

Metadata

#Author	nilles@uber.com	SEMANTIC
#Date Modified	03/11/2020	SEMANTIC
#DateCreated	12/18/2019	SEMANTIC
#Title	Safety Governance at Uber v2 Jan 2020	SEMANTIC
Account	gbrown@uber.com	SEMANTIC
All Custodians	Brown, Greg;Fuldner, Gus;Kaiser, Roger;Luu, Jenny	SEMANTIC
All Paths	Brown, Greg: \\Drive_003_002_Drive003_001\\JCCP_Drive003_001\\JCCP_Drive003_001_15.zip; Brown, Greg: \\Drive_003_002_Drive003_001\\JCCP_Drive003_001\\JCCP_Drive003_001_15.zip; Fuldner, Gus: \\JCCP-EDISCO-23800_2019_to_2021\\JCCP-EDISCO-23800_2019_to_2021_70.zip; Fuldner, Gus: \\JCCP-EDISCO-23800_2019_to_2021\\JCCP-EDISCO-23800_2019_to_2021_70.zip; Kaiser, Roger: \\JCCP_DRIVE005\\JCCP_Drive005_110.zip; Kaiser, Roger: \\JCCP_DRIVE005\\JCCP_Drive005_110.zip; Kaiser, Roger: \\MassTort_Category2_DRIVE\\MassTort_Category2_DRIVE_6.zip; Kaiser, Roger: \\MassTort_Category2_DRIVE\\MassTort_Category2_DRIVE_6.zip; Kaiser, Roger: \\MassTort_Category3_DRIVE\\MassTort_Category3_DRIVE_8.zip; Kaiser, Roger: \\MassTort_Category3_DRIVE\\MassTort_Category3_DRIVE_8.zip; Luu, Jenny: \\EDISCO-25695_DR01\\EDISCO-25695_DR01_37.zip; Luu, Jenny: \\EDISCO-25695_DR01\\EDISCO-25695_DR01_37.zip	SEMANTIC
Application	Microsoft 2007 PowerPoint Presentation	SEMANTIC
Attachment Names	ppt	SEMANTIC
Begin Family	UBER_JCCP_MDL_000908805	SEMANTIC
Collaborators	dreid@uber.com; kaiser@uber.com; ksengupta@uber.com; sean.mcintyre@uber.com; binnings@uber.com; eric.schroeder@uber.com; gus@uber.com; amosdavis@uber.com	SEMANTIC
Confidentiality	Confidential	SEMANTIC
Date Created	12/18/2019 1:02 am	SEMANTIC
Date Modified	03/11/2020 10:25 pm	SEMANTIC
DocID	1ELJvr4M96zcPTnLRpk-M5xJiFHEZZDnJ9dpQqp_hB1M	SEMANTIC
Document Type	Electronic File	SEMANTIC
End Family	UBER_JCCP_MDL_000908805	SEMANTIC
File Path	\\Drive_003_002_Drive003_001\\JCCP_Drive003_001\\JCCP_Drive003_001_15.zip	SEMANTIC
File Size	18138748	SEMANTIC
Filename	Safety Governance at Uber v2 Jan 2020_1ELJvr4M96zcPTnLRpk-M5xJiFHEZZDnJ9dpQqp_hB1M.pptx	SEMANTIC
GoogleDocumentType	PRESENTATION	SEMANTIC
Hidden Content	Yes;	SEMANTIC
ILS All Bates	UBER_JCCP_MDL_000908805	SEMANTIC
ILS Document Date	03/11/2020	SEMANTIC
ILS Prod Date	10/15/2024	SEMANTIC
ILS Prod Vol	JCCP_MDL017	SEMANTIC
Other Custodians	Brown, Greg;Fuldner, Gus;Kaiser, Roger;Luu, Jenny	SEMANTIC
Primary Date	12/18/2019 1:02 am	DOC_TYP E_ALIAS
Production Volume	JCCP_MDL017;	SEMANTIC
Redacted	No	SEMANTIC
Sort Date	03/11/2020 10:25 pm	SEMANTIC
SourceHash	e69d0d985a98b4458cc8fa447a200929	SEMANTIC

INTERNAL ONLY, ATTORNEY/CLIENT PRIVILEGED AND
CONFIDENTIAL. PLEASE DO NOT SHARE OR DISTRIBUTE
OUTSIDE OF UBER

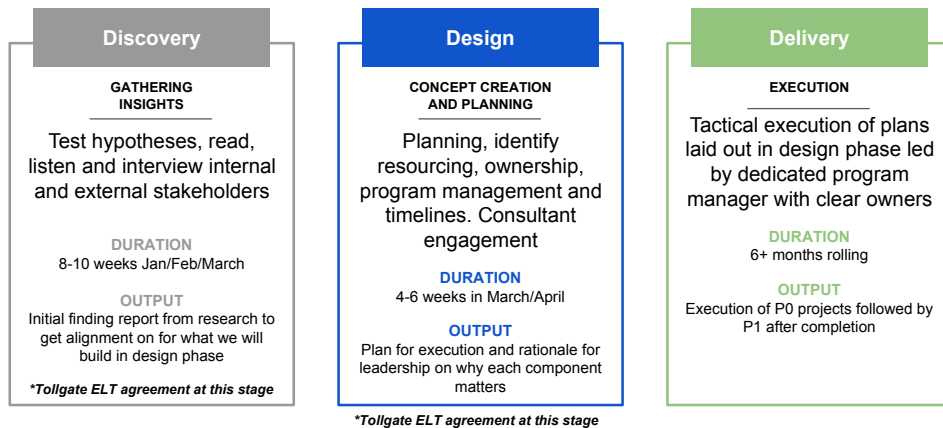
Safety Governance at Uber

March 2020

Agenda March 11

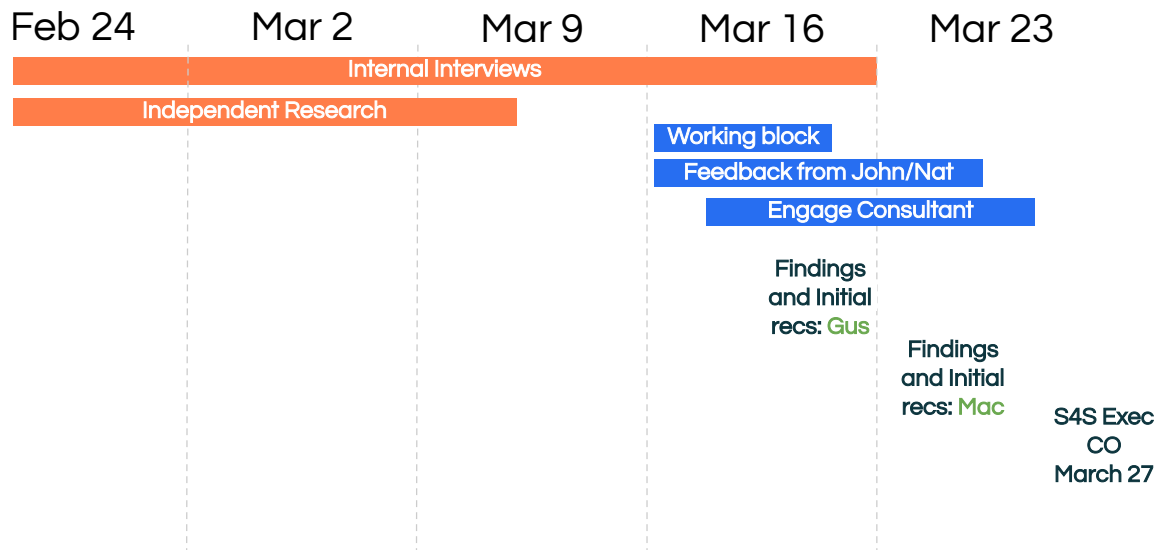
- 01** Timeline Review
- 02** Interview Schedule
- 03** Themes
- 04** Hypothesis Update

Safety Governance Plan



ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Detailed look through March



Interview Schedule

Interviews Completed:

