

Transit Safety and Oversight Spotlight

U.S. Department of Transportation
Federal Transit Administration

INSIDE THIS ISSUE:

Upcoming Safety
Training

2-3

Using a System Safety
Program Plan to
develop an Agency
Safety Plan

4-5

FTA Hosts Random
Drug Rate Increase
Information Session
Webinars

5

The Role of the Chief
Safety Officer in
PTASP
Implementation

6-7

Data Spotlight: Rail
Transit Collisions

8

TSO Profile

9

Safety Research
Spotlight: Enhancing
All-Hazard Recovery
with Travel Demand
Management
Technology

10-11

FTA's 14th Annual
Drug and Alcohol
Program National
Conference

11

Message from the Acting Associate Administrator

Jan./Feb. 2019
Vol. 4 No. 1

Dear Transit Colleagues,

When FTA resumed normal operations after the Federal government lapse in appropriations, we immediately focused our energy on many important priorities including the imminent April 15, 2019 statutory deadline for establishing a federally compliant State Safety Oversight (SSO) program. By law, the certification deadline cannot be waived or extended.

Through their diligence and with FTA's support, [27 of 31 programs have obtained certification](#). I can assure you that FTA is diligently working with the remaining SSO agencies to continue the certification process. We have every expectation that all 31 programs will meet the deadline, demonstrating strengthened safety oversight programs for their states' rail transit systems, as well as greater authority to provide this oversight.

This year, FTA will also continue to provide webinars and technical assistance to transit agencies working toward compliance with the [Public Transportation Agency Safety Plan final rule](#). In 2018, over 2,900 members of the transit industry took part in one of our webinars. We are busy preparing future sessions on topics such as contractor-operated service, safety assurance, and employee reporting. We will post webinar dates and registration information as it becomes available on the [PTASP website](#), or you can sign up for [GovDelivery updates](#) to receive email alerts about webinars and other available guidance.

As the remaining states cross the SSO certification finish line, and as transit agencies continue to develop and implement their safety plans and Safety Management Systems, I look forward to seeing what we accomplish in the year ahead!

Sincerely,
Henrika Buchanan



Henrika Buchanan, Acting
Associate Administrator for
Transit Safety and Oversight

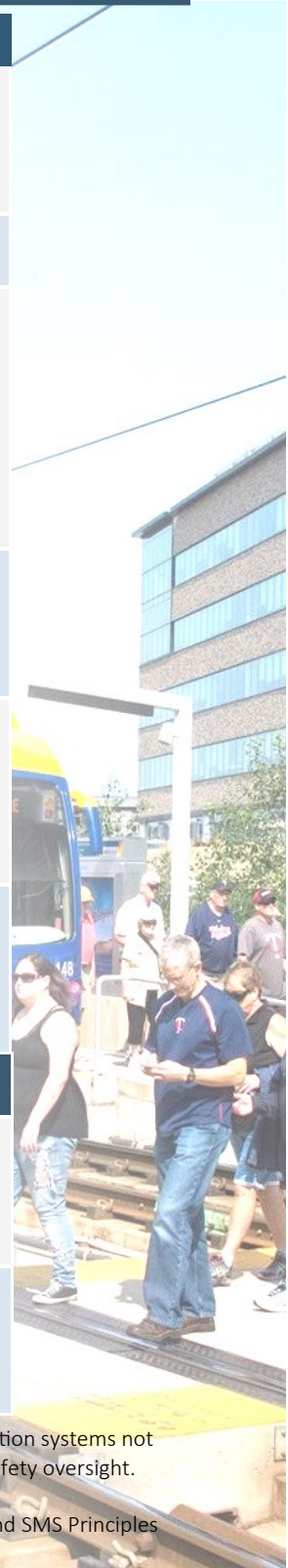
Upcoming Safety Training

FTA sponsors several safety training courses, including those listed below. The [complete schedule](#) of training courses offered through September 2019 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 FTA's Safety Promotion Team at FTASafetyPromotion@dot.gov to request an [Individual Training Plan](#) (ITP). Participants in the Public Transportation Safety Certification Training Program have three years to complete their ITP requirements.

