

Making the Most of Your Employee Safety Reporting Program (ESRP)

January 24, 2023

**Public Transportation Agency Safety Plan
Technical Assistance Center
(PTASP TAC)**



Objective

This webinar will provide a platform for industry discussion of Employee Safety Reporting Programs (ESRPs).



Agenda

1. Introduction to ESRP
2. Industry Speakers
3. Q&A



Industry Speakers



Liseth Guizar

Transit Safety & Training Manager

Big Blue Bus – City of Santa
Monica, CA



Steven Peganoff

Director of Safety

Greater Cleveland Regional Transit
Authority

Related Resources

Log onto FTA's PTASP TAC Resource Library for more webinars, tools, and fact sheets related to SMS leadership

www.transit.dot.gov/PTASP-TAC

**For information related to the Bipartisan Infrastructure Law,
visit www.transit.dot.gov/BIL**

Contact FTA-IIJA@dot.gov with your questions related to the
Bipartisan Infrastructure Law



Feedback

Your feedback helps us deliver the resources and tools that are most relevant to your needs. Based on feedback from the previous webinar surveys, this webinar features:

- Multiple speakers
- Speakers on video
- Expanded industry participation

Please stay tuned for another survey at the conclusion of this webinar!

Introduction to ESRP

49 CFR Part 673 requires transit agencies to have an ESRP:

A transit agency must establish and implement a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action. (§ [673.23\(b\)](#))



The ESRP Process



ESRP in the Safety Management System

An ESRP supports Safety Risk Management (SRM) and Safety Assurance (SA) components by collecting data that:

- Uncovers unanticipated safety hazards (SRM)
- Confirms the implementation and effectiveness of mitigations (SA)
- Alerts a transit agency to safety concerns experienced by personnel (SRM and SA)



ESRP as a Data Collection Mechanism

- An ESRP collects data from agency workers on safety concerns throughout the agency that may otherwise go unreported
- Compared to information gathered through other methods, ESRP data is often more...



Timely – reported immediately



Diverse – reported by employees with different experiences and backgrounds



Comprehensive – multiple reports over time can reveal trends

Common Methods for Capturing and Tracking Safety Concerns

- The PTASP regulation does not specify what methods transit agencies must use for their ESRP
- The following are common methods for capturing and tracking safety concerns



Hotline



Paper forms



Surveys



Safety meetings, briefings, toolbox talks



Spreadsheet, database, or other shared internal platform



Apps for phone and tablets

Employee Safety Reporting Policies

- Although not required by the PTASP regulation, agencies may benefit from establishing an Employee Safety Reporting Policy—a formal statement reflecting the agency’s commitment to the ESRP
- This policy could include guidelines for reporting and establish employee protections
 - Guidelines could include
 - Who can report
 - How to report
 - What to report and what not to report
 - How this information will help the agency address safety concerns before a safety event occurs
 - Applicable transit agencies must establish “protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action” (§ [673.23\(b\)](#))



INDUSTRY SPEAKERS



Industry Speakers



Steven Peganoff

Director of Safety

Greater Cleveland Regional Transit
Authority



GCRTA Employee Safety Reporting Program

FTA ESRP Webinar January 24, 2023



Greater Cleveland Regional Transit Authority Non-Punitive Hazard Reporting Policy

Greater Cleveland Regional Transit Authority Non-Punitive Reporting Policy:

The Greater Cleveland Regional Transit Authority (GCRTA) is committed to the safest transit operation possible; as a result, GCRTA is committed to having uninhibited reporting of all incidents, hazards and occurrences which may compromise the safe conduct of our operations. To this end, every employee is responsible for communicating any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

The Greater Cleveland Regional Transit Authority will not take disciplinary action against any employee who discloses an incident or occurrence involving safety. This policy shall not apply to information received by the Authority from a source other than the employee, or which involves an illegal act, or a deliberate or willful disregard of promulgated regulations or procedures.

The primary responsibility for transit safety rests with supervisors and managers; however, safety is everyone's concern.

Our method of collecting, recording and disseminating information obtained from Hazard Reports and the Safety Hotline (216-566-5111) has been developed to protect, to the extent permissible by law, the identity of any employee who prefers to remain anonymous and who provides safety information.

I urge all staff to use our hazard-reporting program to help GCRTA become a leader in providing our customers and employees with the highest level of transit safety.



