



FEDERAL TRANSIT ADMINISTRATION

APTA Rail Conference

Role of Employee Safety Reporting in an Effective Transit Safety Management System

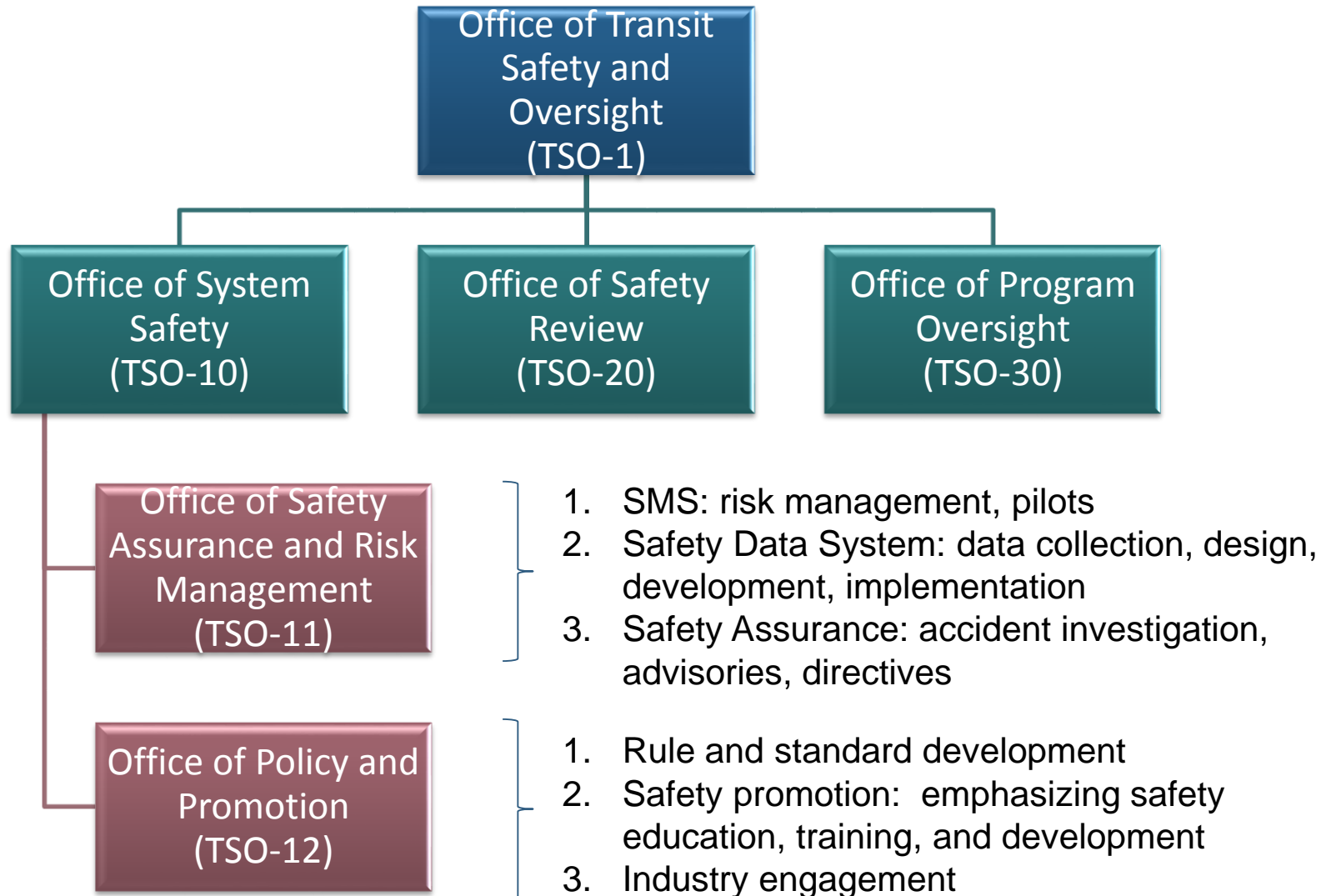
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U.S. Department of Transportation
Federal Transit Administration

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Office of Transit Safety and Oversight Organization Chart



3 Key Take Away's

- 1) FTA adopted **SMS** as its approach to transit safety management
- 2) SMS relies on **data** to make **risk-based decisions**
- 3) Data is **incident** and **risk-based**

First Key Take Away

- I) FTA adopted **SMS** as its approach to transit safety management
 - SMS is embedded in concept, principle and practice in the FTAs safety rulemaking

What does that mean?