- Nat Beuse
- John Illson
- Anabel Diaz
- Jamie Heywood
- Matt Olsen
- James HeatonSmith
- Melinda Roylett
- Neil McGonigle
- Huw Bevan
- Kate Barnes
- Jodie Auster
- Charlotte Serres
- Nate Anderson
- Scott Schools
- Krishna Juvvadi
- George Gordon
- Sarfraz Maredia
- Eduardo Donnelly
- Susan Anderson
- Troy Stevenson

Upcoming Interviews:

- Pradeep Parameswaran
- Keir Gumbs
- Deepen Mathur
- Tom Maguire
- Claudia Woods
- Anthony LeRoux
- Thibaud Simphal
- Roger Kaiser

*Attorney-Client Privileged and Confidential
Prepared at the Direction of Counsel*

Focus on Incident Reduction

Interview Quotes

*Attorney-Client Privileged and Confidential
Prepared at the Direction of Counsel*

"I will get fired if i don't hit ebitda, i'm not going to get fired if i don't hit a safety KPI"

"Stand for Safety is a sham"

"ELT being all Americans is a problem. We can't have zero percent representation in [safety] decisions"

"If the mandate doesn't come from Mac, it's not going to happen"

"We have a deep cultural kickback [to governance] like you're just creating bureaucracy for us"

"Safety is an ongoing, core priority (like diversity, employee satisfaction, etc) -- it should not be referred to as a program"

"At Uber we wait for a scandal and then it becomes clear we need to do this"

"Safety is reputation and product led rather than foundation led"

"We have all collectively failed, myself included, to make a bigger deal about foundations. The company values the shiny stuff"

"We start with the concept that no one will ever make a mistake. We don't build with the preventative mindset"

"Mac and Pierre made the case that safety shouldn't be a priority for this year. Dara told them to go back. There's not hearts and minds or it wouldn't have had a kick back and rumble"

"Safety metrics today are super painful. The problem i've had is no number feels correct- we know incidents are going in a certain way but the issue is there's a million caveats to the data and no one is comfortable pushing down access, we're in this limbo and it's not good"

Focus on Incident Reduction

What we are hearing

- **Business leadership is not fully bought into safety**
 - Climate of safety- Safety is viewed as a project rather than part of the operating model
 - Leaders not held to safety KPIs and not a regular topic at MBRs
- **Org:**
 - **Functional responsibilities- Global vs Regional and Compliance vs Safety**
 - Global- SME, vision, strategy
 - Local- execution of initiatives, business partner in the region propped up by all the resources from global team (currently missing)
 - RSM role is not well defined- don't have resourcing and support and tools and expertise to give the now-woke business manager what they're looking for
 - Decision-making
 - Current org structure is ineffective - VP of safety reporting into rides, RSMs three layers deep in the business, does not cover all LOBs (more detail [here](#))
- **Data**
 - Without broader access to data, it is difficult to understand what is happening in region and what to do about it
- **Controls/Monitoring**
 - Overly focused on products and perception rather than foundations
 - Too reliant on human processes rather than engineering
- **SMS system (John, Nat)**
 - Foundational element of best in class safety management
- **Industry associations**
 - Critical in elevating safety within airline industry, and ATG also approaching this way

*Attorney-Client Privileged and Confidential
Prepared at the Direction of Counsel*

Focus on Incident Reduction

Hypothesis Evolution

- **121 Risk Management**
 - Implement holistic safety management system
- Controls and Monitoring
 - More focus on foundations
 - Tech enabled processes
- Organizational Structure
 - Current org structure not ideal (no direct access to CEO, decentralized, not across all LOBs)
- Safety Culture
 - Leadership buy in for safety (including KPIs)
- Trade associations / collaboration with industry

*Attorney-Client Privileged and Confidential
Prepared at the Direction of Counsel*

Safety management system

Slide 8

- 1 +nilles@uber.com
To me previous comment - will other people understand what this means and looks like in practice?
Assigned to Hannah Nilles
Sean McIntyre; 3/11/2020 8:47:09 PM
- 2 +nilles@uber.com
I think we need to explain what we mean by foundations
Assigned to Hannah Nilles
Sean McIntyre; 3/11/2020 8:47:50 PM

INTERNAL ONLY, ATTORNEY/CLIENT PRIVILEGED AND
CONFIDENTIAL. PLEASE DO NOT SHARE OR DISTRIBUTE
OUTSIDE OF UBER

Safety Governance at Uber

January 2020

Agenda

- 01** Review goals of governance program
- 02** Proposed project phases
- 03** Hypothesis for focus areas
- 04** Next steps for discovery

Safety Governance

Problem Statement: our current organizational *structure* and *governance* processes may not be best set up to manage and mitigate the safety risks we face

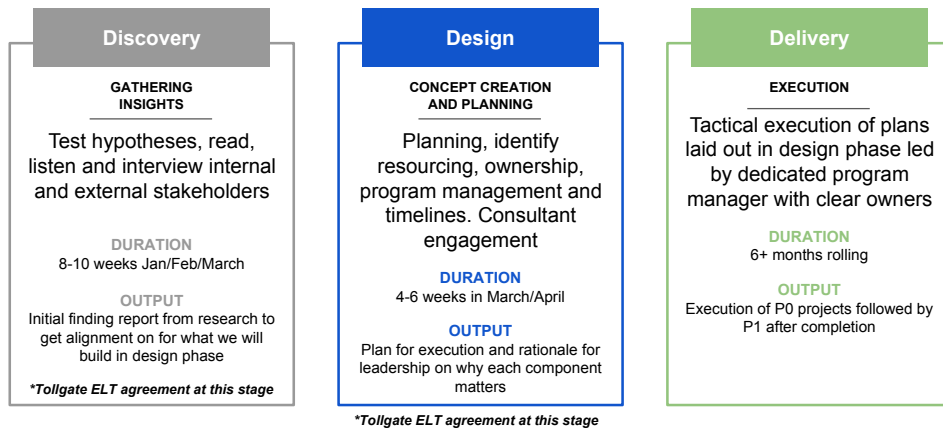
Goal: build a professional safety structure at Uber that is independent, manages risks effectively while allowing the business to achieve its objectives, and can succeed over the long term regardless of personnel and leadership

Proposal: create a year+ plan to improve our safety governance by interviewing internal stakeholders, researching external thought leaders in the space and strengthening our processes and organizational structure and start with high-impact work in Q1

*Safety governance is defined here broadly, encompassing the way in which Uber develops and enforces safety standards, assesses and tracks material safety risks to the business, allocates resources and measures progress against these risks, and makes binding safety decisions regarding operations

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Safety Governance Plan



ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Safety Governance Hypothesis

Initial Focus Areas:

1. Risk Management
2. Controls and Monitoring
3. Organizational Structure
4. Safety Culture

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Risk Management

Key Projects:

- Regional Risk Management
 - Creation of risk registers in every region
 - Evaluate risks through lenses of safety, finance, operations, brand with clear owners
 - Safety risks are assessed, prioritized and managed in line with our risk matrices through a governing body on a defined cadence
 - Risk treatment plans are signed off by panel of leaders
 - Review of process by relevant third-party experts or specialized law firms
- Global Risk Management
 - Stand for Safety Executive Committee Program structure
 - Review global risks for recorded decision-making
 - Approve global safety standards
 - Act as a forum for exceptions
 - Single source of truth for decision making

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Controls/Monitoring

Key Projects:

- **Monitoring critical safety infrastructure- identify key safety processes and create centralized view of up-time**
 - Assessing effectiveness of controls put in place as a result of risk register assessments
- **Embed in Internal Processes**
 - New lines of business safety review
 - Identify processes/forums for strategic decisions that require a safety review
 - Develop standard safety review checklist

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Organizational Structure

Key Projects:

- Standardize roles and responsibilities across regions
- Safety as a platform
 - Resourcing- safety function serves all lines of business
 - Processes and standards apply cross-platform
- Safety as a career path
- Leadership accountability
 - Compensation/performance ties for business leaders, Safety as a KPI
 - Verify effectiveness of controls
 - Ensure resources are provided
 - Safety incorporated into recruiting, onboarding

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Safety Culture

Key Projects:

- Internal safety brand awareness tracking
- Internal trainings for employees
 - Expectations of our employees and leaders for how to incorporate safety into their daily work
 - Roadshow for teams outside of safety
- Channel for reporting safety risks
- Leadership development strategy

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Next Steps: Discovery Plans

- **Timeline:**
 - January 15 - March 15
 - **Phase 1:** Internal Input
 - **Phase 2:** External Research
 - **Phase 3:** Report creation and ELT tollgate
- **Resourcing:**
 - Small research team, partially dedicated
 - Eric, Hannah, Scott, Amos, Sean
 - Bi-weekly check-ins with Gus on learnings/progress
- **Immediate Start:**
 - Risk Registers and Risk Management Framework workshop with small core team
- **Independent Research:**
 - Organizing for Safety by Andrew Hopkins
 - [ISO 31000 Risk Management](#)
 - COSO Risk Management

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Next Steps: Discovery Plans

- **Phase 1: Internal Input:**

Series of interviews and workshops internally

- John Illson, Scott Schools, Heather Childs, Vaibhav Kulkarni, Troy Stevenson, Nat Beuse, Krishna Juvvadi, Roger Kaiser
- RSMs, RGMs, Regional Heads of CommOps
- Other LOB leaders
- Workshop with Sean to define risk management framework

- **Phase 2: External Input:**

- Consultant:
 - Identify relevant well-known consultant and set up 2 day workshop with them before end of February to review our initial hypothesis and internal research
- Identify industries or companies that have similar safety challenges
- Leverage our networks to set up meetings with leaders of other safety organizations to ask specific questions about safety governance. Need to create a list of questions/pre-brief

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Slide 19

1

+gus@uber.com please add any additional roles/people you think we should interview

Hannah Nilles; 1/9/2020 9:15:17 PM

External Research Options

Goal: Meet 2-3 safety leaders from other organizations for listening/learning sessions, and find one external consultant to review our safety culture and governance and one consultant that operates at the c-suite level for organizational change conversations

Consulting Options:

- **High Reliability Group**- based on US Navy Submarine program
 - High reliability workshop- past attendees include BP, Chevron, Halliburton
- **Andrew Hopkins**- author of Organising for Safety
- **ORC HSE- Process Safety Consulting**
 - Bill Hoyle- led investigation teams for deepwater horizon and BP Texas City refinery
- **Nick Chipman** - engaged by BP in relation deepwater horizon, specialist in risk, governance, crises and safety. Good stakeholder to engage and challenge Boards / Execs / CEO. Former Partner and Board Member at PwC with high degree of business acumen across multiple industries, banking / corporate finance - can relate to execs and speak the language of CFOs etc. Strength is that he doesn't come across as a 'safety extremist', can frame problems / solutions in language that resonates with CFOs / CEOs, Boards

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

External Research Options

Relevant Industries:

- **Disney**- highly-sensitive brand, independent contractors interacting with people/children, personal safety risks (theme park)
- **Airline Industry**- thought leader in safety, binary outcome of catastrophic risks, highly regulated
- **Telecom Providers**- Comcast- independent contractors, entering people's homes, high risk of interpersonal conflict, ubiquitous in US
- **Oil and Gas Companies**-high risk industry, well-established safety frameworks, have learned from catastrophic events, highly regulated
- **Hospital Networks/Senior Care**- independent contractors, high risk of interpersonal conflict, sensitive interactions, high risk of litigation
- **Finance/Banking**- technical computer-based compliance controls

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

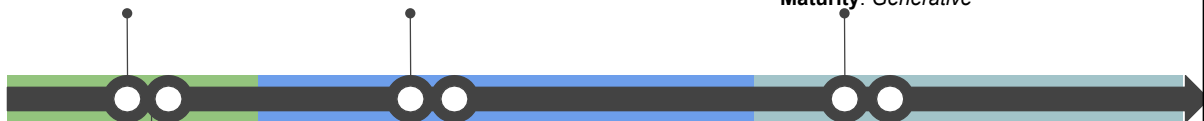
Appendix

Where we are heading

HORIZON 1: ESTABLISH FOUNDATIONS

Time: 12 months

Maturity: *Calculative*

- 
- Discovery, Design, and Stage 1 of Delivery
 - Infrastructure to monitor and address critical safety risks & business needs
 - Leadership alignment on obligations & SFS
 - Develop Safety future roadmap
 - Identify and secure resources

HORIZON 2: SAFETY AS BAU

Time: 2-3 years

Maturity: *Proactive*

- Safety starts to be part of Uber's internal operating rhythm, ways of working & decision making environment
- Build more mature compliance and assurance framework
- Build mature trust and safety culture and ownership from Operations
- Enhanced safety metrics and analytics capability

HORIZON 3: SAFETY INDUSTRY LEADER

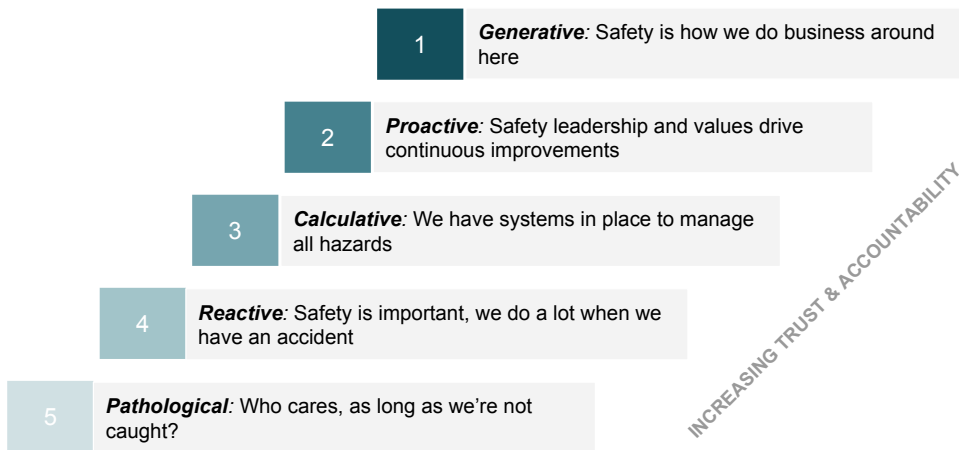
Time: 5 years

Maturity: *Generative*

- Fully embedded safety management framework
- Safety considered in strategy and business planning
- Mature safety culture led and championed by leaders
- Live and predictive indicators for safety and precursors to incidents
- Recognised by society as a safe and value adding corporate citizen – critical to keep cities moving

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Where we are- Safety Maturity Hudson Model

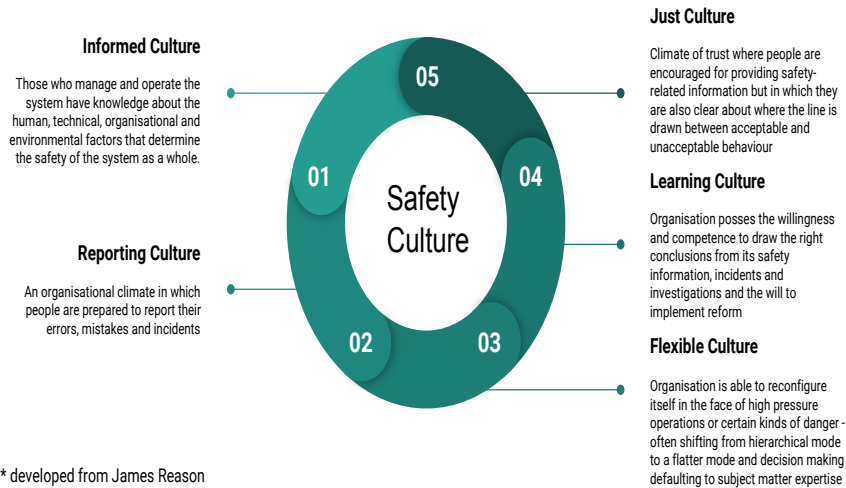


ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Where we want to get to is Generative and having a “Just Culture”

