

# FTA

FEDERAL TRANSIT ADMINISTRATION

## 2016 APTA Annual Meeting

### Federal Safety Update

**Thomas Littleton, PhD**

**Associate Administrator**

**Office of Transit Safety and Oversight**

**Brian Alberts**

**Policy Lead**

**Office of Transit Safety and Oversight**



# 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
<b>Public Transportation Safety Program</b> <b>49 CFR Part 670</b>	<b>NPRM</b> <b>Published: 8/14/2015</b> <b>Comment By: 10/13/2015</b>	<b>Final Rule</b> <b>Published: 8/11/2016</b> <b>Effective: 9/12/2016</b>
<b>State Safety Oversight</b> <b>49 CFR Part 674</b>	<b>NPRM</b> <b>Published: 2/27/2015</b> <b>Comment By: 4/28/2015</b>	<b>Final Rule</b> <b>Published: 3/16/16</b> <b>Effective: 4/15/16</b>
<b>Public Transportation Agency Safety Plan</b> <b>49 CFR Part 673</b>	<b>NPRM</b> <b>Published: 2/5/2016</b> <b>Comment By: 4/5/2016</b>	<b>Final Rule in Development</b>
<b>National Public Transportation Safety Plan</b> <b>49 CFR Part 673</b>	<b>Proposed National Safety Plan</b> <b>Published: 2/5/2016</b> <b>Comment By: 4/5/2016</b>	<b>Final Guidance Document in Development</b>
<b>National Public Transportation Safety Certification Training Program</b> <b>49 CFR Part 692</b>	<b>NPRM</b> <b>Published: 12/3/2015</b> <b>Comment By: 2/1/2016</b>	<b>Final Rule in Development</b>
<b>Preventing Transit Worker Assault NPRM</b>	<b>NPRM</b> <b>Expected: 2017</b>	
<b>Bus Testing</b> <b>49 CFR Part 665</b>	<b>NPRM</b> <b>Published: 6/23/2015</b> <b>Comment By: 8/24/2015</b>	<b>Final Rule</b> <b>Published: 8/1/2016</b> <b>Effective: 10/31/2016</b>
<b>Transit Asset Management</b> <b>49 CFR Part 625</b>	<b>NPRM</b> <b>Published: 9/30/2015</b> <b>Comment By: 11/30/2015</b>	<b>Final Rule</b> <b>Published: 7/26/2016</b> <b>Effective: 10/1/2016</b>

