2020 FTA Joint State Safety Oversight and Rail Transit Agency Virtual Workshop

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Transit Advisory Committee for Safety (TRACS) Recommendations for Innovation in Transit: Employee Safety Reporting

Discussion of TRACS recommendations in report to FTA on innovations in Trespass and Suicide Prevention, Roadway Worker Protections and Employee Safety Reporting

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Employee Safety Reporting Subcommittee

Subcommittee Members:
- Elayne Berry (Team Lead), formerly of MARTA
- James Hickey, formerly of Illinois DOT
- Eric Muntan, MDT
- Victor Wiley, formerly of MATA
- Brian Alberts (Public Participant), APTA
- Frank Castellon (Public Participant), TriMet
- Michael Coplen (Public Participant), TrueSafety Evaluation, LLC
- Gardner Tabon (Public Participant), Capital Metro
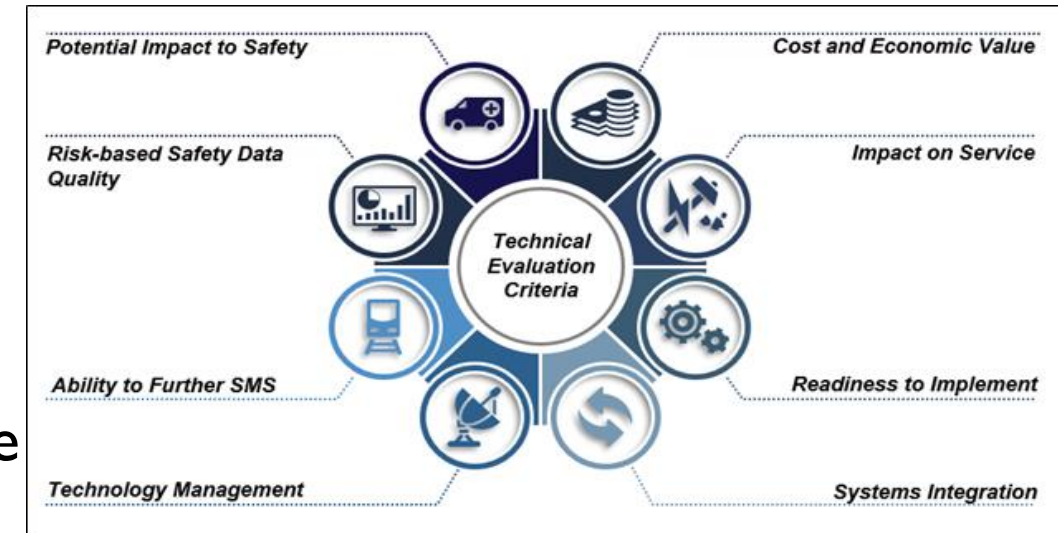- Paul King, Ph.D., (Public Participant), California PUC

Summary:
- Part 673 PTASP requires agencies to establish an ESR system
- ESR Subcommittee developed 5 recommendations focused on technologies and uniform ESR strategies to develop robust ESR programs at rail transit agencies

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Employee Safety Reporting Recommendations

- #1 – FTA should review the current status of ESR programs at RTAs, assess their effectiveness, and identify any needed improvements
- #2 – Adopt Uniform ESR Strategies, attending to the differences between RTAs to provide any needed flexibility
- #3 – Improve Safety Culture
- #4 – Transit Agencies should have Dedicated Staff who ensure that Agencies are SMS-Compliant and to conduct Quality Assurance
- #5 – FTA should provide a Third-Party Central Repository for Information that included the ability to conduct Agency-to-Agency Comparisons and Confidential Close Call Reporting System (C³RS)

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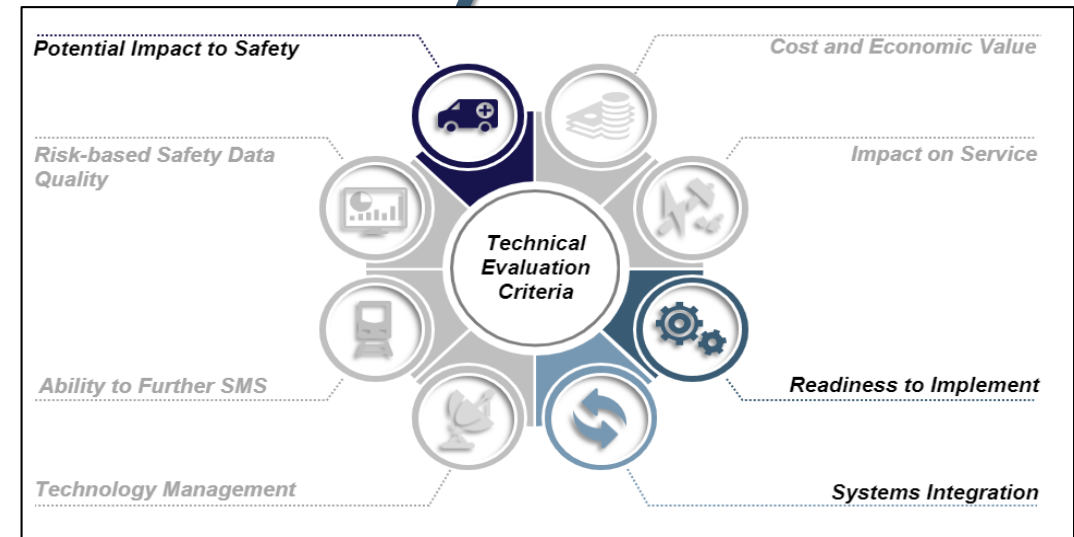Federal Transit Administration