| Courses Required by the Public Transportation Safety Certification Training Program (RAIL)* | | |
|---|--|---|
| Effectively Managing Transit Emergencies | Atlanta, GA Seattle, WA Charlotte, NC | Mar. 12-15 Apr. 9-12 May 7-10 |
| SMS Awareness (eLearning) | On demand at tsi.dot.gov | Available 24/7 |
| SMS Principles for Transit | Seattle, WA Seattle, WA Alexandria, VA San Antonio, TX Harrisburg, PA Ft. Myers, FL | Feb. 25-27 Feb. 27-Mar. 1 Mar. 20-22 Mar. 27-29 Apr. 15-17 May 20-22 |
| SMS Safety Assurance | Virtual live training | Feb. 21 Mar. 28 Apr. 30 |
| Transit Rail Incident Investigation | Los Angeles, CA Tampa, FL Landover, MD San Carlos, CA | Feb. 25-Mar. 1 Mar. 4-8 Apr. 1-5 May 6-10 |
| Transit Rail System Safety | Fort Worth, TX New York, NY San Francisco, CA | Mar. 18-22 Apr. 15-19 Apr. 29-May 3 |
| Voluntary Courses for the Public Transportation Safety Certification Training Program (BUS)** | | |
| Fundamentals of Bus Collision Investigation | Seattle, WA Phoenix, AZ Landover, MD | Mar. 11-15 Apr. 8-12 Apr. 29-May 3 |
| Transit Bus System Safety | Houston, TX Los Angeles, CA San Jose, CA | Feb. 25-Mar. 1 Mar. 25-29 May 20-24 |

*Applies to 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. Other safety personnel, including those from bus agencies, are encouraged to participate in training voluntarily.

**The voluntary bus program also includes Effectively Managing Transit Emergencies, SMS Awareness, SMS Safety Assurance, and SMS Principles for Transit. Please see the rail schedule above for course availability.



| Additional Courses | | |
|--|--|---------------------------------------|
| Bus & Rail Courses (In-Person) | | |
| Crime Prevention through Environmental Design | Seattle, WA | Feb. 20-21 |
| Instructor's Course for Transit Trainers | Landover, MD Fort Worth, TX Boston, MA | Mar. 4-8 Apr. 1-5 Apr. 29-May 3 |
| Reasonable Suspicion and Post-Accident Testing Determination Seminar | Denton, TX Culpeper, VA | Mar. 8 May 10 |
| Safety, Security, and Emergency Management Considerations for FTA Capital Projects | Boston, MA | Apr. 8-9 |
| Substance Abuse Management and Program Compliance | Denton, TX Culpeper, VA | Mar. 5-7 May 7-9 |
| Transit Industrial Safety Management | Atlanta, GA | May 13-17 |
| Transit Safety & Security Audit Course | Honolulu, HI San Jose, CA | Mar. 6-8 Apr. 17-19 |
| Transit Supervisor Certification Course | Grand Rapids, MI San Luis Obispo, CA | Apr. 8-12 May 13-17 |
| Transit System Security | Tampa, FL Portland, OR Chicago, IL | Mar. 11-15 Apr. 15-19 May 6-10 |
| Transit System Security: Design Review | Salt Lake City, UT | May 21-23 |
| eLearning Courses (Web-Based) | | |
| Curbing Transit Employee Distracted Driving | On demand at tsi.dot.gov | Available 24/7 |
| Fatigue and Sleep Apnea Awareness for Transit Employees | On demand at tsi.dot.gov | Available 24/7 |
| Rail Nomenclature | On demand at tsi.dot.gov | Available 24/7 |
| Bus Nomenclature | On demand at tsi.dot.gov | Available 24/7 |

Using a System Safety Program Plan to Develop an Agency Safety Plan

Under the [Public Transportation Agency Safety Plan \(PTASP\) final rule \(Part 673\)](#), agency safety plans will replace the System Safety Program Plans (SSPP) that the rail transit industry has used for over two decades. SSPPs were required under the Rail Fixed Guideway Systems and State Safety Oversight rule (Part 659).

