

# Transit Safety and Oversight Spotlight

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

Dear Transit Colleagues,

As summer quickly approaches, I am announcing three Public Transportation Agency Safety Plan (PTASP) workshops that FTA will hold in July and August. The workshops will focus on the minimum requirements needed for agencies to comply with the [PTASP regulation](#) (49 C.F.R. Part 673) and provide Safety Management Systems implementation strategies. Additionally, the workshops will discuss how to begin creating Agency Safety Plans (ASP), including the identification of key stakeholders to coordinate ASP development.

These sessions are a great opportunity to share and learn best practices as required transit operators and agencies prepare their ASPs prior to the July 20, 2020 deadline. I encourage bus agencies to register for the July and August workshops hosted in Atlanta, Chicago, and San Francisco. The workshops are not region specific and are open to participants from any region.

In addition, new dates were announced for the 2019 Joint State Safety Oversight (SSO) Rail Transit Agency (RTA) workshop. The workshop will be held in Washington, DC, September 23-26. We had a very productive workshop last year, with attendance from RTA safety personnel from across the country. We are busy finalizing the agenda, speakers, and logistics and will share registration information with you soon. The workshop will include a PTASP training opportunity.

I would like to call to your attention to the upcoming deadline for the two Notices of Funding Opportunity (NOFOs) that make up FTA's public safety initiative. Applications are due on May 28 for the [Innovations in Transit Public Safety](#) and [Crime Prevention and Public Safety Awareness](#) NOFOs. I look forward to reviewing the proposals and innovative solutions and strategies FTA can support to help make transit even safer. You can learn more about these opportunities and view a brief [video](#) on FTA's Human Trafficking Awareness and Public Safety Initiative [web page](#).

FTA's Acting Administrator has asked me to continue to lead the office on a permanent basis into the next phase of meeting the needs for public transportation safety. Safety is our number one priority and I look forward to delivering results for our national safety and oversight program.

Sincerely,  
Henrika Buchanan



Henrika Buchanan, 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](mailto: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	Los Angeles, CA	Jul. 9-12
	Ft. Worth, TX	Jul. 23-26
	St. Louis, MO	Aug. 13-16
SMS Awareness (eLearning)	On demand at <a href="http://tsi.dot.gov">tsi.dot.gov</a>	Available 24/7
SMS Principles for Transit	Pittsburgh, PA	Jun. 12-14
	Landover, MD	Jun. 17-19
	San Francisco, CA	Jun. 19-21
	Chicago, IL	Jun. 26 - 28
	San Bernardino, CA	Jul. 31-Aug. 2
	Landover, MD	Aug. 26-28
SMS Safety Assurance	Virtual live training	Jun. 5
		Jul. 17
		Aug. 21
Transit Rail Incident Investigation	Philadelphia, PA	Jun. 3-7
	Seattle, WA	Aug. 26-30
Transit Rail System Safety	Landover, MD	Jun. 10-14
	Chicago, IL	Jun. 17-21
	Portland, OR	Jul. 15-19
	Philadelphia, PA	Aug. 19-23
Voluntary Courses for the Public Transportation Safety Certification Training Program (BUS)**		
Fundamentals of Bus Collision Investigation	Indianapolis, IN	Jun. 3-7
	Charlottesville, VA	Jun. 24-28
	Tucson, AZ	Jul. 8-12
	Atlanta, GA	Aug. 5-9
	Houston, TX	Aug. 26-30
Transit Bus System Safety	Appleton, WI	Jun. 3-7
	Oklahoma City, OK	Jun. 3-7
	Seattle, WA	Jun. 24-28
	Ronkonkoma, NY	Jul. 22-26
	Portland, OR	Aug. 12-16

\*Applies to SSOA personnel and contractors who conduct safety audits and examinations of public transportation systems not subject to Federal Railroad Administration regulation, as well as rail fixed guideway public transportation system personnel and contractors who are directly responsible for safety oversight. Other safety personnel, including those from bus agencies, are encouraged to participate in the voluntary program.

\*\*The voluntary bus program also includes Effectively Managing Transit Emergencies, SMS Awareness, SMS Safety Assurance, and SMS Principles for Transit. If you would like to participate in the voluntary program please contact [FTASafetyPromotion@dot.gov](mailto:FTASafetyPromotion@dot.gov) to request an ITP and see the rail schedule above for course availability.

