APTA STANDARDS DEVELOPMENT PROGRAM

STANDARD

American Public Transportation Association
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Rail Transit Operating Practices Working Group

Rail Transit Operations Supervisor Program Requirements

Abstract: This document provides standard requirements for rail transit systems in establishing the duties and responsibilities of rail operations supervisors or supervisory programs.

Keywords: supervisors, field supervisors

Summary: This standard provides rail transit agencies (RTAs) with the baseline requirements for rail operations supervisor job duties, in order to improve supervisor effectiveness and thereby the quality and safety of rail service. The standard also includes requirements for monitoring and managing rail operations supervisor performance. APTA recognizes that each agency has unique design and operating characteristics and that each agency will therefore have different duties assigned to its supervisors or other personnel who play a direct, frontline role in monitoring and/or managing rail service.

Scope and purpose: This standard applies to agencies that operate light-rail, heavy-rail or rail subway systems. The standard does not apply to commuter railroads that operate on the general railroad system regulated by the Federal Railroad Administration. The standard provides minimum requirements for job duties associated with frontline rail transit supervision and the related supervisory positions in order to promote rule compliance and safety and efficiency of transit operations. The standard also provides requirements for evaluating supervisor performance.

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Introduction

This introduction is not part of APTA RT-OP-S-019-14 Rev 1, *Rail Transit Operations Supervisor Program Requirements.*

This standard represents a common viewpoint of those parties concerned with its provisions, namely transit operating/planning agencies, rail transit systems, manufacturers, consultants, engineers and general interest groups. The application of any standards or recommended practices contained herein is voluntary. In some cases, federal and/or state regulations govern portions of a rail transit system's operations. In those cases, the government regulations take precedence over this standard. APTA recognizes that for certain applications, the standards or recommended practices, as implemented by individual rail transit systems, may be either more or less restrictive than those given in this document.

APTA recommends the use of this document by:

- individuals or organizations that operate rail transit systems;
- individuals or organizations that contract with others for the operation of rail transit systems; and
- individuals or organizations that influence how rail transit systems are operated (including but not limited to consultants, designers and contractors).

Rail Transit Operations Supervisor Program Requirements

1. Supervisor duty requirements

The RTA shall formalize in writing the job description associated with the duties of a frontline operations supervisor and/or related positions as determined by the agency (which for the remainder of this standard shall be referred to simply as "supervisor" or "supervisors"). The RTA shall develop and document in the job description, at a minimum, the areas covered in this section.

1.1 Reporting and fitness for duty

The RTA shall identify requirements for supervisors to administer the its reporting for duty and/or fitness for duty program requirements.

1.2 Verbal and written communications

The RTA shall identify requirements for how supervisors will communicate information with personnel they are supervising and with personnel to whom they report. The RTA shall identify requirements for supervisors to prepare thorough and appropriate documentation and/or reports to be determined by the RTA.

1.3 Performance monitoring of train operations

The RTA shall identify all supervisor duties related to performance monitoring of train operations. At a minimum, the RTA supervisory program shall include the following:

- A process for conducting operations compliance checks at a rate determined by the RTA.
- A process for conducting reviews of operators' responsibilities for performing RTA established customer service duties.
- A description of any requirements associated with monitoring the work or activities of outside contract personnel for compliance with agency requirements.
- A process for supervisors to understand their responsibilities related to supporting the RTA's corrective action requirements.

1.4 Support of frontline employees

The RTA shall identify what roles and responsibilities supervisors have in supporting other frontline employees. Such support may include operating trains, troubleshooting, assisting in station management, etc.

1.5 Interaction and coordination with internal and external personnel

Supervisors may be required to coordinate with internal and external personnel as part of their day-to-day duties. The RTA shall identify requirements for supervisors to interact with parties, including, but not limited to:

- RTA police or security departments
- External transit agencies
- Emergency first responders
- Employees or contractors from public agencies and utilities performing work affecting the ROW

1.6 Knowledge of rules and procedures

The RTA shall identify requirements for supervisors to know and understand the system's rules and procedures. The RTA shall identify how it will verify supervisor understanding of the rules and procedures commensurate with the supervisor job description.

1.7 Service management/restoration/recovery

The RTA shall identify requirements for supervisors to assist in or manage, restore or recover service. These requirements shall also include, where appropriate, that supervisors assist in troubleshooting failures of trains and other equipment.

1.8 Incident management

The RTA shall identify requirements for supervisors in responding to incidents. The RTA may identify what types of incidents are applicable and the duties associated with such incidents. The RTA shall identify the appropriate level of NIMS training associated with the supervisory position. See APTA RT-OP-S-007-04, Rev. 1 "Rail Transit Emergency Management," for more information related to incident management.