While the system safety plan approach was functional, agency safety plans will build on effective system safety practices that were documented in SSPPs. In addition, agency safety plans will address new safety activities and accountabilities not included in the SSPP. Because of the differences in content, creating the agency safety plan is not a reshuffling, renaming, or cut-and-paste exercise.

To highlight just a few of the differences between the SSPP and the agency safety plan, the agency safety plan moves away from the structured program of requirements under the SSPP to a scalable and flexible Safety Management System (SMS) approach. Instead of the 21 fixed safety program elements found in the SSPP, the agency safety plan is built around the 4 integrated processes of SMS (safety management policy, safety risk management, safety assurance and safety promotion). And instead of the SSPP's compliance-based activities, the agency safety plan is performance-based, requiring actions based on the results of monitoring risk and actual measures of safety performance.

To help guide rail transit agencies through this transition, FTA has issued a [Roadmap for Transition from the SSPP to the Agency Safety Plan](#). This Roadmap highlights similarities and differences between Part 659 and PTASP final rule requirements to support rail transit agencies in incorporating relevant SSPP elements into their agency safety plans.

The Roadmap provides a side-by-side comparison of agency safety plan requirements and any associated SSPP requirements. The tool provides considerations for addressing the differences between the requirements. It also includes prompts to check in with a rail transit agency's State Safety Oversight Agency on some requirements.

| Part 673 Public Transportation Agency Safety Plan (PTASP) Rule Section | Part 659 System Safety Program Plan (SSPP) Rule Section | Differences between Agency Safety Plan and SSPP Requirements and Transition Considerations |
|---|---|--|
| Safety Management Systems – Safety Management Policy | | |
| 673.23(a) A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of safety management policy that includes the agency's safety objectives. | 659.19(a) A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the system safety program plan 659.19(b) A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure they are achieved. | This section specifies that the Agency Safety Plan Safety Management Policy must establish the transit organization's accountabilities and responsibilities for the SMS and must contain the transit agency's safety objectives. Organizational accountabilities and responsibilities in an SMS, as discussed in the FTA's National Safety Plan, typically focus on leadership commitment to allocate necessary human and financial resources to fulfill the transit organization's safety objectives, as well as leadership commitment to establish and carry out an employee safety reporting program. Safety objectives typically include a broad description of the agency's overarching safety goals, which would be based upon that agency's unique needs. In addressing these requirements, the RTA may consider revising its existing policy statement and/or SSPP language to describe any new organizational accountabilities and responsibilities that reflect requirements in Part 673, including all activities related to the implementation of SMS. The RTA also may choose to revise the safety objectives listed within its SSPP to reflect prioritized safety objectives and the goal of continuous improvement in safety performance. |

An excerpt from the Roadmap to Drafting a Public Transportation Agency Safety Plan that describes differences in a rail transit agency's safety policy statement from the SSPP to the agency safety plan.

For example, the excerpt pictured above explains that a rail transit agency may already have a written safety policy, but they will need to update it to include SMS principles and elements. The agency may also need to revise organizational

Cont. on pg. 5

SSPP to PTASP Roadmap, cont. from pg. 4

accountabilities that were included in the SSPP to ensure they are defined across the entire organization, not just the safety office.

To accompany the Roadmap, FTA has also made available a [comparison of definitions](#) that highlights differences in definitions between Part 659 and the PTASP final rule (Part 673).

FTA hosted a webinar on December 12, 2018, about using SSPPs to draft agency safety plans. If you missed it, the [slides are available on FTA's website](#).

If you have additional questions about transitioning from an SSPP to an agency safety plan, or about the PTASP final rule in general, please visit [FTA's PTASP website](#) or email PTASP_QA@dot.gov.

Upcoming Public Transportation Agency Safety Plan Webinar

FTA is hosting a series of technical assistance webinars for the transit industry on the Public Transportation Agency Safety Plan (PTASP) final rule. [Register to attend](#) the next webinar on March 13, 2019, at 2:00 PM Eastern Time where FTA will discuss PTASP Final Rule Frequently Asked Questions. Audio recordings and slides from recent PTASP webinars can be found [FTA's PTASP website](#).

