

Improving Safety-Related Rule Compliance in the Public Transportation Industry

TCRP A-34

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Objective and Scope

- Develop a resource for improving safety-related rule compliance in the public transportation industry
- Focus primarily on rules designed to prevent high consequence events
- Applies to all employees involved in operation and maintenance of a transit system

Resource Document Organization

1. Introduction
2. How to Use This Resource Document
3. Understanding Rules Compliance
4. Classifying Noncompliance
5. Best Practices You Can Use
6. Safety Reporting System Best Practices

References

Abbreviations

Appendices:

Rules Compliance Practices in Other Industries

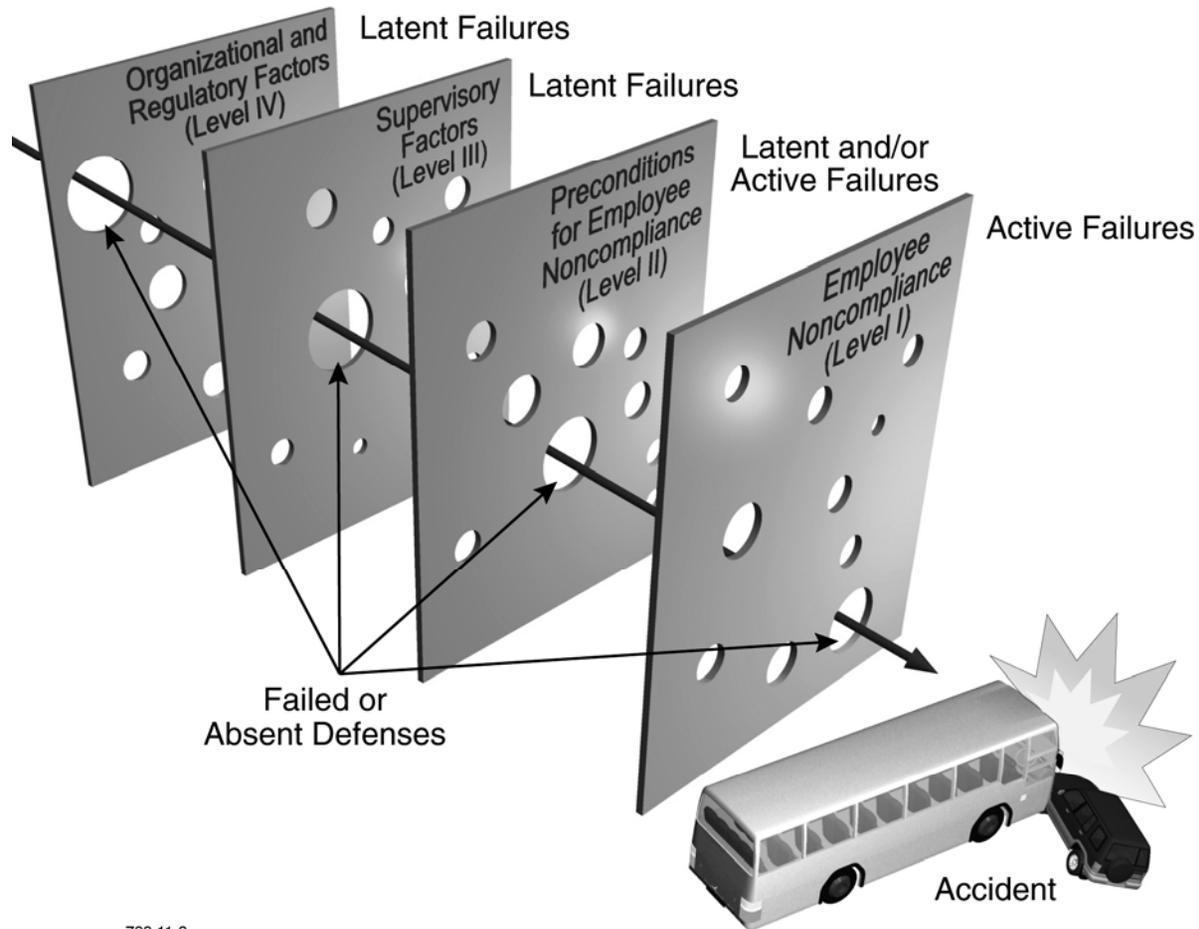
Rules Compliance Practices in Transit

Safety Reporting Systems

Rules Compliance Program Success Stories

Effectiveness Metrics

Son's Swiss Cheese Model of Human Error



Categories of Best Practices

Screening
and Selecting
Employees

Training
and
Testing

Communication

Monitoring
Rules
Compliance

Responding
to
Noncompliance

Safety
Management

es Compliance Checklist

Category	Example Questions
Screening and Selecting Employees	Do you screen for risk-taking behavior when you evaluate candidates?
Training and Testing	Does your rules training demonstrate the application of the rule? Do you give feedback to the trainee during and after practice?
Communication	Do you have communication strategies that reinforce the importance of adhering to rules?
Monitoring Rules Compliance	Do you have an operational testing program?
Responding to Noncompliance	Do you identify the underlying causes of noncompliant events?
Risk Management	Does your process for evaluating your rules compliance program incorporate both leading and lagging indicators? Do you have a confidential, nonpunitive and voluntary means for employees to report near misses or unsafe conditions?

Criteria for Evaluating Effectiveness of Best Practices

- “You can’t improve what you don’t measure.”
- Must include a mix of *leading* and *lagging* indicators
 - *Leading indicators* focus on activities or conditions that will prevent or reduce risk of the lagging indicator
 - *Lagging indicators* measure undesirable outcomes that have occurred
- *Leading indicators* focus on process and achievement-oriented
- *Lagging indicators* are avoidance-oriented

Safety Reporting Systems

Purpose is to provide means for employees to report near-misses or unsafe conditions

Aviation Safety Reporting System (ASRS) is a national reporting system

Aviation and Air Traffic Safety Action Programs (ASAP & ATSAP) are organization-based systems

C³RS is a pilot safety reporting system sponsored by the Federal Railroad Administration (FRA)

Successful safety reporting systems are *voluntary, confidential* and *nonpunitive*

Organization-based systems are most likely to benefit transit

ect Status

- Draft final report submitted
- Proposal for additional work to implement pilot reporting system at two transit agencies
- Presentations at APTA Rail Conference
 - **Measuring Safety Performance: A Prototype Safety Reporting System for the Transit Industry**, Tues. 10:45
 - **New Approaches to Improving Rules Adherence: Best Practices for Improving Safety-Related Rules Compliance**, Wed. 9:45