Training, cont. from pg. 2

## ADDITIONAL COURSES

### Bus and Rail Courses (In Person)

Crime Prevention through Environmental Design	Phoenix, AZ	Jul. 15-16
Instructor's Course for Transit Trainers	Orange, CA	Jun. 17-21
	Burlington, VT	Jul. 15-19
	San Diego, CA	Aug. 5-9
Reasonable Suspicion and Post-Accident Testing Determination Seminar	Clemson, SC	Jun. 21
	Chicago, IL	Jul. 19
	Birmingham, AL	Aug. 16
Substance Abuse Management and Program Compliance	Clemson, SC	Jun. 18-20
	Chicago, IL	Jul. 16-18
	Birmingham, AL	Aug. 13-15
Transit Industrial Safety Management	Boston, MA	Jun. 3-7
	Boston, MA	Aug. 19-23
Transit Safety and Security Audit Course	Orlando, FL	Jun. 26-28
Transit Supervisor Certification Course	Gaithersburg, MD	Jun. 10-14
Transit System Security	Everett, WA	Jul. 15-19
	Boston, MA	Jul. 29-Aug. 2
	Los Angeles, CA	Aug. 19-23
Transit System Security: Design Review	Phoenix, AZ	Jul. 17-19

### eLearning Courses (Web Based)

Curbing Transit Employee Distracted Driving	On demand at <a href="http://tsi.dot.gov">tsi.dot.gov</a>	Available 24/7
Fatigue and Sleep Apnea Awareness for Transit Employees	On demand at <a href="http://tsi.dot.gov">tsi.dot.gov</a>	Available 24/7
Rail Nomenclature	On demand at <a href="http://tsi.dot.gov">tsi.dot.gov</a>	Available 24/7
Bus Nomenclature	On demand at <a href="http://tsi.dot.gov">tsi.dot.gov</a>	Available 24/7



## Developing an Agency Safety Plan with Service Contractors and Other External Service Providers

The [Public Transportation Agency Safety Plan \(PTASP\) regulation](#) (49 C.F.R. Part 673) requires recipients and subrecipients of Section 5307 funds to develop and certify Agency Safety Plans (ASPs) based on Safety Management System (SMS) principles and methods. Transit agencies that use external service providers (ESPs) to perform operations, maintenance, safety, or risk management services may face additional considerations when developing and implementing an ASP.

ESPs include a variety of different entities—from companies that operate a mode of transit service under contract to other external service providers that support transit services through inter- or intra-governmental agreement. Regardless of the number or type of ESPs used, each recipient (or subrecipient, if applicable) of Section 5307 funds is responsible to the Federal Transit Administration (FTA) to ensure Part 673 requirements are met. This means the recipient—not a contractor or other external service provider—is responsible for developing and implementing their ASP by July 20, 2020, and certifying through FTA’s Certifications and Assurances process.

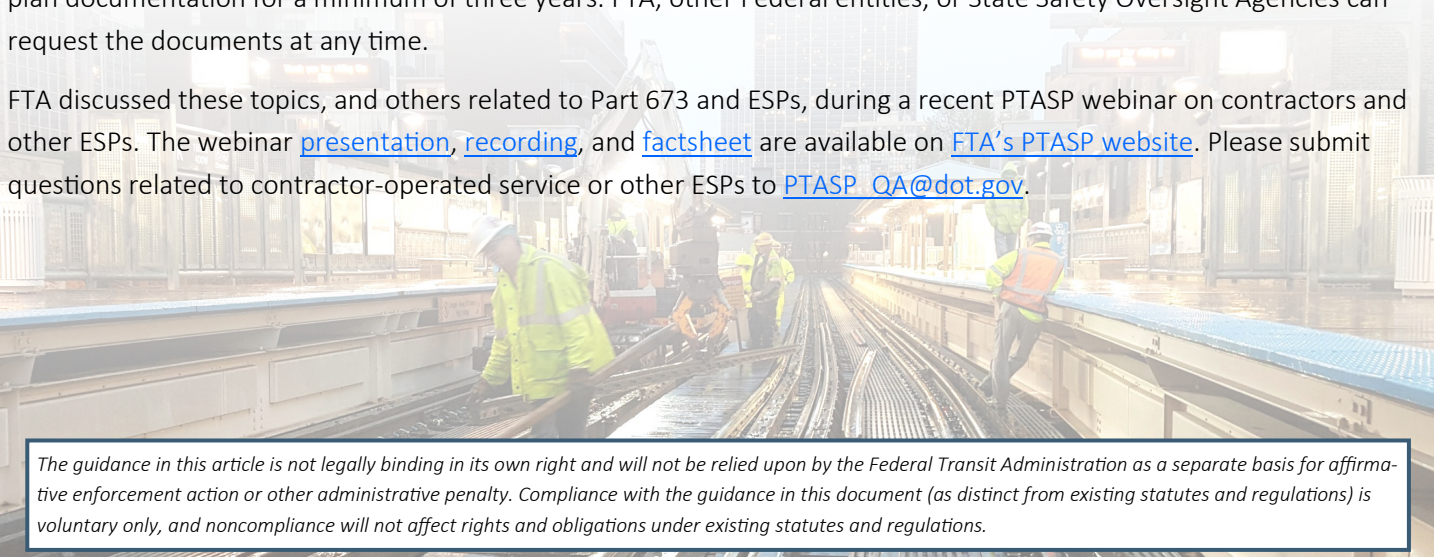
**Recipients of FTA funds—not contractors or other external service providers—are responsible for meeting requirements under the PTASP regulation.**

