



# Transit Safety and Oversight Spotlight Newsletter

November 2022  
Vol. 7 No. 11



U.S. Department of Transportation  
Federal Transit Administration

## INSIDE THIS ISSUE:

2022 FTA Joint State  
Safety Oversight and  
Rail Transit Agency  
Workshop

2

FTA Publishes  
Research Reports

3

Fiscal Year 2021  
COVID-19 Financial  
Spot Review Results

3

TRACS Contributions  
to Transit Safety

5

FTA Issues Risk-  
Based Inspection  
Program Special  
Directives

5

Employee Safety  
Reporting Program  
(Part 2)

5-6

Data Spotlight: Bus  
Transit Safety

7

FY2023 TSI Safety

8

NTI Virtual AAP and  
VTW Courses

8

FTA Employee  
Spotlight: Tanyan  
Bailey

9

Upcoming TSO Office  
Speaking  
Engagements

10

## Message from the Associate Administrator

Dear Transit Colleagues:

It's been a busy and exciting month as FTA continues to engage and provide resources to help our transit stakeholders strengthen their safety culture and comply with changes to FTA's Public Transportation Safety Program as required by the Bipartisan Infrastructure Law.

Last month, FTA hosted its annual Joint State Safety Oversight (SSO) and Rail Transit Agency (RTA) Workshop. I appreciated the opportunity to gather in person and also the flexibility offered to attend virtually to expand participation this year. I want to thank the more than 400 attendees who engaged with FTA staff and our guest speakers who actively participated in the sessions. I also want to thank our Federal and industry partners who spoke at the workshop. During the workshop, I said we should be measuring our success by the absence of events, and we need to break habits that uphold the idea that certain incidents are not preventable. I encourage all of us to fight complacency as we make transit safer. We've included some highlights from the workshop on page 2.

Earlier this month, FTA hosted two webinars with our Federal partners on [Cybersecurity Awareness](#) and [Whistleblower Protection for Transit Workers](#). I want to thank the Cybersecurity and Infrastructure Security Agency (CISA) for sharing information on cyber hygiene and ransomware guidance and the Occupational Safety and Health Administration (OSHA) for discussing protections afforded to frontline transit workers under the Whistleblower Protection Program. Please share the webinar with your peers. For questions on these topics, please contact CISA's [Rahul Mittal](#) and OSHA's [Meghan Smith](#).

On October 21, FTA issued the [Risk-Based Inspection Program Special Directives](#) to require all State Safety Oversight Agencies to develop and implement a risk-based inspection program. The Special Directives were issued in accordance with changes to FTA's Public Transportation Safety Program as required by the Bipartisan Infrastructure Law. To learn more about the Special Directives, read the article on page 5, revisit the [webinars](#) FTA hosted this summer or view the [accompanying toolkit](#). FTA is here to support you with your questions at [FTASafetyStakeholder@dot.gov](mailto:FTASafetyStakeholder@dot.gov).

Looking ahead, I hope to see some of you at the [American Public Transportation Association's Mid-Year Safety and Risk Management Seminar](#) in early December. I look forward to another opportunity to hear directly from you on any challenges you are facing and how FTA can best support you to improve transit safety.

Stay safe, stay healthy and enjoy time with your loved ones as we enter the holiday season.

Sincerely,  
Joe DeLorenzo



**Joe DeLorenzo**

Associate Administrator for  
Transit Safety and Oversight  
and Chief Safety Officer, FTA

# FTA Hosts Joint State Safety Oversight and Rail Transit Agency Workshop

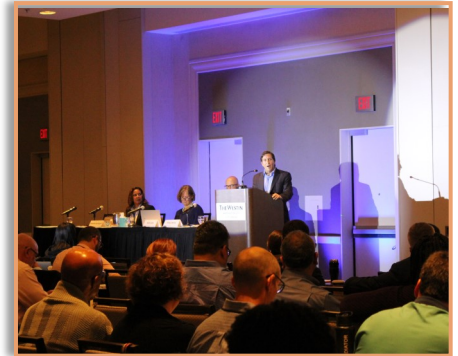
## October 25 – 27

### DAY 1

For the first time, the FTA Joint State Safety Oversight (SSO) and Rail Transit Agency (RTA) Workshop occurred both in-person and virtually to bring together SSO staff, RTA Chief Safety Officers and Safety Directors. This year, 30 of 31 SSOAs and 51 rail transit agencies from the SSO program attended.

