

FTA

FEDERAL TRANSIT ADMINISTRATION

APTA Midyear Safety Committee

FTA Safety Update

**Federal Transit Administration
Office of Transit Safety and Oversight**

December 5, 2016



U.S. Department of Transportation
Federal Transit Administration

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-I 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
 - FTA WMATA Safety Oversight website:
<https://www.transit.dot.gov/regulations-and-guidance/safety/fta-safety-oversight-washington-metropolitan-area-transit-authority>

Safety Rulemaking Update

FTA Safety Rulemaking Timeline

Regulation	Rulemaking Timeline	Status
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

Public Transportation Safety Program

RULE

SMS



National Public Transportation Safety Plan

GUIDANCE



National Public Transportation Safety Certification Training Program



RULE

RULE

Public Transportation Agency Safety Plans



TRANSIT AGENCIES

RULE

State Safety Oversight (SSO) Program



SAFER PUBLIC TRANSPORTATION

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



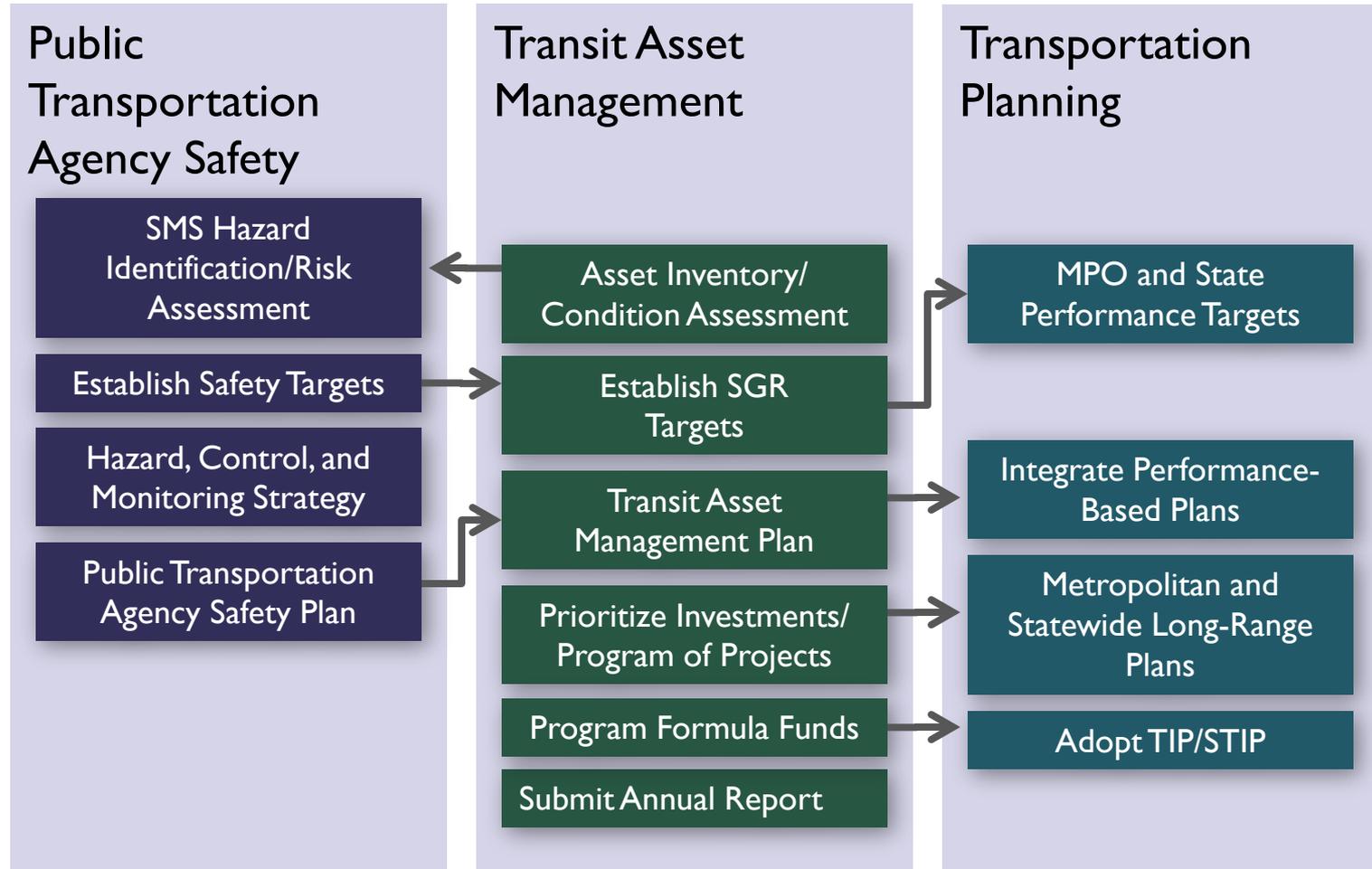
- Requires FTA grantees to develop management plans for their public transportation assets, including vehicles, facilities, equipment, and other infrastructure