1.9 Accident/incident investigation

The RTA shall identify requirements for supervisors to conduct, assist or participate in accident/incident investigation. The RTA shall identify requirements for supervisors to write incident report or memos supporting accident/incident investigations.

1.10 Facility/station/platform management

The RTA shall identify requirements for supervisors related to transit facility, station and/or platform management.

1.11 Customer service

The RTA shall identify requirements for supervisors to provide or assist with customer service. Support may include topics addressed in Section 1.4 in this standard, "Support of frontline employees."

1.12 Knowledge of wayside, on-track equipment and trains

The RTA shall identify requirements for supervisor knowledge and understanding of the operability and characteristics of the wayside, on-track equipment and trains.

1.13 Vehicle operation

The RTA shall identify current requirements for supervisors to operate all modes of rail vehicles, commensurate with supervisor job description. This shall include qualification and requalification requirements.

1.14 Drug and alcohol/reasonable suspicion program administration

The RTA shall identify requirements for supervisors to assist in administering components of the agency's drug and alcohol program, including reasonable suspicion RTA.

1.15 Other administrative requirements

The RTA shall identify requirements for supervisors regarding Americans with Disabilities Act (ADA) compliance, equal employment opportunity (EEO) compliance, time and attendance policies, workplace violence, or other topics as determined by RTA.

1.16 Safety management systems (SMS) data

Supervisors shall collect and report necessary data related to identified hazards in a hazard management database developed by the RTA to include but not limited to data sources such as:

- Reports and observations from operators and other field personnel regarding hazards associated with agency vehicles, schedules, routes, policies and procedures.
- Information, experiences, and ideas
- Observations of facilities, infrastructure, and operations hazards
- Observations from emergency response to accidents and incidents.

2. Supervisor selection

The RTA shall develop a selection process for the supervisor position that is reflective of core job duties and requirements. At a minimum, the RTA shall incorporate the areas listed in this section.

2.1 Criteria for becoming a supervisor

The RTA shall identify minimum requirements for selecting and hiring an individual to become a supervisor.

2.2 Agility and/or physical requirements

The RTA shall identify any job-specific agility and/or physical requirements that are required as a part of the supervisor position.

3. Evaluation of supervisor performance

The RTA shall develop a program that outlines the consistent method of evaluating the performance of supervisors. The RTA shall develop the program to reflect the job requirements contained in the job description, supervisor program documentation and training.

4. Training

The RTA shall develop a documented training program specific to the job duties of the supervisor position, including requirements for classroom and on-the-job training (OJT) and testing.

The RTA shall require all supervisors to successfully complete training. The RTA shall establish testing and/or certification requirements. The RTA shall develop a program for continuing training and recertification and determine the frequency of it.

The RTA shall retain records of all training performed for each supervisor.

5. Management and update

The RTA shall establish a methodology to assess and update its supervisory program as needed. The RTA shall include a review of all supervisory program and training documentation by applicable RTA departments—for example rail operations, human resources, safety, labor relations or other departments.

Related APTA standards

APTA RT-OP-S-002-02, *Rail Transit Accident/Incident Investigation* (previously known as APTA RT-S-OP-002-02)

APTA RT-OP-S-007-04, *Rail Transit System Emergency Management* (previously known as APTA RT-S-OP-007-04)

APTA- RT-OP-S-011-10, *Rule Compliance* (previously known as APTA RT-S-OP-011-10)

APTA-RT-OP-S-013-04, *Training of Rail Operations and Station Operations Personnel* (previously known as APTA RT-S-OP-013-04)

APTA-RT-OP-S-018-13, *Fitness for Duty Program Requirements* (previously known as APTA RT-S-OP-018-13)

APTA-RT-OP-S-014-04, *Train Operating Employees Reporting to Work* (previously known as APTA RT-S-OP-014-04)

Definitions

For the purposes of this standard, the following terms and definitions apply. The job titles listed are used in this standard for informational purposes only. It is up to the individual agency to determine and use titles as it finds appropriate.

front line employees: An employee who directly interacts with the public.

operator: The onboard employee who controls the movement of a train or other on-track equipment.

rail transit agency: Any entity that provides services on a rail fixed guideway public transportation system. *(49 CFR Part 673.5 Definitions)*

train: A consist of one or more cars combined into an operating unit.

Abbreviations and acronyms

APTA   American Public Transportation Association
NATSA   North American Transit Services Association
NIMS   National Incident Management System
OJT   on the job training
RTA   rail transit agency
SMS   safety management systems

Summary of document changes

- Section 1.5: Title renamed to include *Inter-action and coordination with internal and external personnel.*
- Ensured consistent language and usage throughout the document.
- Updated Definitions.
- Section 1:15: Added a new section titled *Other administrative requirements*
- Section 1:16: Added a new section titled *Safety Management System (SMS) data*

Document history

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