FTA Administrator Nuria Fernandez kicked off the workshop and spoke about the Office of Transit Safety and Oversight's accomplishments over the past year and stressed the important role of State Safety Oversight Agencies (SSOAs). Associate Administrator Joe DeLorenzo and Office of Safety Review Director Dr. Melonie Barrington also made remarks emphasizing SSOAs and RTAs' integral role in creating safer transit systems across America.

Other topics throughout the day included transit safety policy updates, Risk-Based Inspections, accident investigation, updates from the American Public Transportation Association, the most frequent non-compliant areas during SSO audits and Drug and Alcohol Program updates.



Associate Administrator addresses both in-person and virtual attendees on the first day of the FTA Joint SSO and RTA Workshop.

### DAY 2



Office of Safety Review Program Manager John Chism hosts SSO RTA Jeopardy.

SSO and RTA staff community continued to hear about safety culture from FTA and industry partners. Federal partners provided presentations, including a presentation on Whistleblower Protections from the Occupational Safety and Health Administration and updates on recent Transportation Security Administration policy activities regarding its security training rule and cybersecurity awareness. Additionally, Operation Lifesaver, Inc. shared information and resources on rail grade crossing safety and the Georgia Department of Transportation shared practices on implementing FTA Special Directives in cooperation with their RTA. FTA presented on eligible activities for SSO grant funding, the Signal System Safety and Train Control Safety Advisory and effective practices for Corrective Action Plan (CAP) management.

### DAY 3

On the final day, attendees had the opportunity to learn about the SSO reporting tools, a continuation of effective practices for CAP management, transit worker assault prevention and mitigation and shared practices for SSOAs oversight of safety certification.

The workshop wrapped up with a general Q&A session where SSOAs and RTAs had the opportunity to get their questions answered by FTA's program management team directly before Associate Administrator Joe DeLorenzo closed out the workshop.

FTA thanks everyone who attended virtually and in-person. We hope that attendees gained valuable knowledge and had an opportunity to connect with colleagues. All workshop presentations are available on [TSO's conference presentation website](#) and recordings are available on the [event website](#).



In-person attendees collaborate during the Corrective Action Plan management session.

## AVAILABLE NOW: New FTA Safety Research Reports

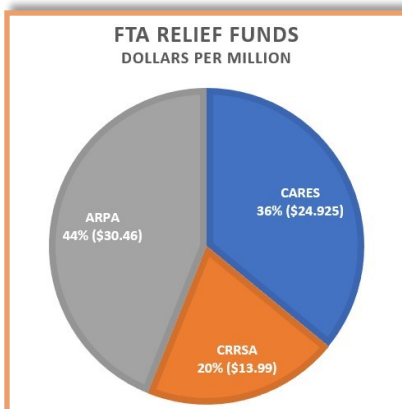
FTA recently published several research reports to help inform transit agencies' safety programs.

- [FTA Standards Development Program: Transit Bus Operator Temporary Barrier to Reduce COVID-19 Exposure](#)—demonstrates how a temporary barrier between the front and rear passenger compartments of a transit bus reduces the COVID-19 exposure risk for operators and passengers.
- [FTA Standards Development Program: Needs Assessment for Transit Rail Transmission-Based Train Control](#)—provides findings from analysis of National Transit Database safety events and State Safety Oversight Agencies and rail transit agency survey responses regarding train control-related incidents, including those that were the direct result of operator error risk mitigable by transmission-based train control or similar technologies.
- [Use of Event Data Recorders in Rail Transit](#)—focuses on event data recorders, devices installed on rail vehicles to record specific data and the data collected from computers and sensors onboard a rail vehicle. The report identifies industry needs and compares existing requirements with available standards.
- [FTA Standards Development Program: Mitigations for Trespasser and Suicide Fatalities and Injuries](#)—shares mitigation strategies, existing and emerging technology that can detect and/or prevent rail transit trespassing and suicides, and research findings for mitigations, injuries and fatalities associated with trespassing and suicide events.



