PTASP Lessons Learned: Employee Safety Reporting Program and Safety Hazard Identification

Rhoderick Ramsey, Program Analyst (Safety Promotion)
Federal Transit Administration

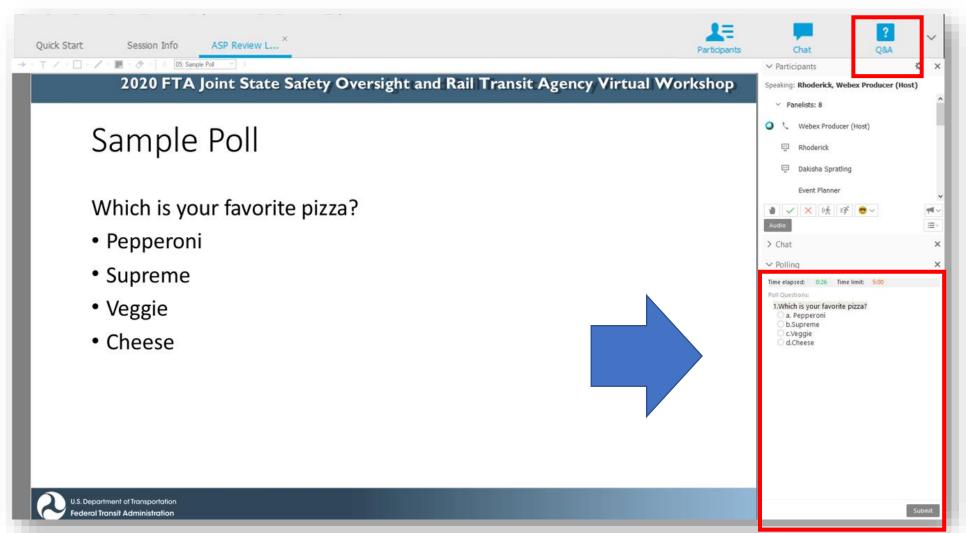Annabelle Boyd, Senior Consultant
Boyd Caton Group

Andrew Lofton, Senior Consultant
Boyd Caton Group

Agenda

- Employee Safety Reporting Program (ESRP) lessons learned
  - Interactive polling and planning

- Safety Hazard Identification lessons learned
  - Interactive polling and planning

- Question and answer session

U.S. Department of Transportation
Federal Transit Administration

Interactions

Planning Exercises

- Consider the presented ASP lessons learned

- Respond to the questions

- Volunteers may share their thoughts with the group

- Starter questions to use with your staff on pages 8 & 11 in your handouts.

Employee Safety Reporting Program (ESRP)

Lessons Learned

Employee Safety Reporting Program

Lesson Learned #1

Some ASPs do not clearly state what employees should report, what employees should not report, and how to report.

Considerations

Clear directions help the RTA:
- Gather "better" data
- Reduce the amount of input, or reports, that do not advance the agency's safety mission
- Increase the likelihood of reporting

Poll 1 – RTA Topics

1. Reporting information:

   • What information do you want to receive from employees who report safety concerns?

2. How to Report:

   • What are some ways you could make sure employees know what information to report?

3. Communication Methods:

   • What are some ways you could communicate reporting methods to employees?

U.S. Department of Transportation
Federal Transit Administration

Poll 2 – SSOA Topics

1. RTA Employee Training:

    • What type(s) of training on employee safety reporting would you expect to see at an RTA?

2. RTA Employee Training Sufficiency:

    • How could you verify the sufficiency of RTA training on employee safety reporting?

3. Validation of Training Methods:

    • How could you verify whether RTA employees understand safety reporting methods and tools?

U.S. Department of Transportation
Federal Transit Administration

Employee Safety Reporting Program

Lesson Learned #2

Some ASPs outline a cumbersome process for safety reporting that may not reflect the employees' work environment.

Considerations

- Making reporting easier increases the likelihood that employees will use the ESRP
- Not all reporting mechanisms work for all employees, depending on their work environment

Poll 3 – RTA Topics

1. Reporting Environment Considerations:

   - Why is it important to consider the employee's reporting environment?

2. Work Environment Considerations:

   - How might an employee's work environment affect their ability to report safety concerns?

3. Reporting Method Considerations:

   - How might the reporting method affect their ability to report safety concerns?

Poll 4 – SSOA Topics

1. Work Environment Considerations:
   - What are some work environments or conditions that could make reporting safety concerns difficult?

2. Assessing the Reporting Environment:
   - How could you assess employee work environments and any potential impacts on safety reporting?

3. Reporting Process Appropriateness:
   - How could you evaluate the appropriateness of an RTA's employee reporting process?

4. ESRP Assistance:
   - What options does the SSOA have to assist RTAs with simplifying their ESRP?

U.S. Department of Transportation
Federal Transit Administration

Employee Safety Reporting Program

Lesson Learned #3

Some ASPs do not describe how the RTA will provide feedback to employees who submit reports under the ESRP.

