



Transportation Safety Board of Canada



For the
period ending
March 31, 1997



Improved Reporting to Parliament —
Pilot Document

Canada

©Minister of Public Works and Government Services Canada – 1997

Available in Canada through your local bookseller or by

mail from Canadian Government Publishing – PWGSC

Ottawa, Canada K1A 0S9

Catalogue No. BT31-4/77-1997

ISBN 0-660-60363-2



Foreword

On April 24, 1997, the House of Commons passed a motion dividing what was known as the *Part III of the Estimates* document for each department or agency into two documents, a *Report on Plans and Priorities* and a *Departmental Performance Report*. It also required 78 departments and agencies to table these reports on a pilot basis.

This decision grew out of work by Treasury Board Secretariat and 16 pilot departments to fulfil the government's commitments to improve the expenditure management information provided to Parliament and to modernize the preparation of this information. These undertakings, aimed at sharpening the focus on results and increasing the transparency of information provided to Parliament, are part of a broader initiative known as "Getting Government Right".

This *Departmental Performance Report* responds to the government's commitments and reflects the goals set by Parliament to improve accountability for results. It covers the period ending March 31, 1997 and reports performance against the plans presented in the department's *Part III of the Main Estimates* for 1996-97.

Accounting and managing for results will involve sustained work across government. Fulfilling the various requirements of results-based management – specifying expected program outcomes, developing meaningful indicators to demonstrate performance, perfecting the capacity to generate information and report on achievements – is a building block process. Government programs operate in continually changing environments. With the increase in partnering, third party delivery of services and other alliances, challenges of attribution in reporting results will have to be addressed. The performance reports and their preparation must be monitored to make sure that they remain credible and useful.

This report represents one more step in this continuing process. The government intends to refine and develop both managing for results and the reporting of the results. The refinement will come from the experience acquired over the next few years and as users make their information needs more precisely known. For example, the capacity to report results against costs is limited at this time; but doing this remains a goal.

This report is accessible electronically from the Treasury Board Secretariat Internet site:
<http://www.tbs-sct.gc.ca/tb/key.html>

Comments or questions can be directed to the TBS Internet site or to:

Government Review and Quality Services
Treasury Board Secretariat
L'Esplanade Laurier
Ottawa, Ontario, Canada
K1A 0R5
Tel: (613) 957-7042
Fax (613) 957-7044

Transportation Safety Board of Canada

Performance Report

**For the
period ending
March 31, 1997**

Benoît Bouchard
Chairperson
Transportation Safety Board

Stéphane Dion
President
Queen's Privy Council for Canada

Table of Contents

Section I: The Message	1
Section II: Departmental Overview	
Mandate, Roles, and Responsibilities	2
Objectives	3
Strategic Priorities	3
Business and Service Lines and Organization Composition	3
Section III: Departmental Performance	7
A. Performance Expectations	7
Planned Versus Actual Spending Tables	7
Resource Requirements by Organization and Business Line	7
Comparison of Total Planned Spending to Actual Expenditures, 1996-97 by Business Line	8
Departmental Planned versus Actual Spending by Business Line	8
B. Performance Accomplishments	9
Departmental Performance	9
Business Line Performance	9
Section IV: Supplementary Information	14
A. Listing of Statutory and Departmental Reports	14
B. Contacts for Further Information	14
C. Financial Summary Tables	15
Summary of Voted Appropriations	15
Revenues to the Consolidated Revenue Fund (CRF) by Business Line	15
D. Summary of Performance Expectations	16
E. Legislation Administered by Name of Department	17

Section I: The Chairman's Message

I have now been the Chairperson of the Transportation Safety Board of Canada for just over one year.

I have been impressed with the efficiency of the organization due, in large part, to the quality of the management cultivated by my predecessor and by the qualified membership of the Board. The investigation process put in place, coupled with the highly skilled and knowledgeable staff, has made this Board an effective federal agency and one highly regarded around the world.

The Transportation Safety Board (TSB) has been conducting independent investigations of accidents and incidents, identifying safety deficiencies, and making recommendations to eliminate or reduce those deficiencies for seven years now. For the most part, the TSB performs its work outside the public eye, garnering media attention only in the first few days following a high profile accident. Those who have been closer to the investigative process, however, know that a thorough investigation and analysis take time, and that those first days in the field are only the beginning of a prolonged team effort. One of our continuing challenges is to make ourselves, and the role we play in advancing transportation safety, better known to Canadians.

