

Transit Safety and Oversight Spotlight

U.S. Department of Transportation
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Message from the Acting Associate Administrator

Dear Transit Colleagues,

On July 19, the FTA issued two final regulations to strengthen the safety of public transportation systems—the Public Transportation Agency Safety Plan (PTASP) rule and the Public Transportation Safety Certification Training Program (PTSCTP) rule. With these actions, FTA has completed building the regulatory foundation for the National Public Transportation Safety Program first authorized by Congress in 2012 and began a new era for public transit safety.

PTASP requires transit agencies to develop and implement safety plans based on Safety Management System processes and principles to better manage safety risks. The rule applies to public transportation system operators who are recipients or sub-recipients of financial assistance under the Urbanized Area Formula Funding program (49 U.S.C. § 5307). FTA is deferring applicability of the rule for 2,000 small and rural transit systems because these

operators pose a lower safety risk. Affected transit agencies must be in compliance with the safety plan rule no later than July 20, 2020. You can read more about the rule and its requirements on page 4-6.

The Training rule establishes a safety training curriculum that will enhance the technical competencies and capabilities of individuals responsible for safety oversight of rail transit systems. In response to industry feedback, it is deregulatory and reduces the burden from the current interim requirements by eliminating a course. It also creates a process for individuals to receive credit for completing equivalent but non-FTA-sponsored training courses. The rule takes effect on August 20, 2018. You can read more about the Training rule on page 6.

While the transit industry remains among the safest modes of travel, these rules will help make transit systems even safer. They build on and strengthen FTA’s safety program, which also includes the [State Safety Oversight](#) and [Public Transportation Safety Program](#) rules issued in 2016, and the [National Public Transportation Safety Plan](#) published in 2017.

Safety is our number one priority. With that in mind, we will be providing the technical assistance needed to help the industry comply with these requirements. FTA is offering a series of webinars on the PTASP and Training rules and is providing guidance and resources on our [PTASP](#) and [Training](#) web pages. In addition to visiting the website, please sign up for [GovDelivery updates](#) to learn about training opportunities and technical assistance as it becomes available.

Sincerely,
Henrika Buchanan



Henrika Buchanan, Acting Associate Administrator for Transit Safety and Oversight

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Upcoming Safety Training

The FTA sponsors several safety training courses, including those listed below. The [complete schedule](#) of training courses offered in FY 2018 is available on FTA's safety website. Please contact the FTA-sponsored [Transportation Safety Institute \(TSI\)](#) at (405) 954-3682 for safety training registration and course information. Individuals may contact [Dakisha Spratling](#) or [Rhoderick Ramsey](#) to request an [Individual Training Plan](#) (ITP). Participants in the Public Transportation Safety Certification Training Program have three years to complete the requirements in their ITP.

Courses Required by the Public Transportation Safety Certification Training Program (RAIL)*

Effectively Managing Transit Emergencies	Houston, TX Boston, MA	July 31-Aug. 3 Sept. 18-21
Transit Rail System Safety	Atlanta, GA	Aug. 27-31
Transit Rail Incident Investigation	Portland, OR	Aug. 6-10
SMS Awareness (eLearning)	Go to tsi.dot.gov	Available 24/7
SMS Safety Assurance	Virtual-Live Training	Aug. 20
SMS Principles for Transit	Landover, MD	Aug. 27-29

Voluntary Courses for the Public Transportation Safety Certification Training Program (BUS)**

Fundamentals of Bus Collision Investigation	Seattle, WA Spokane, WA	Aug. 13-17 Sept. 17-21
Transit Bus System Safety	Boston, MA	July 30-Aug 3

*Applies to FTA, SSOA, and rail transit agency personnel/contractors who conduct safety audits and examinations of public transportation systems not subject to Federal Railroad Administration regulation, as well as rail transit system employees who are directly responsible for safety oversight.

**Voluntary bus participants must also complete Effectively Managing Transit Emergencies, SMS Awareness, SMS Assurance, and SMS Principles for Transit. Please see the rail schedule above for course availability.

