

FTA

FEDERAL TRANSIT ADMINISTRATION

2019 Joint SSO and RTA Workshop

Employee Safety Reporting Programs (ESRP)

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Federal Transit Administration

September 25, 2019



U.S. Department of Transportation
Federal Transit Administration

Agenda

- Why an Employee Safety Reporting Program?
- What are the PTASP requirements?
- What are some considerations for designing?
- What are some considerations for implementation?
- Key takeaways
- Questions

Objectives

- To help transit agencies understand requirements for Employee Safety Reporting Programs (ESRP) in the Public Transportation Agency Safety Plan (PTASP) regulation at 49 C.F.R. Part 673
- To support the development of an ESRP for your Agency Safety Plan (ASP).

Safety Management System (SMS) Components



EMPLOYEE SAFETY REPORTING PROGRAM RULE REQUIREMENTS

ESRP Safety Management Policy Requirements

§ 673.23(b)

What it means

- | | |
|--|---|
| <ul style="list-style-type: none">• Must establish and implement a process that allows all employees—including contractors—to report safety conditions to senior management.• Must specify protections for employees who report safety conditions to senior management• Must describe employee behaviors that may result in disciplinary action—and therefore would not be covered by protections | <ul style="list-style-type: none">• Develop an ESRP<ul style="list-style-type: none">– Agencies choose what to report and how to report different types of information• Protect employees who want to report..
Can include:<ul style="list-style-type: none">– OSHA whistleblower protections– Confidentiality• Identify behaviors that are not protected.
Can include:<ul style="list-style-type: none">– Record falsification, personal phone use, drug and alcohol violations |
|--|---|

ESRP Safety Assurance Requirements

§ 673.27(b)

What it means

- **Must monitor information reported through any internal safety reporting programs**

- Programs can be:
 - ESRP
 - Mandatory safety reporting (e.g. accident notification)
- Information can be used to identify hazards
- Information can be analyzed and assessed
- Information is an important source of safety data in the safety risk management process

ESRP Safety Promotion Requirements

§ 673.29(b)



What it means



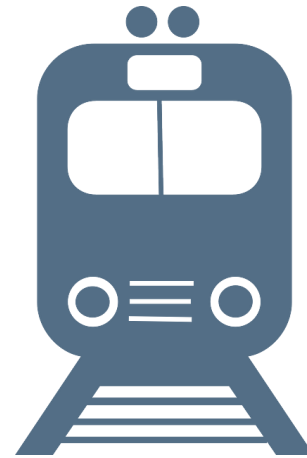
- **Must inform employees of safety actions taken in response to reports submitted through an ESRP**

- A safety action doesn't always mean implementing a new safety solution
 - Actions taken in response to reports could primarily involve recordkeeping for later trend analysis
- Responding to employee reports can help encourage more employee reporting

CONSIDERATIONS FOR DEVELOPING AN ESRP

Customize Your ESRP

No one size or design fits all – each transit agency has the opportunity to design an ESRP for their SMS and to fit with their organization.



Preparing for an ESRP

Your agency may want to assess its readiness to implement an ESRP by evaluating:



Goals



Stakeholders



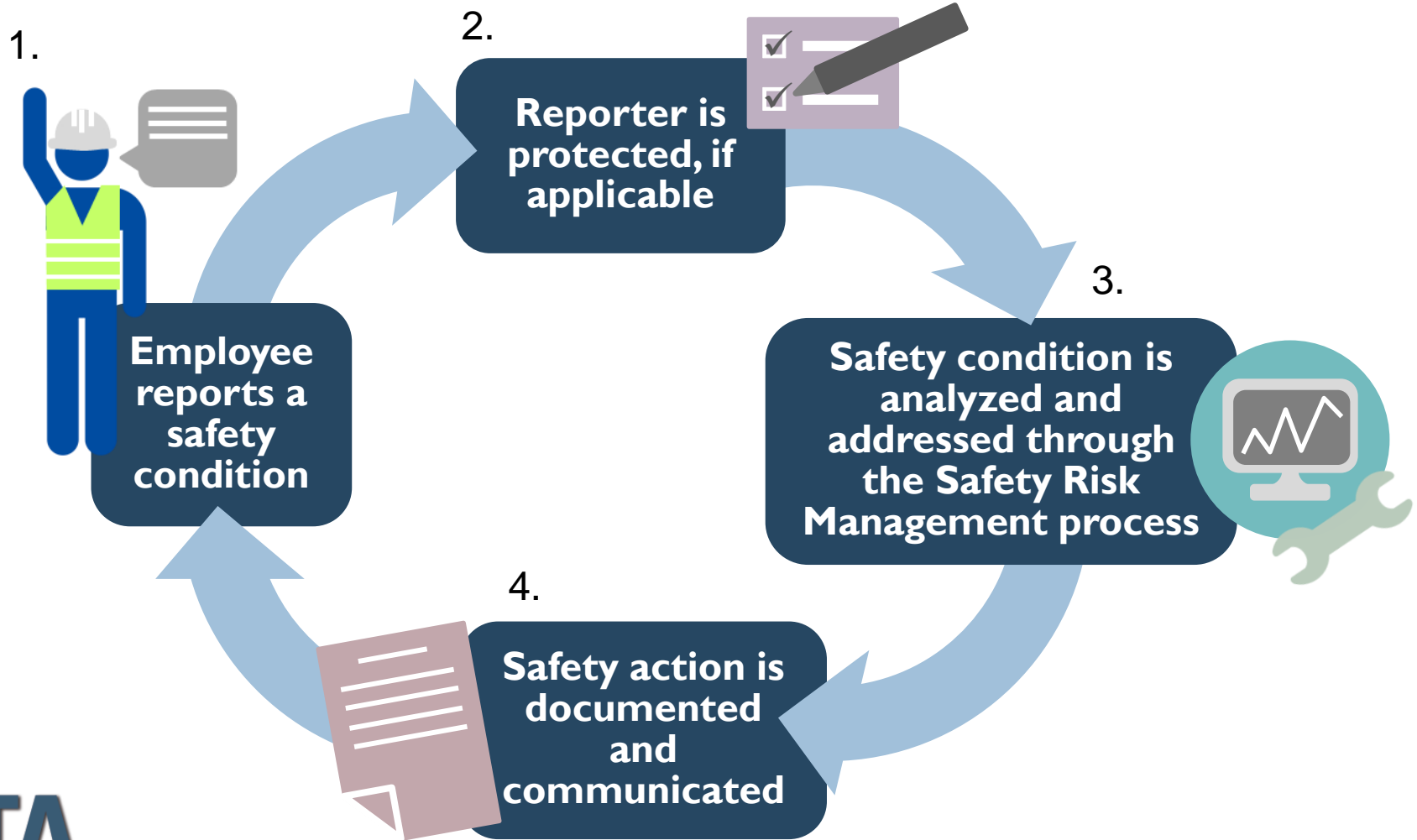
Resource
Considerations



Design
Considerations

CONSIDERATIONS FOR IMPLEMENTING AN ESRP

Protections and Communication can Encourage More Reporting



Support for ESRP Determines Value

The value of an ESRP depends on your organization's level of commitment and support for the Program.



A Successful ESRP is Built on Trust

The greater the level of trust, the more likely your agency will learn about the safety conditions that your employees experience.



Characteristics of a Good ESRP

- Management's commitment
- Safety is everyone's responsibility
- Clear safety roles for each individual
- Empowered employees
- Staff involved in ESRP planning process
- Culture of learning from past mistakes

Characteristics of a Good Safety Culture

Culture of learning

Flexible/adaptable

Flexible organizational structure

Both managers and operators should be informed

Organizational factors

Trust is essential

Barriers to Employee Reporting

Lack of commitment and/or financial priority

Insufficient technology

“Code of Silence” or peer pressure

Fear of consequences

Culture or attitude that accepts risks

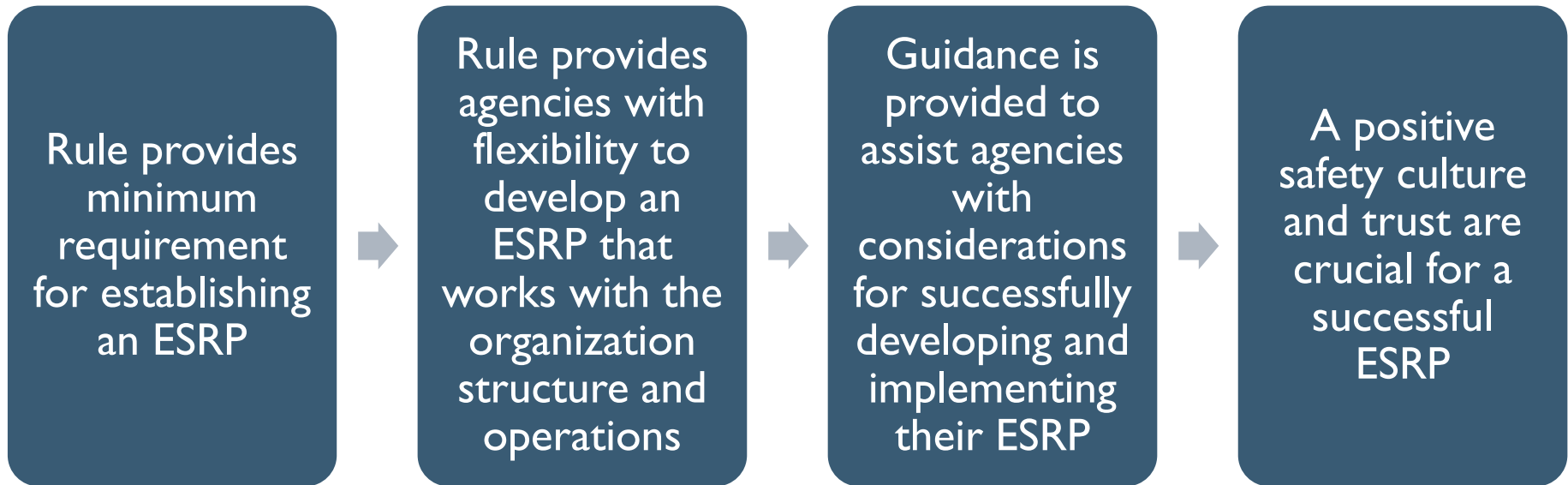
Lack of supervision

RECAP OF ESRP

Are These Examples of ESRPs?

- Close call reporting
- Safety hotline
- Customer complaint program
- Third party web-based incident reporting system
- Employee organizational satisfaction survey
- Safety briefings
- Writing pads provided to bus operators to help identify concerns
- Personal social media post

Key Takeaways



Questions?

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