

Safety Culture

Survey question categories:

1. Tone at the Top
2. Supervisor Leadership
3. Reporting Tendency
4. Responsiveness to Incidents
5. Comfort Speaking Up
6. Openness of Communications
7. Awareness and Training
8. Fairness



Within the Safety Culture Survey, employees are asked the degree to which they agree or disagree with a series of statements.

Response Scale Key

Scale

The Safety Culture Survey scale ranges from 1 to 7. A rating of 1 indicates a response of strongly disagree while a rating of 7 indicates a response of strongly agree.

Value	Cultural Diagnostic Scale*
1	Strongly Disagree
2	Disagree
3	Somewhat Disagree
4	Neither Agree nor Disagree
5	Somewhat Agree
6	Agree
7	Strongly Agree

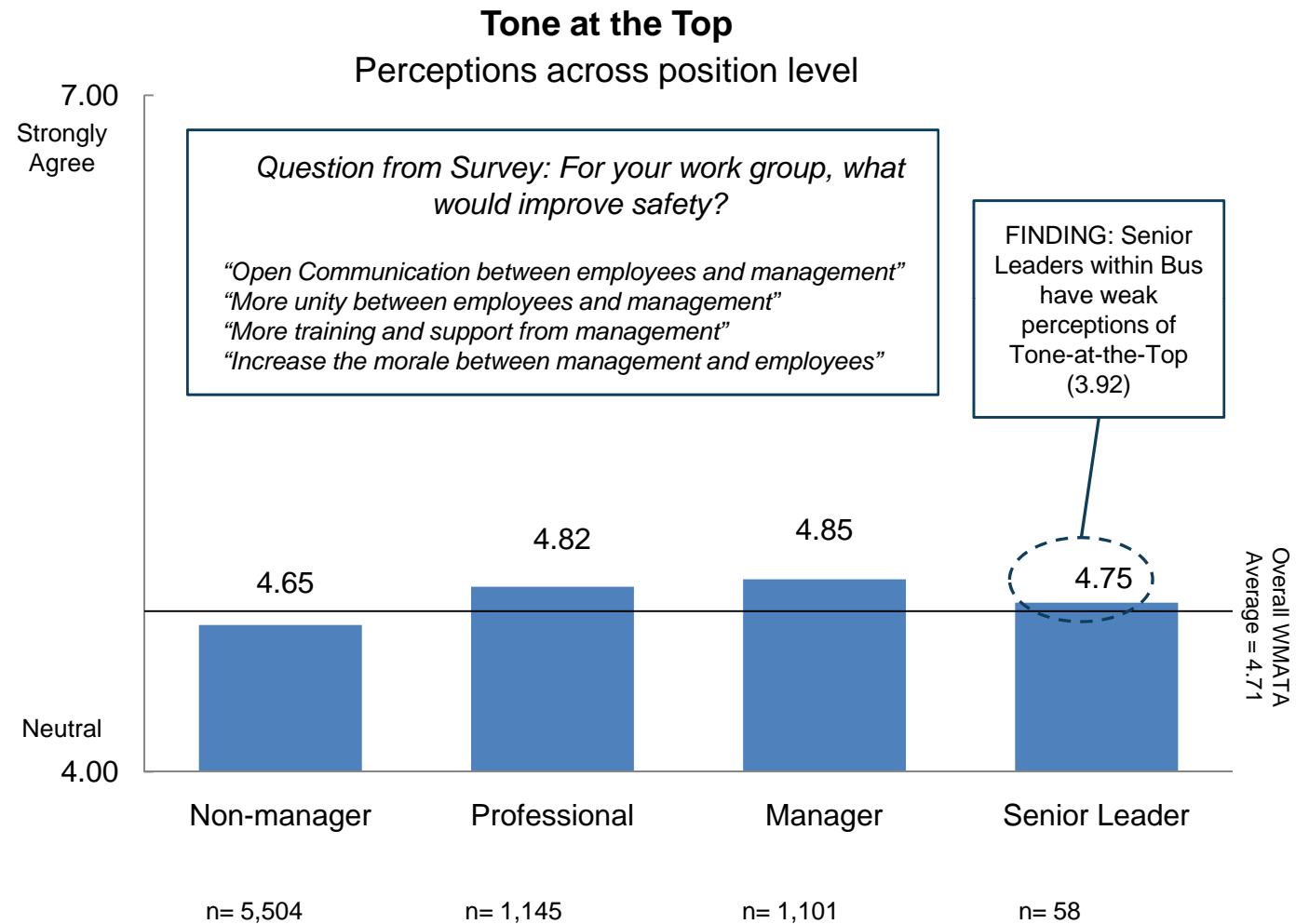
* All questions were coded or recoded in such a way to directionally be on the same scale.