India Birdsong

General Manager, Chief Executive Officer

- Demonstrates safety commitment by the Accountable Executive and the Authority
- Formally advises employees there shall be no retaliation or discipline for reporting of hazards
- Anonymity will be maintained

Verification	Originator	Revised	Approved	Issued
Initials	Safety Dept.	KC	SP	KC
Date	12/13/06	12/12/2022	12/12/2022	12/12/2022

A Minimum Standard For Safety

SOP #8.1 – Hazard Reporting & Management Procedure

Person responsible:	Director, Safety		
Area of application:	All facilities		
Document location:	Safety Department (shared drive), Intranet (electronic copy)		
Original issue date:	12/13/2006		
Revisions			
Rev. No.	Date	Description	
001	10/17/2012		
002	12/12/2022	Updated hazard tracking procedure and hazard rating matrix	
Recurring Action Items			
Activity	Responsibility	Frequency	
1. Appropriate distribution of approved documents.		During implementation	
2. Notification of revisions/updates to Safety Department.		As needed	

Some of the content includes:

- Purpose
- Objective
- Responsibilities (employee, supervisor, safety committee members)
- Sources of Hazards
- How to utilize the Hazard Report Form

Sources of Hazards

- Hazard Report Form (anonymity achieved with drop boxes installed at all locations)
- Employee Safety Hotline
- Inform a member of the local safety committee
- Inform a supervisor
- Email the Safety Department
- Internal and External Audits
 - I. Fire Department
 - II. Insurance Inspections
 - III. State Safety Oversight
 - IV. Informal inspections by Supervision

RATING	HAZARD REPORT			CONTROL NO.
SECTION I - ORIGINATOR				
1. Badge No. (optional):	2. Name (optional):	3. Date: / /		
4. District/Hazard Location:				
5. Describe Hazard and its Effects:				
6. Suggested Corrective Action:				
SECTION II - SUPERVISOR <input type="checkbox"/> SAFETY COMMITTEE MEMBER <input type="checkbox"/>				
7. Received by:	8. Dept.:	9. Date: / /		
10. Recommended Corrective Action:				
11. Interim Remedial Action Taken:				
SECTION III - SAFETY COMMITTEE				
12. Chairperson:	13. Date: / /			
14. Hazard Rating: Severity:	Probability:	Cost:	Rating:	
15. Recommendation:				
16. Forwarded to:				
17. Date: / /				
SECTION IV - RESOLUTION				
18. Name:				19. Date: / /
20. Action:	A. Completed <input type="checkbox"/>	B. Deferred <input type="checkbox"/>	C. Retained As Is <input type="checkbox"/>	
Comments:				<small>Do Not Write In This Block</small> 21. Date Closed & Initials:

Employee Safety Hotline

To report any safety hazards, call:

216-566-5111

All calls are confidential.
Anonymous calls are welcomed.



Tracking & Follow Up System

GCRTA utilizes a comprehensive log that documents the following:

- CAPs from Investigations & Internal Safety Audits
- SSO Triennial Audits
- Hazards
- FTA Safety Advisories
- Other

Tracking Log

- Used to solicit monthly status updates from responsible parties until resolution/closure
- Identifies due or overdue hazard corrective actions for review with Executive Safety Committee facilitating dialogue
- Communicated monthly to SSO

For more information on the Greater Cleveland Regional Transit Authority PTASP, refer to FTA Directory or utilize the link below.

https://www.riderta.com/sites/default/files/events/2022-117_PTASP_Final_121522_Update_0.pdf


Industry Speakers



Liseth Guizar

Transit Safety & Training Manager

Big Blue Bus – City of Santa
Monica, CA



SHARP
Big Blue Bus's
Employee Safety
Reporting Program

Liseth Guizar

Safety and Training Manager

Department of Transportation, City of
Santa Monica



Background

Big Blue Bus is a division of the City of Santa Monica's Department of Transportation

- Staff: 470 Employees
- Fleet: 195 Buses
- Coverage Area: 58 Square Miles



Rebranding

In 2019, Big Blue Bus's Employee Safety Reporting Program was rebranded from "Hazard / Near-Miss Program" to "SHARP: Safety Hazard And Analysis Reporting Program"



Elements of SHARP

- Provides an opportunity to gain understanding about operational concerns and hazards through hazard identification and analysis
- Provides a streamlined reporting process for all staff
- Information is utilized to implement reforms as appropriate
- Provides timely feedback to reporting parties
- Training and promotion are essential to its success
- Non-punitive