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Training, cont. from pg. 2

Additional Courses Available in FY 2018		
Bus & Rail Courses (In Person)		
Advanced Rail Incident Investigation	Chicago, IL	Sept. 10-14
Crime Prevention through Environmental Design	Salt Lake City, UT	Sept. 5-6
Instructor's Course for Transit Trainers	Owensboro, KY Seattle, WA	Aug. 13-17 Sept. 17-21
Reasonable Suspicion and Post-Accident Testing Determination Seminar	Houston, TX	Aug. 17
Substance Abuse Management and Program Compliance	Houston, TX	Aug. 14-16
Transit Safety & Security Audit Course	Philadelphia, PA	Aug. 15-17
Transit System Security	San Francisco, CA	Aug. 6-10
	Boston, MA	Aug. 20-24
	Honolulu, HI	Sept. 10-14
	Landover, MD	Sept. 17-21
eLearning Courses (Web Based)		
Curbing Transit Employee Distracted Driving	Go to tsi.dot.gov	Available 24/7
Fatigue and Sleep Apnea Awareness for Transit Employees	Go to tsi.dot.gov	Available 24/7
Rail Nomenclature	Go to tsi.dot.gov	Available 24/7
Transit Asset Management Training: Calculating Performance Measures and Setting Targets	Go to tsi.dot.gov	Available 24/7
Bus Nomenclature	Go to tsi.dot.gov	Available 24/7

Upcoming PTASP and Training Rule Webinars

FTA will host a series of webinars for the transit industry on the Public Transportation Agency Safety Plan and Public Transportation Safety Certification Training Program rules. Webinar information is also posted on [FTA's PTASP website](#).

August Webinars:

- Multimodal Agencies Webinar – Monday, August 6 at 2 p.m. ET [Registration](#) is required to join this webinar
- State Safety Oversight Agencies Webinar – Thursday, August 9 at 2 p.m. ET [Registration](#) is required to join this webinar
- Bus-only Agencies Webinar – Tuesday, August 28 at 2 p.m. ET [Registration](#) is required to join this webinar
- State DOTs Webinar – Wednesday, August 29 at 2 p.m. ET [Registration](#) is required to join this webinar
- Multimodal Agencies Webinar – Thursday, August 30 at 2 p.m. ET [Registration](#) is required to join this webinar

FTA Publishes Public Transportation Agency Safety Plan Final Rule

On, July 19, FTA announced the publication of the [Public Transportation Agency Safety Plan \(PTASP\) final rule](#), which requires certain operators of public transportation systems to develop and certify an agency safety plan rooted in Safety Management System (SMS) principles and methods.

SMS is a comprehensive and proactive approach to managing safety. It helps transit agencies understand their safety risk, identify effective ways to manage that risk, and monitor and measure safety performance to drive continuous improvements to safety.

Important Dates

Transit operators subject to the rule must have an agency safety plan in place no later than July 20, 2020. Transit operators are required to review, update, and certify their plans annually.

Applicability

The PTASP rule applies to public transportation system operators who are recipients or sub-recipients of financial assistance under the Urbanized Area Formula Funding program (49 U.S.C. § 5307).

All transit providers that receive Urbanized Area Formula funds must implement a safety plan. Rail transit agencies and large bus operators are required to develop and certify their own safety plan. States must draft and certify safety plans on behalf of bus operators with 100 or fewer vehicles in peak revenue service, unless the operator opts to draft and certify its own plan.

FTA has deferred applicability of the rule for public transportation system operators that only receive financial assistance under the Formula Grants for Rural Areas or Formula Grants for Enhanced Mobility of Seniors and Individuals with Disabilities programs. Additionally, funding recipients that only operate passenger ferries regulated by the U.S. Coast Guard or rail regulated by the Federal Railroad Administration do not need to comply with the rule.