Tone at the Top

The Tone at the Top Index is calculated based upon the average of three questions about employee perceptions of Senior management and/or the Board.

Somewhat Neutral Perceptions of Senior Leadership



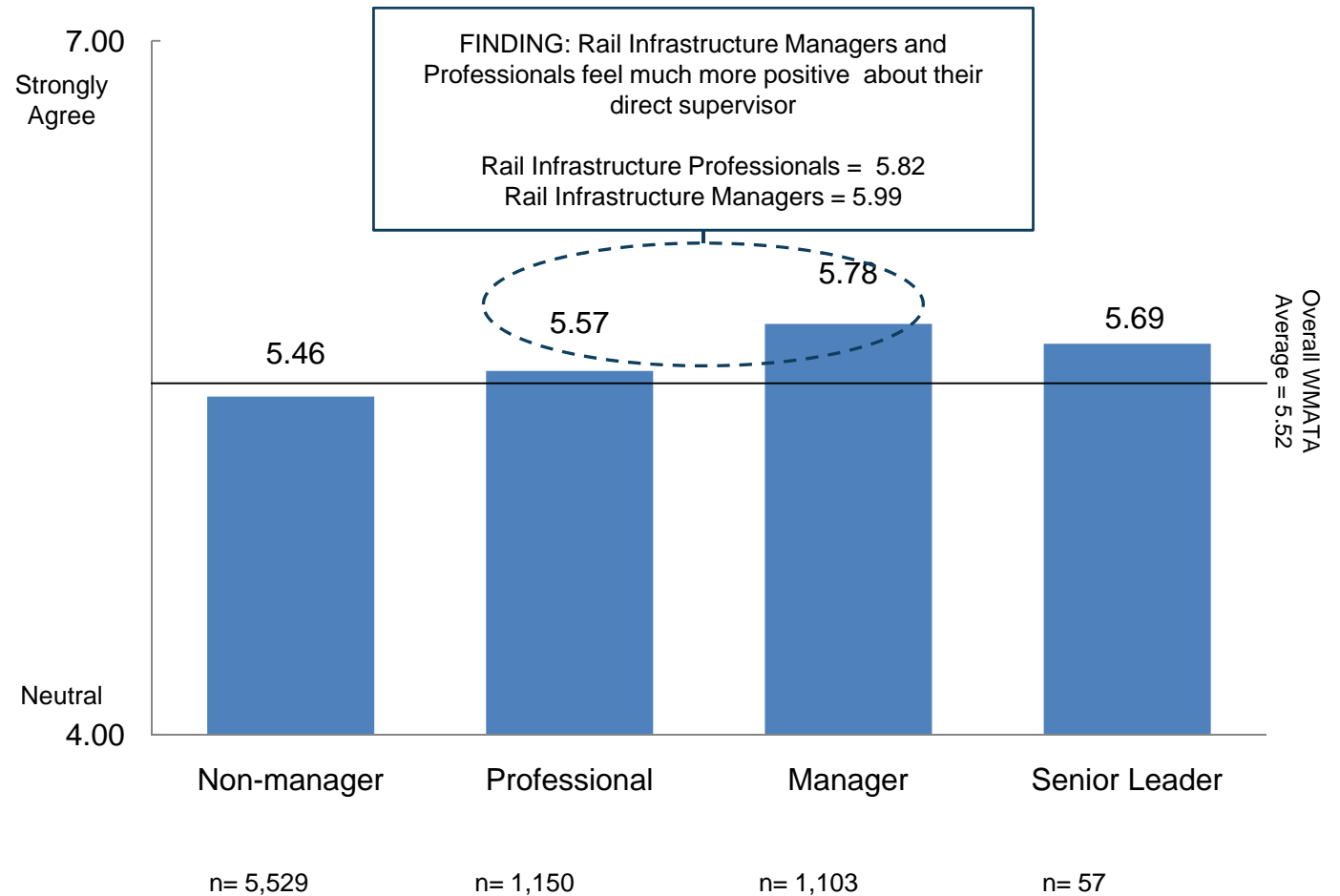


Supervisor Leadership

The Supervisor Leadership Index is calculated based upon the average of three questions employee perceptions about supervisors.