Recipients may choose to work with their ESPs to develop an ASP, or require their ESPs develop an ASP for the transit mode the ESP operates. This can help ensure the ASP is appropriate and feasible, given the unique characteristics of a transit system. For example, ESPs may know important details about the processes and activities that a recipient chooses to describe in their ASP. This situation may occur when an ESP provides all, or almost all, aspects of the transit service on behalf of a recipient. ESP employees may also serve in key positions in the transit agency’s SMS, such as the Chief Safety Officer or SMS Executive, which must be documented in the ASP.

To ensure compliance with Part 673, recipients may find it necessary to set requirements for their ESPs. For example, Part 673 includes documentation and recordkeeping requirements related to the implementation of the transit agency’s SMS and the results from SMS processes and activities; therefore, a recipient may choose to rely on their ESPs to develop and maintain this documentation.

Recipients also may find it necessary to establish requirements regarding storage and access to documentation, even when an ESP is no longer performing services for the transit agency. This is due to the requirement to maintain safety plan documentation for a minimum of three years. FTA, other Federal entities, or State Safety Oversight Agencies can request the documents at any time.

FTA discussed these topics, and others related to Part 673 and ESPs, during a recent PTASP webinar on contractors and other ESPs. The webinar [presentation](#), [recording](#), and [factsheet](#) are available on [FTA’s PTASP website](#). Please submit questions related to contractor-operated service or other ESPs to [PTASP\\_QA@dot.gov](mailto:PTASP_QA@dot.gov).



*The guidance in this article is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect rights and obligations under existing statutes and regulations.*



## COMING SOON: State Safety Oversight Reporting Tool Enhancements

Each year, State Safety Oversight Agencies (SSOAs) are required to submit annual reports to FTA as required by 49 C.F.R. Section 674.39 (Part 674). For 2019 reporting, FTA will replace the current State Safety Oversight (SSO) annual reporting process that uses emailed Excel templates with a new web-based system called State Safety Oversight Reporting (SSOR).

The new SSOR system is in the Appian® environment—the same platform as [TrAMS](#)—and will serve as a safety oversight management tool intended to reduce the administrative burden on SSOAs and FTA, as well as reduce duplicative event reporting for SSOAs. Events reported to the National Transit Database that meet Part 674 accident thresholds will be instantly added to SSOR as read-only entries available for SSOAs to review. SSOAs will simply add investigation data, such as probable cause.

Additionally, SSOR will provide ongoing reporting capabilities that allow SSOAs to log probable causes, hazards, Corrective Action Plans, reviews, and related documentation throughout the year, reducing the need to duplicate information on Annual Reporting templates each year. SSOA users will have access to data tools to analyze and visualize data in various ways to identify trends.

SSOR is scheduled to launch in late 2019. Stay tuned for additional information and training opportunities starting this summer. Contact [Kim Burtch](#), Director of the Office of Safety Review, for more information.



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## DHS/FEMA Announces \$88M in Transit Security Grant Funding for FY 2019

On April 12, 2019, the Department of Homeland Security (DHS) and Federal Emergency Management Agency (FEMA) announced the fiscal year 2019 (FY 2019) [Transit Security Grant Program \(TSGP\)](#) Notice of Funding Opportunity (NOFO) with \$88 million in available competitive funding. The TSGP provides funds to transit agencies to protect critical surface transportation infrastructure and the traveling public from acts of terrorism, major disasters, and other emergencies.