The TSB continues to fine-tune its processes as the organization evolves. Above all, the Board strives to perform thorough and balanced investigations. When safety deficiencies are identified, the Board will ensure that those deficiencies are brought to the attention of the operators, the Ministers who have safety responsibilities, and the public. The Board will make its findings known in careful and unemotional language, given that assigning fault or determining civil or criminal liability is not part of its mandate, but it will ensure that its message is clear and unmistakable.

When there is a major transportation accident in this country, Canadians look to the TSB to analyse the circumstances of that accident objectively and quickly. The Board's analysis will consider not only the equipment itself, but will also extend to the operating procedures, the employees, the management of the company, and any shortcomings in regulations and policies.

Section II: Departmental Overview

Mandate, Roles, and Responsibilities

The TSB was established as an independent Departmental Corporation in March 1990. The agency is concerned with the analysis of safety failures in the federally regulated elements of the marine, rail, commodity pipeline, and air transportation systems. Creation of the TSB eliminated the conflict of interest that existed when government bodies regulated or operated transportation activities and also investigated the failures associated with their own regulations and operations.

Under its legislation, the TSB's only object is the advancement of transportation safety. The end purpose of the Board's investigations is accident prevention. The Board seeks to identify safety deficiencies shown by transportation occurrences and to make recommendations designed to eliminate or reduce those safety deficiencies. The TSB has the exclusive authority to make findings as to causes and contributing factors when it investigates a transportation occurrence. In addition to investigations and public inquiries into individual occurrences, the Board may conduct studies of matters compromising transportation safety. The TSB reports annually to Parliament on its activities, findings and recommendations through the President of the Queen's Privy Council.

A transportation occurrence is any accident or incident associated with the operation of an aircraft, ship, railway rolling stock, or commodity pipeline. It also includes any hazard that could, in the Board's judgement, induce an accident or incident if left unattended. The jurisdiction of the TSB includes all transportation occurrences in or over Canada. The Board may also represent Canadian interests in foreign investigations of transportation accidents involving Canadian registered, licensed, or manufactured ships, railway rolling stock, or aircraft. In addition, the Board carries out some of Canada's obligations related to transportation safety at the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO).

Objectives

The legislative authority under which the TSB operates is the *Canadian Transportation Accident Investigation and Safety Board Act* and Regulations.

The Act states that the object of the Board is to advance transportation safety by:

- conducting independent investigations and, if necessary, public inquiries into transportation occurrences in order to make findings as to their causes and contributing factors;
- reporting publicly on its investigations and public inquiries and on the findings in relation thereto;
- identifying safety deficiencies as evidenced by transportation occurrences;
- making recommendations designed to eliminate or reduce any such safety deficiencies; and
- initiating and conducting special studies and special investigations on matters pertaining to safety in transportation.