We encourage you to access [FTA's research reports here](#). For more information, please contact FTA's General Engineer in the Office of Infrastructure, Safety and Asset Innovation, [Raj Wagley](#).

## Fiscal Year 2021 COVID-19 Financial Spot Review Results



Over the course of the pandemic, FTA provided historic levels of funding to the transit industry. FTA distributed approximately \$70 billion in relief funds through the Coronavirus Aid, Relief, and Economic Security (CARES) Act, the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) and the American Rescue Plan (ARP) Act. The funding allowed for changes in how recipients used FTA funds, such as eliminating local match requirements and expanding eligible expenses, including operating expenses. The magnitude of the funding and changes created opportunities as well as challenges for both FTA and recipients.

To address the challenges, FTA developed a proactive approach for COVID-19 relief funding oversight focused on technical assistance and supplemental oversight. FTA

supplemented its Triennial Reviews (TR) and State Management Reviews (SMR) with additional instructions and questions concerning recipient use of the COVID-19 relief funds. FTA also developed and incorporated COVID-19 Financial Spot Reviews for recipients not receiving a TR or SMR, which occur every three years, including recipients with high disbursements of COVID-19 funding and recipients with past and/or repeat financial TR or SMR findings.

FTA started spot reviews in early summer of 2021 by sampling COVID-19 relief funding draws to verify the eligibility of expenses as well as a limited review of financial management systems. Recipients had the option to request up to 90 days of technical assistance support to resolve the identified issues.



Continued from page 3

This was the first time FTA designed a review with a formal technical assistance component. This additional oversight helped FTA identify and assist recipients with any issues related to the use of COVID-19 relief funding at an early stage.

In the first round, FTA conducted 118 spot reviews. Of those, 56 reviews identified 96 issues. The top findings were: inadequate documentation; not disbursing funds in a timely manner; ineligible operating expense calculations; financial management system deficiencies; improperly approved funding draws; insufficient oversight of subrecipient financial capacity and insufficient oversight of subrecipient operating assistance calculations

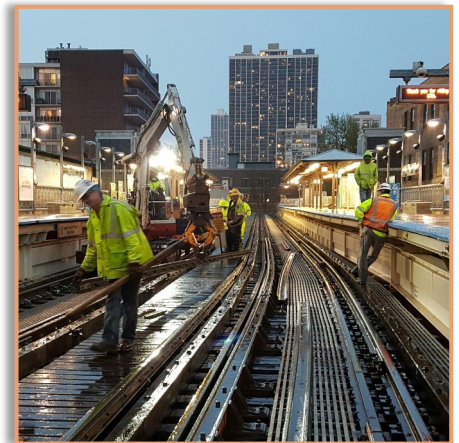
As of October 31, 2022, 72 of the 96 findings have been resolved and closed. To address some of these top findings, FTA provided additional technical assistance focusing on the use of COVID-19 relief funds through a [Frequently Asked Questions webpage](#) and [several webinars](#). The webinars cover topics like recipient information request, common procurement deficiencies and calculating, documenting and charging operating expenses. The second round of reviews began in summer of 2022 and this supplemental oversight will continue through at least Fiscal Year 2023. For more information, contact Office of Program Oversight Performance and Quality Assurance Division Chief [David Schilling](#).

## TRACS Contributions to Transit Safety

Established in 2009, the [Transit Advisory Committee for Safety \(TRACS\)](#) is FTA's Federal advisory committee comprised of a diverse panel of professionals representing a variety of stakeholders and interests. TRACS provides information, advice and recommendations on transit safety to the U.S. Secretary of Transportation and the FTA Administrator.

FTA considers TRACS recommendations as it implements FTA's safety program. Consideration of TRACS recommendations has informed FTA's initiatives to:

- Establish the Safety Assessment Team as an ongoing, internal advisory group regarding FTA's Safety Program;
- Develop strategies to improve safety culture in; and
- Incorporate the principles of Safety Management Systems into FTA's safety program.



Several TRACS recommendations for the 2018–2022 Charter focused on roadway worker protection.

Consideration of TRACS recommendations continues to play a role in FTA's current safety policy developments. In the 2018–2022 charter, FTA tasked TRACS with researching roadway worker accidents and fatalities to identify recommendations for innovations that protect roadway workers. Through this research, [TRACS identified eight recommendations](#) for FTA on roadway worker protection. These recommendations informed FTA's Safety Risk Management analysis of the hazards to roadway workers that work on and occupy the rail transit roadway.