Reporting Process

- Employee submits SHARP report form
- Report is assigned to the Safety Officer, who initiates the investigation/hazard analysis
- Safety Officer reviews reports with the Hazard Analysis Team and appropriate action is taken
- Formal communication of the process that was taken, including the action taken or NOT taken, is provided in an email and via signed hard copy to the reporting party
- Results are documented and maintained

Formula for
Success:
Training,
Promotion
and Feedback





Training and Promotion

SHARP is promoted via:

- Mandatory quarterly safety meetings
- Tailgate meetings
- Safety Committees
- Electronic messaging
- Emails/bulletins
- Posters
- SafetyShare website
- New hire training

Example of Safety Meeting Presentation

Safety Hazard & Analysis Reporting Program!



Communicate
safety hazards,
near miss incidents,
and other safety
concerns in a
non-punitive,
flexible and easy to
access manner!

EXAMPLES OF HAZARD AND NEAR-MISS INCIDENTS



Hazards may include:

- Low-hanging branches that can cause bus damage
- Large potholes
- Missing safety items on equipment
- Clutter blocking fire exits
- Poor lighting

Near-misses may include:

- Near collision due to malfunctioning traffic signal
- Tripping due to uneven walking surface
- Equipment falling near employee

3 Ways to Report Safety Issues

1. Paper Form
 2. MyInfoBlue (Can also report anonymously)
 3. Email
BBBSafety@santamonica.gov
- Non-verbal reporting works best as it allows Safety to track the issue and the response
 - Written communication will allow us to notify you of the outcome of your report



Reporting Via Form

- Forms can be found in the Ready Room and at the Safety & Training Counter
- Submit your form to the Dispatch Office or directly to Liseth Guizar

∨

• Form may be submitted anonymously.

SHARP Report Form Date Submitted: _____

TO BE COMPLETED BY EMPLOYEE

Date of Incident: _____ Time of Incident: _____

Name of Employee: _____ Employee No. _____

Dept./Div./Section: _____ Job Title: _____

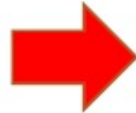
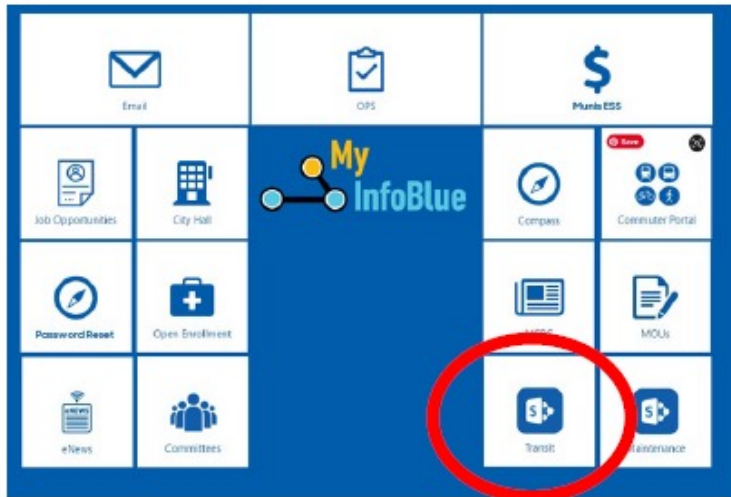
Description of Hazard/Near-Miss/Safety Concern: _____

Location of Reported Issue: _____

Reporting Via MyInfoBlue

- Click on the Transit Icon
- Click on the SHARP Reporting Form link
- Fill out the information in GREEN
- Click SAVE and you're done!

****TO REPORT ANONYMOUSLY, DON'T INCLUDE YOUR CONTACT INFORMATION ON THE FORM****



Now Schedules Effective December 5, 2021

Home 2021 Employee Benefits

March 2022
December 2021

Paid Sick Leave Extension
Effective March 29, 2021

***** How To Bid On OPS-Web Videos: Bid Work and Extraboard *****

We asked customers for feedback on how COVID-19 has impacted their travel and perceptions of safety on transit. TO LEARN MORE, WE INVITE YOU TO READ THE SURVEY REPORT

2021 BENEFITS OPEN ENROLLMENT

SHARP REPORTING FORM

The Hub SharePoint

Save Copy Print Close

big blue Bus Big Blue Bus Transit Operations
My Info Blue SHARP - Safety Hazard & Analysis Reporting Program Route Videos Documents 300 Transit Maintenance Recent

SHARP - Safety Hazard & Analysis Reporting Program
Items on this list require content approval. Your submission will not appear in public view until approved by someone with proper rights. More information

SHARP Report Form

The National Safety Council defines a near miss as, "an incident involving a worker or agent or property damage" that was not a fatality and an event that, under slightly different circumstances, could have been an accident. A hazard is anything with the potential to do harm.