Climate of trust where people are encouraged for providing safety-related information but in which they are also clear about where the line is drawn between acceptable and unacceptable behaviour

Components of a Safety Culture



Psychological safety - 'see something, say something'

Safety Governance

Guiding Principles:

- Structure builds culture
- Clear safety procedures plus a feedback loop from the front line avoid mindless rule following
 - We want a clear path to report problems to leadership
- “Hearts and minds” strategy is not enough but it is helpful with the right foundations
- Research before execution- one time to do this right

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Agenda

01 Context and objectives of this document

02 Current challenges with safety governance at Uber

03 Proposed solutions to building world class safety governance

04 Appendix

01 | Context and objective

Through Stand for Safety, Uber has significantly improved safety across the platform

Uber has prioritized safety over the last two years and invested sizable resources in improving our safety product, brand, processes, foundations, and operations. Accomplishments include:

- Developing and shipping industry leading safety products, including 911 integration, sophisticated algorithmic dispatch interventions in cash markets, and crash detection, among others
- Fundamentally strengthening our background check processes, especially in the US, and rolling out rigorous and structured deactivation policies and processes for both riders and drivers globally
- Investing in comprehensive sentiment tracking across our major markets, allowing us to identify safety as the number one driver of our brand, and also launching several safety campaigns in local markets

These efforts, among others, have positioned Uber as a safety leader in the ridesharing space

Long term success is not assured, however, as Uber's safety governance is fragile

Through regional team visits, engagement with newer business lines, resolving challenging safety issues, and beginning to apply safety policies and principles to fundamentally new lines of business, it's become clear managing safety risks across the enterprise requires refining our safety governance* model:

- Recent improvements in safety largely driven by safety being named a top company priority and the individuals advocating for safety having high credibility within the org; would these facts change, it is not clear Stand for Safety would continue to be an effective program
- Uber regularly faces sizeable risks with the potential to materially, even fundamentally, impact our business, brand and reputation, and regulatory position
- Uber expanding into new lines of business and building out its platform strategy confronts the company with increasingly complex and varied safety challenges globally, requiring more sophisticated and systemic risk management and safety governance to ensure we manage critical business risks appropriately
- Uber's traditionally decentralized structure has enabled spectacular growth and innovation, but has also led to duplication of effort AND/OR inconsistent prioritization of safety across lines of business and geographies, as well as unclear responsibility and decision making authority

Goal of this proposal: Build a professional safety structure at Uber that is independent, effective, and can succeed over the long term regardless of resourcing, personnel, and leadership

*Safety governance is defined here broadly, encompassing the way in which Uber develops and enforces safety standards, assesses and tracks material risks to the business, allocates resources and measures progress against these risks, and makes binding safety decisions regarding operations

02 | Current challenges

1. Organizational structure and responsibilities / resources (1/2)

Attorney Client Privileged and
Confidential / Internal use only

Inconsistent
prioritization /
resourcing of safety
by region

- Regional safety teams report into RGMs, which allows prioritizing and resourcing safety to varying levels
- Responsibility for managing safety risk is inconsistent across products and new lines of business

Safety decisions
influenced by
competing business
priorities

- Safety used as a lever; turned up or down depending on growth / competitive pressures or how salient a recent serious safety incident is in the news
- Products seen as big bets or a critical for growth often request reduced safety requirements

Decisions generally
rest with business
owner

- Some local or regional decisions have outsized consequences for Uber, e.g., legal and/or brand risk, contagion to other markets or products
- Local business owners at times able to take on enterprise-level risk

No independent
authority for safety
within regions

- Performance reviews and promotions for regional safety teams determined by an ops manager, limiting the incentives to exercise independent judgement or oversight

Accountable for speed and spend.

1. Organizational structure and responsibilities / resources (2/2)

Attorney Client Privileged and
Confidential / Internal use only

Key functions sit
with junior people
and / or part timers

- RSMs (L5/L6) manage and mitigate foundational / existential risk for the business and interact, influence and manage senior and executive stakeholders across the company
- Critical safety roles are often filled with nomads or part timers, limiting the ability of an RSM in executing long term projects, tackling problems that require 100% dedication, and impeding development of safety expertise

Lack of safety as a
profession

- Most members of Uber's safety team (excluding ATG and Elevate) are not experienced safety professionals
- No established or defined career path within safety
- Limited ability to recruit true safety professionals

Lack of consistent
ownership of safety
topics / unclear
accountability

- Safety topics are owned by different teams, both centrally and within region
- Duplicative structures exist on other teams within the same market, (e.g. BGCs in Eats). Similar challenges exist with fraud docs, duplicate accounts, financial fraud, etc

Accountable for speed and spend.

2. Leadership engagement

No safety representation on the ELT

- VP of safety and insurance not ELT member
- Signals to the business that safety is not a true company priority on par with growth and profitability
- Inhibits the ability of safety leadership to raise critical issues to the CEO or other executive leaders

Lack of a formal oversight function and forum for critical safety issues

- Critical safety issues are often decided in parallel, small group conversations with senior stakeholders
- Decisions often made without all necessary stakeholders in the same meeting at the same time
- Not currently a regular scheduled safety forum, formally charged with risk management, attended by all relevant senior stakeholders and empowered with final decision making authority

Safety not formally measured for business owners

- Business owners generally measured on growth, profitability, category position, and team satisfaction metrics
- Not incentivized to prioritize safety - not part of the core metrics against which they are held accountable

Accountable for speed and spend.

3. Risk management

Lack of enterprise wide risk management framework

- No systemic assessment of Uber's safety risks, or severity, has been conducted at a global level, and there is not currently a framework in place for doing so

Lack of consistent tracking of safety risks

- Risks to the business, and plans to manage or mitigate these risks are not tracked in a consistent manner
- Responsible owners may lack the appropriate level of oversight and accountability to ensure that identified risks are managed

*GSAT has undertaken a significant effort to document and assess adherence to regulatory requirements globally, but to date has not focused on safety

Accountable for speed and spend.

4. Standards / documents / procedures

Lack of decision making documentation and record of important decisions

- Decisions made regarding an important safety topic are not consistently documented, stored, and disseminated
- Lack of clarity on what was actually decided, what risks and tradeoffs were surfaced and discussed, and creates duplicative work as decisions made weeks or months ago need to be revisited

Convolutd collaboration and stakeholder management processes

- For anyone engaging on a safety project at Uber, it is often not clear who has to be consulted and why
- A typical safety project can involve input from multiple policy, comms, legal, ops, and product teams, leading to much longer development times than necessary and also confusion and frustration for those involved

New businesses and products set up without formal safety assessment

- New lines of business are set up or launched without a formal safety assessment, resulting in unnecessary risks to the enterprise and frustration for the new business team, as they often have to redo or slow down development
- New products can launch without prior consultation with safety, limiting the ability to build in appropriate safeguards prior to implementation

Accountable for speed and spend.

5. Strategic issues

Duplicative (and inconsistent) cross platform safety efforts

- New ops and product teams often build processes or procedures that already exist in rides or other parts of the business
- Some safety requirements for these new businesses are unique and new, but many are identical or similar to challenges long faced on the rides business and expertise could easily be shared across the company

Local efforts not always serving broader strategy or tackling highest impact projects

- Due to a lack of formal risk assessment and trackers, teams often fly somewhat blind in setting roadmaps and determining which projects to pursue
- Teams do not always prioritize highest impact projects from an overall Uber perspective, and issues that pose significant enterprise risks may go un- or under-resourced

New businesses established with significant safety risks and regulatory obligations

- Few individuals within new business lines have experience in understanding what safety regulatory requirements mean and 'look like' in practice and in developing the supporting governance structures and processes for the business, and existing rides safety teams are not resourced or structured to support or meaningfully assist these new lines of business

Accountable for speed and spend.

