Today’s Agenda

• Rulemaking Update
• Safety Management System (SMS)
• WMATA Update
• Training Opportunities
• Safety Outreach
• Resources
• Questions
Rulemaking Update
<table>
<thead>
<tr>
<th>Regulation</th>
<th>Rulemaking Timeline</th>
<th>Status</th>
</tr>
</thead>
</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                                                    |
Published: 2/5/2016  
Comment By: 4/5/2016                                                         | Final Guidance Document in Development                                           |
| Transit Worker Assault NPRM                                                | NPRM  
Expected: 2017                                                              | Under Development                                                              |
Published: 2/5/2016  
Comment By: 4/5/2016                                                         | Final Guidance Document in Development                                           |
| Transit Worker Assault NPRM                                                | NPRM  
Expected: 2017                                                              | Under Development                                                              |
Rulemaking Update

Final Rules
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

Effective Date: 4/15/16
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.

Sets state of good repair standards for Agency Safety Plan performance targets.

Effective Date: 10/1/16
TAM Website

厥婀诺俩 裁棚 俩俩俩 岔俩俩 岔俩俩 裁棚 裁棚 裁棚 裁棚 裁棚

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
Rulemaking Update

Rules Under Development
National Public Transportation Safety Certification Training Program NPRM

- Training program for rail transit system auditing and oversight
- Interim Provisions and NPRM only apply to rail fixed guideway systems
- Bus agency participation is voluntary, but highly encouraged
Public Transportation Agency Safety Plan
NPRM (PTASP or Agency Safety Plan)

- Would require a transit agency to implement an SMS through an Agency Safety Plan
- Would require larger transit agencies to certify they have established and implemented a Plan
- Smaller transit agencies may have State DOT draft and certify a Plan
Proposed National Public Transportation Safety Plan (National Safety Plan)

The Plan is:
- NOT a rule
- FTA’s strategic plan
- Sets safety performance criteria for Agency Safety Plan performance targets
Transit Worker Assault NPRM

- FAST Act requirement
- FTA’s National Online Dialogue on Transit Worker Assault
- NPRM expected in 2017
Safety Management System (SMS)
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
WMATA Safety Oversight Update
FTA 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 Training
## Schedule of Upcoming Training

### November 2016

<table>
<thead>
<tr>
<th>Dates</th>
<th>Course</th>
<th>Location</th>
<th>Web Link</th>
</tr>
</thead>
</table>
## Schedule of Upcoming Training

### December 2016

<table>
<thead>
<tr>
<th>Dates</th>
<th>Course</th>
<th>Location</th>
<th>Web Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>December 7 – 9, 2017</td>
<td>SMS Principles for Transit</td>
<td>Tampa, FL</td>
<td><a href="http://www.rita.dot.gov/tsi/about/transit_safety">http://www.rita.dot.gov/tsi/about/transit_safety</a></td>
</tr>
</tbody>
</table>
FTA’s Safety and Training Resource Website

https://safety.fta.dot.gov/
Safety Outreach
# Upcoming FTA Safety Outreach

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>December 5 – 7</td>
<td>APTA Mid-Year Meeting Update</td>
<td>Miami, FL</td>
</tr>
<tr>
<td>December 12</td>
<td>Florida Transit Association Annual Conference</td>
<td>Jacksonville, FL</td>
</tr>
<tr>
<td>January 8 – 12</td>
<td>TRB Annual Meeting</td>
<td>Washington, D.C.</td>
</tr>
</tbody>
</table>
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
- [https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new](https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new)

---

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

Angela Dluger
Deputy Associate Administrator
Office of Transit Safety and Oversight
202.366.5303
Angela.Dluger@dot.gov