Non-Managers Have Lowest Perceptions of Direct Supervisory Safety Actions

Supervisor Leadership Perceptions across position level





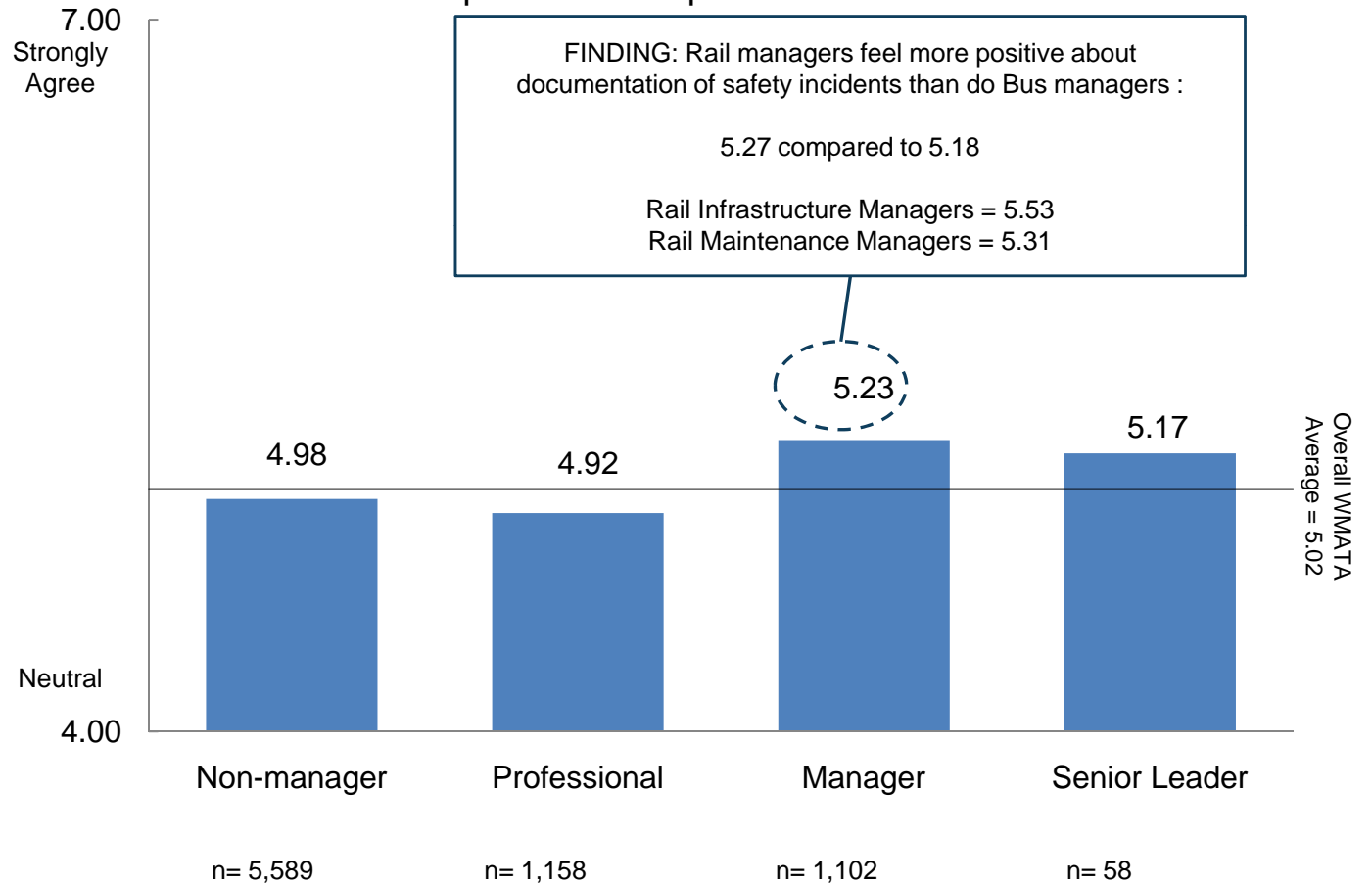
Reporting Tendency

The Reporting Tendency Index is calculated based upon the average of two questions about the reporting and documentation of safety incidents, accidents, near-misses and injuries.

“Safety office is improving with more staff but has been very disorganized. Lack of consistent leadership has been an issue. Big problems with tracking complaints. Staying on top of federal,toc,fta recommendations,communicating internally and externally(sic). Leadership was problem, but has improved with now(sic) CSO.”

