



Learn. Share. Engage.

This issue of the *Biweekly Message* focuses on Employee Safety Reporting Programs (ESRPs).

Featured Resources

ESRP Webinar (July 31, 2019):

[Webinar Presentation](#) | [Webinar Recording](#)

The [Safety Management Policy Fact Sheet](#) discusses the ESRP requirement and some considerations for transit agencies.

FTA's [presentation on ESRPs](#) at the 2019 Joint State Safety Oversight and Rail Transit Agency Workshop discusses PTASP requirements and considerations for ESRP design and implementation.

[Introduction to Safety Performance Indicators and Targets](#) includes guidance on how to use performance and metrics reporting to enhance your agency's ESRP.

The [Sample Small Public Transportation Provider Agency Safety Plan \(ASP\)](#) illustrates how small public transportation providers can address the minimum requirements in the PTASP regulation (Part 673). This ASP is one example of how a small provider could meet Part 673 requirements and is intended as a reference document; States and agencies may choose to use a different approach. Part 673 is flexible and scalable and there are many ways to comply.

Access the entire resource library by visiting FTA's [PTASP Technical Assistance Center website](#).

Need Assistance?

Contact a PTASP Specialist today!



PTASP-TAC@dot.gov

1-87 PTASP-AID



1 (877) 827-7243

9 am to 8 pm EST, M-F

Did you know that FTA's Technical Assistance Center (TAC) offers voluntary reviews of draft ASPs?

Submit your ASP by



April 30, 2020, to
guarantee review by TAC
Specialists.

(For more information, see also [Agency Safety Plan Review: What to Expect.](#))



ASP Tip

ESRP and Contractors

If your agency uses contractors to provide or support service, make sure they are included in the agency's ESRP or have a safety reporting program of their own to ensure contract employees can report safety conditions.



Q & A Highlights

Question:

If we define the ESRP policy within our ASP, do we also have to have a separate ESRP policy document, or can the policy described in the ASP serve in that capacity?

FTA Response:

The agency is not required to have a separate ESRP policy document. If you prefer, you can describe your employee safety reporting process in a separate document and then reference it in your ASP.

Sample ASP Section: ESRP

The following excerpt is from the *Sample Small Public Transportation Provider ASP* developed for the fictional agency *County Transit (CT)*.

CT's ESRP encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith, without fear of retribution. There are many ways employees can report safety conditions:

- Report conditions directly to the dispatcher, who will add them to the daily Operations Log.
- Report conditions anonymously via a locked comment box in the driver area.
- Report conditions using their name or anonymously to Safety@CT.org.
- Report conditions directly to any supervisor, manager, or director.

Examples of information typically reported include:

- Safety concerns in the operating environment (for example, county or city road conditions or the condition of facilities or vehicles);
- Policies and procedures that are not working as intended (for example, insufficient time to complete a pre-trip inspection);

Upcoming Webinars:

ASP Review, Approval, and Certification (Rescheduled)

When: March 19, 2-3:30 EST

[Register Here](#)

Safety Assurance ASP Section Lessons Learned

When: March 26, 2-3:30 EST

[Register Here](#)

Safety Promotion ASP Section Lessons Learned

When: April 23, 2-3:30 EST

[Register Here](#)



- Events that senior managers might not otherwise know about (for example, near misses); and;
- Information about why a safety event occurred (for example, radio communication challenges).

On a daily basis, the Chief Safety Officer (CSO) reviews the dispatch daily Operations Log, checks the comment box and dedicated email address, and documents identified safety conditions in the Safety Risk Register. CT's CSO, supported by the Safety Committee, as necessary, will review and address each employee report, ensuring that hazards and their consequences are appropriately identified and resolved through CT's Safety Risk Management process and that reported deficiencies and non-compliance with rules or procedures are managed through CT's Safety Assurance process.

CT's CSO discusses actions taken to address reported safety conditions during the quarterly All-Staff Meetings. Additionally, if the reporting employee provided his or her name during the reporting process, the CSO or designee follows up directly with the employee when CT determines whether or not to take action, and after any mitigations are implemented.

CT encourages participation in the ESRP by protecting employees that report safety conditions in good faith (see CT Employee Handbook [Section 5] for more information). However, CT may take disciplinary action if the report involves any of the following:

- Willful participation in illegal activity, such as assault or theft;
- Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended, such that people or property are put at risk; or
- Deliberate or willful disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.

Get Involved with the [PTASP Community of Practice](#)

We want to hear from you! Below are two of many topics for discussion. Start the conversation today to support your ASP development and learn from your peers.

- How does your agency evaluate whether [planned changes present safety concerns](#)?
- What kind of [safety training](#) courses are you requiring for personnel (including contractors) considered directly responsible for safety?

The guidance in this document is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect rights and obligations under existing statutes and regulations.