# Public Transportation Safety Program

RULE

SMS



National Public Transportation Safety Plan  
GUIDANCE



National Public Transportation Safety Certification Training Program



RULE

Public Transportation Agency Safety Plans



TRANSIT AGENCIES

RULE

State Safety Oversight (SSO) Program



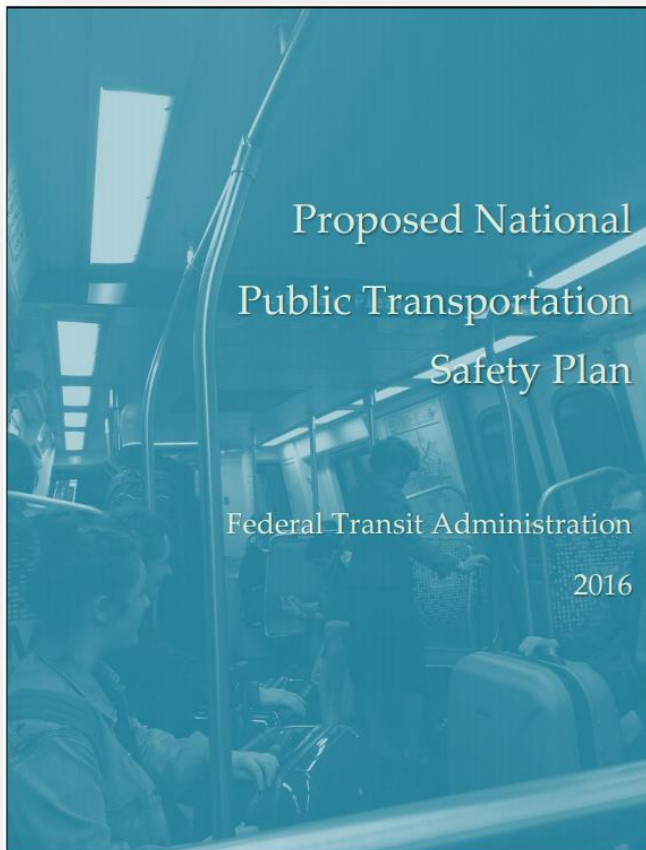
SAFER PUBLIC TRANSPORTATION

# 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

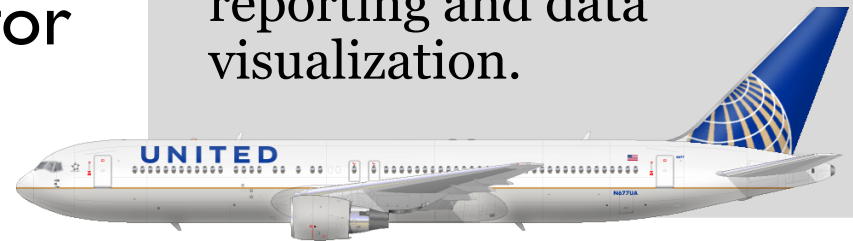
# SMS Implementation Pilot Program Status Update

## 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	<a href="https://safety.fta.dot.gov/">https://safety.fta.dot.gov/</a>
September 2016 – December 2016	Rail Nomenclature	Available Online	<a href="https://safety.fta.dot.gov/">https://safety.fta.dot.gov/</a>

# Schedule of Upcoming Training

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

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

# Schedule of Upcoming Training

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

# 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 bar below contains links for WELCOME, RESOURCES, TRAINING, MAPS, EVENTS, CONTACT FTA, and HELP. The main heading is 'Welcome to FTA Safety', with a 'Register with Website' button to its right. A central video player features a 'Register Now' button overlaid on a play button. Text next to the video says 'Gain full access after you register' and 'Register to begin'. Below the video, there are 'Previous' and 'Next' navigation arrows, and a 'Register now for full site access' link with a 'Download video transcripts' option. At the bottom, a paragraph invites users to register and take advantage of the site's resources.

Federal Transit Administration  
Office of Transit Safety & Oversight

Register Now Login

WELCOME RESOURCES TRAINING MAPS EVENTS CONTACT FTA HELP

Welcome to FTA Safety [Register with Website](#)

Gain full access after you register

**Register to begin**  
As soon as you register, you can begin E-learning courses, training at your own pace.

[Watch the video](#)

Register Now

Previous Next

Register now for full site access  
[Download video transcripts](#)

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

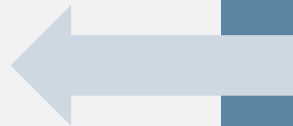
# How does a transit agency increase voluntary employee safety reporting?

## ***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><b>An inadvertent action – slip, lapse, mistake</b></p>	<p><b>A choice – risk not recognized or believed justified</b></p>	<p><b>Conscious disregard of unreasonable risk</b></p>
<p><b>Manage through:</b></p> <ul style="list-style-type: none"> <li>• Processes &amp; procedures</li> <li>• Checklists</li> <li>• Training</li> <li>• Design</li> </ul>	<p><b>Manage through:</b></p> <ul style="list-style-type: none"> <li>• Increase situational awareness</li> <li>• Remove incentives for at-risk behavior</li> <li>• Create incentives for safe behavior</li> </ul>	<p><b>Manage through:</b></p> <ul style="list-style-type: none"> <li>• Remedial action</li> <li>• Punitive action</li> </ul>

# 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

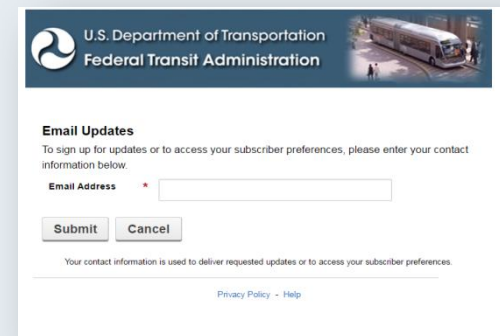
Through FTA's safety website:

- 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 FTA GovDelivery sign-up form. At the top, it features the U.S. Department of Transportation Federal Transit Administration logo and a small image of a bus. Below the logo, the text reads "Email Updates" and "To sign up for updates or to access your subscriber preferences, please enter your contact information below." There is a text input field for "Email Address" with a red asterisk indicating it is required. Below the input field are "Submit" and "Cancel" buttons. At the bottom, there is a small line of text: "Your contact information is used to deliver requested updates or to access your subscriber preferences." and a link for "Privacy Policy - Help".

Questions? Comments? Email us at [FTASafetyStakeholder@dot.gov](mailto:FTASafetyStakeholder@dot.gov)

**Questions?**