ESR Recommendation #1 - Review Current Status of ESR Programs, Assess Effectiveness, Identify Needed Improvements

- Criteria/Methodology
  - Include all criteria
- Key Takeaways
  - ESR establishment in 2012 TRACS report
  - PTASP places ESR requirements on RTAs
  - FTA webinars, workshops, and guidance available
- Information Gaps
  - Unknown if any ESR systems implemented based on TRACS report recommendations
  - Confidentially , but not anonymity which is the best protection against punitive responses to reporting, discussed in previous reports
  - Industry-wide sharing of "close call" info one of most important elements of ESR

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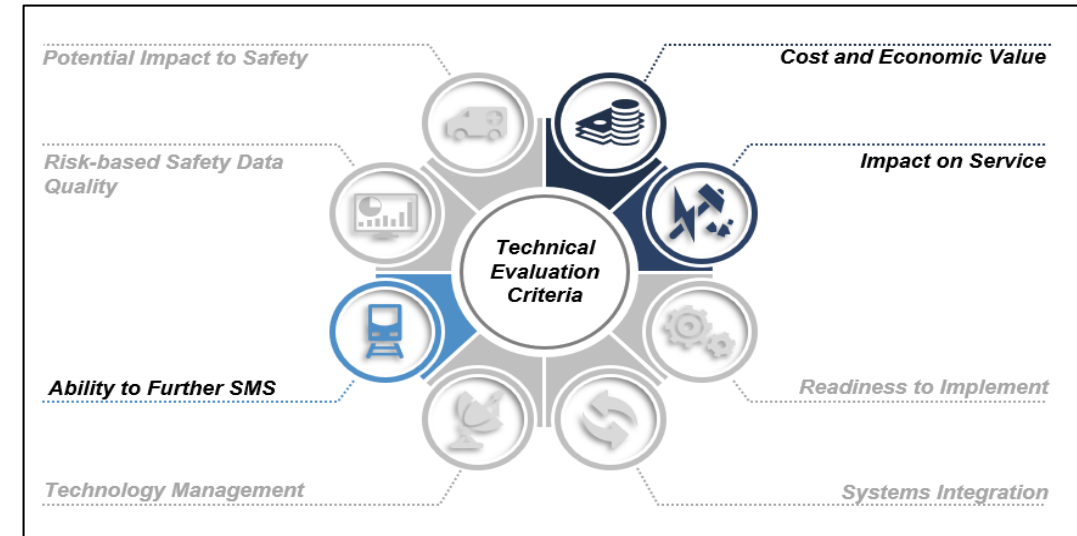Federal Transit Administration

ESR Recommendation #2 – Adopt Uniform ESR Strategies, attending to the differences between RTAs to provide any needed flexibility

- Criteria/Methodology
  - Needs to be flexible and scalable
- Key Takeaways
  - Information frequently shared in industry
  - Consistency in approaches benefits industry
  - Shared ESRP framework allows collaboration
  - Clear guidance would assist vendors and SA
- Information Gaps
  - Transit industry leaders should be consulted to agree on uniform terminology and definitions to be used in employee reporting systems
  - Representation of and agreement by both large and small and bus and rail necessary
  - FTA and APTA have an opportunity to take the lead on this issue
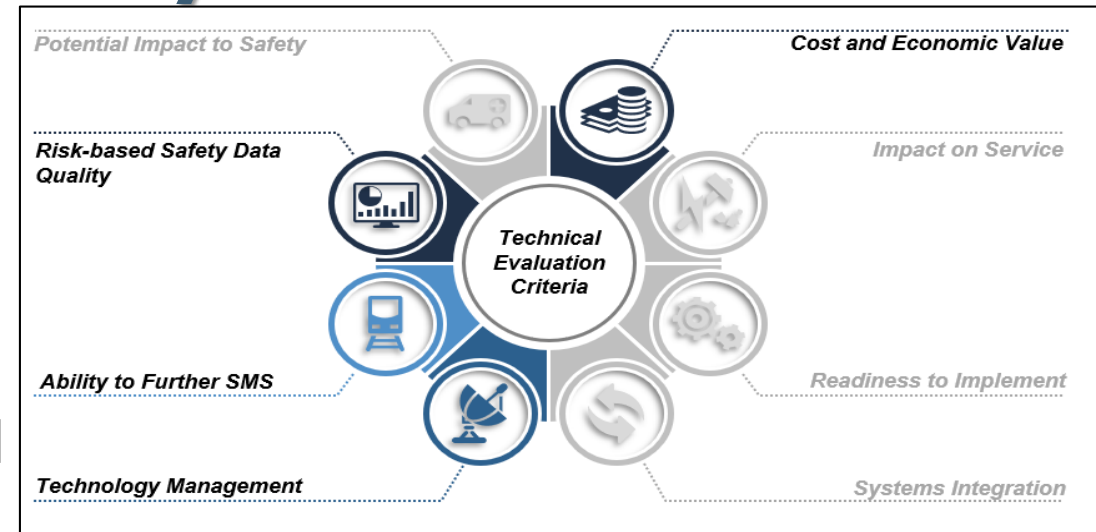