6. Implementation, monitoring, and reporting

No consistent process for assessing compliance with and enforcing adherence to internal safety standards

- Safety Policy and Standards team is now developing and implementing global safety standards, but there is no mechanism in place for formally monitoring implementation of these standards (GSAT is the logical choice for this role and is willing to oblige; it has not been formally defined as of yet)
- Robust monitoring of critical safety products and processes is inconsistent and often dependent on individual ops teams building dashboards to monitor performance / compliance

Lack of a safety assurance framework

- While today the VP of Safety and Insurance regularly reports to the board and executives on progress in these areas, there is no formal mechanism (i.e., defined in governance documents and not reliant on individual influence) in place to provide independent and robust assurance to executives, the board, and the audit committee on the management of critical safety risks to business that enables accurate and timely reporting and disclosures

Accountable for speed and spend.

03 | Proposed Solutions

1. Reconstitute Safety Executive Committee

Current	Future
• Meets every six to eight weeks • Comprised of a mix of updates on existing projects and discussion around tough issues • Increased senior leadership visibility into safety and decisions around critical safety issues, these decisions have not been consistently abided by or implemented • Forum does not currently track risks at an enterprise level or enforcement, allowing teams to bypass decisions or seek alternative channels of approval (e.g., NYC deactivations, Women Rider Preferred in Brazil) • No regular approval process into our global safety standard	• Increase cadence to monthly • Explicitly recognize this forum as the final decision making body on safety standards and exceptions, challenging safety issues, risk assessment and management, and resource prioritization (to include monthly reviews of highest risk items and new major risks) • Ensure proper senior representation and attendance across legal, compliance, ops, safety, policy, comms, brand, and comm ops • Implement a formal documentation and sign off process, and communicate to relevant stakeholders and maintain centrally • Track compliance and enforcement of safety standards, as well as progress against strategic priorities

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

Accountable for speed and spend.

Recommendations			
Reconstitute Safety Executive Committee			
Priority	Key Milestones	Input Needed	Timing
High	Create committee charter	Review and sign-off from senior leaders Review and approval by board	
	Kickoff meeting with stakeholders		
Time to Implement	Create a sign-off/action item process and host somewhere		
<6 Months			
			
Resources			
Minimal			

13.4% increase on sexual assault incidents reported against riders

2. Align regional safety responsibilities across regions as today responsibilities vary significantly

Current state

Region	Headcount BvA	Reg. Compliance	Quality (Ratings)	Policy / standards	Fraud (financial)	Risk	Access Comp (incl. BGCs and docs)	Pers. safety	Road safety	Eats / Jump
US&C*	21/18	X	✓	✓	✓	X	X	✓	✓	X
EMEA	12/8	✓	✓	✓	✓	✓	✓	✓	✓	X
LatAm	10/7	✓	X	✓	X	✓	X	✓	✓	X
ANZ	5/5	✓	X	✓	X	X	X	✓	✓	✓
IndiaSA	17/16	✓	✓	✓	✓	✓	✓	✓	✓	X
UKI	4/3	✓	✓	✓	✓	✓	✓	✓	✓	X
N. Asia	1/0	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

*US&C is the only subregion also responsible for auto insurance

ATTORNEY-CLIENT PRIVILEGED & CONFIDENTIAL

2. Aligning regional responsibilities enables better collaboration with HQ product teams and across regions

Future state: All regional safety teams own BGCs, driver account integrity, fraud, and quality**

Region	Reg. Compliance	Quality (Ratings)	Policy / standards	Fraud (financial)	Risk	Access Compliance (incl. BGCs, Docs)	Personal safety	Road safety	Eats / Jump
US&C*	✓	✓	✓	✓	✓	✓	✓	✓	✓
EMEA	✓	✓	✓	✓	✓	✓	✓	✓	✓
LatAm	✓	✓	✓	✓	✓	✓	✓	✓	✓
ANZ	✓	✓	✓	✓	✓	✓	✓	✓	✓
IndiaSA	✓	✓	✓	✓	✓	✓	✓	✓	✓
UKI	✓	✓	✓	✓	✓	✓	✓	✓	✓
N. Asia	✓	✓	✓	✓	✓	✓	✓	✓	✓

*US&C is the only subregion also responsible for auto insurance

**Primarily doc fraud, with some support for financial fraud

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL

3. To harness the power of the platform, regional safety teams should also support Eats and Jump

Rationale

- **Reduced duplication of effort:**
 - Many of the safety risks are comparable across the platform and relying on a centralized set of processes, risk management tools, and governance structures reduces the need for teams to set these up on their own
- **Consistency of risk management through process:**
 - For our customers, regulators, and the media, Uber is one company and one brand,
 - Risk needs to be managed consistently and at a high level across the entire business, following a consistent and rigorous risk assessment process
- **Develops true subject matter expertise and builds a professional safety career path:**
 - Allows Uber to attract world class safety professionals and also to develop broad subject matter expertise in critical areas for Uber.
 - Global, cross platform mandate enhances the scope and opportunity of these roles, enabling Uber to attract best in class talent.

ATTORNEY CLIENT PRIVILEGED & CONFIDENTIAL



4. Centralize regional safety teams, reporting into Safety and Insurance: “Independent but Embedded”

Independent

To successfully manage the risks Uber faces globally, as well as the competing business priorities, the safety team must offer an independent expertise and objective safety assessment without tempering recommendations based on the competing pressures

Expertise

Centralized safety teams better able to serve all lines of business on the Uber platform, and not beholden to any one business. Also more likely to have experienced and managed a major safety event across its operations. Creates a true safety profession

Embedded

A regional safety team must have operational know how and expertise to be credible and have a seat at the table. The should continue to be based in region, and the RSM must be senior enough to influence senior stakeholders

Corporate perspective

Major safety events impact more than just the local operation - they can likely have significant impact for the whole corporation and must be managed with this perspective

Empowered

While an RSM's primary KPI is to manage safety, they will also be, directly or indirectly, under pressure to improve growth and cut costs, which can often lead to suboptimal safety outcomes.

Resources

Corporate headquarters have the resources to assemble the necessary expertise to manage risks effectively and consistently, whereas it may not be cost effective enough for a local team to do so

5. Embed safety in Uber processes

New lines of business safety assessments

- Subject new lines of business or partnerships, or substantial expansion of existing lines of business or partnerships, to a thorough safety review, ensuring all activity on the Uber platform conforms to our internal safety standards and risks are managed appropriately

Safety as a KPI

- Business leaders held accountable for appropriate safety KPIs, as critical as growth, profitability, and CP metrics
- Bonuses dependent on proper management of safety risks

Accountable for speed and spend.

Appendix

At what org level should safety be at in Regions?

Safety is an Executive level item

The organisational level that safety sits at in a business / regions makes a difference to how safety is prioritised and seen to be prioritised, resourced and how strategically and proactively it is managed.

Reasons that are commonly cited as to why safety should be represented on the leadership team in organisations include:

Regulatory - assists in better supporting Directors / Senior Execs who have personal accountabilities for safety / legal compliance and demonstrating that its prioritised by them.

There is precedence with org designs / safety org structures being raised in Government inquiries into organisations with poor safety performance with findings concluding that despite the organisation stating safety was a priority, this wasn't reflected in its governance or decision making forums as safety wasn't represented on the leadership / executive team or in decision making. E.g. Marketings, Communications / PR are represented at the executive / leadership level but safety is not; despite organisations stating it is a top priority.

Prioritising and strategically managing safety to support business objectives and growth: Having safety at the executive / leadership level helps ensure safety is prioritised, can be incorporated into strategic planning to proactively address risks to support growth and decisions can be made to enact change.

Prevention: ability to weigh in early on strategic business decisions to support their success and prevent future unintended consequences arising prior to execution. At times there will be critical moments that matter where the safety function will be required to weigh in on decisions that may be unpopular; it is important that safety is on an equal footing with other operational decision makers when this occurs.

