

# FTA

FEDERAL TRANSIT ADMINISTRATION

## **Employee Safety Reporting Programs**

*July 31, 2019*



U.S. Department of Transportation  
Federal Transit Administration

# Webinar Objectives and Topics

## 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).

## Topics

- ESRP requirements
- Considerations for developing the ESRP section(s) of an ASP

# Safety Management System (SMS) Components



# What's Unique About the ESRP Requirements?

Safety Risk Management (SRM) and Safety Assurance (SA) are the key processes and activities for managing safety.

**Actions**

VS

Safety Management Policy (SMP) and Safety Promotion (SP) provide the structure and supporting activities to make SRM and SA possible and sustainable.

**Enablers**

# EMPLOYEE SAFETY REPORTING PROGRAM REQUIREMENTS

# Employee Safety Reporting Program

## § 673.23(b)

- Must establish and implement a process that allows **all employees**—including relevant contract employees—to **report safety conditions to senior management**
- Intended to help the Accountable Executive and other senior managers get important safety information from across the transit agency
- The program can be an agency's most important source of information
- Part 673 does not specify which methods should be used—transit agencies may consider:



- Hotline
- Paper form
- Safety meetings or toolbox talks
- SharePoint site or form
- Phone or tablet app
- Third party information collection service

# ESRP Safety Management Policy Requirements

- Reported safety conditions could include hazards, potential consequences of hazards, or any other information relevant to safety.
  - Transit agencies may choose to specify how employees should report different types of information.
- Must specify protections for employees who report safety conditions to senior management. Part 673 does not specify what those protections must be. Options include, but are not limited to:
  - OSHA whistleblower protections
  - Confidentiality

## § 673.23(b)

- Must establish and implement a process that **allows all employees—including relevant contract employees—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

# ESRP Safety Assurance Requirements

- **Reporting programs include, but are not limited to:**
  - Employee safety reporting programs
  - Mandatory safety reporting programs (e.g., accident notification)
- **Could collect, analyze, and assess information** reported from programs over time.
- May be an important **source of safety data.**
- Analysis of reports **may lead to the identification of hazards** to address through Safety Risk Management.

## § 673.27(b)

Transit agencies must monitor information reported through any internal safety reporting programs.



# ESRP Safety Promotion Requirements

- Includes relevant contractors.
- A safety **action doesn't have to mean implementing a new safety solution**. Many safety actions taken in response to reports could primarily involve recordkeeping for later trend analysis.
- **Responding to employee reports can help to encourage more employee reporting.**

## § 673.29(b)

- **Must inform employees of safety actions taken in response to reports submitted** through an employee safety reporting program.

# Polling Question (*choose one*)

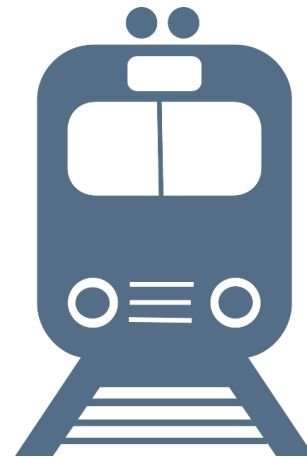
Does your agency currently have an employee safety reporting program of any kind?

- Yes
- No
- Not Sure
- N/A

# 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

# Goals



It may be helpful to identify what your agency wants to learn from the ESRP. Your agency's needs should influence the design of your ESRP.

**Goal 1 Example:**  
Improve Driver  
Safety

**Goal 2 Example:**  
Improve Mechanical  
Shop Safety

# Stakeholders



Who are your stakeholders and what are their roles in the ESRP?

Agency  
Leadership

Decision-makers

Reviewers and  
Analysts

Employee  
Reporters

Labor  
Organizations

Contractors

# Resource Considerations



What resources do you need to develop and implement your ESRP?