Management Personnel Offer Stronger Indication that Safety Issues Are Documented

Reporting Tendency
Perceptions across position level



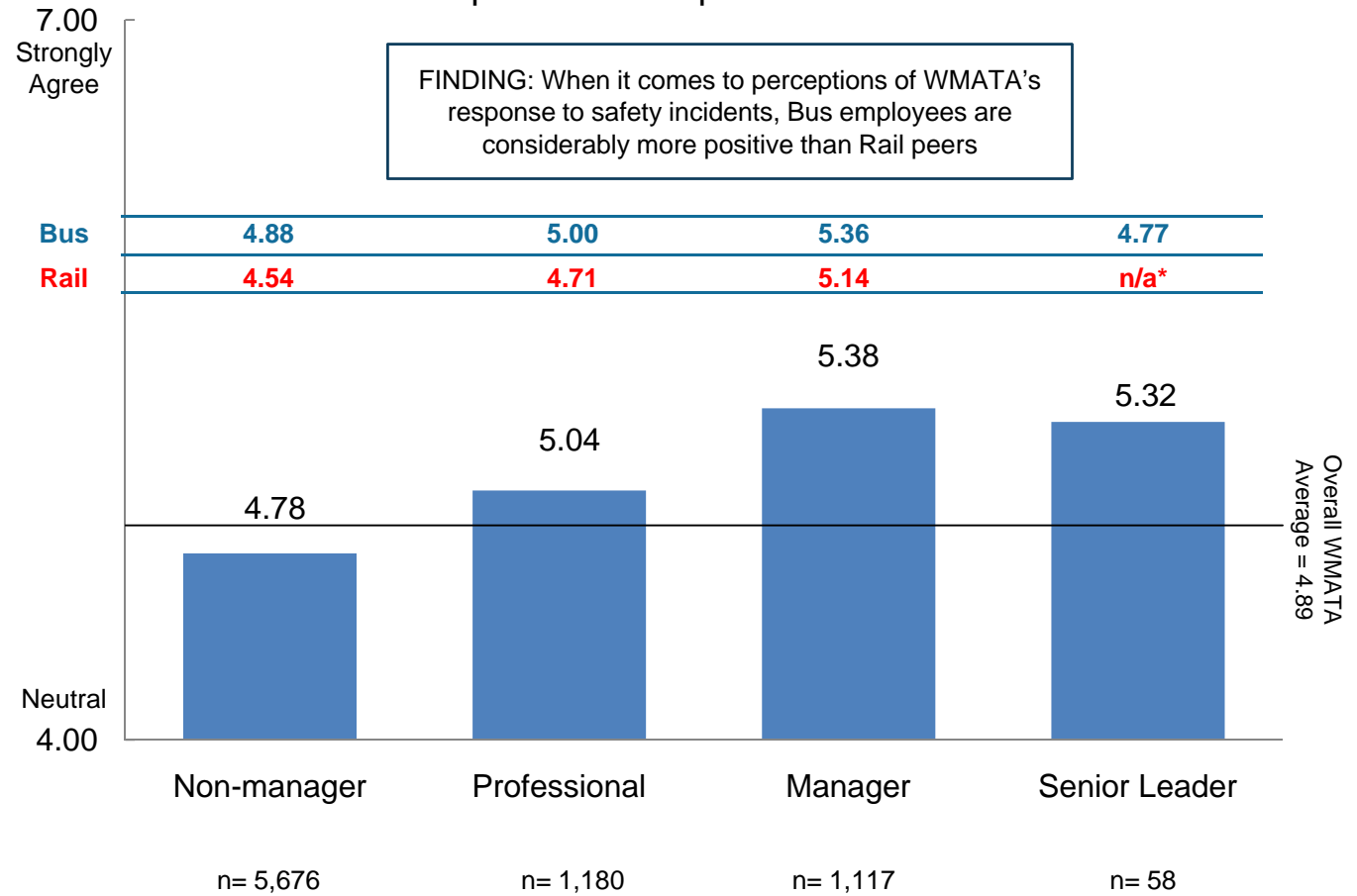


Responsiveness to Incidents

The Responsiveness to Incidents Index is calculated based upon the average of three questions about the organizations response to safety concerns and unsafe behavior.

Disconnect Exists Between Managers and Non-Managers When Assessing WMATA's Response to Safety Issues