FTA Hosts Random Drug Rate Increase Information Session Webinars

On December 18, 2018 and February 13, 2019, FTA hosted two webinars to discuss the increase in the minimum rate of random drug testing. Effective January 1, 2019, the drug testing rate increased from 25 percent to 50 percent of covered employees for employers subject to FTA's drug and alcohol regulation. FTA recently announced this increase in a [Federal Register notice](#) and "Dear Colleague" letter. The increased testing rate, which is mandated by FTA's drug and alcohol regulation, is in response to an increase in the industry's "positive rate" as reflected in random drug testing data from calendar year 2017.

The [webinar presentation](#) is available on FTA's website. Please contact [Iyon Rosario](#), FTA Drug and Alcohol Program Manager if you have questions regarding the webinar or the random drug testing increase.



The Role of the Chief Safety Officer in PTASP Implementation

Henrika Buchanan, FTA's Acting Associate Administrator for the Office of Transit Safety and Oversight and Chief Safety Officer

In July 2018, the Federal Transit Administration (FTA) issued the Public Transportation Agency Safety Plan (PTASP) final rule, requiring certain transit operators to implement safety plans based on Safety Management System (SMS) principles.

Many of you have noted that SMS may introduce new roles or further connect existing roles within your transit agency. One of those roles is that of the Chief Safety Officer (CSO) or SMS Executive. Under the PTASP rule, a transit agency's Accountable Executive must designate a CSO who is "adequately trained" and reports directly to him or her. A direct line of communication is critical and required because the Accountable Executive has the authority to make resource and personnel decisions.

Each agency may choose which type of training the CSO/SMS Executive will complete to qualify as "adequately trained." One option is to enroll the CSO/SMS Executive in FTA's Public Transportation Safety Certification Training Program. More information is available on FTA's Safety Training website.

The rule also says that a transit agency may allow the Accountable Executive to serve as the CSO/SMS Executive. However, the CSO/SMS Executive may not serve in other operational or maintenance capacities unless the agency is a small public transportation provider as defined by the PTASP rule.

The CSO/SMS Executive may vary from agency to agency, but in general, they manage the transit agency's safety function such as compliance with federal, state, and local regulations, and overseeing safety requirements for transit projects. Duties might also include hazard management, accident investigation, coordination with the State Safety Oversight Agency, and safety certifications.

The CSO/SMS Executive might also serve as the agency's SMS subject matter expert. This may include developing an SMS implementation plan for the transit agency, coordinating with key staff to support SMS implementation, facilitating the development of SMS processes and activities, procuring technical resources for SMS implementation, communicating SMS implementation progress and challenges to the Accountable Executive, and socializing SMS activities with other executives and staff.



Role of the Chief Safety Officer, cont. from pg. 6

The CSO/SMS Executive role may look different at a large transit agency than it does at a small agency. At a rail transit agency or a large bus-only agency, the CSO/SMS Executive is a full-time role dedicated to ensuring safety and managing SMS implementation and does not have additional operational or maintenance responsibilities. At a small transit agency, the CSO/SMS Executive may have other functions, such as operations, maintenance or grant administration. They may be a part-time, full-time, or contracted employee of the transit system.