Learn and understand SMS so you can apply it to your safety management approach and practices

Second Key Take Away

- 2) SMS is a **data-driven, risk-based** decision making approach to managing safety with four main components:

Elements of a Safety Management System (SMS)



Second Key Take Away

- 2) SMS is a **data-driven, risk-based** decision making approach to managing safety with four main components:

What does that mean?

- Invest in data collection
- Build a trusting/non-punitive safety culture to collect useful data
- Identify hazards from the data
- Put mitigations in place based on risk
- Evaluate solutions

Third Key Take Away

- 3) Data is collected through various means of safety reporting, both incident based and risk based
- Incident based – accidents, incidents, fatalities (reactive)
 - Risk based – employee, close call and other safety reporting (proactive)

An Overall Systems View

Reactive Risk Management – Incident Based

**Accidents,
Incidents,
Fatalities**

Take action
after the fact

Employee, Close Call
Other Safety Reporting

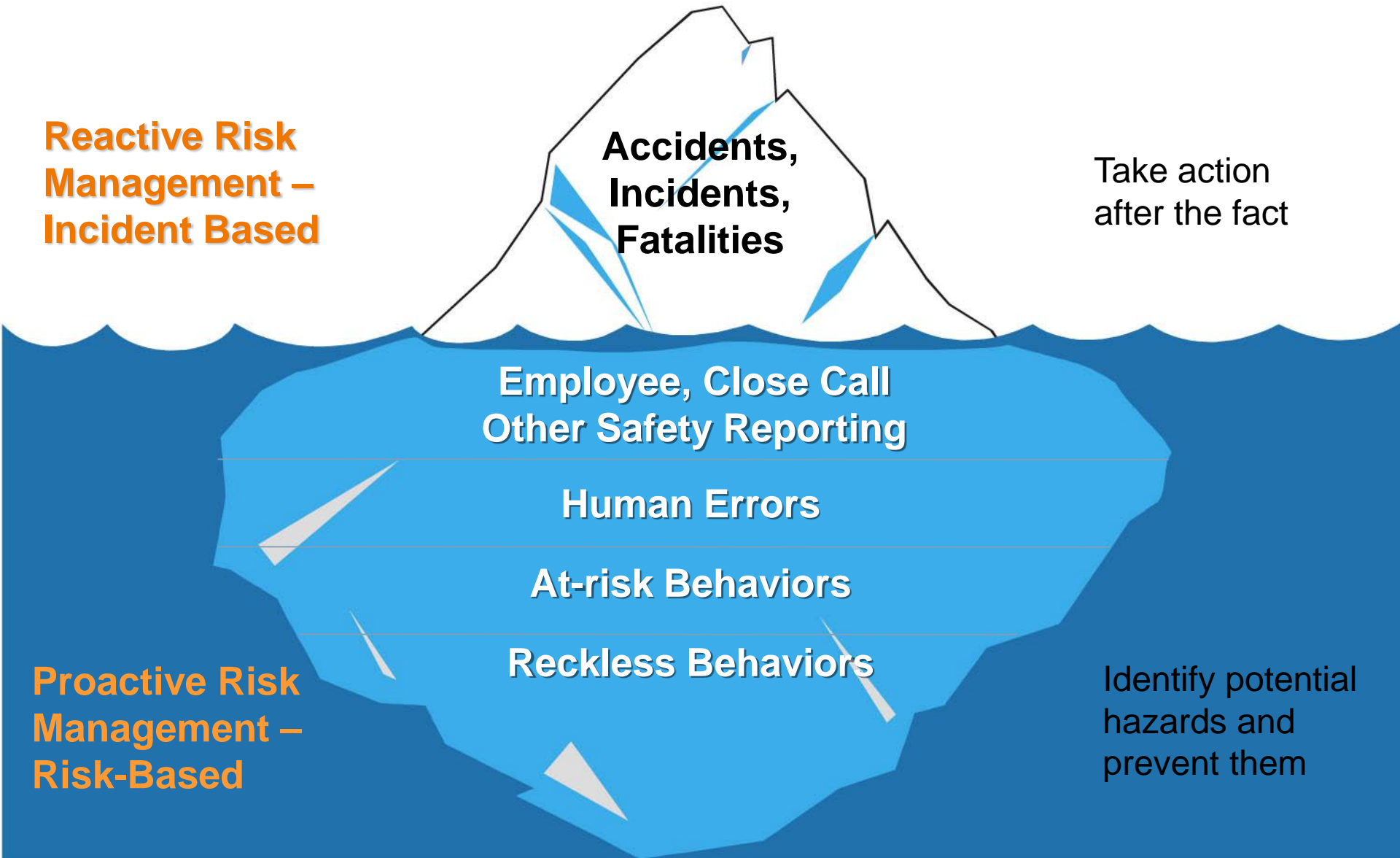
Human Errors

At-risk Behaviors

Reckless Behaviors

Proactive Risk Management – Risk-Based

Identify potential
hazards and
prevent them



Third Key Take Away

- 3) Data is collected through various means of safety reporting, both incident based and risk based
- Incident based – accidents, incidents, fatalities (reactive)
 - Risk based – employee, close call and other safety reporting (proactive)

What does that mean?