With greater access comes greater responsibility: when safety reports to the senior executive / management level in the business / region it puts an increased burden on the safety leader to demonstrate how they are operating strategically and adding value to the business.

Symbolic: when safety is positioned at the senior levels it sends a clear message both internally and externally that safety is a true priority.

What is meant by a 'social licence to operate'?

Social license – or social license to operate – is a term that has been in usage for almost 20 years. At its simplest, it refers to the acceptance granted to a company or organisation by society / a community.

Anyone running a company would be aware that there are many formal legal and regulatory licences required to operate a legitimate business.

Social license is another thing again: the informal "licence" granted to a company by various stakeholders who may be affected by the company's activities. Such a license is based on trust and confidence – hard to win, easy to lose. ([The Ethics Centre](#))

Critical and/or repeat safety incidents and non-compliance puts at risks an organisations social licence to operate and the ability to pursue new markets and growth opportunities. It can result in organisations actually losing their approvals to run their business.

When an organisations 'social licence to operate' is at risk - significant time, cost and resources are required to repair trust and reputation.

Safety Org Design / Structure	Pros	Cons
Centralised safety structure and risk control -Regional safety ops teams report functionally through to the HQ Safety Team. The safety function is a center of expertise to support the business with SME and centralised risk control standards / processes for critical safety risks, with a dotted line into RGMs supporting operations to achieve their objectives and a degree of semi-independent assurance.	Ability to better leverage safety standards, processes, programs and resources across the portfolio of businesses to drive centralised risk control for critical safety risks to the business as a whole. Provides greater function and role clarity for safety. A centralised safety function can more effectively enact organisational wide change than single safety PoCs pushing for change in a decentralised model. Builds safety as a profession within the business. Provides opportunity for career advancement within safety function. More desirable from a governance perspective to house the safety team in a functional structure rather than in operations for a degree of independent assurance and constructive challenge to operational decisions.	If safety team doesn't operate as a support function to the business and could be criticized for for being detached with safety strategies / plans not being aligned to supporting operational objectives and growth. Safety team may not have the resources or expertise to deliver complex operational projects. May signal to the organisation that safety is not the responsibility of the entire org or Operations.
Decentralised safety structure - a safety PoC / team is resourced and reports through operations within a line of business / region / division. In some cases, they may have a dotted line relationship to the corporate safety group or may even work independently of the corporate group.	Structure can be preferred by Operational Management because they have more direct control around safety and can assign responsibility for safety and safety related tasks to a team / individual to complete as they see fit. Operations can be seen to be more accountable for / owner of safety.	If Operations / a LoB doesn't want to prioritise safety, they simply don't resource it and/or position it at lower organisational levels to minimise influence. Safety PoCs can be conflicted / less able to challenge Operations on decisions that may negatively impact safety. Siloes - safety teams can be siloed in large multi-national organisations. This leads to duplication of effort and learnings and processes not being shared / leveraged. Safety is not necessarily recognised as a career / profession within the organisation.

Old slides and org charts

**Regional
safety
teams
reporting
into ops
brings
advantages,
but also
significant
cost**

Advantages of safety reporting into ops

Ops leadership retains control

Ops management directly controls and steers safety for potentially creating more accountability within regional leadership

Seat at the table

Given the reporting structure, regional safety managers more likely to be involved in significant business decisions

Local flexibility

Teams reporting in region potentially more able to pivot quickly to local safety challenges

Challenges with safety reporting into ops

Safety as a growth lever

Depending on prioritization, safety can be scaled up or down to meet business targets, undermining standards and consistency

Lack of independence

Safety should serve as an independent advisor to the business, able to challenge decisions and provide objective guidance. This is compromised when reporting into the business

Tied to one line of business

As Uber expands, it's increasingly important safety serves the whole platform. This is more difficult when reporting into one business unit

4. Centralize regional safety teams, reporting into Safety and Insurance: “Independent but Embedded”

Ensures safety is fully resourced

- Safety reporting centrally ensures a consistent level of resourcing across all regions
- Enables critical safety standards and processes to be rolled out more quickly and uniformly

Empowers safety to challenge constructively

- An independent safety function, reporting centrally, better positioned to objectively challenge operational decisions
- One team with global responsibility raises overall standard of safety

Harnesses power of the platform

- Centralized safety teams better able to serve all lines of business on the Uber platform, and not beholden to any one leadership team
- Avoids duplication of work as expertise, standards, and processes can rapidly be shared across the platform
- Creates a true safety profession within the business

3. To harness the power of the platform, regional safety teams should also support Eats and Jump

Current and future challenges

- Multiple lines of business being established that have significant safety obligations, including additional risks to manage, and regulatory / legal demands
- Few individuals within new business lines have experience in understanding what safety regulatory requirements mean and 'look like' in practice and in developing the supporting governance structures and processes for business.
- Existing rides safety teams not resourced or structured to support existing or new lines of business.
- 'Ad-hoc' / reactive approach to resourcing safety within lines of business, resulting in inefficient deployment of resources, duplication of effort and inconsistent standards and processes

Risks to Uber

- New lines of business delayed or face regulator scrutiny if safety is not planned and resourced from the beginning.
- Increased risk of prosecution if businesses aren't established with sufficient safety governance in regulated markets
- Increased brand / reputation damage as a result of safety incidents / non-compliances putting at risk social licence to operate.

Supporting new businesses aligns ops with other safety counterparts, including GSS, Safety Data, and Safety legal

...and core set of responsibilities

Screenings / BGCs

- While required in some markets, driver screenings are core to safety in every market
- Often first line of investigation when regulators / press enquire into Uber's safety practices

Fraud / Risk

- Fraud and risk teams currently run models and processes with direct operational impact yet no dedicated ops counterpart
- Many of these processes are closely tied to safety (e.g., drivers forming duplicate accounts after getting banned)

Docs / driver access

- Knowing our users, especially drivers, is critical in keeping our platform safe
- Difficult to improve platform safety without dedicated team rooting out fraud docs and account sharing

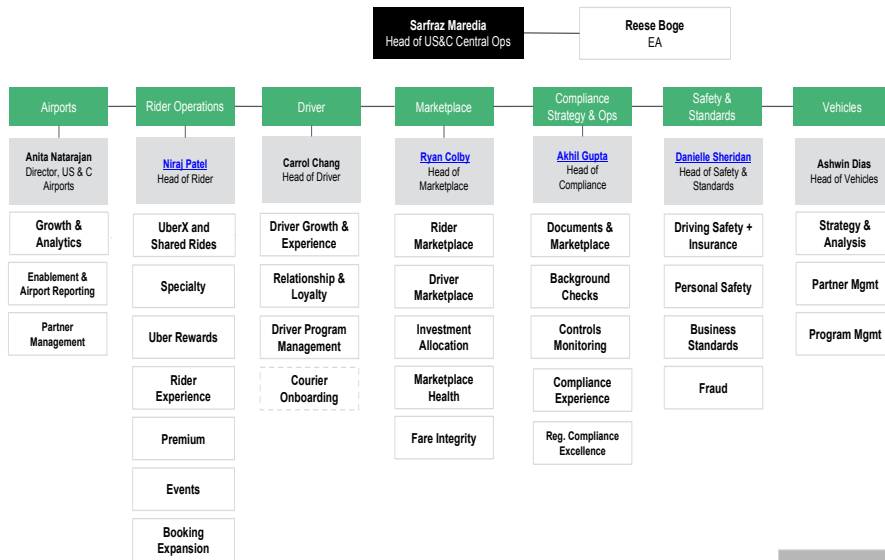
Quality

- US&C has found driver ratings to be one of the most effective indicators of safety risk (especially road safety)
- Enabling safety teams to set quality standards globally would lead to increased safety for users in all markets