FTA looks forward to receiving the committee's input in this charter term. The committee's kick-off meeting will be open to the public. Additional meeting details will be provided on the TRACS [webpage](#). To get involved with TRACS as a public participant, contact [Designated Federal Officer and TSO Associate Administrator Joe DeLorenzo](#).

## FTA Issues Risk-Based Inspection Program Special Directives

On October 21, 2022, FTA issued [Special Directives](#) to require all 31 State Safety Oversight Agencies to develop and implement a risk-based inspection program of the rail fixed guideway public transportation systems they oversee. This fulfills Bipartisan Infrastructure Law requirements, which amended FTA's Public Safety Transportation Program.

A risk-based inspection program uses qualitative and quantitative data analysis to inform ongoing inspection activities. Risk-based inspection programs are designed to prioritize inspections to address safety concerns and hazards associated with the highest level of safety risk.

FTA developed a [toolkit](#) with resources to assist in the development and implementation of risk-based inspection programs.

For more information or to submit a question, please email [FTASafetyStakeholder@dot.gov](mailto:FTASafetyStakeholder@dot.gov).



## Employee Safety Reporting Program Part 2: Methods and Implementation

In [last month's TSO Spotlight newsletter](#), we discussed how an employee safety reporting program (ESRP) can support Safety Risk Management (SRM) and Safety Assurance (SA) by gathering both incident-based (reactive) and risk-based (proactive) data. When developing an ESRP, an agency may find it helpful to evaluate how their current reporting methods and data gathering support SRM and SA using the following questions.

- Is the current data reactive or proactive? (Is there data the agency can use to address safety hazards *before* a safety event occurs?)
- How much actionable information do current reporting methods currently capture?
  - Can employees report anonymously and does this result in more reports and actionable information?
  - Is it possible to follow up with reporters whose reports are not anonymous to gather additional information?
- Do the reports support identification of unanticipated safety hazards (SRM)? How?
- Do the reports help confirm the implementation and effectiveness of mitigations (SA)? How?

With the answers to these questions in mind, an agency can determine what kind of ESRP data will best support their SRM and SA goals and can then determine which methods will work best for their employees. The PTASP regulation ([49 CFR part 673](#)) 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
- employee organizational satisfaction surveys
- safety meetings/briefings or toolbox talks
- spreadsheet, database or other shared internal web-based platform
- apps for phone and tablets

Within their ESRP, agencies may decide to allow reports to be anonymous, confidential or a mixture of both.

Continued from page 5

## Implementing an ESRP

When an agency implements its ESRP, it may benefit from clearly communicating how the ESRP works and offering guidelines on reporting.

Guidelines could include the following:

- 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 serious safety event occurs

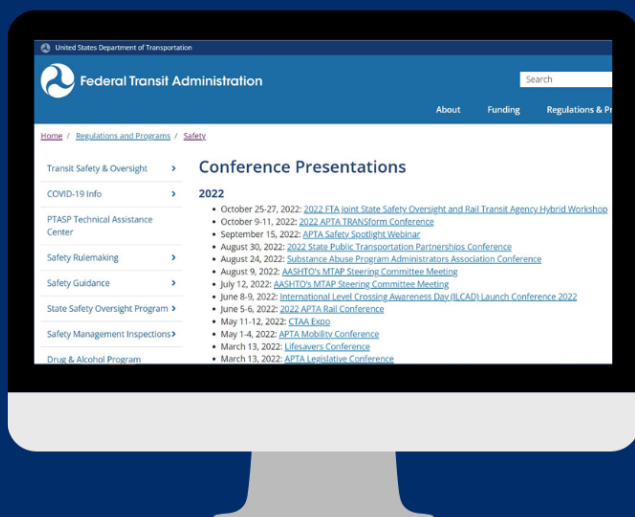
The agency may want to establish an Employee Safety Reporting Policy—a formal statement reflecting the agency’s commitment to the ESRP. The ESRP policy could, for example, establish employee protections. As stated in 49 CFR § 673.23(b), applicable transit agencies must establish “protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action.” Such protections are an essential part of building the necessary trust for a successful ESRP.