Strategic Priorities

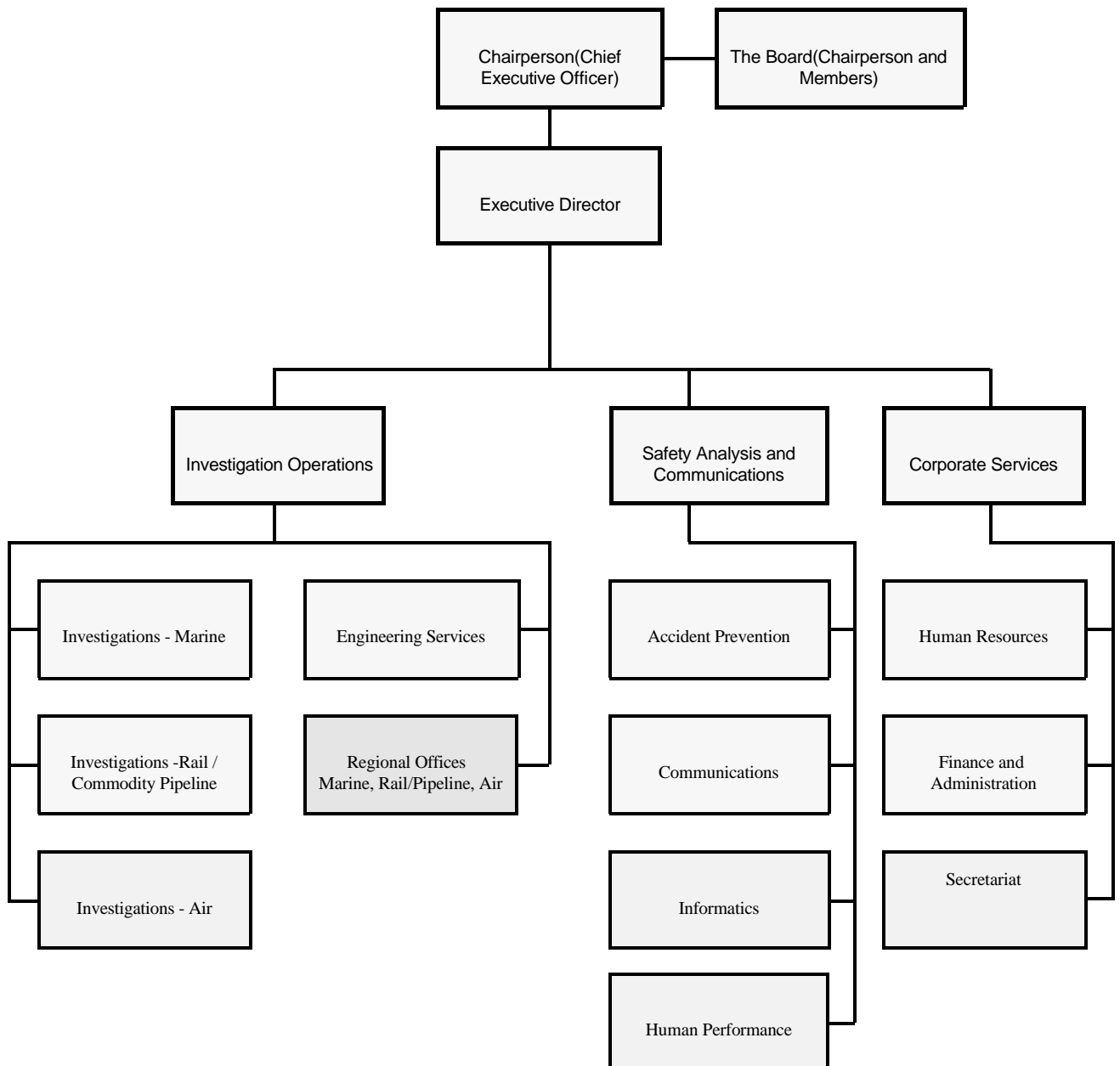
The TSB's legislated object is to advance transportation safety. The Board bases its decision to investigate on its Occurrence Classification Policy. With over 4,000 occurrences reported each year, the Board's prime criterion for deciding to investigate is whether or not an investigation is likely to lead to a reduction in risk to persons, property or the environment. This approach focuses the TSB's efforts on those occurrences with the greatest safety pay-off.

The TSB established its first multi-year strategic plan in September 1995 and continues to update that document as appropriate.

Business and Service Lines and Organization Composition

The TSB has one program and thus one business line, the advancement of transportation safety. The TSB is currently structured into three branches to achieve its mandate but is examining its processes to increase productivity and some re-organization will follow.

Organization by Sub-Activity/Function



The TSB operates in the following context:

The national civil transportation system, of which the TSB is a component, is large and complex:

The marine mode involves approximately 45,000 Canadian-registered commercial ships and many foreign vessels in Canadian waters. Marine traffic in Canada includes the transportation of over 50 million passengers annually and nearly 300 million tons of cargo for domestic and international markets. The fishing industry operates over 20,000 vessels.

There are some 30 federally regulated railways, operating close to 47,000 miles of track. The system generates about 330 billion gross freight ton-miles of output, and produces close to 80 million train-miles of work and about 800 million passenger-miles of service. The railways operate over 3,000 locomotives and approximately 120,000 freight and passenger rail cars, and employ over 50,000 people.

The national commodity pipeline system under federal jurisdiction comprises about 50 oil and gas companies. These companies operate approximately 40,000 km of pipelines. Over 900 million barrels of crude oil and 4,800 billion cubic feet of natural gas are moved by pipeline in Canada annually.

The civil air transportation system processes over 60 million enplaned and deplaned passengers annually through over 700 Canadian airports. About 1,000 Canadian air carriers and an almost equal number of foreign carriers operate in Canada. There are over 70,000 licensed aviation personnel and nearly 28,000 registered aircraft. The Canadian aerospace industry and the airline industry employ about 88,000 people.

Key Initiatives:

The TSB has been concentrating on making itself better understood by Canadians, and on implementing the changes to its activities and structure brought about by Program Review. The continued implementation and refinement of the Occurrence Classification Policy is the key element in achieving the TSB's Program Review resource targets while still delivering its mandate.

