

# Transit Rail Advisory Committee for Safety (TRACS)

## Review of TRACS Work Tasks and Strategic Recommendations

September 20, 2012

US Naval Conference Center

# Meetings to Date

- September 8, 2010, Washington DC
- April 26, 2011, Washington , DC
- February 23-24, 2012, MARTA, Atlanta, GA

# TRACS Letter Report Recommendations

## **Tasking 10-01: Implementing Safety Management System Principles in Transit Agencies,** *Implementing Safety Management System Principles in Rail Transit Agencies*, May 20, 2012

- Report examined the best principles and practices found in Safety Management Systems (SMS) and High Reliability Organizations (HRO) to suggest the principles and practices that make up the core components of a safety management model for rail transit management and oversight.

## **Tasking 10-02: Ideal State Safety Oversight Organizations,** *Characteristics of an Ideal State Safety Oversight Organization*, May 20, 2011

- Specific recommendations that FTA can undertake today to support an effective state oversight agency model across the country.

## Tasking 10-01

Letter Report examined the best principles and practices found in Safety Management Systems (SMS) and High Reliability Organizations (HRO) to suggest the core components of a safety management model for rail transit management and oversight.

FTA should play a leading role in encouraging the adoption of safety management principles and practices across the nation.

The critical challenge for FTA will be how to develop support systems and resources that go beyond simply adding reporting requirements and that support the development of an effective safety culture at transit agencies of all sizes.



Components of high safety management performance in transit agencies.

# Recommendations for FTA

Tasking 10-01

**Identify and disseminate guidance on leading indicators of safety.**

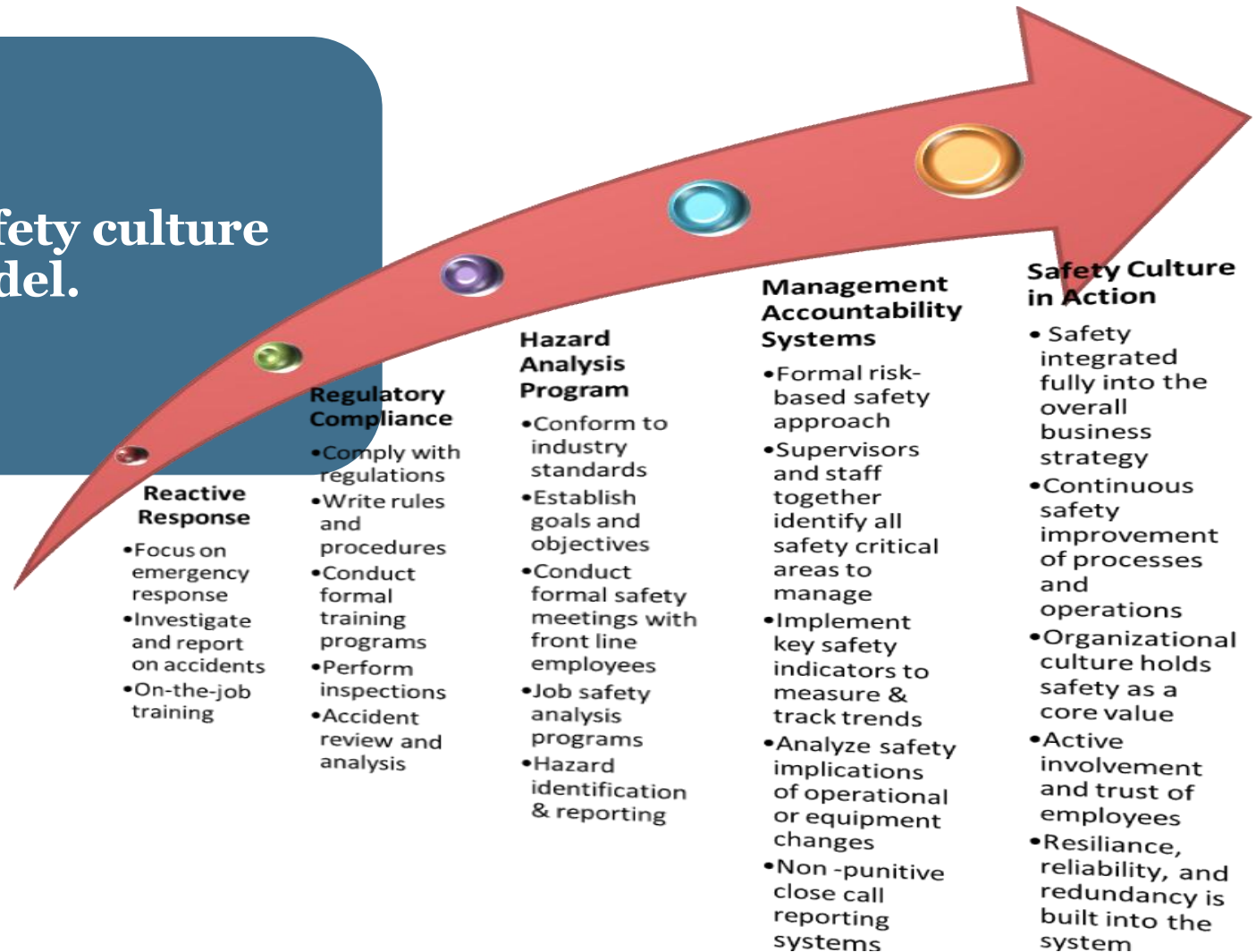
**Conduct a confidential assessment to establish a national baseline of transit agencies' safety climate.**

