

FTA

FEDERAL TRANSIT ADMINISTRATION

2016 APTA Annual Meeting

Federal Safety Update

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FTA

FEDERAL TRANSIT ADMINISTRATION

Today's Agenda

- Rulemaking Update
- Safety Management System (SMS)
- Safety Training
- Employee Reporting
- State Safety Oversight (SSO) Final Rule
- Resources
- Questions

Rulemaking Update

Rulemaking Timeline

Regulation	Rulemaking Timeline	Status
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
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 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
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
Preventing Transit Worker Assault NPRM	NPRM Expected: 2017	
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
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

Public Transportation Safety Program

RULE

SMS

National Public Transportation Safety Plan
GUIDANCE

RULE

National Public Transportation Safety Certification Training Program

RULE

Public Transportation Agency Safety Plans

RULE

State Safety Oversight (SSO) Program

TRANSIT AGENCIES

SAFETY WORK AHEAD



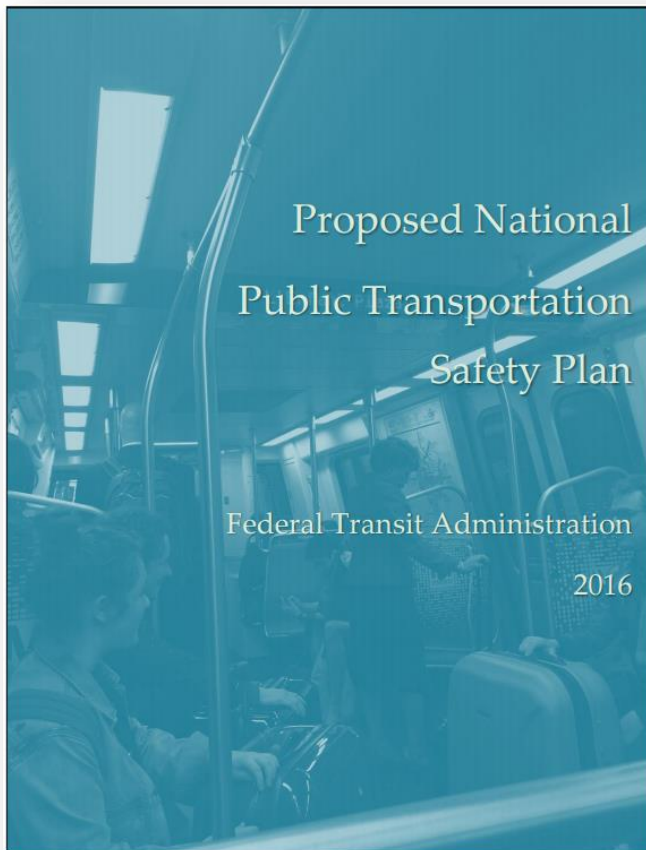
SAFER PUBLIC TRANSPORTATION

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

Proposed National Public Transportation Safety Plan (National Safety Plan)



The Plan is:

- NOT a rule
- FTA's strategic plan
- Sets safety performance criteria for Agency Safety Plan performance targets

Public Transportation Agency Safety Plan NPRM (PTASP or Agency Safety Plan)



- Would require a transit agency to implement an SMS through an Agency Safety Plan
- Would require larger transit agencies to certify they have established and implemented a Plan
- Smaller transit agencies may have State DOT draft and certify a Plan

National Public Transportation Safety Certification Training Program NPRM



- Training program for rail transit system auditing and oversight
- Interim Provisions and NPRM only apply to rail fixed guideway systems
- Bus agency participation is voluntary, but highly encouraged

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

Preventing Transit Worker Assault NPRM



FAST Act requirement
FTA's Online Dialogue
on Operator Assault
NPRM
NPRM expected in 2017

Safety Management System (SMS)

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

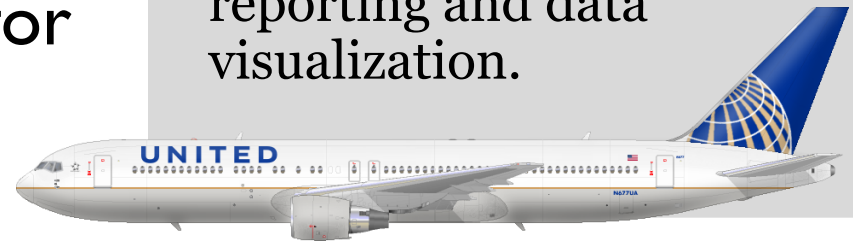
SMS Implementation Pilot Program Status Update

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

Safety Training

Schedule of Upcoming Training

September 2016			
Dates	Course	Location	Web Link
September 2016 – December 2016	SMS Awareness ELearning	Available Online	https://safety.fta.dot.gov/
September 2016 – December 2016	Rail Nomenclature	Available Online	https://safety.fta.dot.gov/

Schedule of Upcoming Training

October 2016			
Dates	Course	Location	Web Link
September 2016 – December 2016	SMS Awareness ELearning	Available Online	https://safety.fta.dot.gov/
September 2016 – December 2016	Rail Nomenclature	Available Online	https://safety.fta.dot.gov/
October 13, 2016	SMS Safety Assurance	Virtual-Live Training	http://www.rita.dot.gov/tsi/about/transit_safety
October 17 – 21, 2016	Transit Rail System Safety	Denver, CO	http://www.rita.dot.gov/tsi/about/transit_safety
October 18 – 21, 2016	Effectively Managing Transit Emergencies	Chicago, IL	http://www.rita.dot.gov/tsi/about/transit_safety
October 26 – 28, 2016	SMS Principles for Transit	Brooklyn, NY	http://www.rita.dot.gov/tsi/about/transit_safety
October 31 – November 4, 2016	Transit System Security	St. Louis, MO	http://www.rita.dot.gov/tsi/about/transit_safety