The continuing reduction in resources means the TSB cannot continue to operate as in the past. The implementation of the Occurrence Classification Policy has allowed the TSB to better define those occurrences that the Board needs to investigate. The full implementation of that policy will require the examination of the skills, knowledge and experience that staff will need to accomplish the mandate of the Board in the future. A rethinking of how the TSB's mandate is met could impact on the agency's structure and processes. Reductions beyond those announced would likely require a fundamental restructuring of the agency and a different interpretation of its mandate. The Board has now drawn back from less significant accidents even when they involve fatalities, which has led to some adverse public reaction. New reductions would likely reduce the Board to investigating even fewer occurrences and make it harder to allay public concern.

The Board will be pursuing the following priorities:

- making itself better understood by Canadians;
- implementing resource and process changes to improve the quality and timeliness of its reports; and
- developing appropriate performance measurements.

Section III: Departmental Performance

The TSB is the only body in Canada whose sole object is the advancement of transportation safety, although other organizations in government and industry have the improvement of safety as part of their objective. The total resources of the TSB, however, are a very small percentage of all those applied to the advancement of transportation safety in Canada. Consequently, the responsibility for results is shared, and it is not possible to isolate and quantify the effects of the TSB's contribution to the advancement of transportation safety.

The TSB's report on performance is based on the structure in the 1997-98 Part III of the Estimates, as the agency's Planning, Reporting and Accountability Structure (PRAS) has not yet been approved by Treasury Board.

A. Performance Expectations

Planned Versus Actual Spending Tables

Resource Requirements by Organization and Business Line

Comparison of Total Planned Spending to Actual Expenditures, 1996-97 by Organization and Business Line (\$ millions)

Organization	Business Line	
	Advancement of Transportation Safety	TOTALS
Board	0.6	0.6
	0.7	0.7
Executive	0.8	0.8
	0.6	0.6
Investigation Operations	14.1	14.1
	14.0	14.0
Safety Analysis and Communications	4.9	4.9
	5.2	5.2
Corporate Services	2.8	2.8
	2.9	2.9
TOTALS	23.3	23.3
	23.3	23.3
% of TOTAL	99.6	99.6

Note: Shaded numbers denote actual expenditures/revenues in 1996-97.

Comparison of Total Planned Spending to Actual Expenditures, 1996-97 by Business Line

(\$ millions)

Business Line	FTE	Operating ¹	Capital	Voted Grants and Contributions	Subtotal: Gross Voted Expenditures	Statutory Grants and Contributions	Total Gross Expenditures	Less: Revenue Credited to the Vote	Total Net Expenditures
Advancement of Transportation Safety	255	22.6	0.7	-	23.3	-	23.3	-	23.3
	231	22.0	1.3	-	23.3	-	23.2	-	23.3
Totals	255	22.6	0.7	-	23.3	-	23.3	-	23.3
	231	22.0	1.3	-	23.3	-	23.3	-	23.3
Other Revenues and Expenditures									
Revenue credited to the Consolidated Revenue Fund									-
									0.0
Cost of services provided by other departments									2.9
									3.2
Net Cost of the Program									26.2
									26.4

Note: Shaded numbers denote actual expenditures/revenues in 1996-97.

1. Operating includes contributions to employee benefit plans and ministers' allowances.
2. Due to rounding, columns may not add to totals shown.

Departmental Planned versus Actual Spending by Business Line

(\$ millions)

Business Lines	Actual 1993-94	Actual 1994-95	Actual 1995-96	Total Planned 1996-97	Actual 1996-97
Advancement of Transportation Safety	26.7	26.1	23.8	23.3	23.3
Total	26.7	26.1	23.8	23.3	23.3

B. Performance Accomplishments

Departmental Performance

Many factors outside of TSB control can influence transportation safety in Canada, such as transportation activity levels in each mode, economic and public policy, technology, public opinion, and natural phenomena (e.g. weather). Another factor is the effectiveness with which regulatory agencies such as Transport Canada, Fisheries and Oceans, and the National Energy Board perform their roles. The quality of TSB investigations and the resulting safety actions, such as recommendations and advisories, issued by the Board is also a significant factor. The safety consciousness of, and safety initiatives taken by, other members of the transportation community, such as industry, unions, and equipment manufacturers, have a major impact on transportation safety.