This series on ESRP will continue in next month’s *TSO Spotlight* with suggestions on how to engage employees in the ESRP.

Visit the [PTASP Technical Assistance Center \(TAC\) Resource Library](#) for guides, fact sheets and webinars on the PTASP regulation and Safety Management System. The PTASP TAC is also available at [PTASP-TAC@dot.gov](mailto:PTASP-TAC@dot.gov) to provide technical assistance with any PTASP-related topic. See also the [Transitioning to Agency Safety Plan Implementation](#) webinar.

# Missed a TSO Speaking Engagement?

## Visit the Stakeholder Engagement webpage for conference presentations!



## Data Spotlight: Bus Transit Safety, January 2017–May 2022

Reviewing the national safety data presented below may help transit agencies analyze safety hazards in their systems and establish safety performance targets as a part of an [Agency Safety Plan](#). This month's spotlight covers National Transit Database (NTD) fatality and injury data from Full Reporter bus transit agencies from January 2017 to May 2022.<sup>1</sup>

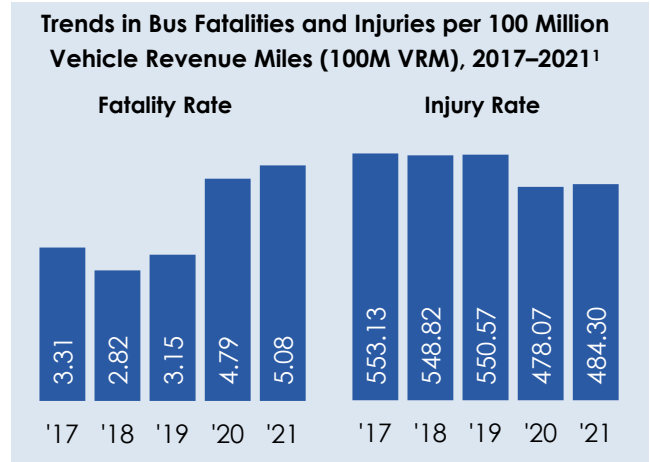
FTA requires bus transit agencies to report all fatalities and injuries that meet certain thresholds to the NTD.<sup>2</sup> From January 2017 to May 2022, bus transit agencies reported:

- **558 fatalities** (37% of all transit fatalities)
- **77,479 injuries** (72% of all transit injuries)

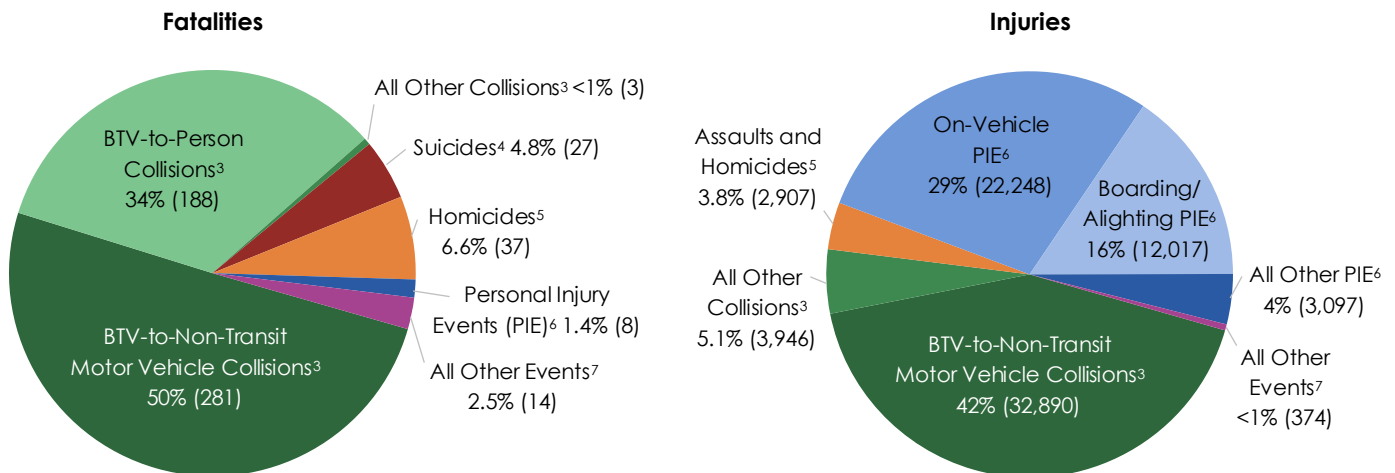
The chart to the right shows the trends in bus fatalities and injuries measured on a per revenue mile basis.