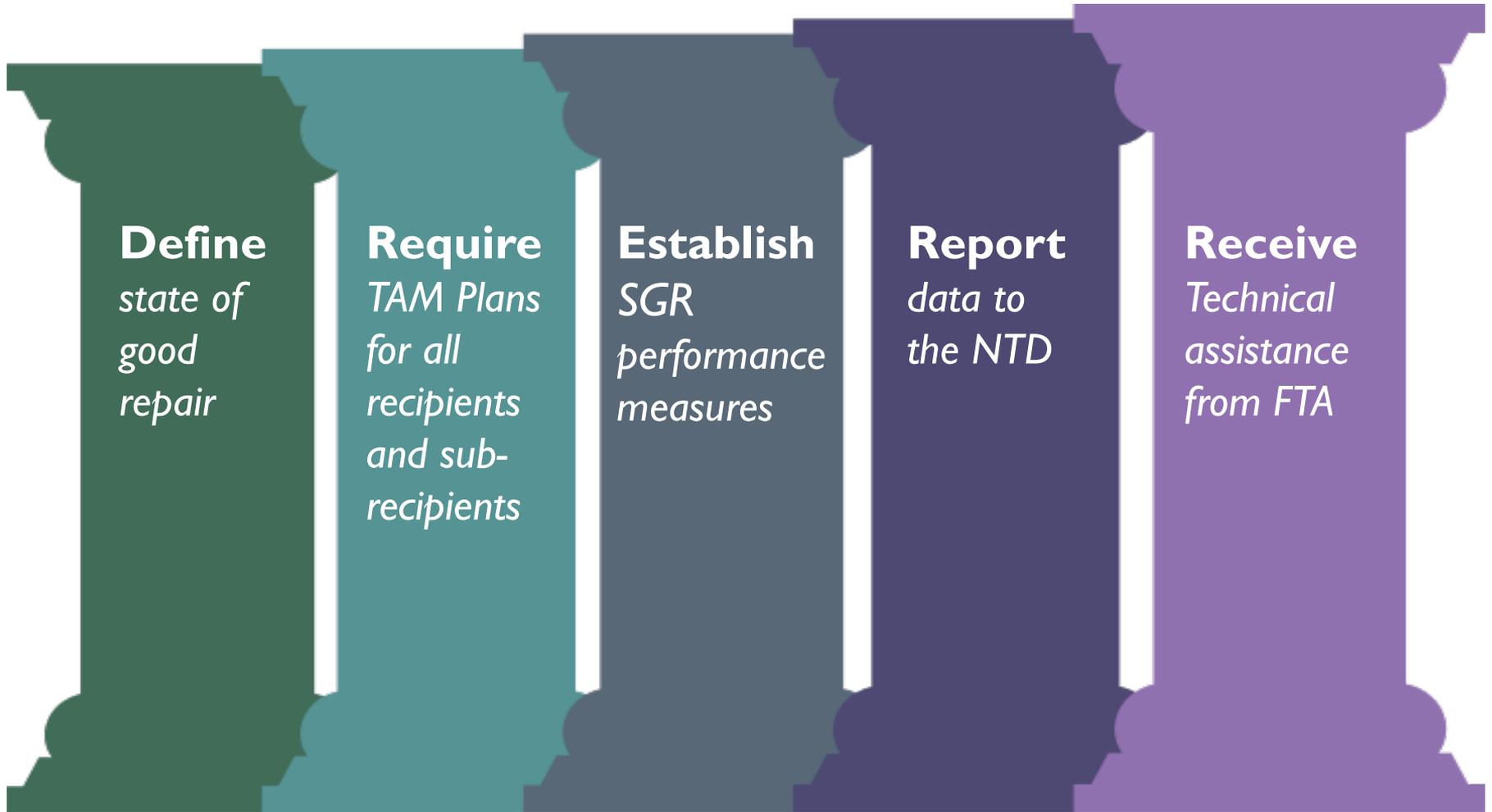
Anticipated Benefits of TAM

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

Linking Proposed Regulations



National Transit Asset Management System



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



<https://www.transit.dot.gov/TAM>

TAM Website

Federal Transit Administration

About Funding Regulations & Guidance

Home » Regulations and Guidance » Asset Management

Transit Asset Management Overview

Getting Started

Rulemaking

TERM-Lite

TAMNews

State of Good Repair Roundtables

State of Good Repair Programs

Resources

Transit Asset Management

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.

Related Links

- TAM Final Rule
- Register for our TAM webinar series, July 26-August 18
- FTA Acting Administrator Carolyn Flowers' TAM video message
- Sign Up for Updates

Related Documents

- Transit Asset Management FAQ

Contact Us

Mshadoni Smith
Transit Asset Management
1200 New Jersey Ave., SE
Washington, DC 20590
United States
mshadoni.smith@dot.gov

Business Hours:
9:00am-5:00pm ET, M-F

Tags

<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

The screenshot shows the Federal Transit Administration's website for Bus Testing. The header includes the FTA logo and name, a search bar, and navigation links for About, Funding, and Regulations & Guidance. The main content area features a breadcrumb trail (Home » Research & Innovation), a left-hand navigation menu with categories like Research & Reports, Technology, and Bus Testing, and a central article titled "Bus Testing". The article includes a photograph of a blue bus with a camera on a tripod in front of it. To the right of the article, there is a dedication paragraph, a "Related Links" section with two links, and a "Contact Us" section with the office name, address, phone number, and business hours.

Federal Transit Administration

About Funding Regulations & Guidance

Home » Research & Innovation

Research & Innovation

Research & Reports

Technology

Training and Workforce Development

Bus Rapid Transit

International Public Transportation Program

Bus Testing

Overview

Background

History

Testing Process

Partial Testing

Requirements

Policies and Guidance

Reports

Bus Testing



FTA dedicates the bus testing rule to the memory of our departed colleague, Gregory Rymarz, whose vision, energy and intelligence were instrumental in its creation.

Related Links

- [Bus Testing Final Rule](#)
- [Bus Testing Final Rule Press Release](#)

Contact Us

Office of Research, Demonstration, and Innovation
Federal Transit Administration
1200 New Jersey Avenue, S.E.
Washington, DC 20590
United States

Phone: 202-366-4052

Business Hours:
9:00am-5:00pm ET, M-F

On August 1, 2016, FTA announced a [final rule for bus testing](#) for improving the process of ensuring the safety and reliability of new transit buses. The rule satisfies requirements in MAP-21 to establish minimum performance standards, a standardized scoring system, and a pass-fail threshold that will better inform local transit agencies as they evaluate and purchase buses.

<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
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/compendium-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?