Business Line Performance

In 1996-97, the TSB accomplished a number of activities. The TSB pursued one of its objectives: getting the safety message out to companies, governments and individuals who can make decisions that impact on transportation safety in Canada. It is important to note that safety action is frequently taken by one of the above before the occurrence reports are made public. In 1996-97, over 100 such actions were noted by the Board in its final reports as having been taken in association with occurrences under investigation.

Since 1993, the Board has regularly published a series of safety digests, REFLEXIONS, for each mode, which advance transportation safety by "reflecting" on the safety lessons of accidents, incidents and the results of TSB investigations. The overwhelming positive response from around the world to these publications leads the Board to believe that this format represents an effective means of disseminating the more significant safety messages arising out of occurrences. In 1996-97, the TSB published 12 issues, with an estimated readership of more than 100,000.

The TSB also opened its web site on the Internet. This site has been very successful, averaging 14,000 visits per week. The site contains TSB reports published since 1995, as well as other information on TSB operations.

In 1996-97, the TSB continued its activities to negotiate memoranda of understanding, with different provinces and agencies, for the coordination of activities and the sharing of costs or the exchange of services. Two more agreements were signed, one with the Canada-Newfoundland Offshore Petroleum Board and one with the Province of Ontario regarding the investigation by the TSB of occurrences involving short line railways within the jurisdiction of Ontario. This brings the total of such agreements to thirteen (13). These types of agreements also ensure a reduction of overlapping activities between federal and provincial government agencies.

Two factors which are directly linked to the TSB's Program effectiveness are the quality and timeliness of Board reports on its findings and recommendations. The TSB places great emphasis on these two factors which have significant influence on the extent and speed with which its safety messages are disseminated throughout the safety community. The *CTAISB Act* requires the Board to send, on a confidential basis, a draft report on its findings and any safety deficiencies that it has identified to any person who, in the opinion of the Board, has a direct interest in those findings. The feedback obtained through this process allows the Board to correct any errors or omissions or to consider any new facts. In this way, the quality of the final report is enhanced. With respect to timeliness, the Board has set a one-year standard for the completion and public dissemination of reports. In 1996-97, the Board continued its efforts to reduce both the backlog of work in process and the time required to complete its investigations and to report on its findings and recommendations. The average time in process for reports completed in 1996-97 was greater than in 1995-9. Fewer investigations were also started and completed but this was anticipated as resources diminish. The TSB is continuing to look at ways to improve project management and to streamline its procedures in order to reach its objective of completing all but the most exceptional reports within one year of the occurrence.

The following table shows the number of investigations started, the number of investigation reports completed and the average days to completion for the last two fiscal years.

Investigation Workload Within the last Two Fiscal Years

	Marine		Pipeline		Rail		Air		Total	
	1996-97	1995-96	1996-97	1995-96	1996-97	1995-96	1996-97	1995-96	1996-97	1995-96
Investigations started	50	63	2	4	16	47	70	102	138	216
Investigations completed	52	120	1	8	36	50	77	138	166	316
Average duration of completed Investigations (# of days)	523	474	177	362	482	373	340	328	427	391

General workload indicators are the number of accidents and incidents which are reported to the Board. The following table shows these numbers for 1996-97 and the two previous years.

General Workload Indicators

		Actual 1996-97	Actual 1995-96	Actual 1994-95
Reported to the Board				
Marine	Accidents	644	791	790
	Incidents	<u>215</u>	<u>327</u>	<u>263</u>
		859	1118	1053
Pipeline	Accidents	18	29	13
	Incidents	<u>43</u>	<u>34</u>	<u>39</u>
		61	63	52
Rail	Accidents	1262	1330	1183
	Incidents	<u>533</u>	<u>654</u>	<u>682</u>
		1795	1984	1865
Air	Accidents	409	436	462
	Incidents	<u>1243</u>	<u>1052</u>	<u>1423</u>
		1652	1488	1885
Total	Accidents	2333	2586	2448
	Incidents	<u>2034</u>	<u>2067</u>	<u>2407</u>
		4367	4653	4855

Another indicator is the number of safety recommendations and advisories issued and the degree to which the safety deficiencies underlying the recommendations have been addressed. The following tables are illustrative of the above.

Output Indicators*

	Forecast 1996-97	Actual 1996-97	Actual 1995-96
Recommendations	40	37	33
Advisories	30	20	38
Info Letters	10	9	52

* Note: Meaningful forecasts in this area are difficult to quantify with accuracy as the results depend entirely on the type and number of investigations in any given year, and the results of these investigations. Further, a single recommendation may have much more safety significance than many others combined.