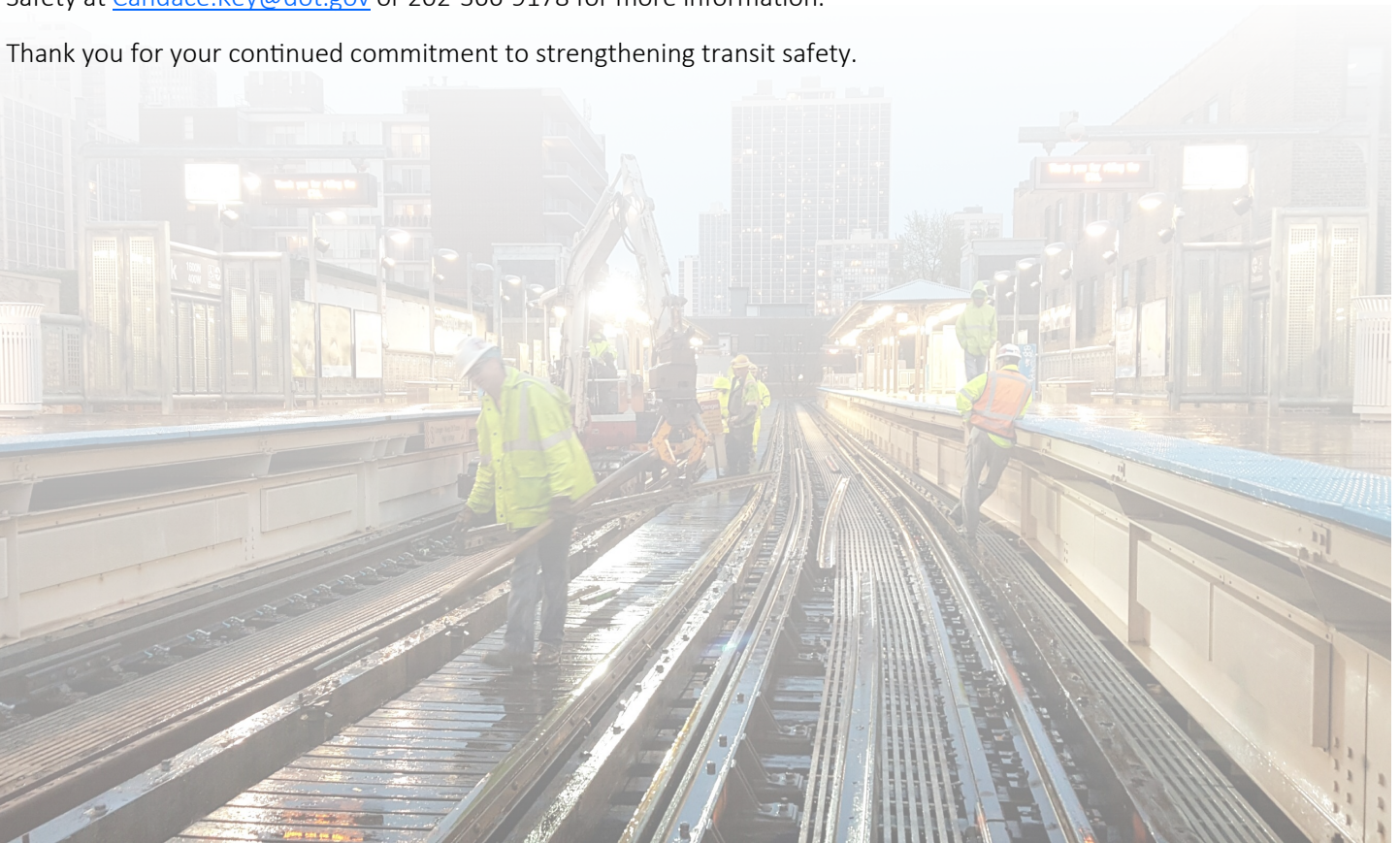
If your organization is ready to designate a CSO/SMS Executive and is wondering what to do next, consider these steps:

- Start identifying SMS implementation roles and responsibilities for the appropriate staff
- Have senior management designate key staff who will support SMS implementation
- Ensure that key staff receive SMS training
- Develop an SMS implementation plan, and communicate it throughout the organization
- Brief your board of directors, oversight entities, and planning partners on SMS and your agency safety plan
- If you have a State Safety Oversight Agency, discuss the SMS implementation plan with them

Remember, the PTASP final rule does not require your agency to have a fully mature SMS by the July 20, 2020 compliance deadline. Rather, FTA expects that transit agencies will have the processes and procedures put in place for SMS. Designating your CSO/SMS Executive now, selecting the staff who will support them, and getting them SMS training will help set your agency on the right path.