Tracking No. [input] Date Submitted: 4/1/2022

Time and date of incident: 12/15/2020 11:58:59 PM
Example: 12/15/2020 11:59:58 PM

Employee Name: [input] Employee No: [input]

Dist./Div./Section: [input]

Description of Hazard/Near Miss: [input]

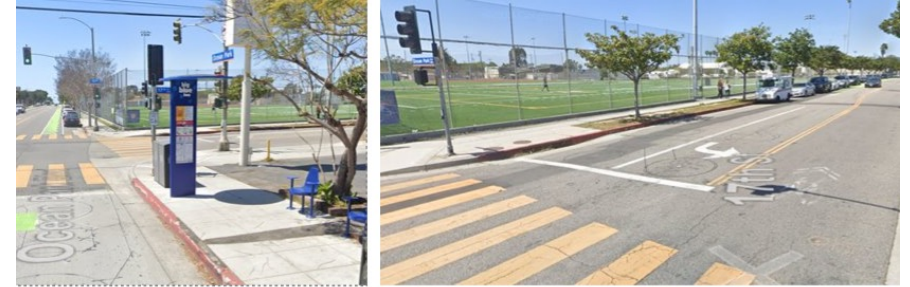
Location of Hazard/Near Miss: [input]

Recommendations: [input]

Attachments: [input] Click here to attach a file

Feedback to Reporting Parties

- Formal communication of the process that was taken, including the agreed upon action, is provided in email and via signed hard copy to the reporting party
- All reported hazards and outcomes are communicated to staff during quarterly safety meetings and safety committee meetings



WB Ocean Park / NB
17th St

- Challenging for MCOs to make right turn from WB Ocean Park
- City moved limit line on left pocket of 17th Street, 10 feet back (before photos shown above, not current photos)



6th/Oxford Layover
Los Angeles

- Fencing creating blind spot for buses exiting terminal
- LA Metro owns building, working with their Real Estate Department to lower fencing.



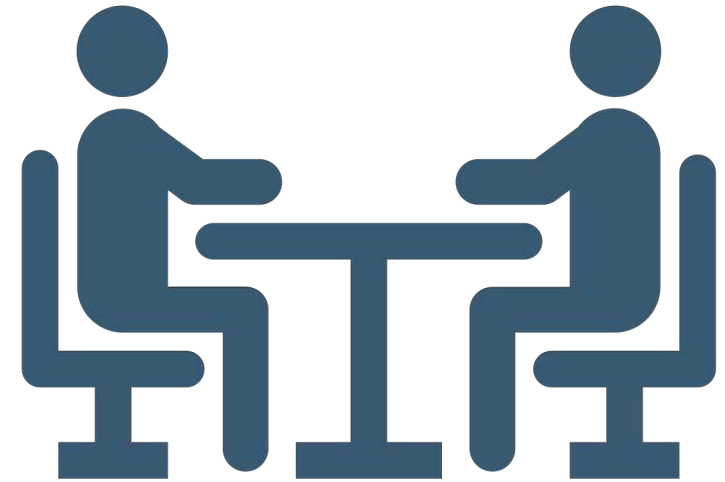
Thank You!

Technical Assistance

- **TAC Website** transit.dot.gov/PTASP-TAC
- **FAQs** transit.dot.gov/PTASP-FAQs

The TAC help desk is available to assist the transit industry with PTASP questions, including questions about ASP development and implementation:

- **Email** PTASP-TAC@dot.gov



Questions and Answers

- Question and Answer session
- For information related to the Bipartisan Infrastructure Law
 - Please visit FTA's [Bipartisan Infrastructure Law](#) webpage
 - Review FTA's March 1, 2022 [Bipartisan Infrastructure Law webinar](#)
 - Contact FTA-IIJA@dot.gov with your questions related to the Bipartisan Infrastructure Law



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