Today’s Agenda

• TSO Leadership Changes
• Presidential Transition
• WMATA Safety Oversight Update
• Safety Rulemaking Update
• Safety Directives and Advisories
• Safety Research
  – Transit Safety Standards
  – Transit Advisory Committee for Safety (TRACS)
  – Employee Reporting Program
• Safety Training
• Safety Outreach
  – Safety Management System (SMS) Pilots
  – Bus Safety Program
• Resources
• Questions
TSO Leadership Changes
TSO Leadership Changes

- Director of WMATA Safety Oversight
  - Angela Dluger
- TSO-1 Special Assistant
  - Lynn Spencer
- Acting Deputy Associate Administrator
  - Kimberly Burtch
- Acting Director of the Office of System Safety
  - Candace Key
- Acting Director of the Office of Safety Review
  - Patrick Nemons
Presidential Transition
Presidential Transition

• Our mission remains the same
• FTA Leadership waiting to hear from President-Elect Trump’s transition team
WMATA Safety Oversight Update
WMATA Safety Oversight Update

- FTA continues to provide direct safety oversight
- WMATA safety improvements
  - Federal funding used by WMATA on safety-related projects
  - RWP Safety Training
  - Ensure SafeTrack plans prioritize reducing the risk of smoke and fire events
- Advocates for creation of a new State Safety Oversight Agency (SSOA) by February 9, 2017
- Transparency in our oversight
Safety Rulemaking Update
<table>
<thead>
<tr>
<th>Regulation</th>
<th>Rulemaking Timeline</th>
<th>Status</th>
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</table>
| 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                                       |
| 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                                       |
| 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                                       |
| 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                                      |
| 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                                 |
| 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 Plan  
49 CFR Part 673                                                                  | Proposed National Safety Plan  
Published: 2/5/2016  
Comment By: 4/5/2016                                       | Final Guidance Document in Development                    |
| Preventing Transit Worker Assault NPRM                                             | NPRM  
Expected: 2017                                              | Under Development                                         |
State Safety Oversight (SSO) Final Rule

- Oversight of rail fixed guideway public transportation systems
- SSO Final Rule (49 CFR Part 674) replaces the current SSO rule at 49 CFR Part 659
- SSO Programs must be certified by April 15, 2019
Interim Safety Certification Training Program Provisions

- Three components
  - Required training program
  - Required Technical Training Plan
  - Voluntary
- Fills in the gap requirements until the National Public Transportation Safety Certification Training Program Final Rule is published

Effective Date: 5/28/15
Public Transportation Safety Program
Final Rule

- Formally establishes FTA’s safety policy - Safety Management Systems (SMS)
- Commits FTA to creating and implementing a National Public Transportation Safety Plan
- Establishes the procedural rules for enforcement of FTA’s safety programs

Effective Date: 9/12/16
Transit Asset Management (TAM) Final Rule

Requires FTA grantees to develop management plans for their public transportation assets, including vehicles, facilities, equipment, and other infrastructure.

Effective Date: 10/1/16
Anticipated Benefits of TAM

• Improved transparency and accountability
• Optimized capital investment and maintenance decisions
• More data-driven maintenance decisions
• Potential safety benefits
Linking Proposed Regulations

Public Transportation Agency Safety
- SMS Hazard Identification/Risk Assessment
- Establish Safety Targets
- Hazard, Control, and Monitoring Strategy
- Public Transportation Agency Safety Plan

Transit Asset Management
- Asset Inventory/Condition Assessment
- Establish SGR Targets
- Transit Asset Management Plan
- Prioritize Investments/Program of Projects
- Program Formula Funds
- Submit Annual Report

Transportation Planning
- MPO and State Performance Targets
- Integrate Performance Based Plans
- Metropolitan and Statewide Long Range Plans
- Adopt TIP/STIP

FTA
Federal Transit Administration
Define state of good repair

Require TAM Plans for all recipients and sub-recipients

Establish SGR performance measures

Report data to the NTD

Receive Technical assistance from FTA
State of Good Repair

The condition in which a capital asset is able to operate at a **full level of performance**.