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

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



Montgomery County, MD



Frederick County, MD



Charles County, MD

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

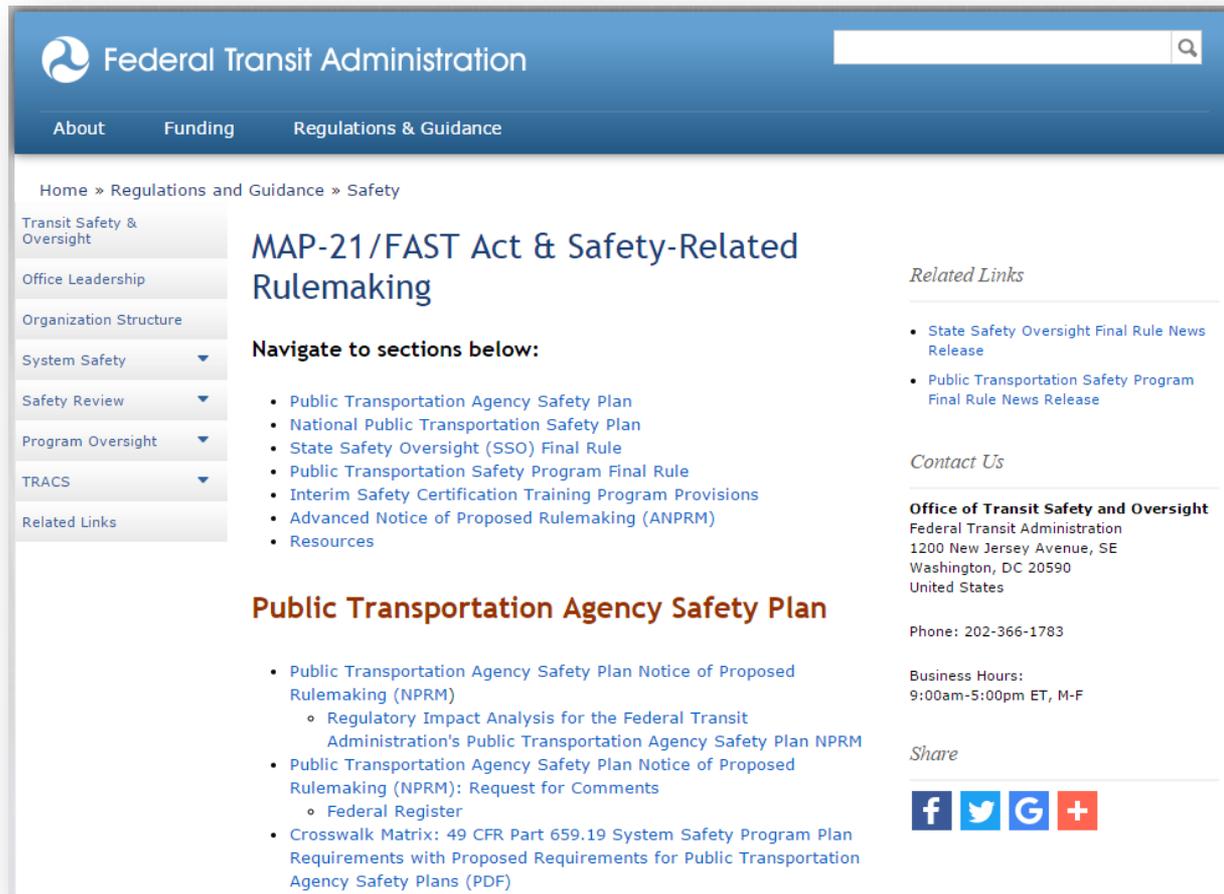


Resources

FTA's Safety and Training Resource Website

The screenshot shows the homepage of the Federal Transit Administration's Safety and Training Resource Website. At the top, the FTA logo and name are on the left, and 'Register Now' and 'Login' buttons are on the right. A navigation bar contains links for WELCOME, RESOURCES, TRAINING, MAPS, EVENTS, CONTACT FTA, and HELP. The main heading is 'Welcome to FTA Safety', with a 'Register with Website' button to its right. A central video player features a 'Register Now' button overlaid on the video. To the right of the video, the text reads 'Register to begin' and 'As soon as you register, you can begin E-learning courses, training at your own pace.' Below this is a 'Watch the video' link. At the bottom of the video player are 'Previous' and 'Next' navigation arrows. Below the video player, the text says 'Register now for full site access' and 'Download video transcripts'. At the very bottom, a paragraph states: 'FTA invites you to register and take advantage of FTA Training and Resource Site. Filled with resources, training, and tools to facilitate safety and training for you and your agency.'

Rulemaking Website



The screenshot shows the Federal Transit Administration website's rulemaking page. The header includes the FTA logo and navigation links for 'About', 'Funding', and 'Regulations & Guidance'. The main content area is titled 'MAP-21 / FAST Act & Safety-Related Rulemaking' and features a sidebar with navigation options like 'Transit Safety & Oversight', 'Office Leadership', and 'System Safety'. The main text includes a 'Navigate to sections below:' section with a list of links to various rulemaking documents, a 'Public Transportation Agency Safety Plan' section with a list of links, and a 'Related Links' section with two links to final rule news releases. Contact information for the Office of Transit Safety and Oversight is also provided, including a phone number and business hours. Social media sharing icons for Facebook, Twitter, Google+, and a general share button are located at the bottom right of the page.

Federal Transit Administration

About Funding Regulations & Guidance