TSGP focuses on operational activities and packages, and capital projects including the Top Transit Asset List and critical infrastructure vulnerability remediation. The TSGP plays an important role in the implementation of the National Preparedness System supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal of a secure and resilient nation.

Eligible public transportation systems include intra-city bus, ferries, and all forms of passenger rail. Eligible transit agencies are determined based on daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Area Security Initiative-designated urban areas.

DHS/FEMA requires applicants to submit their initial applications online through [Grants.gov](#) and to submit final applications through [ND Grants](#). Applications are due on May 29, 2019, at 5:00 PM ET. The anticipated award date is in the fall of 2019.

Review the TSGP NOFO, fact sheet, and frequently asked questions on the [FY 2019 TSGP NOFO web page](#). For additional program-specific information, applicants may contact the Centralized Scheduling and Information Desk at 800-368-6498 or [AskCSID@fema.gov](mailto:AskCSID@fema.gov).

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## FTA Appoints New Safety Risk Management Program Manager



Paulina Orchard, FTA's  
Safety Risk Management  
Program Manager

FTA appointed Paulina Orchard to serve as the new Safety Risk Management Program Manager. Paulina has three years of experience at FTA as the Safety Management Systems (SMS) Program Analyst, building and strengthening FTA's [SMS program](#) and its implementation throughout the transit industry.

In her previous capacity, Paulina managed FTA's SMS Pilots Program with the Chicago Transit Authority, Charles County Maryland VanGo, and Montgomery County Maryland Ride On. Her work has helped these transit agencies move forward towards implementing their SMS and developing their Agency Safety Plans.

Paulina also managed FTA's Bus Safety Program and supports the implementation of the [Public Transportation Agency Safety Plan](#) regulation. She led the development and implementation of transportation safety and risk management programs, policies, and procedures that help implement SMS at the national, state, regional, and local levels. In her

new role, Paulina will coordinate the new Safety Assessment Team and Executive Safety Review Board to implement SMS at FTA.

Prior to joining FTA, Paulina worked for the U.S. Department of Homeland Security as a Policy Analyst and Advisor for surface transportation security policy development and various areas of strategy development, including the Homeland Security Strategy for Countering Biological Threats and Hazards and the Strategic Environmental Assessment Systems Analysis Pilot initiative. Paulina holds a Bachelor's degree from The George Washington University in International Affairs and Anthropology and a Juris Doctorate degree and an LLM from Duke University School of Law.

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## FTA Goes Orange on April 10, 2019

Pictured right, FTA staff, including (from left to right) Chief Safety Officer Henrika Buchanan, Special Assistant Shenaye Holmes, Deputy Associate Administrator for Communications and Congressional Affairs Dave Longo, and Acting Administrator K. Jane Williams, wear orange in support of Go Orange Day.

Go Orange Day is part of the Federal Highway Administration's [National Work Zone Awareness Week](#) to encourage safe driving through work zones. Similarly, transit workers are required to wear protective equipment, such as safety vests, when completing wayside work.



## Applications Due May 28 for FTA Human Trafficking Awareness and Public Safety Initiative Funding Opportunities

On March 29, FTA announced a [\\$4 million safety initiative](#) to enhance public awareness programs and develop innovative strategies to address human trafficking and other public safety issues within transit systems. FTA is providing two competitive funding opportunities each with \$2 million in available funding.

[Crime Prevention and Public Safety Awareness](#) focuses on technical assistance materials to increase transit safety and crime prevention, including human trafficking and operator assault. [Innovations in Transit Public Safety](#) supports the development of innovative products and services to prevent human trafficking and reduce crime on public transit vehicles and in facilities.

Applications are due [electronically](#) by 11:59 PM Eastern Time on May 28, 2019. Review the [application instructions](#) and [Frequently Asked Questions](#) for information on the application process.

FTA hosted informational webinars to discuss both funding opportunities and provide information on application requirements and evaluation criteria. The webinar [recording](#) and [presentation](#) are available on FTA's [dedicated web page](#) along with additional resources. Submit questions regarding the funding opportunities to



## Data Spotlight: Rail Transit Suicides and Trespassing Events

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](#).