Requirements

The PTASP rule stipulates that each transportation system must adhere to the following minimum safety requirements:

- Signatory approval of the agency safety plan by an agency's accountable executive, and approval by the board of directors (or equivalent);
- The designation of a chief safety officer;
- Documented processes of the agency's safety plan;
- An employee reporting program;
- Performance targets based on performance measures established in FTA's [National Public Transportation Safety Plan \(NSP\)](#);
- Criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP;
- A process and timeline for conducting an annual review and update of the safety plan; and
- For rail only, an emergency preparedness and response plan or procedures.



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PTASP, cont. from pg. 4

Please see below for additional information about requirements.

Approval, Certification, and Resources

State Safety Oversight Agencies will approve and certify all rail fixed guideway system safety plans. All transit operators subject to the rule must also annually self-certify that their safety plan meets the rule's requirements using FTA's Certification and Assurances process. The FTA does not intend to collect and approve safety plans, but will use its oversight processes (i.e. Triennial and State Management Review programs) to conduct reviews.

The FTA will host webinars and provide technical assistance, templates, and guidance documents to assist with safety plan development and implementation. FAQs and a fact sheet are available on FTA's [dedicated PTASP website](#).

For more information, please send a message to FTA's dedicated e-mail address for the PTASP rule and SMS: PTASP_QA@dot.gov.

Public Transportation Agency Safety Plan Requirements for the Transit Industry

General PTASP Requirements

Bus and Rail: At minimum, transit operators must document processes and procedures for the agency's Safety Management System (SMS); create an employee reporting program; set performance targets based on measures established in FTA's National Public Transportation Safety Plan (NSP); address requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP; and establish a process and timeline for annually reviewing and updating the safety plan.

Sharing Safety Performance Targets with States and Metropolitan Planning Organizations (MPOs)

Bus and Rail: Transit agencies must make available their safety performance targets to states and MPOs. Information sharing will aid states and MPOs in the planning process and the selection of their own performance targets.

Emergency Preparedness and Response Plan

Rail: Rail Transit Agencies (RTAs) must include an emergency preparedness and response plan in their PTASPs. The plan should address employee responsibilities and coordination with select federal, state, regional, and local safety officials.

Chief Safety Officer Requirements

Rail: RTAs are required to employ a chief safety officer responsible for the implementation and operation of SMS.

Bus (large): Large bus systems are expected—but not required—to have a dedicated chief safety officer.

PTASP Development and Implementation Requirements

Bus (large) and Rail: RTAs and large bus operators must develop, certify, and implement their own safety plans. An agency may develop a PTASP for all modes of service, or one for each mode.

Bus (small*) and States: The state must draft and certify a safety plan on behalf of a small provider, unless the provider opts to draft and certify their own. Regardless of who drafts the plan, the operator must implement the plan.

**100 or fewer vehicles in peak revenue service*

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Requirements, cont. from pg. 5

PTASP Certification Requirements

All operators: PTASPs must be signed by the accountable executive and approved by the board of directors or equivalent entity. The PTASP must be certified through FTA's Certification and Assurances process.

Rail and State Safety Oversight Agencies (SSOAs): RTAs are required to submit their PTASP to their designated SSOA for review and approval.

Bus: Large providers must certify their own plans. Small providers may have their plans certified by the state or may opt to certify its own plan.

Questions? Please email PTASP_QA@dot.gov.

FTA Publishes Training Rule to Enhance Technical Capabilities of Safety Oversight Personnel

On July 19, FTA announced publication of the [Public Transportation Safety Certification Training Program final rule](#), which establishes a safety training curriculum to enhance the technical proficiency of transit safety personnel. The rule applies to rail transit safety oversight personnel. FTA encourages other safety personnel, including those from bus agencies, to participate in training voluntarily.

Each SSO and Rail Transit Agency must designate required participants. Designated participants must complete training requirements within three years of being designated. Refresher training is required every two years thereafter.