Considerations

Establish clear expectations for providing feedback to reports of safety concerns

Poll 5 – RTA Topics

1. Purpose of Feedback:

   - Why is it important to provide feedback to employees who submit reports?

2. What Feedback to Provide:

   - What specific feedback could you provide to employees who submit reports?

3. Ways to Provide Feedback:

   - What methods could you use to provide feedback to employees?

U.S. Department of Transportation
Federal Transit Administration

Poll 6 – SSOA Topics

1. Overseeing the Reporting Process:

   - How could SSOAs oversee how RTA management provides feedback to employees who report safety concerns?

2. Evaluating Feedback Processes:

   - How could you evaluate the process RTA management uses to provide feedback to employees that report safety concerns?

3. Reporting Process Improvement:

   - What options does an SSOA have to assist RTAs with improving their process for providing feedback to employees who submit reports?

U.S. Department of Transportation
Federal Transit Administration

Employing Safety Reporting Process Planning Exercise

- What are your key takeaways from the ESRP section?

- How will you coordinate your team to review and potentially update your ASPs or ASP oversight activities?

U.S. Department of Transportation
Federal Transit Administration

Safety Hazard Identification
Lessons Learned

Safety Hazard Identification

Lesson Learned #1

Some ASPs do not establish authorities, accountabilities, and responsibilities for hazard identification.

Considerations

Failing to establish authorities, accountabilities, and responsibilities can mean that critical tasks are delayed – or do not get done at all

Poll 7 – RTA Topics

1. Identifying employee roles:

   • What employee roles could be involved in identifying safety hazards?

2. Criteria to determine employee roles:

   • What criteria could you use to determine the responsibilities and accountabilities of the identified employees?

U.S. Department of Transportation
Federal Transit Administration

Poll 8 – SSOA Topics

1. Verifying the sufficiency of employee roles in Safety Hazard ID:

   • How could you verify whether the RTA sufficiently identified authorities, accountabilities, and responsibilities for safety hazard identification?

2. Verifying whether the RTA carries out their roles in Safety Hazard ID:

   • How could you verify whether the RTA appropriately carries out these authorities, accountabilities, and responsibilities for safety hazard identification?

U.S. Department of Transportation
Federal Transit Administration

Safety Hazard Identification

Lesson Learned #2

Some ASPs identify very few sources for hazard identification and may not apply hazard identification to all elements of the system.

Considerations

SMS is, at its core, a system-wide process that considers safety at every level and in every department – confining safety hazard identification to a subset of the agency leaves the entire agency vulnerable

Poll 9 – RTA Topics

1. Sources of Safety Hazard Identification:

   • From a system-wide perspective, what are some sources for hazard identification from across your system?

2. Not-so-obvious sources of Safety Hazard Identification:

   • What are some not-so-obvious sources for safety hazard identification?

3. How sources can support Safety Hazard Identification:

   • How do the sources support safety hazard identification?

U.S. Department of Transportation
Federal Transit Administration

Poll 10 – SSOA Topics

1. Verifying RTAs' sources of Safety Hazard Identification:

   - How could you verify whether the sources of hazard identification are system-wide?

2. Evaluating RTAs' Safety Hazard Identification process sufficiency:

   - How could you evaluate the sufficiency of this process?

U.S. Department of Transportation
Federal Transit Administration

Safety Hazard Identification

Lesson Learned #3

Some ASPs provide limited detail regarding methods or activities for reporting hazards to the safety department or other relevant department for analysis.

Considerations

Committing to identifying safety hazards is important, but it is just as important to establish a clear process for communicating those identified hazards to the relevant department, to prepare for Safety Risk Assessment

Poll 11 – RTA Topics

1. Hazard reporting importance:

    • Why is it important to report hazards, potential consequences of hazards, and other safety-related information to the safety department or other relevant department?

2. Alternative employee reporting methods:

    • Aside from a hotline, what are some ways employees could report hazards?

3. Evaluating employee method effectiveness:

    • Based on the roles identified for hazard identification, how can you evaluate the effectiveness of the reporting methods available to each role?

U.S. Department of Transportation
Federal Transit Administration

Poll 12 – SSOA Topics

1. Verifying receipt of identified hazards:

    • How could you verify whether the safety department or other relevant department receives reports of the identified hazards?

2. Evaluating reporting processes sufficiency:

    • How could you evaluate the sufficiency of this process?

U.S. Department of Transportation
Federal Transit Administration

Safety Hazard Identification Planning Exercise

- What are your key takeaways from the Safety Hazard Identification session?

- How will you coordinate your team to review and potentially update your ASPs or ASP oversight activities?

U.S. Department of Transportation
Federal Transit Administration

Question and Answer