During the analyzed period, more bus fatalities and injuries resulted from *collisions between bus transit vehicles (BTV) and non-transit motor vehicles* than from any other event type.<sup>3</sup>

The charts below illustrate additional notable sources of bus fatalities and injuries.



**Bus Fatalities and Injuries by Event Type, Jan 2017–May 2022<sup>1</sup>**



FTA will present a more detailed analysis of BTV-to-non-transit motor vehicle collisions in a future edition of the *TSO Spotlight Newsletter*, since these events result in more fatalities than other event types.

<sup>1</sup>Data reflect NTD major and non-major event submissions from bus transit agencies through September 2, 2022. NTD data for 2021–22 are preliminary. Full Reporter agencies are typically large agencies serving urbanized areas (see the [NTD Reporting Policy Manual](#) for Full Reporter criteria). Bus modes include Bus, Bus Rapid Transit, Commuter Bus, Demand Response, Público, Trolleybus and Vanpool.

<sup>2</sup>FTA's fatality and injury reporting criteria are available in the [NTD Safety & Security Policy Manual](#).

<sup>3</sup>Collisions include any collision between a BTV and any person or object, excluding suicides and suicide attempts. BTV-to-person collisions are collisions that involve a person outside a motor vehicle. BTV-to-non-transit motor vehicle collisions are collisions that *do not* involve a person outside a motor vehicle but *do* involve a motor vehicle not owned by the transit agency.

<sup>4</sup>Suicide fatalities include all fatalities submitted on suicide and attempted suicide event reports, all fatalities submitted on transit vehicle collisions and unclassified security event reports that involve a suicide or attempted suicide and individual suicide fatalities resulting from other security events.

<sup>5</sup>Homicide fatalities include those submitted on either homicide or assault event reports. Assault and homicide injuries include all assault injuries as well as any people injured other than the victim in a homicide.

<sup>6</sup>PIE are reportable safety events resulting in fatalities and injuries that *do not* involve a collision, fire, hazardous material spill, Act of God, evacuation or \$25,000 or more in property damage. They include but are not limited to slips, trips, falls and smoke events. On-vehicle PIE include those occurring within BTVs. Boarding/alighting PIE include those occurring while a person is boarding or alighting from a BTV.

<sup>7</sup>"All other events" include but are not limited to security events other than homicide and assault, fires, non-transit collisions, and fumes/noxious odors.

## FY2023 Transportation Safety Institute (TSI) Safety Training

[Registration](#) is open for the FY2023 TSI safety training courses for transit personnel. These courses also support FTA grantees subject to the [Public Transportation Safety Certification Training Program \(PTSCTP\) regulation](#) with initial training and refresher training requirements. All rail PTSCTP courses are offered virtually.

The availability of in-person TSI courses depends upon each host's local guidance. Please contact TSI at [TSI@dot.gov](mailto:TSI@dot.gov) or 405-954-3682 for more information. TSI can verify the status of scheduled courses and assist with any other course-related questions.

### General Rail/Bus PTSCTP Virtual Live Training Courses

<a href="#">SMS Principles for Transit</a> : Includes an introduction to the principles and four components of a Safety Management System (SMS): Safety Policy; Safety Risk; Safety Assurance (SA); and Safety Promotion.	January 10–12, 2023 February 6–8, 2023 March 21–23, 2023
<a href="#">SMS Safety Assurance</a> : Examines the SA component within an SMS and discusses the three key subcomponents and essential SA activities and tools necessary to verify the effectiveness of safety risk mitigations.	January 19, 2023 March 9, 2023
<a href="#">Effectively Managing Transit Emergencies</a> : Provides participants with information on understanding the necessity, purpose, development and implementation of emergency management.	December 19–22, 2022 February 21–24, 2023 April 3–6, 2023