Home » Regulations and Guidance » Safety

Transit Safety & Oversight

Office Leadership

Organization Structure

System Safety

Safety Review

Program Oversight

TRACS

Related Links

MAP-21 / FAST Act & Safety-Related Rulemaking

Navigate to sections below:

- Public Transportation Agency Safety Plan
- National Public Transportation Safety Plan
- State Safety Oversight (SSO) Final Rule
- Public Transportation Safety Program Final Rule
- Interim Safety Certification Training Program Provisions
- Advanced Notice of Proposed Rulemaking (ANPRM)
- Resources

Public Transportation Agency Safety Plan

- Public Transportation Agency Safety Plan Notice of Proposed Rulemaking (NPRM)
 - Regulatory Impact Analysis for the Federal Transit Administration's Public Transportation Agency Safety Plan NPRM
- Public Transportation Agency Safety Plan Notice of Proposed Rulemaking (NPRM): Request for Comments
 - Federal Register
- Crosswalk Matrix: 49 CFR Part 659.19 System Safety Program Plan Requirements with Proposed Requirements for Public Transportation Agency Safety Plans (PDF)

Related Links

- State Safety Oversight Final Rule News Release
- Public Transportation Safety Program Final Rule News Release

Contact Us

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

Phone: 202-366-1783

Business Hours:
9:00am-5:00pm ET, M-F

Share

f t G +

<https://www.transit.dot.gov/regulations-and-guidance/safety/map-21-fast-act-safety-related-rulemaking>

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>

A screenshot of the GovDelivery sign-up form. At the top, it says 'U.S. Department of Transportation Federal Transit Administration' with a logo and a photo of a train. Below that, it says 'Email Updates' and 'To sign up for updates or to access your subscriber preferences, please enter your contact information below.' There is a text input field for 'Email Address' with a red asterisk. Below the field are 'Submit' and 'Cancel' buttons. At the bottom, there is a small line of text: 'Your contact information is used to deliver requested updates or to access your subscriber preferences.' and links for 'Privacy Policy' and 'Help'.

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

Questions?

Kimberly Burtch
Acting Deputy Administrator
Office of Transit Safety and Oversight

Kimberly.Burtch@dot.gov

202.366.0816

Candace Key
Acting Director, Office of System Safety
Office of Transit Safety and Oversight

Candace.Key@dot.gov

202.366.9178