Invest in risk-based safety reporting to focus on a proactive approach to safety

Safety Reporting: Elements of Success

Mgmt/Labor Relationship

- Safety priority, trust, cooperation, commitment, employee engagement

Framework

- Voluntary, confidential, non-punitive, non-disciplinary participation

Data Driven

- Systematic and objective data gathering, analysis, and risk-based reporting

Corrective Action

- Prioritize and implement corrective actions, monitor and report outcomes, resolve issues early

Communicate

- Encourage open/honest communication, accurate reporting, integrate system-wide safety programs, share best practices across functions

3 Key Take Away's

- 1) **SMS** is key to transit safety management
- 2) Rely on **data** to make **risk-based decisions**
- 3) Utilize **risk-based** data to be proactive in mitigating potential hazards

Questions?

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BACKGROUND SLIDES

Transit Safety Rulemaking and Guidance		
Regulation	Rulemaking Timeline	Status
Public Transportation Agency Safety Plan 49 CFR Part 673	NPRM Published: 2/5/2016 Comment By: 4/5/2016	Final Rule in Development
National Public Transportation Safety Certification Training Program 49 CFR Part 692	NPRM Published: 12/3/2015 Comment By: 2/1/2016	Final Rule in Development
Preventing Transit Worker Assault NPRM	NPRM Expected: 2017	NRPM in Development
National Public Transportation Safety Plan	Proposed National Safety Plan Published: 2/5/2016 Comment By: 4/5/2016	Final Guidance Published: 1/17/17
Public Transportation Safety Program 49 CFR Part 670	NPRM Published: 8/14/2015 Comment By: 10/13/2015	Final Rule Published: 8/11/2016 Effective: 9/12/2016
Bus Testing 49 CFR Part 665	NPRM Published: 6/23/2015 Comment By: 8/24/2015	Final Rule Published: 8/1/2016 Effective: 10/31/2016
Transit Asset Management 49 CFR Part 625	NPRM Published: 9/30/2015 Comment By: 11/30/2015	Final Rule Published: 7/26/2016 Effective: 10/1/2016
State Safety Oversight 49 CFR Part 674	NPRM Published: 2/27/2015 Comment By: 4/28/2015	Final Rule Published: 3/16/16 Effective: 4/15/16

What's unique about employee safety reporting?

Gives you information you can't get any other way

Individuals who know best are directly providing the information

Provides immediate and direct reporting from employees

Information received from different individuals with different experiences and perspectives

Reports over time reveal patterns, trends, and the scope of an issue

Why don't employees report: How to increase reporting

- They don't believe it's important

Change Incentives to Report

- Demonstrate that reporting is valued
- Clarify what's important
- Empower employees

Why don't employees report?

- They don't believe it's important
- Reporting affects team's safety record

Change Incentives to Report

- Prioritize an accurate safety risk picture
- Emphasize benefits for safety, not safety record

Why don't employees report?

- They don't believe it's important
- Reporting affects team's safety record
- Management won't fix it

Change Incentives to Report

- Evaluate each report
- Follow up and show what was done as a result of reporting



Why don't employees report?

- They don't believe it's important
- Reporting affects team's safety record
- Management won't fix it
- Fear of punitive results
 - Could be blamed or treated unfairly

Change Incentives to Report

- Consider confidentiality reporting
- Be consistent – set & follow clear guidelines for unacceptable behavior
- Balance learning and accountability



How can transit agencies increase voluntary employee safety reporting?

Human Error	At-Risk Behavior	Reckless Behavior
An inadvertent action – slip, lapse, mistake	A choice – risk not recognized or believed justified	Conscious disregard of unreasonable risk
Manage through: <ul style="list-style-type: none">• Processes & procedures• Checklists• Training• Design	Manage through: <ul style="list-style-type: none">• Increase situational awareness• Remove incentives for at-risk behavior• Create incentives for safe behavior	Manage through: <ul style="list-style-type: none">• Remedial action• Punitive action

Safety Reporting Demonstration Project

- Through partnership with The Volpe Center
- Multi-year effort
- Pilot safety reporting programs (with emphasis on employee reporting) at multiple sites
- Collect best practices and lessons learned