For additional PTASP resources such as FAQs, webinar registration information and recordings, and guidance and templates, please visit FTA's PTASP website. You may also contact Candace Key, FTA's Director for the Office of System Safety at Candace.Key@dot.gov or 202-366-9178 for more information.

Thank you for your continued commitment to strengthening transit safety.



Data Spotlight: Rail Transit Collisions

The Transit Safety and Oversight Spotlight includes a “Data Spotlight” to share safety data trends and highlight data sets that may help the industry identify safety performance targets for their [agency safety plans](#).

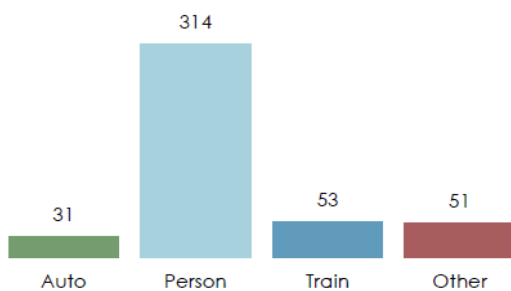
This month, we focus on rail transit collision data collected through the State Safety Oversight program and normalized using service data in the National Transit Database. Additional data is available in FTA’s [Rail Safety Data Report](#).

Questions? Please contact FTA’s [Rick Gerhart](#).

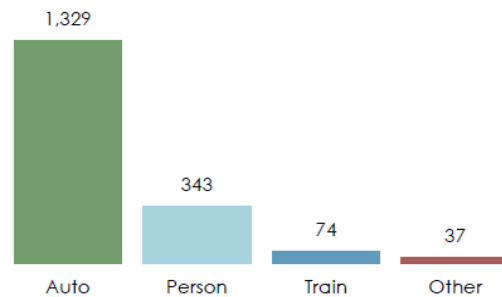
In calendar year 2011, State Safety Oversight Agencies (SSOAs) began reporting additional collision data to FTA, including the object with which the train collided—Auto, Person, Train, and Other. Since heavy rail operates almost exclusively in a separate right-of-way, heavy rail is analyzed separately from light rail and streetcar modes.

In 2015, 94 percent of heavy rail collision injuries resulted from train-to-person collisions, as did the majority of reported collision injuries from 2011 to 2015. Collisions between light rail and streetcar trains and motor vehicles accounted for 69 percent of all reported collision injuries in 2015 and 75 percent of reported collision injuries from 2011 to 2015.