Responsiveness to Incidents
Perceptions across position level



*n/a – sample size too small



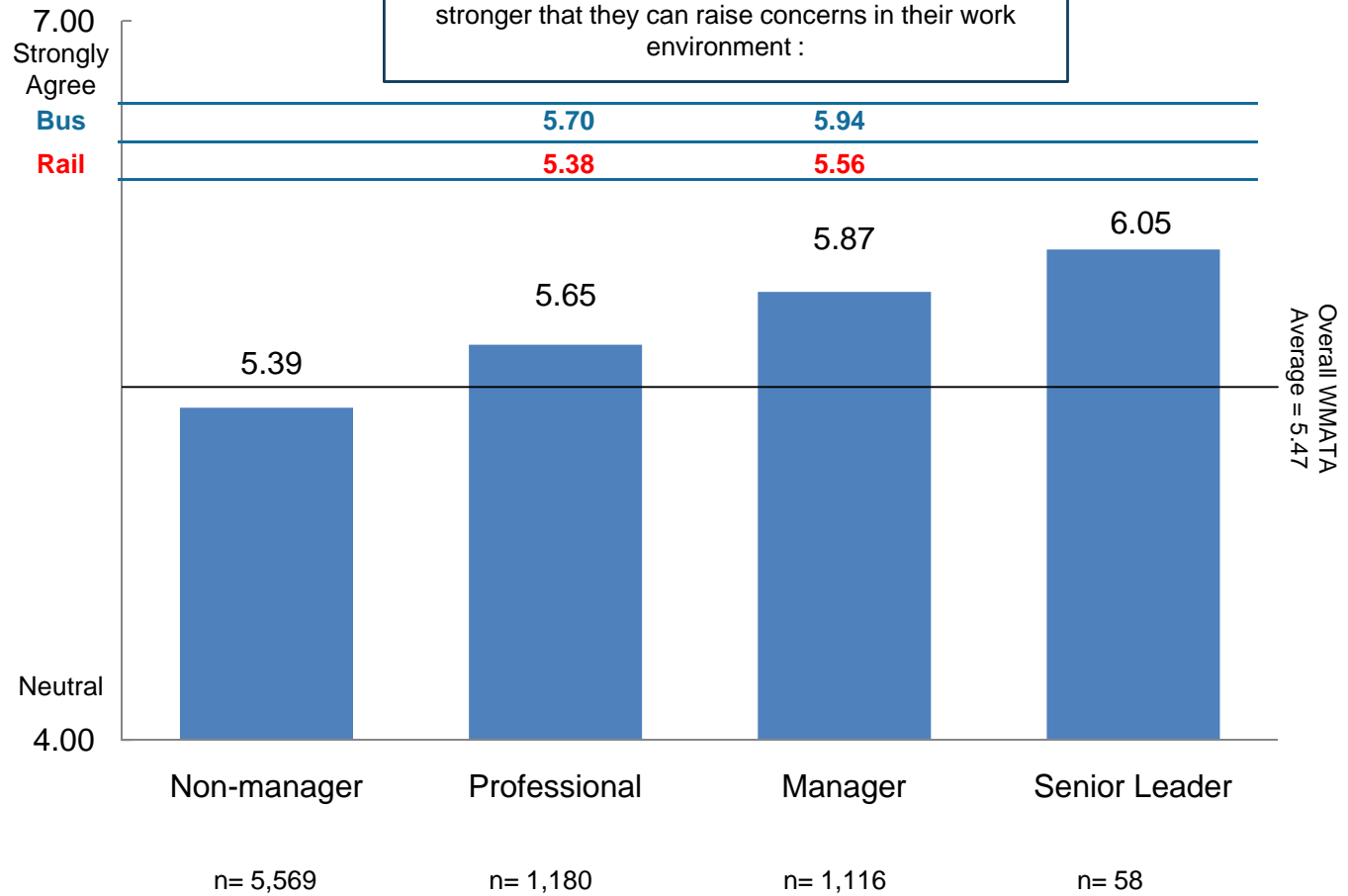
Comfort Speaking Up

The Comfort Speaking Up Index is calculated based upon the average of three questions about employee perceptions about speaking up and reporting concerns.

Non-Managers Are Much Less Positive About Raising Safety Concerns

Comfort Speaking Up Perceptions across position level

FINDING: Bus managers and professionals feel much stronger that they can raise concerns in their work environment :