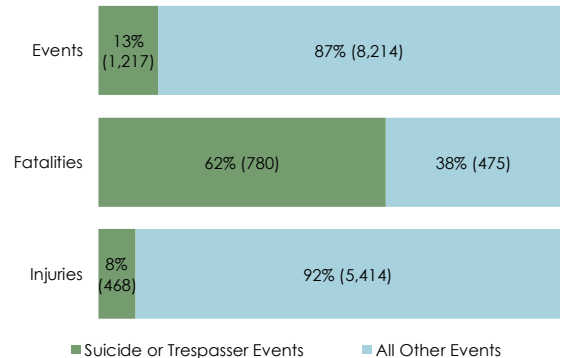
This month, we focus on rail transit suicide and trespassing event data as reported by State Safety Oversight Agencies (SSOAs). Additional data is available in FTA’s [Rail Safety Data Report](#). Questions? Please contact FTA’s [Paulina Orchard](#).

Between 2007 and 2015, FTA required SSOAs to report all suicide attempts and trespassing incidents that exceeded 49 C.F.R. Part 659 thresholds. SSOAs reported 1,217 of these events, including 780 fatalities and 468 injuries. Although suicide and trespassing events were only 13 percent of all events, they accounted for 62 percent of the fatalities during this time period.

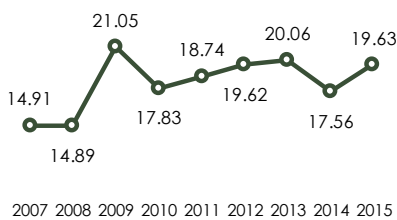
Between 2007 and 2008, there were less than 15 suicide and trespassing **Events** per 100 million vehicle revenue miles (100M VRM) of service. These numbers rose slightly from 2009 to 2015 but stayed between 17 and 22 events per 100M VRM each year.

From 2007 to 2015, suicide and trespassing **Fatalities** fluctuated between about 10 and 13 per 100M VRM each year. Suicide and trespassing **Injuries** followed a similar pattern to **Events**: SSOAs reported six to nine injuries per 100M VRM from 2009 to 2015, with somewhat lower rates in 2007 and 2008.

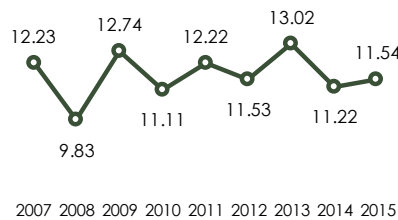
Suicide or Trespasser Event Data as a Proportion of All Reported Data, 2007-2015



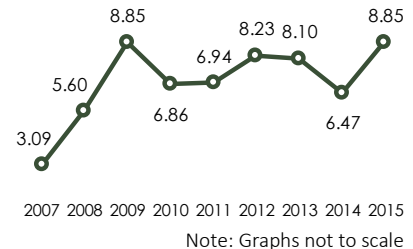
Suicide or Trespasser Event Rate



Suicide or Trespasser Fatality Rate

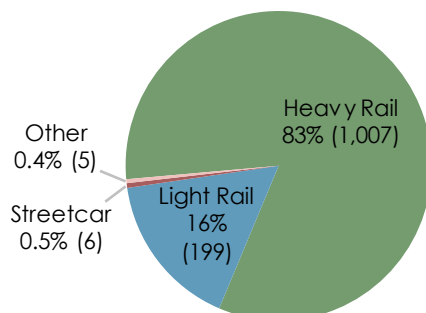


Suicide or Trespasser Injury Rate

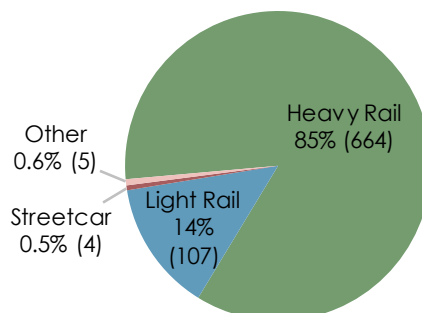


Heavy rail modes accounted for 83 percent of suicide and trespassing **Events**, 85 percent of the **Fatalities**, and 80 percent of the **Injuries** in this category. Almost all of the remaining suicide and trespassing **Events** (16 percent) occurred at light rail modes.