This means the asset:

1. Is able to perform its designed function,
2. Does not pose a known unacceptable safety risk, and
3. Its lifecycle investments have been met or recovered.
TAM and State of Good Repair

• The purpose of the National TAM System is to keep our Nation’s assets in a State of Good Repair (SGR)

• Consequences of not being in a SGR include:
  – Safety risks
  – Decreased system reliability
  – Higher maintenance costs, and
  – Lower system performance
Technical Assistance from FTA

- TERM-Lite
- Transit Asset Management Guide
- TCRP Products
- TAM News & Noteworthy Practices
- Small Provider Guide and Template
- Asset Inventory Development & Integration Guide
- Training & Webinars
- Facility Condition & Rail Guideway Guidebooks

https://www.transit.dot.gov/TAM
TAM Website

In 2013, FTA estimated that more than 40 percent of buses and 25 percent of rail transit assets were in marginal or poor condition. Transit Asset Management (TAM) is a model that uses asset condition to help prioritize funding to achieve or maintain transit networks in a state of good repair. Estimates from the National Repair Assessment identified an $86 billion backlog in deferred maintenance and replacement needs, a backlog that continues to grow.

https://www.transit.dot.gov/TAM
Bus Testing Final Rule

• Requires newly procured buses to meet minimum thresholds
• Scoring system that makes it easier to compare similar bus models from different manufacturers
• Better inform local transit agencies as they evaluate and purchase buses for use in their communities

Effective Date: 10/31/2016
Bus Testing Website

https://www.transit.dot.gov/research-innovation/bus-testing
Available Training and Resources for Interim Safety Certification Training Program

• Availability of required courses:
  – Transit Rail Incident Investigation
  – Effectively Managing Transit Emergencies
  – Transit Rail System Safety
  – SMS Principles for Rail Transit
  – SMS Safety Awareness (ELearning)
  – SMS Safety Assurance (Virtual Live ELearning)

• How to register for courses, go to:
  – TSO Training Website: https://safety.fta.dot.gov/
Available Training and Resources for Interim Safety Certification Training Program

• Technical Training Plan (TTP):
  – Applicability - FTA personnel and contractors who conduct safety audits and examinations and SSOA personnel and contractors who conduct safety audits and examinations of rail transit systems not subject to FRA regulation;
  – How to access and submit a TTP?
    • Go to: TSO Training Website: Briefing on TTP

• Voluntary Participants:
  – Personnel employed by recipients of Federal transit funds of non rail transit systems.
Transit Worker Assault NPRM

- FAST Act requirement
- FTA’s National Online Dialogue on Transit Worker Assault
- NPRM expected in 2017
Safety Directives and Advisories
Safety Directives

• A directive is a written communication from FTA to a recipient that requires the recipient to take one or more specific actions to ensure the safety of the recipient’s public transportation system
Safety Directives

• General Directives
  – Applicable to all (or subset of) recipients
  – Subject to public notice and comment
  – Effective upon final notice in Federal Register

• Special Directives
  – Applicable to one or more named recipients
  – Effective upon direct notice to recipient(s)
  – Establishes process for petitions for reconsideration
  – Deputy Administrator will issue special directives and Administrator will review petitions for reconsideration
Safety Advisories

• An advisory is a notice that informs or warns a recipient of hazards or risks to the recipient’s public transportation system

• An advisory may include recommendations for avoiding or mitigating the hazards or risks
Safety Directives and Advisories

- FTA will be following up with the transit industry on these Safety Advisories
  - Safety Advisory 14-1: Right-of-Way Worker Protection
  - Safety Advisory 16-1: Stop Signal Overruns
Safety Research
Safety Research: Safety Standards
Development of Safety Standards

• FTA hosted two webinars on the FAST Act Review of Transit Safety Standards in May 2016
• Updated FTA's Compendium of Transit Safety Standards
• Final report on the Public Transportation Safety Standards will be published soon
Safety Research: TRACS
Current TRACS Task
Data and Performance Management

Due early 2017

• Standardize safety performance tools and capabilities
• Requirements for the collection of all transit incidents
• Improving existing safety performance measures
• Development of new leading and lagging indicators
• Safety performance targets
Current TRACS Task
Safety Culture

Due early 2017

• How does organizational structure affect safety culture?
• What’s inhibiting the promotion of safety culture?
• Description of the ideal authority and organizational structure
• Promotion of safety culture
• Evaluation of how labor/management committees may or may not promote safety culture
Proposed New TRACS Tasks

- Rail Communications Phraseology and Techniques
- Medical Fitness for Duty
Safety Research: Employee Reporting Program
How does a transit agency increase voluntary employee safety reporting?

**Challenge** – Employees will not voluntarily share information if they feel it could lead to a negative outcome.

**Solution** – Reduce incentives not to report and increase incentives to report.
How does a transit agency increase voluntary employee safety reporting?

Why don’t employees report?
• Not that important

Change Incentives to Report
• Demonstrate that reporting is valued
• Clarify what’s important
• Empower employees
How does a transit agency increase voluntary employee safety reporting?

Why don’t employees report?
• Not that important
• Affects team’s safety record

Change Incentives to Report
• Prioritize an accurate safety risk picture
• Emphasize benefits for safety, not safety record
How does a transit agency increase voluntary employee safety reporting?