The final rule replaces an interim training requirement that enabled many participants to work toward completion of training requirements in advance of the final rule's publication. The final rule is similar to the interim program, with a few changes. The final rule requires fewer courses than the interim requirement, eliminating the Transit System Security course and Safety Management System (SMS) Gap course. Additionally, the final rule allows participants to receive credit for equivalent courses not sponsored by FTA. To receive credit for an equivalent course, participants must complete a [Course Equivalency Form](#).

FTA is offering webinars on Thursday, August 2, 2018, [Registration](#) is required to join this webinar, and Thursday, August, 16, 2018, [Registration](#) is required to join this webinar. These webinars will provide an overview of the Training rule and allow participants to ask questions.

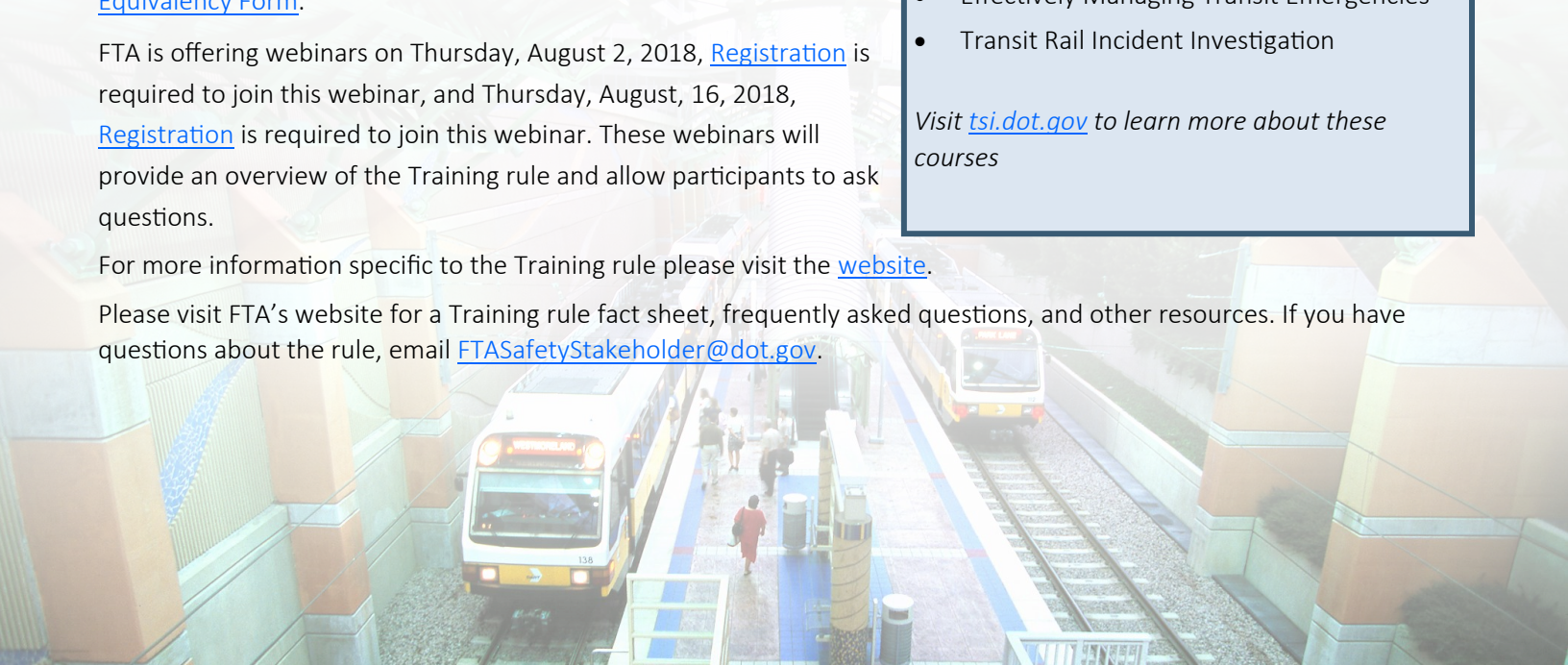
For more information specific to the Training rule please visit the [website](#).