Communications

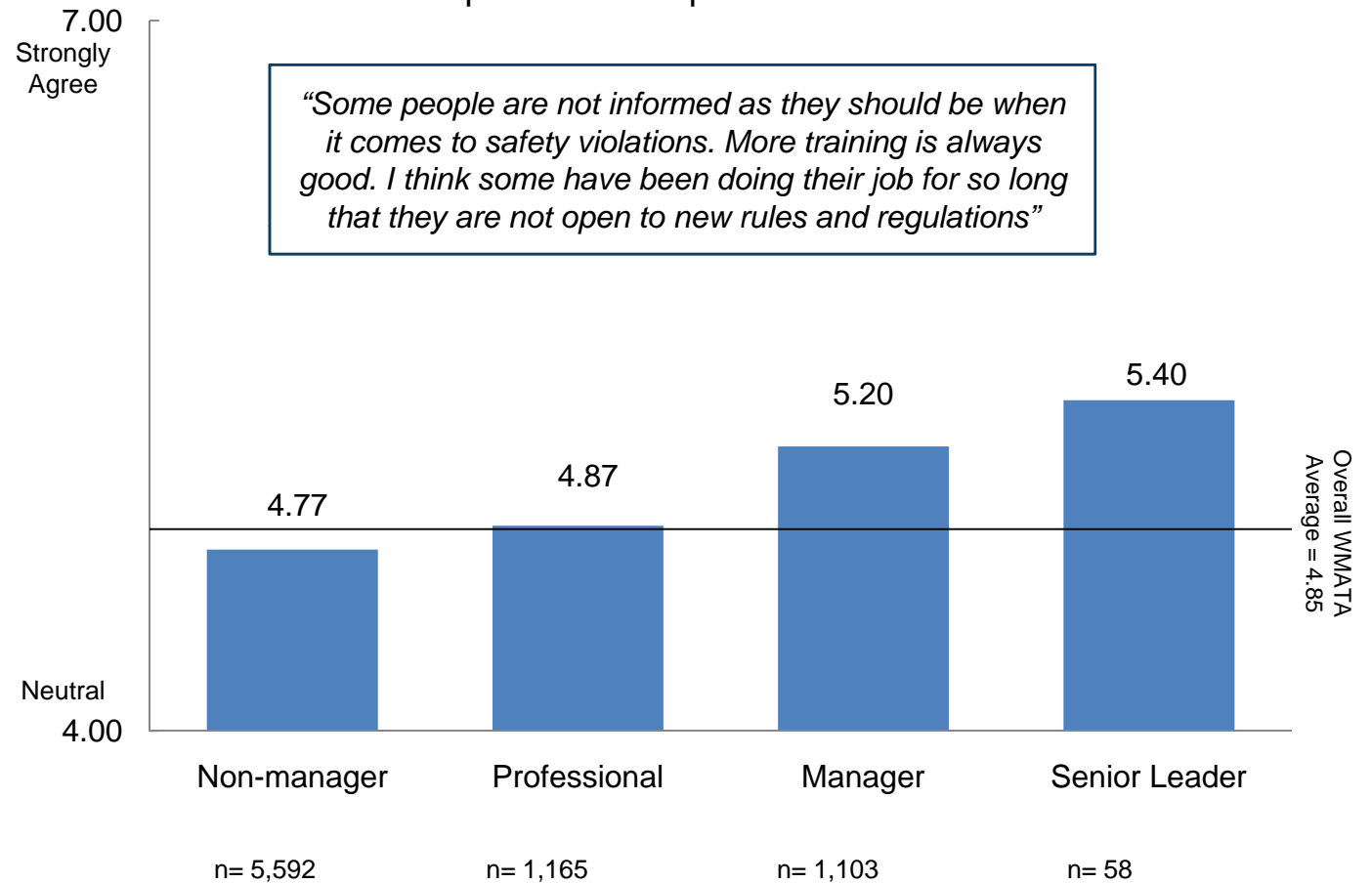
The Openness of Communications Index is calculated based upon the average of two questions about the sharing of information across the organization and the openness to sharing opinions.

“When there is a change or revision of work or safety policy, there should be a prompt disclosure to the rank and file of the department. Too often upper management have these safety changes and only inform you when a crisis occurs.”