**Why don’t employees report?**

- Not that important
- Affects team’s safety record
- Nothing would be done to fix it

**Change Incentives to Report**

- Evaluate each report
- Follow up and show what was done as a result of reporting
How does a transit agency increase voluntary employee safety reporting?

Why don’t employees report?

- Not that important
- Affects team’s safety record
- Nothing would be done to fix it
- Blame for incident
- Treated or disciplined unfairly

Change Incentives to Report

- Balance learning and accountability
- Be consistent – set & follow clear guidelines for unacceptable behavior
How does a transit agency increase voluntary employee safety reporting?

<table>
<thead>
<tr>
<th>Human Error</th>
<th>At-Risk Behavior</th>
<th>Reckless Behavior</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>An inadvertent action – slip, lapse, mistake</strong></td>
<td><strong>A choice – risk not recognized or believed justified</strong></td>
<td><strong>Conscious disregard of unreasonable risk</strong></td>
</tr>
<tr>
<td>Manage through:</td>
<td>Manage through:</td>
<td>Manage through:</td>
</tr>
<tr>
<td>• Processes &amp; procedures</td>
<td>• Increase situational awareness</td>
<td>• Remedial action</td>
</tr>
<tr>
<td>• Checklists</td>
<td>• Remove incentives for at-risk behavior</td>
<td>• Punititive action</td>
</tr>
<tr>
<td>• Training</td>
<td>• Create incentives for safe behavior</td>
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<tr>
<td>• Design</td>
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</table>
Safety Outreach
Components of an SMS

Safety Management Policy
- Establish responsibilities and accountabilities; set objectives and expectations for safety; document SMS processes and procedures

Safety Risk Management
- Identify and prioritize safety concerns based on risk; apply solutions to control safety risk

Safety Assurance
- Monitor, measure, and verify that safety risk is adequately controlled; continuously improve the SMS and safety performance

Safety Promotion
- Communicate, and train personnel about the SMS and their safety roles and responsibilities
What does an effective SMS look like?

• A transit agency routinely and confidently answers these questions:
  – What are our *most serious* safety concerns?
  – How do we *know* this?
  – What are we *doing* about it?
  – Is what we are doing *working*?
  – How do we *know* what we are doing is *working*?
SMS Implementation Pilot Program

Overview

In partnership with select transit agencies, FTA is developing and testing practical guidance materials and tools to help the transit industry transition to safety management systems (SMSs).

Through this program, FTA

- Provides onsite training, guidance, technical assistance, and expertise on SMS implementation
- Identifies best practices and lessons learned
- Develops insights on how best to support the industry-wide transition to SMSs
SMS Implementation Pilot Program Status Update

Chicago Transit Authority (CTA) Pilot

FTA continues to support CTA’s transition to an SMS, applying lessons learned to the development of SMS guidance documents and technical assistance tools for the industry.

Leveraging aviation’s SMS expertise

Safety experts from United Airlines have shared their real-world experience implementing and operating an SMS, including employee safety reporting and data visualization.
SMS Implementation Pilot Program Status Update

Small and Mid-size Bus Agencies Pilot

FTA initiated an SMS pilot with three small and mid-size bus agencies in Maryland. This pilot is focused on developing and testing SMS guidance documents and technical assistance tools for:

- Bus agencies of all sizes
- Rural transit operators
- Contractor-operated services
Bus Safety Program Background

- Objective: To improve safety for passengers, employees, and all who share roadways with transit buses
- Voluntary program, but moving to an oversight role
- Developed in collaboration with industry partners (APTA, CTAA, AASHTO)
- Initial focus on small urban/rural bus transit systems
  - Now includes large urban bus transit systems
Major Bus Program Elements

- Voluntary Onsite Reviews
- State DOT Orientation Seminars
- Safety & Training Resource Website
- Industry Coordination and Outreach
Resources
FTA’s Safety and Training Resource Website

https://safety.fta.dot.gov/
Rulemaking Website

Resources to Help You Prepare Now

**Read, watch, and participate**

- Review FTA’s SMS Framework
- Participate in webinars explaining new regulations and guidance
- Visit FTA’s YouTube page to view previous webinars
  - Read our newsletter TSO Spotlight

**Get trained**

Through FTA’s safety website:

- Take the SMS Awareness online course
- Sign up for classroom courses
- Request an Individual Training Profile (ITP)
  - Courses based on your role

**Sign up to receive updates**

Sign up for GovDelivery

- FTA announcements and new documents

Questions? Comments? Email us at FTASafetyStakeholder@dot.gov
Questions?

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