Please visit FTA's website for a Training rule fact sheet, frequently asked questions, and other resources. If you have questions about the rule, email FTASafetyStakeholder@dot.gov.

Required Curriculum

- SMS Awareness
- Safety Assurance
- SMS Principles for Transit
- SMS Principles for SSO Programs
(under development)
- Transit Rail System Safety
- Effectively Managing Transit Emergencies
- Transit Rail Incident Investigation

Visit tsi.dot.gov to learn more about these courses



TSO Profile

Q&A with Kara Waldrup, Program Analyst, Office of System Safety



Kara Waldrup

How would you explain your job to someone you've never met? My primary focus is developing safety policy for FTA. My position involves researching safety issues, drafting documents, facilitating work group meetings, and coordinating the final versions of these documents and policies through an extensive approval process.

What is your favorite part of your job? My favorite part of this role is learning about the transit industry while conducting research. I also enjoy the comradery that comes with facilitating work groups that strive to develop solutions to complex problems.

What were you doing prior to this role? After being a helicopter pilot in the Army for eight years, I joined the Transportation Security Administration (TSA). I was with the TSA for eight years serving as a policy writer and policy section leader; then I served as a Principle Security Inspector.

What are some current projects or initiatives that you, or your team, are working on? My team works on a wide variety of initiatives and projects, from standards development and rulemaking to training and certification of industry members on new safety requirements. One project that I am responsible for is drafting and coordinating FTA responses to National Transit Safety Board (NTSB) recommendations. This involves research, facilitating meetings, and working closely with engineers and other analysts to formulate responses.

What is your favorite form of transportation and why? That's hard; I take an express bus every morning and it's so fast. I love that. I also really like the Metro and I wish it was available everywhere.

What are your hobbies and interests outside of work? I like baking; cookies are one of my specialties. I also enjoy scrapbooking. What I love most, though, is talking about family and kids and getting to know about the families of others. I have three kids and sharing their hobbies with them has become one of my favorite activities.

FTA Talks State Safety Oversight Program Certification at APTA Rail Conference

Representatives from FTA's Office of Transit Safety and Oversight (TSO) spoke at the American Public Transportation Association's (APTA) 2018 Rail Conference, which took place June 10-13 in Denver, Colorado. Pictured below from left to right, FTA's Patrick Nemons, Special Assistant to the Assistant Associate Administrator, speaks on a panel titled "State Safety Oversight Updates from FTA" with APTA moderator Gerry Ruggiero; FTA's Kimberly Burtch, Director, Office of Safety Review; Utah Transit Authority's Sheldon Shaw, Manager of Safety; and the Colorado Public Utility Commission's Pamela Fischhaber, Rail/Transit Safety Section Chief. The panel discussed the April 15, 2019 deadline for states to obtain certification of their State Safety Oversight (SSO) programs, the certification process, and the experiences of panelists whose SSO agencies have achieved certification. Slides from this panel and other TSO speakers are available on [FTA's website](#).



North Carolina, Puerto Rico, and Washington Obtain State Safety Oversight Program Certification

North Carolina, Puerto Rico, and Washington are the latest jurisdictions to obtain federal certification of their rail transit [State Safety Oversight \(SSO\) programs](#), in advance of an important safety deadline.

Federal law requires states with rail transit systems to obtain FTA certification of their SSO programs by April 15, 2019. The deadline cannot be waived or extended.

The North Carolina Department of Transportation is responsible for providing safety oversight of the Charlotte Area Transit System light rail and streetcar systems.

The Puerto Rico Emergency and Disaster Management Bureau is responsible for providing safety oversight of the Tren Urbano heavy rail system.

The Washington State Department of Transportation is responsible for providing safety oversight of the Sound Transit light rail systems and City of Seattle street car and monorail systems.