TSB Assessment of Responses to recommendations*

Recommendation by Mode	Fully Satisfactory		Satisfactory Intent		Satisfactory in Part		Unsatisfactory		Total	
	1996	1995	1996	1995	1996	1995	1996	1995	1996	1995
Marine	1	13	5	15	3	6	4	2	13	36
Pipeline	-	2	1	6	1	-	-	-	2	8
Rail	4	4	2	1	-	1	1	4	7	10
Air	-	5	5	9	5	8	5	4	15	26
Total	5	24	13	31	9	15	10	9	39	80

- * Notes:
1. These numbers are based on a calendar year rather than a fiscal year since they must be reported as such for the TSB's annual report to Parliament as per the *CTAISB Act*. These assessments reflect the extent to which the Board believes that the underlying safety deficiencies have been addressed.
 2. The discrepancy between the numbers of recommendations made and assessments of responses is explained by Note 1 and also by the fact that responses are not always received in the year in which the recommendations are made.
 3. The discrepancy between the numbers for 1995 reported previously in the last Part III and these numbers is explained by an annual reassessment by the Board taking account of actual safety action taken since the initial reply was received.

In 1996-97, Bill C-86 was introduced in Parliament to amend the TSB's current legislation. The proposed changes were to improve the independence and effectiveness of the agency. The Bill died on the order paper.

With respect to Program Review, the TSB achieved the proposed reductions for the year without having to request funds from the central reserve to cover workforce adjustment situations. It is also within the pay-back standard established by the Treasury Board for the departure incentive programs.

Section IV: Supplementary Information

A. Listing of Statutory and Departmental Reports

Under its legislation the TSB must be audited annually by the Auditor General and the report of the audit must be tabled before each House of Parliament . Its legislation also requires that the Board report to Parliament on its activities, findings and recommendations for each calendar year. The Board also reports publicly on its investigations.

With the exception of the Auditor General's report, all other reports and certain other documents can be accessed through the TSB web site at <http://bst-tsb.gc.ca>

B. Contact for Further Information

For information please contact:

Gertrude René de Cotret
Director, Corporate Services
Transportation Safety Board of Canada
Place du Centre
200 Promenade du Portage
4th Floor
Hull, Québec
K1A 1K8

E-Mail: Gertrude.Rene_de_Cotret@bst-tsb.x400.gc.ca

Telephone: (819) 994-8001

Fax: (819) 997-2239

C. Financial Summary Tables

Summary of Voted Appropriations Authorities for 1996-97 - Part II of the Estimates Financial Requirements by Authority (\$ millions)

Vote (millions of dollars)	1996-97 Main Estimates	1996-97 ¹ Actual
Program		
Vote 15 - Canadian Transportation Accident Investigation and Safety Board - Program Expenditures	20.9	20.8
Statutory 1 - Contribution to Employee Benefit Plans	2.4	2.4
Total Department	23.3	23.3

1. Due to rounding, columns may not add to totals shown.

Revenues to the Consolidated Revenue Fund (CRF) by Business Line (\$ millions)

Business Lines	Actual 1993-94	Actual 1994-95	Actual 1995-96 ¹	Total Planned 1996-97	Actual 1996-97 ¹
Advancement of Transportation Safety	0.0	0.0	0.0	-	0.0
Total Revenues to the CRF	0.0	0.0	0.0	-	0.0

1. Amounts are too small to be reflected in the table due to the rounding. Actual revenues for 1995-96 were \$45,348 and \$89,901 for 1996-97.

D. Summary of Performance Expectations

The TSB has developed its Planning, Reporting and Accountability Structure (PRAS) as required by Treasury Board but it has not yet been approved by TB Ministers. The following table is illustrative of how performance information will be structured in future documents.

Transportation Safety Board of Canada	
to provide Canadians with:	to be demonstrated by
An independent agency that contributes to a safer federally regulated transportation system.	<ul style="list-style-type: none">• the elimination of identified safety failures in the marine, rail, pipeline and air transportation systems.• Risks to persons, property and the environment are reduced through the use by governments and industry of independent, credible, and timely investigation findings.• Providing pertinent safety information through a variety of means both technological and traditional.

E. Legislation Administered by the Transportation Safety Board of Canada

<i>The Canadian Transportation Accident Investigation and Safety Board Act</i>	R.S.C., 1985, c. C-23.4
--	-------------------------