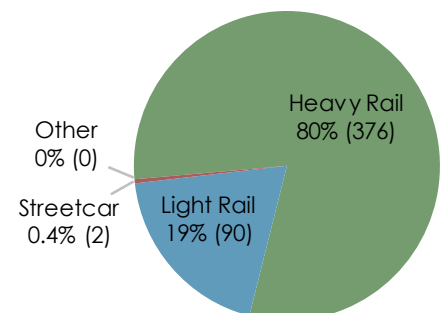
Suicide or Trespasser Events by Mode, 2007-2015



Suicide or Trespasser Fatalities by Mode, 2007-2015



Suicide or Trespasser Injuries by Mode, 2007-2015



Note: Suicide events include suicides and attempted suicides.



## TSO Profile

*This month's profile includes a Q&A with Daniel Kellman, a Transportation Program Analyst in the Office of Program Oversight*



Daniel Kellman, Transportation Program Analyst, Office of Program Oversight

**How would you explain your job to someone you've never met?** I am a quality assurance specialist responsible for determining if the Office for Program Oversight's (TSO-30) programs are meeting their intended goals. As part of my work, I develop and use metrics to track and monitor the quality of oversight metrics and make recommendations about quality improvements.

**What is your favorite part of your job?** I enjoy working with my peers to develop quality control checks and procedures for our oversight programs. Creating quality checks involves identifying logistical issues, discussing project timelines and program functionality, and building unique templates for data analysis. The complexity of juggling these elements while working within a team to identify and consider each potential influencing variable is an exciting and challenging process.

**What were you doing prior to this role?** Before starting at FTA last June, I spent a year with the Arlington County, Virginia Government Transit Bureau planning and implementing bus stop consolidation projects and bringing bus stops into compliance with the Americans with Disabilities Act. During this time, I was also finishing graduate school at the University of Maryland, where I studied Community Planning with a focus in transportation.

**What led you to work in transit?** I moved to Michigan when I was four, but as a child growing up outside Philadelphia I loved to ride the SEPTA trains and trolleys for fun. If I was well behaved, my mom would take me on a ride into the city, so I guess I've always been a big fan of transit. I didn't become involved with transit professionally until my twenties, when I lived in a small, rural city in Ohio completely absent of public transit. That experience made me further appreciate and understand the benefits of transit, inspired my future academic research, and influenced my personal and professional aspirations to improve transportation quality, access, and safety.

**What are some current projects or initiatives that you or your team are working on?** Currently I am working on the development of TSO-30's Quality Assurance (QA) program. The goal of the QA program is to ensure that our office's oversight activities are planned, conducted, recorded, and reported consistently and effectively. Outside of QA work, our team has been busy updating standard operating procedures, running performance reports, redesigning the Oversight Assessment Tool, and transitioning the Oversight Tracking System to a new platform.

**What is your favorite form of transportation and why?** Cycling, because it's a mix of adventure, exercise, independence, and convenience that makes it the most exciting and enjoyable mode of transportation. I usually take Capital Bikeshare to/from Metro as part of my work commute and go on weekend rides through the city with friends whenever I can.

**What are your hobbies and interest outside of work?** I plan to start gardening on the roof of my building for the first time this summer. My goal for year one is to successfully grow tomatoes. I also enjoy traveling to state/national parks to hike and camp. In the next couple years, I hope to visit Denali National Park in Alaska and the Great Smoky Mountains in Tennessee.

## Public Transportation Agency Safety Plan (PTASP) Webinars

[Safety Management  
Policy and Promotion](#)

May 30, 2019 | 2:00 PM EST

[PTASP FAQs](#)

June 6, 2019 | 2:00 PM EST

[Safety Risk Management](#)

June 13, 2019 | 2:00 PM EST

The webinar slides and  
recordings will be posted to the  
[PTASP web page](#).



## 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>

## Upcoming TSO Speaking Events

### [2019 APTA Rail Conference](#)

June 23-26 | Toronto, ON

### PTASP Workshops

July 23 or 24 | [Atlanta, GA](#)

August 6-7 | [Chicago, IL](#)

August 20-21 | [San Francisco, CA](#)

September 23 | [Washington, DC](#)

### FTA Bi-Annual State Programs Meeting

August 14-16 | Washington, DC

### [Midwest/SW Transit Conference](#)

September 12 | Kansas City, MO

### FTA Joint State Safety Oversight (SSO) and Rail Transit Agency (RTA) Workshop

*NEW DATE ANNOUNCED:*

September 23-26 | Washington, DC

[Register now](#)