Heavy Rail Collision Injuries by Collision Type, 2011-2015

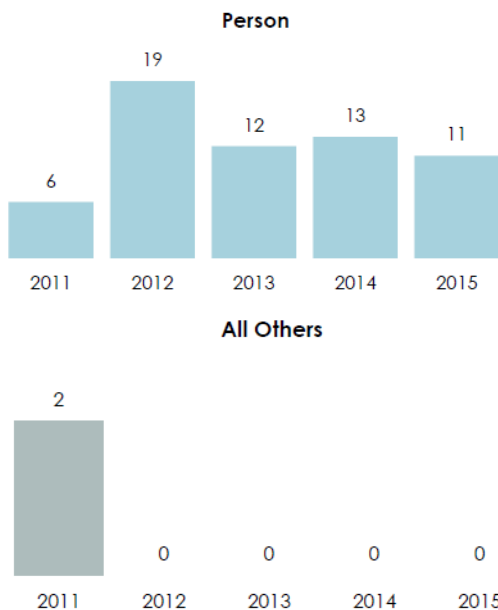


Light Rail and Streetcar Collision Injuries by Collision Type, 2011-2015

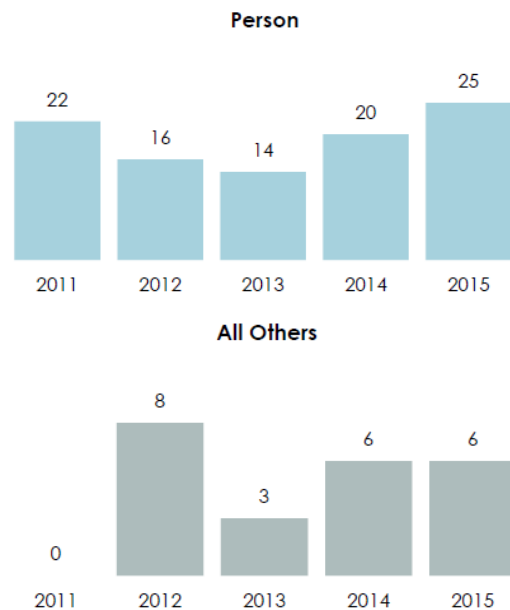


Nearly all heavy rail collision fatalities between 2011 and 2015 resulted from train-to-person collisions, including all 11 fatalities reported in 2015. Train-to-person collisions accounted for 81 percent of all collision fatalities for light rail and streetcar trains during this time period. SSOAs reported no fatalities from light rail or streetcar train-to-train collisions.

Heavy Rail Collision Fatalities by Collision Type, 2011-2015



Light Rail and Streetcar Collision Fatalities by Collision Type, 2011-2015



Note: Graphs not to scale

TSO Profile

Q&A with Joanne Waszczak, Transition Manager, FTA Washington Metropolitan Area Transit Authority (WMATA) Safety Oversight Office (FWSO)



Joanne Waszczak, Transition Manager, FTA WMATA Safety Oversight Team

How would you explain your job to someone you've never met? I lead a team that is designing and implementing the plan to transition safety oversight of WMATA Metrorail from FTA to the new Washington Metrorail Safety Commission (WMSC). FTA has been conducting direct and temporary safety oversight of Metrorail for more than three years, and now that the WMSC has been created, we are preparing to pass the baton. The transition plan includes a series of technical sessions to transfer FTA's knowledge and lessons learned to the WMSC, followed by a series of on-the-job observation activities including inspections, investigations works sessions, and management of corrective action plans. Finally, FTA will validate the WMSC's organizational capacity to carry out its safety oversight responsibilities.

What is your favorite part of your job? I enjoy working with a group of dedicated public servants on a meaningful project that serves the place where I live and work, and contributing to the safety of the rail system that my family, neighbors and friends ride every day.

What led you to work in transit? During graduate school, I managed an innovative program called Youth Dialogues on Race and Ethnicity in Metro Detroit. We recruited and matched groups of high school students to engage with each other in intergroup dialogue. From there, they participated in bus tours and action projects, and then invited adult allies to join them for public policy dialogues. During those dialogues, they identified inadequate public transportation as one of the primary reasons that Metro Detroit is still one of the most segregated regions in the country. They helped me realize that I could use my social policy and evaluation degree to improve public transit. When I met FTA folks at a job fair, I was quickly drawn into the FTA family.

What are some current projects or initiatives that you or your team are working on? While the FTA WMATA Safety Oversight Office is leading the FTA to WMSC transition process, our office also continues to carry out day-to-day safety oversight of WMATA Metrorail. This is a busy, exciting time for our team. We have been preparing for this moment and we are pleased to see it unfolding.

How do you work with people outside of the FTA? How would you like to be working with them in the future? I coordinate and communicate with a team of safety leaders and experts from a handful of stakeholder organizations including FTA, the WMSC, WMATA, the District of Columbia, the State of Maryland and the Commonwealth of Virginia. We're all collaborating to ensure that the WMSC can demonstrate its organizational capacity to assume its safety oversight responsibilities. Forming these working relationships is a meaningful investment in the future of our nation's rail system.

What are your hobbies and interest outside of work? I'm having a lot of fun exploring the world with my three-year-old daughter! She makes sure we spend lots of time listening to music, having tiny jam sessions, dancing, painting, jumping and reading. I also enjoy yoga, participating in my community's Race and Equity Task Force, and singing in a community chorale.

Safety Research Spotlight: Enhancing All-Hazard Recovery with Travel Demand Management Technology

In February 2017, Portland State University (PSU) launched a project to develop, test and refine an all-hazard transportation recovery plan for the city of Portland that includes transit, transportation demand management (TDM) and intelligent transportation systems (ITS) strategies. PSU partnered with TriMet and local government organizations to create the plan and deliver a training course that was offered in Portland and six additional cities. The plan and associated materials are [available for download](#).