Perceptions of Information Flow Are Much Higher Among Management

Openness of Communications

Perceptions across position level



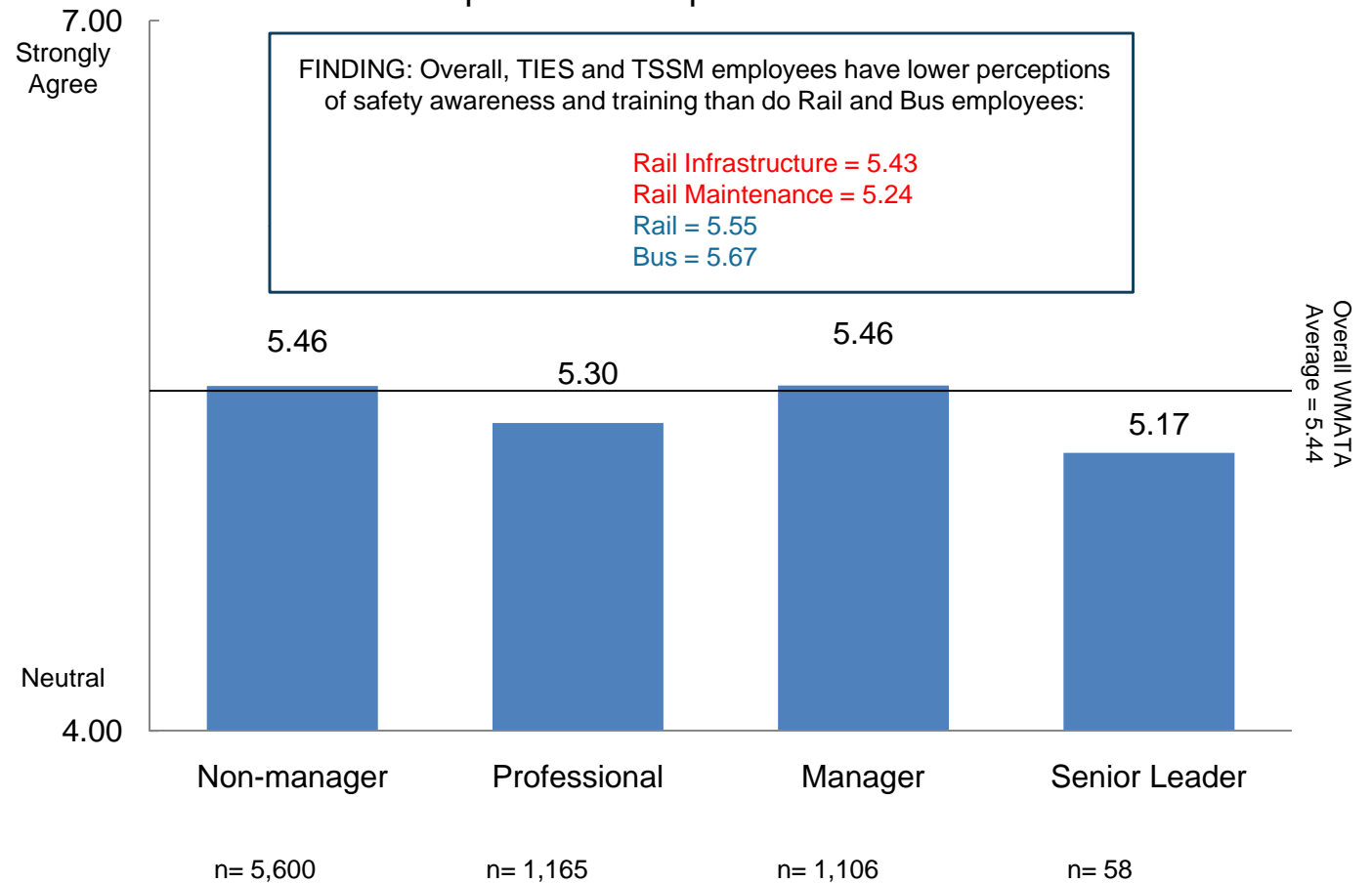


Awareness and Preparedness

The Awareness and Training Index is calculated based upon the average of five questions about awareness of disciplinary guidelines and perceptions of provided training.

Perceptions Regarding Safety Expectations Are Mixed

Awareness and Training Perceptions across position level





Road Map for Report

Safety Culture Survey Overview



Observations and Reporting of Safety Concerns



Perceptions of WMATA's Safety Culture



Recommendations

Recommendations

Short-term Action Steps (within first three months)

- Communicate Results Across the WMATA Organization
 - Share results with Senior Leadership and the Board
 - Provide high-level takeaways and next steps to all WMATA employees
- Investigate Safety Incidents Identified Through Sanitized, Aggregated Results from Written Comments

Mid-term Action Steps (within first six to nine months)

- Increase Initiatives Geared Towards Increasing Reporting of Observed Safety Violations
 - Strengthen messaging related to non-retaliation – create a standalone non-retaliation policy if one does not already exist
 - Share “success stories” of employees reporting safety concerns
- Create Incentive Program(s) to Recognize and Reward Safe Behavior
 - Employees and managers nominate peers for exemplary safety behavior – recognition is formally provided in a public forum

Recommendations

Long-term Action Steps (within first two years)

- Address Safety Challenges Presented Across Individual Functional Groups – Solutions Will not be a “One Size Fits All”
 - Understand major safety concerns relating to unsafe working conditions among RAIL , TIES, and TSSM employees
 - Continue to focus on decreasing unsafe behaviors such as texting or not wearing safety belts among BUS employees
- Leverage Middle Management to Reinforce Safety Behaviors
 - Create resources and tools for managers to use when talking to employees about the importance of safety
 - Ensure managers understand the process for handling safety reports from employees