US&C

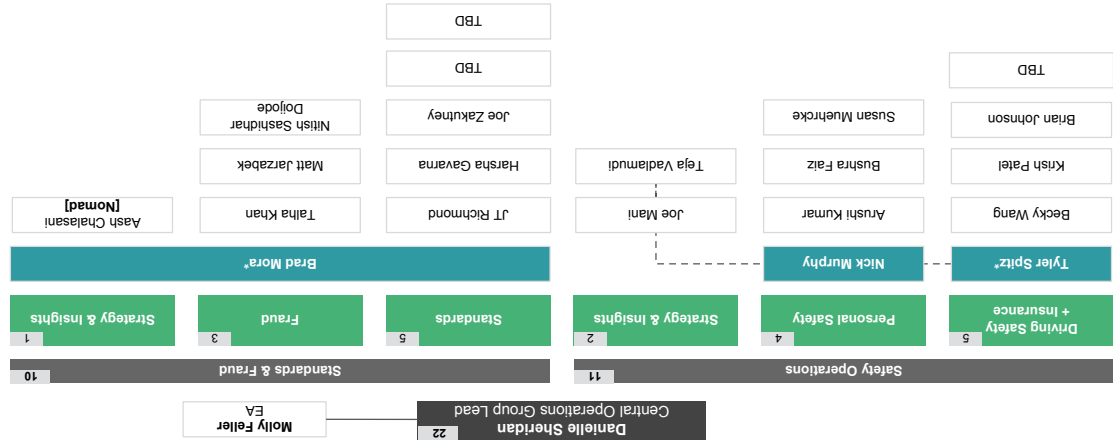
US/CA Central Operations | Overall Team Structure

Slide Owner: Sarah
Schraer



Last Reviewed: 4/8/2019

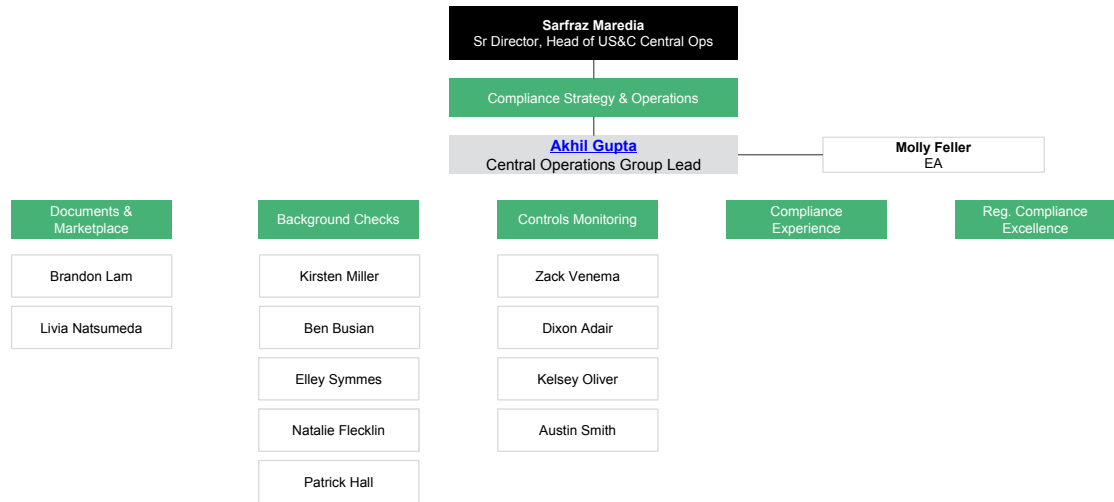
Safety & Standards Org Structure



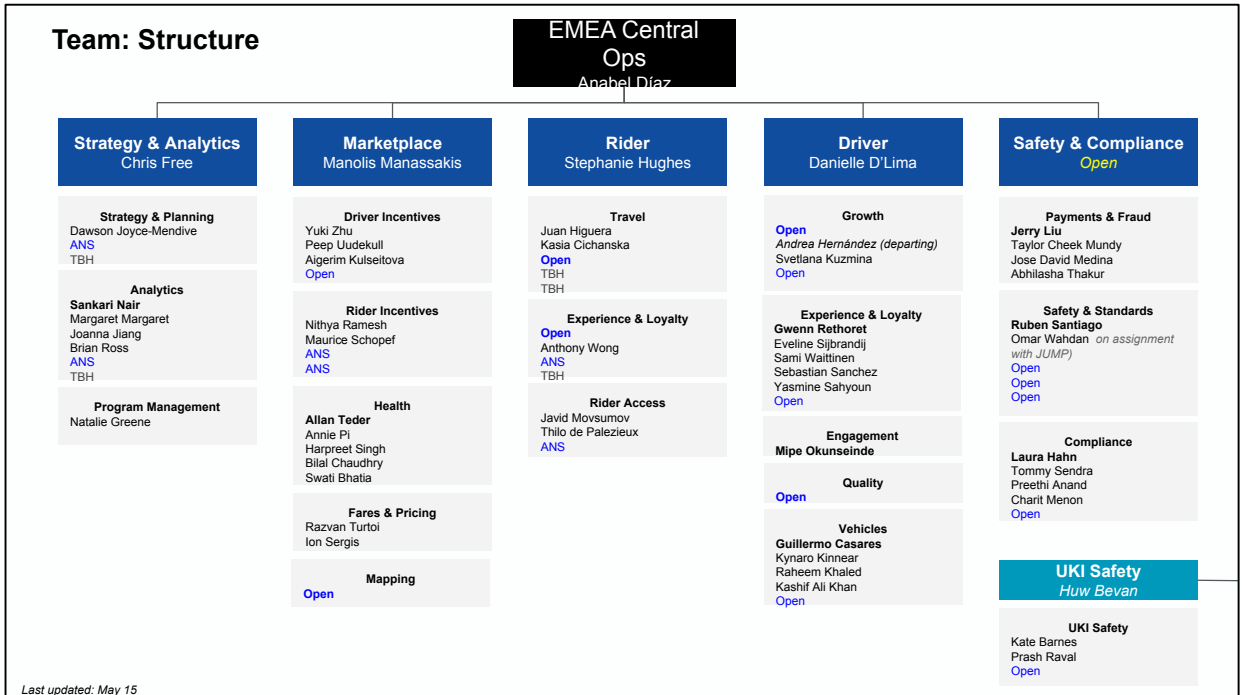
***Interim Manager Changes:** Tyler (Driving Safety) and Brad (Standards & Fraud)

A/C Privilege & Confidential - Not For Distribution

US/CA Central Operations | Compliance

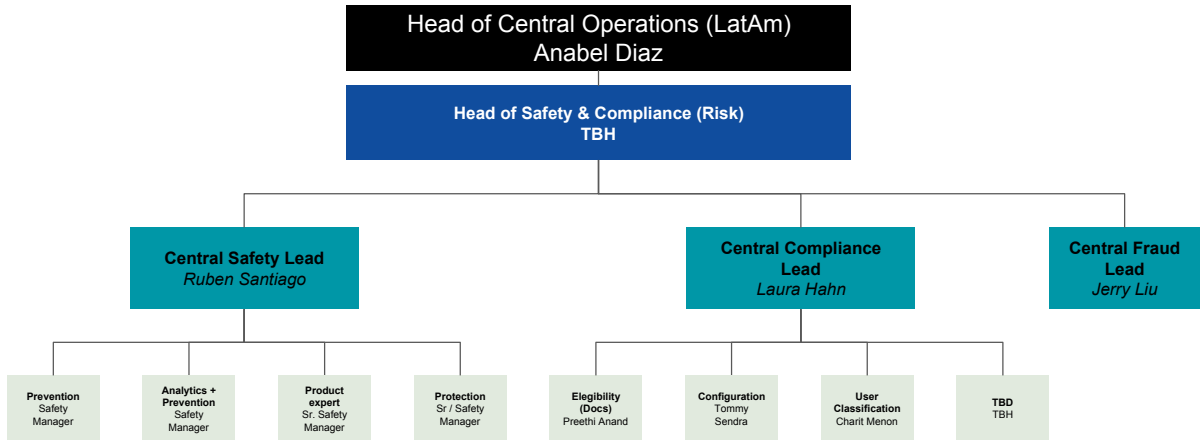


EMEA



Driver updated 26/02/2019

EMEA Central Ops Safety & Compliance Org



New email alias for LatAm Central Ops Safety & Compliance Team: latam-central-ops-safety-and-compliance-group@uber.com