To help fund the project, PSU received a \$943,984 federal grant from FTA's Innovative Safety, Resiliency, and All-Hazards Emergency Response and Recovery Demonstration funding opportunity. [Grants provided through this program](#) support cutting-edge developments in transit, utilizing technology to help transit agencies improve track worker and passenger safety, better withstand natural disasters, and respond more effectively to emergencies.

The emergency recovery plan includes strategies to leverage ITS and social media communications during disaster recovery. ITS technologies integrate advanced communications-based information and electronic technologies into transportation infrastructure and vehicles. One example of an ITS application is a Computer Aided Dispatch/Automatic Vehicle Location (CAD/AVL) system, which is used by Portland transit. A CAD/AVL system improves bus tracking and provides more reliable arrival information for transit riders who can receive updated vehicle locations every 30 seconds through a smart phone app. Additionally, social media increasingly serves as a real-time communications tool that has the potential to transform the way people travel. The project explored how ITS technologies and social media can be used to help identify service needs throughout the emergency and recovery period.

In the first phase of the project, the team completed a literature review of the latest available documentation on emergency preparedness and recovery by transit and TDM providers. TDM reduces or redistributes travel demand and includes strategies like ridesharing, telecommuting and transit. After an emergency when some travel routes may be restricted, TDM policies can provide commuters with alternatives.

During this phase, the project team also conducted interview-based case studies focusing on emergency preparedness and recovery plans during disasters such as Hurricanes Sandy and Katrina, the London Tube bombing, and the January 2017 Portland snowstorm.

During phase two of the project, the team developed the all-hazard transportation recovery plan for Portland that included transit and TDM strategies, use of social media and ITS technologies, and could serve as a (*Cont. on pg. 11*)



Safety Research Spotlight, cont. from pg. 10

nationally-replicable prototype. This phase of the project was a collaborative effort between Portland's transit agency, TriMet; the Metropolitan Planning Organization, Metro; TDM providers; the Oregon Department of Transportation (ODOT); and Portland's Bureau of Emergency Management (PBEM) and Bureau of Transportation (PBOT). In addition to producing the transportation recovery plan, the project team aimed to strengthen relationships between transportation and emergency management organizations and personnel to improve collaboration between these groups when responding to an emergency.

After the initial plan was drafted, the project team designed and facilitated a pair of tabletop exercises to test and refine the draft plan. The exercises examined the ability of social media and ITS technologies to support transit and TDM strategies during an emergency. Additionally, a local transportation management association developed and piloted an Employer All-Hazards TDM Guide to help educate local businesses on recovery planning.

During the third and final phase of the project, the team used lessons learned from developing the emergency recovery plan to create a two-day training course for transportation, safety and emergency management professionals. The course was piloted in Portland, then provided to nearly 200 participants in six additional cities: Savannah, GA; Tampa and Broward, FL; Lake Charles, LA; Rochester, NH; and El Paso, TX. The project will conclude in September 2019.

Materials from this project are available to the public, including the final [Portland Transportation Recovery Plan](#); an [employer TDM guide](#) to help government agencies and employers of all sizes plan for recovery efforts after a hazard event; and [presentation materials](#) from Portland's initial training session in December 2017.

Additionally, the development of this emergency response plan prompted the development of a regional transportation recovery plan that will include five counties.

For more information about FTA's role in the project, please contact [Roy Chen](#).



U.S. Department
of Transportation

**Federal Transit
Administration**

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

[https://www.fta.dot.gov/
regulations-and-guidance/
safety/transit-safety-oversight-
tso](https://www.fta.dot.gov/regulations-and-guidance/safety/transit-safety-oversight-tso)



14th Annual FTA Drug and Alcohol Program National Conference

April 2-4, 2019
Hyatt Regency Milwaukee
333 West Kilbourn Avenue
Milwaukee, WI 53203
[Register now](#)