Schedule of Upcoming Training

November 2016			
Dates	Course	Location	Web Link
September 2016 – December 2016	SMS Awareness ELearning	Available Online	https://safety.fta.dot.gov/
September 2016 – December 2016	Rail Nomenclature	Available Online	https://safety.fta.dot.gov/
October 31 – November 4, 2016	Transit System Security	St. Louis, MO	http://www.rita.dot.gov/tsi/about/transit_safety
November 3, 2016	SMS Safety Assurance	Virtual-Live Training	http://www.rita.dot.gov/tsi/about/transit_safety
November 22, 2016	SMS Safety Assurance	Virtual-Live Training	http://www.rita.dot.gov/tsi/about/transit_safety
November 15 – 18, 2016	Effectively Managing Transit Emergencies	Washington, D.C.	http://www.rita.dot.gov/tsi/about/transit_safety
November 30 – December 2, 2016	SMS Principles for Transit	Cleveland, OH	http://www.rita.dot.gov/tsi/about/transit_safety

Schedule of Upcoming Training

December 2016			
Dates	Course	Location	Web Link
September 2016 – December 2016	SMS Awareness ELearning	Available Online	https://safety.fta.dot.gov/
September 2016 – December 2016	Rail Nomenclature	Available Online	https://safety.fta.dot.gov/
November 30 – December 2, 2016	SMS Principles for Transit	Cleveland, OH	http://www.rita.dot.gov/tsi/about/transit_safety
December 5 – 9, 2016	Transit Rail System Safety	Washington, D.C.	http://www.rita.dot.gov/tsi/about/transit_safety
December 7 – 9, 2017	SMS Principles for Transit	Tampa, FL	http://www.rita.dot.gov/tsi/about/transit_safety
December 13, 2016	SMS Safety Assurance	Virtual-Live Training	http://www.rita.dot.gov/tsi/about/transit_safety
December 13 – 16, 2016	Effectively Managing Transit Emergencies	Landover, MD	http://www.rita.dot.gov/tsi/about/transit_safety

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 menu below the header includes 'WELCOME', 'RESOURCES', 'TRAINING', 'MAPS', 'EVENTS', 'CONTACT FTA', and 'HELP'. The main content area features a 'Welcome to FTA Safety' heading and a 'Register with Website' button. A central video player displays a 'Register Now' button over a video frame. 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.'

Employee Safety Reporting

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

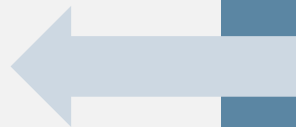
How does a transit agency increase voluntary employee safety reporting?

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

SSO Final Rule

What each RTA should know about 49 CFR Part 674

- New SSO Program Requirements and Authorities
 - Staffing
 - Technical qualification
 - Enforcement and investigative authority
 - Funding of SSO agencies
- FTA certification
 - FTA must certify each State's SSO program by April 15, 2019
 - Certification of each State's SSO program is required for the receipt of Federal public transportation funds
 - One-year application process
 - Each State will have many opportunities to resolve or address any deficient items before the FTA issues a formal denial of certification

What each RTA should know about 49 CFR Part 674

- Certification is a process
- Changes to State legislation may be required
- Program Standard is key
 - The definition of accident will change
 - Existing SSPP is the interim Agency Safety Plan
 - SSO agency can be certified using your existing SSPP as the interim Agency Safety Plan (ASP)
 - New requirements still must be addressed (even if SSPP is used as interim ASP)

What each RTA should know about 49 CFR Part 674

- Agency Safety Plan and RTAs
 - Require the RTA's board of directors or equivalent entity to approve the ASP
 - Explicit process for safety risk management and means of risk mitigation
 - Process for annually reviewing and updating the safety plan
 - Staff training programs for the operations personnel directly responsible for the safety of the RTA
 - Identify and train a safety officer who reports directly to the general manager, president, or equivalent officer of the RTA
 - Execution and implementation of the Agency Safety Plan by all RTA employees, agents, and contractors
- Partner with your SSO agency
 - Develop joint timelines and approaches
- Accident investigation

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

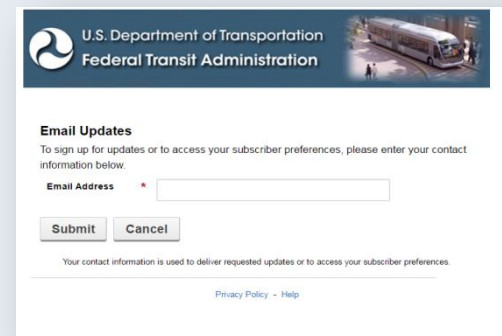
Through FTA's safety website:

- 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>



The screenshot shows the GovDelivery sign-up page for the U.S. Department of Transportation Federal Transit Administration. It includes the agency logo, a header image of a train, and a form titled "Email Updates". The form asks for an email address and has "Submit" and "Cancel" buttons. Below the form, there is a note: "Your contact information is used to deliver requested updates or to access your subscriber preferences." and links for "Privacy Policy" and "Help".

Questions?