**Create a guidance manual on safety practices and principles including those highlighted in this report.**

# Recommendation for FTA

Tasking 10-01

## Develop a safety culture maturity model.



# Recommendations for FTA

Tasking 10-01

**Support external executive leadership training and coaching on safety.**

**Recognize good safety performance and the establishment of innovative practices by transit agencies.**

**Pilot an anonymous close-call/near-miss non-punitive reporting system.**

**Promote hazard identification and resolution for operations and maintenance.**

# Characteristics of Effective SSOs

**Tasking 10-02**

## SSO Essential Functions

- Certification
- Audit and Inspection
- Accident Investigation
- Risk Analysis and Hazard Management
- Enforcement
- Monitoring
- Program and Capital Project Review
- Safety Advocacy

## Attributes of Effective SSOs

- Independence
- Collaboration with Transit Agency Leadership
- Legislative Authority to Enforce Standards
- Sufficient Staff and Financial Resources
- Clear and Consistent Requirements and Procedures



# Recommendations for FTA

Tasking 10-02

**FTA should be given authority to set minimum national standards (e.g., vehicle, track, signal, operations) for safety oversight of rail transit.**

**Ensure the enforcement authority of SSOs in their role as compliance agents.**

**Support a due process mechanism for reviewing disputes between SSOs and RTAs on penalties and orders in the enforcement of Federal transit safety regulations.**

**Encourage measurable performance based goals for passenger rail safety. Provide tools & training to assist SSOs and RTAs in performing performance-based safety management.**

# Recommendations for FTA

Tasking 10-02

**Develop explicit guidelines on the roles and responsibilities of SSOs and the minimum scope of their authority.**

**Establish minimum qualifications and certifications for SSO program managers and staff .**

**Expand the safety curriculum to include associated training that supports a robust culture of safety and support ongoing training in specific safety and security disciplines and provide funding so that all SSO staff can participate.**

# Recommendations for FTA

Tasking 10-02

**Encourage the establishment of measurable performance based goals for passenger rail safety and provide tools, training and support that will assist SSOs and RTAs in performing performance-based safety management.**

**Provide sufficient resources to support the adequate oversight and enforcement of Federal transit safety regulations.**

**Establish consistent funding streams and guidelines for staffing and resource needs of small, medium and large SSOs.**

**Support the RTAs in their continuous improvement of the state of good repair.**