### Rail PTSCTP Virtual Live Training Courses

<a href="#">SMS Principles for SSO Programs</a> : Provides participants with the knowledge, skills and tools State Safety Oversight Agencies need as their rail transit agencies move from SMS planning and implementation to SMS operation.	February 9, 2023 March 24, 2023
<a href="#">Transit Rail System Safety</a> : Provides basic rail system safety and Safety Management System (SMS) principles and the required elements of FTA safety regulations.	Nov. 28–Dec. 2, 2022 March 27–31, 2023
<a href="#">Transit Rail Incident Investigation</a> : Provides participants with the knowledge and skills to successfully investigate various types of transit incidents and comply with the requirements of the State Safety Oversight (Rule (49 CFR Part 674)).	February 13–17, 2023 April 17–21, 2023 April 7–11, 2023

## NTI Virtual AAP and VTW Courses

The National Transit Institute (NTI) offers virtual Assault Awareness and Prevention and Violence in the Transit Workplace courses, which support the [FTA Enhanced Transit Safety and Crime Prevention Initiative](#). Transit agencies can also use the AAP course to fulfill the new [Bipartisan Infrastructure Law requirement](#) for de-escalation training. **To participate in these free courses, complete the [quick self-registration](#).** Please contact NTI at 848-932-1700 or [nti\\_info@nti.rutgers.edu](mailto:nti_info@nti.rutgers.edu) with any questions. For questions about FTA safety training offerings, please contact [FTASafetyPromotion@dot.gov](mailto:FTASafetyPromotion@dot.gov).





## FTA Employee Spotlight: Tanyan Bailey



**Tanyan Bailey**

Program Analyst, Budget/Acquisitions, Office of Program Oversight, Office of Transit Safety and Oversight, FTA

**How would you explain your job to someone you have never met?** I am responsible for budget planning for the Office of Program Oversight. I also coordinate the Office of Program Oversight's acquisition strategies and management that include serving and working closely with staff, Contract Officer Representatives (CORs) and managers to resolve acquisition related problems impeding the accomplishment of projects, program goals and objectives.

**What were you doing before this role?** I worked as a Program Analyst and Project Office for another Federal government agency. As a Program Analyst, I provided technical advice on annual appropriations and resource allocations and oversaw the budget formulation and execution process. As a Project Officer, I was responsible for oversight of several contracts, interagency agreements and grant processing. I also was a contract-level COR of three high-profile agency-wide contracts and the program's blanket purchase agreement.

**What's your favorite moment of your professional career so far?** My favorite moment so far was doing a detail assignment at my previous agency as an Environmental Management Specialist and Project Officer. I provided oversight for a successful Emergency Operation Center (EOC) refresh project and upgrades to the EOC IT/Audio Visual infrastructure. I was able to complete the National Incident Management Systems training and the Incident Command System (ICS) Institute as a Resource Unit Leader and was assigned as a Resource Unit Leader in the Federal Emergency Management Agency ICS for activation and testing.

**What is your favorite form of transportation? Why?** Trains and trolleys! Trolleys are a great way to relax and explore historic tours when on travel. I specifically love riding on trolleys in New Orleans while learning about the history of the city and looking at historic sites.

**What is the best piece of advice you have been given?** Always treat others how you wanted to be treated.

**If you could learn any skill, what would it be?** I would love to be able to build an entire house on my own.

**If you could take a month to travel anywhere, where would you go?** I would split my time between the ABC islands of the Caribbean—Aruba, Bonaire and Curaçao. I would spend ten days in Aruba, ten days in Bonaire and ten days in Curaçao.

**If you could only pick three foods to eat for a month, which foods would you choose?** Pho soup, ahi tuna and cabbage.





U.S. Department of Transportation  
**Federal Transit Administration**

Federal Transit Administration  
Office of Transit Safety and Oversight  
1200 New Jersey Avenue SE  
Washington, DC 20590

Access the [FTA Transit Safety and Oversight Spotlight Newsletters](#).

---

## Upcoming FTA TSO Office Speaking Engagements

### [FRA Rail Share](#)

November 29–30, 2022 | St. Louis, MO

### [PTASP Webinar: Mailbag Episode: Your Questions Answered](#)

November 30, 2022 | Virtual

### [APTA Mid-Year Safety Seminar and Risk Management Seminar](#)

December 4–7, 2022 | Phoenix, AZ

*The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.*