To date, 17 states have now obtained SSO program certifications. By April 15, 2019, each eligible state must obtain certification or FTA will be prohibited by law from obligating any new grant funds until certification is achieved.

To track states' progress, please refer to FTA's [SSO Program Certification Status Table](#).

FTA Conducts Mini-Triennial Review Workshop at 2018 CTAA Expo

On June 12, FTA conducted a Mini-Triennial Review Workshop during the 2018 Community Transportation Association of American (CTAA) Expo in Pittsburgh, PA. David Schilling, Division Chief for Performance and Quality Assurance in FTA's Office of Program Oversight, and Denise Bailey, Principal of Milligan & Company, provided an overview of the top-10 findings from [FTA's Triennial Review program](#) over the past four years and facilitated an interactive discussion of the top findings from FY17, including:

Maintenance: Missing or incomplete maintenance plans for FTA-funded facilities and equipment.

Financial Management: Missing or incomplete financial policies and procedures.

American with Disabilities Act (ADA) (General): Insufficient process for tracking, responding to, and/or resolving ADA-related complaints.

ADA (Complementary Paratransit): 1) Operational patterns or practices that limit or constrain capacity on complementary paratransit service, 2) No-show policies that do not meet the complementary paratransit service requirements.

Procurement: 1) Procurement files missing required FTA clauses, 2) Procurement files missing a cost/price analysis.

Disadvantaged Business Enterprise (DBE): 1) DBE shortfall analysis not completed or not submitted on time, 2) DBE uniform reports not submitted semi-annually.

Technical Capacity: Inadequate oversight of sub-recipients, third party contractors, or lessees.

Approximately 25 participants, primarily representing transit authorities and state DOTs, attended the workshop and gained a better understanding of the purpose of the review areas in which these findings are made, the questions and guidance provided in the Triennial and State Management Review guide, reviewer perspectives on key drivers behind these findings, and actions recipients can consider to avoid these common findings.

FTA plans to provide a similar mini-workshop focusing on the State Management Review program during the State Public Transportation Partnerships Conference in Minneapolis this August. These efforts are part of FTA's ongoing commitment to the transit industry to find new ways to increase the amount of oversight training and technical assistance provided to its recipients.

For more information or to request a mini-workshop at an event, please contact [Scott Giering](#), Acting Director, Office of Program Oversight.

SMS Training for SSOAs Emphasizes Proactive Safety Environment

At the 2018 State Safety Oversight (SSO) Program Managers Training Workshop in May, FTA hosted a training session to assist SSO Agencies (SSOAs) in better understanding their role in supporting a rail transit agency's Safety Management System (SMS) implementation. The session, "The SSOA's Role in a Proactive SMS Environment," also provided FTA with valuable information that will inform future education materials and courses for the transit industry.

Key training topics included the basic principles of SMS, FTA's goals for the transit industry's implementation of SMS, the benefits of a proactive safety environment, and elements of a safety culture. The session consisted of speaker presentations and interactive participant activities. Activities were designed to facilitate conversation amongst SSO participants and allowed them to share experiences and best practices.

Workshop participants said they appreciated the opportunity to share successes and challenges with each other and to identify SSOAs that could potentially serve as future resources. Peer-to-peer discussion topics ranged from efforts to foster collaborative relationships with rail transit agencies to balancing an SSOA's oversight role with SMS implementation support.

Stay tuned for updates on additional SMS training and resources from FTA. If you have questions about the SSO workshop SMS training session, please contact FTA's [Aloha Ley](#) or [Michael Coplen](#).



From left to right, workshop facilitator Dr. Alfonz Ruth and FTA panelists Juan Morrison, Rhoderick Ramsey, Aloha Ley, and Michael Coplen kick off the SMS training session at the SSO workshop.



**U.S. Department
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**Federal Transit
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Upcoming TSO Speaking Events

[State Public Transportation Partnerships Conference](#)

Minneapolis, MN

August 15-17

[American Public Transportation Association \(APTA\) Annual Meeting](#)

Nashville, TN

September 23-26