Staff

Communications

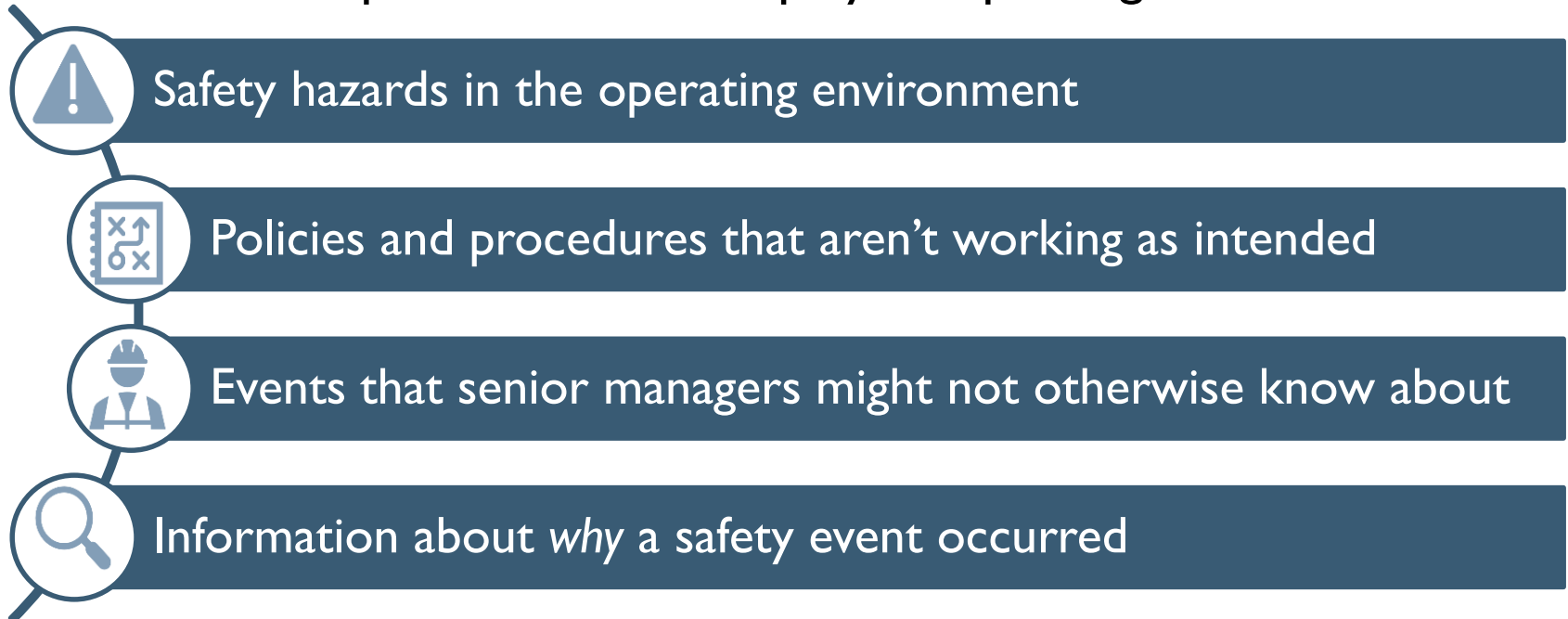
Budget



# Design Considerations



- It may be helpful to **consider what safety information the agency needs from employees** when developing the process, methods, and protections for employee reporting, such as:



- Note: Other industries may have helpful experience with effective safety reporting programs.

# Design Considerations



What level of analysis will you perform?

Analyze in isolation  
(standalone analysis of  
employee reports)?

Analyze together with  
other sources of data?

Benchmark against  
industry data?

Track whether your  
mitigations worked?

# CONSIDERATIONS FOR IMPLEMENTING AN ESRP

# ESRP Cycle



# 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.



# Resources to Help You Prepare Now

## Read, watch, and participate

- Review the [PTASP FAQs](#)
- Visit the [PTASP Resources](#) page to view previous webinars and documents
- Participate in webinars explaining PTASP-regulations and guidance
- Read our newsletter, [TSO Spotlight](#) for PTASP-related articles

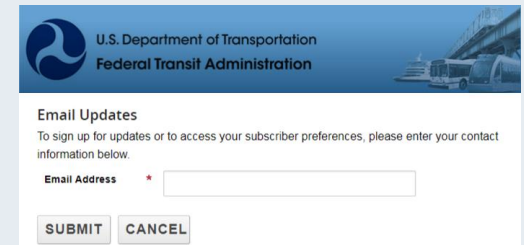


## Attend a workshop

- FTA is holding PTASP workshops in August and September 2019 for bus and rail transit agencies. The workshops will allow participants to learn more about the rule's requirements, how to implement SMS, and to share best practices.
- Information on the workshops can be found on the FTA website under [Calendar of Events](#) and on FTA's [PTASP page](#) for registration updates

## Sign up to receive updates

Sign up for GovDelivery:



- FTA announcements and new PTASP documents
- <https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new>

Employee Safety Reporting Programs

# PARTICIPANT QUESTIONS