Confidential & AC/Privileged

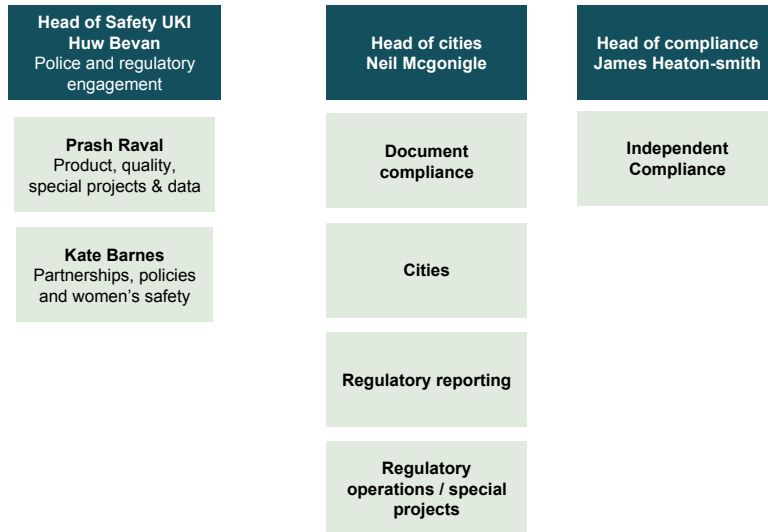
Scope Breakdown within Compliance

Eligibility (Documents) POC Preethi	Configuration (Tools) POC Tommy	User Classification (Driver Info) POC Charit	Compliance Lead & Other Projects POC Laura
Rider Identity <i>Product Ops: Natash Weaser (Alicia Yanez on maternity leave)</i>	Enforcement Tools <i>Product Ops: Camilo Ramirez</i>	Driver Identity <i>Product Ops: Carl King</i>	PSD2 (KYC + e-money) <i>Product Ops: Samir Mathew (Risk)</i>
Screenings <i>Product Ops: Chris Butorac</i>	GSAT Remediation <i>GSAT: Tobias Renstrom</i>	Data Sharing <i>GSAT: Zodin Del Rosario</i>	Strong Customer Authentication <i>Product Ops: Mallory Pierpoint (Risk)</i>
Documents - L28 <i>Product Ops: Pearl Juang</i>	Tax <i>Product Ops: Camilo Ramirez (enforcing)</i>	Fleets <i>To be identified</i>	Greenzone <i>N/A</i>
Multiflow [H2] <i>Product Ops: Chris Butorac</i>	Deduplication <i>Product Ops: Rashi Singh (Risk)</i>	Agreements <i>GSAT: Steven Tran</i>	
Market Support <i>Product Ops: Variety</i>			

Scope Breakdown within Safety

Protection Mohamed Refaat	Prevention TBH (Taylor*)	Analytics + Prevention TBH	PM + Product expert TBH	Safety Lead Ruben Santiago
High level incident response protocol <i>Make sure that there is a clear RAPID for each L4+ incident in the platform across functions & teams</i>	Road Safety <i>Telematics, LCV road safety, Bike Lanes, Crash Prevention, Vehicle Safety, Phone Mounts</i>	Safety Data Quality <i>Ops POC pushing for documentation standards and accountable</i>	Product Launches <i>Main POC for product launches across prevention and protection</i>	Build the network <i>Engage with Safety POCs in the region and lead an EMEA wide strategy</i>
Partnerships <i>Ensure that we establish external partnerships that can speak to our mission and back our tactics</i>	Education <i>Ensure the right educational content is sent to users at the most effective time</i>	Data + Insights <i>Constantly review and report safety data, trends, and insights and propose solutions</i>	RapidSOS <i>Lead RapidSOS discussions with local ops, RapidSOS, and law enforcement</i>	Multiply the impact <i>Establish a core cross-functional team to increase the impact of process, product, and policy rollouts</i>
Response <i>Ensure policy and standard implementation in response to dangerous or risky behaviour</i>	Rider Quality <i>Ensure our rider deactivations link to improvements in safety for drivers</i>	SRAD, SDM, RFT <i>Identify and launch safe dispatch models where required</i>	Enable Growth <i>Propose and provide safety solutions for new products in the region</i>	Safety Flagship <i>PM the Flagship charter remaining accountable for its completion</i>
		Market & Product Support <i>Support markets in data deep dives and help build business cases for products.</i>		Women Safety <i>Lead our Driving Change efforts in the region, getting the right people to work on the project and launching the deliverables</i>
Consulting/Market support <i>Provide SME on Safety to markets in the region</i>				

Scope Breakdown UKI Safety



IndiaSA

IndiaSA Rides Team

IndiaSA Central Ops
Pavan Vaish

IndiaSA RGM
Pradeep

Safety & Quality

Total Approved
Headcount

17 (14+2+1)

Driver
Safety

Rider/
Women
Safety

Safety & Compliance (Sairam)
Safety (Prasoon)
Safety (Nikhil)
Safety (Pooja)
Analyst (Safety) (Vaibhav)
Safety (Abhishweta)
Safety (Jaswinder)
Analyst (Safety) TBH: July
Compliance* (Noopur)

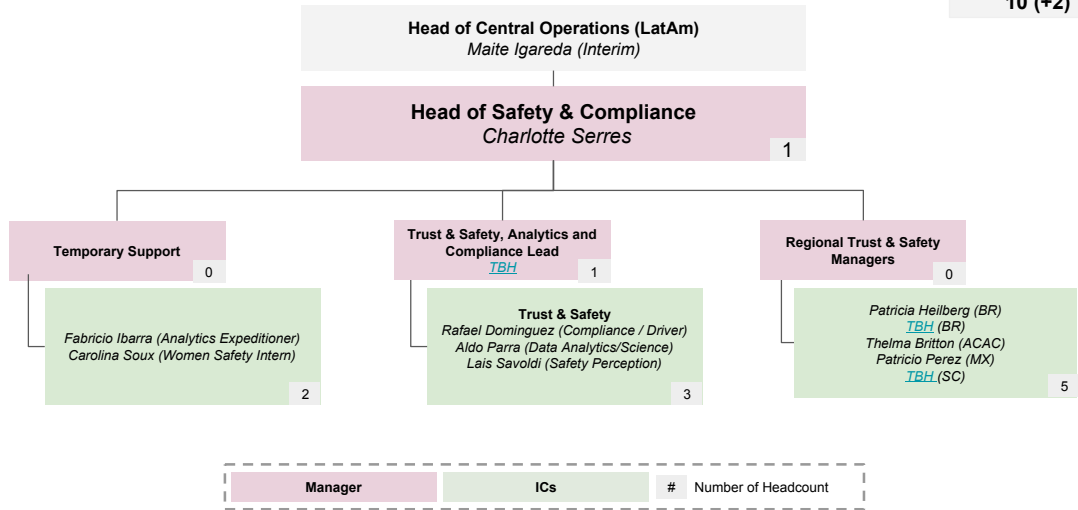
Quality & Risk (Abhinav Sood)
Risk (Prabhat)
Quality (Sagar Patil)
Quality (Aamir Khali)
Quality (Subhasree)
Analyst (Risk) (Parag)
Analyst (Quality) (Kunal)
Quality (Vinay)

*ONE FTE each worth of work for
Compliance will come from both Rider &
Driver Safety Teams

LATAM

LatAm Central Ops Safety & Compliance Org

Total Headcount
10 (+2)



New email alias for LatAm Central Ops Safety & Compliance Team: latam-central-ops-safety-and-compliance-group@uber.com

Confidential & AC/Privileged

ANZ

ANZ Trust and Safety Org