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ESR Recommendation #3 – Improve Safety Culture

- Criteria/Methodology
  - Include history of distrust in industry culture
- Key Takeaways
  - Tools and incentives largely missing
  - Info needed from positive change industries
  - Trust earned individually in organization
- Information Gaps
  - Few transit agencies carefully measure their own culture and its impacts
  - Need to move from discipline[based incentives to cooperative and trusting incentives indicative of a healthy safety culture
  - Need tools for measuring outcomes of cultural change and improvements in morale, safety, and service quality that are broadly expected

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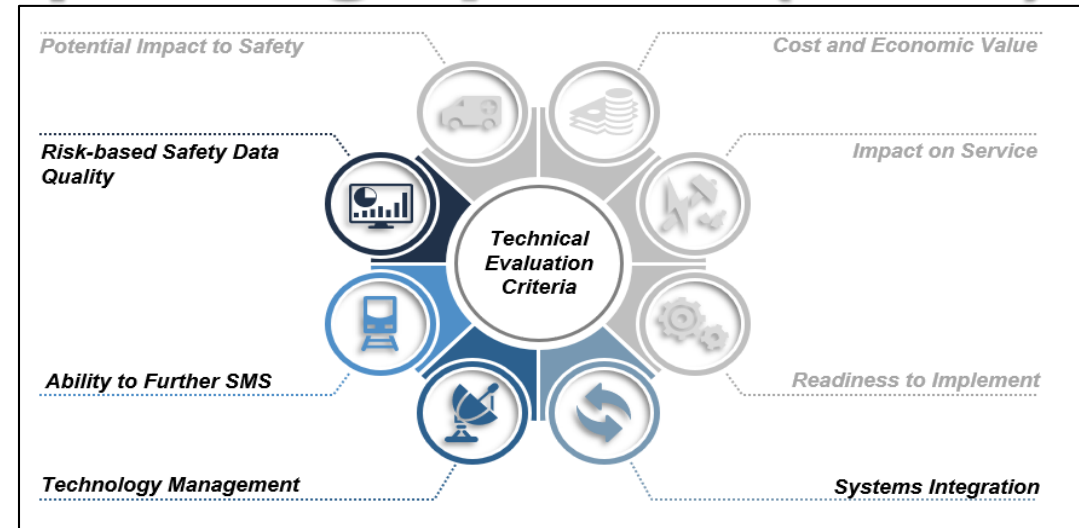Federal Transit Administration

ESR Recommendation #4 – Transit Agencies should have Dedicated Staff who ensure that Agencies are SMS-Compliant and to conduct Quality Assurance Criteria

- Criteria/Methodology
  - Accurate gathering and analyzing of data
- Key Takeaways
  - SMS dictates data-driven action
  - Dedicated fiscal and personnel resources
  - Staff trained to analyze complex data needed
- Information Gaps
  - Challenges finding people with data-analytic skills, transit safety and SMS knowledge
  - Dedicated staff to collect, compile, interpret, and disseminate information
  - Minimum qualifications should be considered so agency can quickly begin structuring all activities around PTASP requirements.
  - Without protections from public records request, fear of retaliation and litigation

Potential Impact to Safety

Cost and Economic Value

Risk-based Safety Data Quality

Impact on Service

Technical Evaluation Criteria

Ability to Further SMS

Readiness to Implement

Technology Management

Systems Integration

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ESR Recommendation #5 – FTA should provide a Third-Party Central Repository for Information that included the ability to conduct Agency-to-Agency Comparisons and Confidential Close Call Reporting System (C³RS)

- Criteria/Methodology
  - Leading indicator development important
- Key Takeaways
  - Need for robust safety culture at agency
  - Engagement of all early in process
  - Support from CEO/GM critical for ESR
- Information Gaps
  - Lack of information on current and emerging technologies that can be used for ESR
  - Gaps in knowledge related to an understanding about the psychological effects of ESR
  - Need confidentiality, anonymity, IT permissions and cybersecurity protection of data

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