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 Systems 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 RTS has unique design and operating characteristics and that each RTS will therefore have different duties assigned to its supervisors or other personnel who play a direct, front-line role in monitoring and/or managing rail service.

Scope and purpose: This standard applies to RTSs 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 front line rail transit supervision and the related supervisory position(s) in order to promote rule compliance and safety and efficiency of transit operations. The standard also provides requirements for evaluating supervisor performance.

Participants

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Introduction

This introduction is not a part of APTA RT-OP-S-019-14 *Standard for 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.

Note on alternate practices

Individual rail transit systems (RTSs) may modify the practices in this standard to accommodate their specific equipment and/or mode of operation. APTA recognizes that some RTSs may have unique operating environments that make strict compliance with every provision of this standard impractical. As a result, certain RTSs may need to implement the standards and practices herein in ways that are more or less restrictive than what this document prescribes. An RTS may develop alternates to the APTA standards as long as the alternates are based on a safe operating history and are described and documented in the RTS's System Safety Program Plan (SSPP) or another document that is referenced in the SSPP.

Documentation of alternate practices shall:

- Identify the specific APTA rail transit safety standard requirements that cannot be met;
- State why each of these requirements cannot be met;
- Describe the alternate methods used; and
- Describe and substantiate how the alternate methods do not compromise safety and provide a level of safety equivalent to the practices in the APTA safety standard (operating histories or hazard analysis findings may be used to substantiate this claim).

It must be noted that rail transit is not directly comparable to railroads (e.g. Amtrak, commuter, freight rail, etc). Rail transit systems differ greatly in the types of service, vehicles and technology employed, with some systems operating fully automated trains on exclusive rights-of-way and others operating on streets mixed with traffic. Rail transit demands a unique approach to solving its problems, and the APTA Rail Transit Standards Program was enacted to accomplish this complex task.

RTS Operations Supervisor Requirements

1. Supervisor duty requirements

The RTS shall formalize in writing the requirements associated with the duties of a front line operations supervisor and/or related positions as determined by the RTS (which, for the remainder of this standard shall be referred to simply as "supervisor" or "supervisors"). The RTS shall develop and document, at a minimum, requirements for the following areas.

1.1 Reporting and fitness for duty

The RTS shall identify requirements for supervisors to administer the RTS's reporting for duty and/or fitness for duty program requirements. See Standard APTA-RT-OP-S-018-13 Standard for Rail Transit Fitness for Duty Program Requirements. (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-016-11)

1.2 Verbal and written communications

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

1.3 Performance monitoring of train operations

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

- A process for conducting operations compliance checks at a rate determined by the RTS - see APTA RT-OP-S-011-10 *Standard for Rule Compliance* (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-011-10).

- A process for conducting reviews of operators' responsibilities for performing RTS-established customer service duties.
- A description of any requirements associated with monitoring the work or activities of outside contract personnel for compliance with RTS requirements.

1.4 Support of front-line employees

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

1.5 Interaction and coordination with other RTS personnel

Supervisors may be required to coordinate with other RTS offices as part of day-to-day duties. The RTS shall identify requirements for supervisors to interact with and/or coordinate and plan with other RTS personnel. For example, an RTS may expect supervisors to provide information to its transit police force or to bus supervisors at a multimodal facility.

1.6 Knowledge of rules and procedures

The RTS shall identify requirements for supervisors to know and understand the RTS's rules and procedures. The RTS 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 RTS shall identify requirements for supervisors to assist in or manage, restore, or recover service. These requirements shall also include, where appropriate, for supervisors to assist in trouble shooting failures of trains and other equipment.

1.8 Incident management

The RTS shall identify requirements for supervisors in responding to incidents. The RTS may identify what types of incidents are applicable and the duties associated with such incidents. The RTS shall identify the appropriate level of NIMS training associated with the supervisory position. See APTA RT-OP-S-007-04 *Standard for Rail Transit Emergency Management* for more information related to incident management. (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-007-04)

1.9 Accident/incident investigation

The RTS shall identify requirements for supervisors to conduct, assist, or participate in accident/incident investigation. Refer to APTA Standard RT-OP-S-002-02 *Standard for Accident/Incident Investigation.* (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-002-02)

1.10 Facility/station/platform management

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

1.11 Customer service

The RTS 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 Front Line Employees.

1.12 Knowledge of wayside, on-track equipment, and trains

The RTS 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 RTS 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 & alcohol / reasonable suspicion program administration

The RTS shall identify requirements for supervisors to assist in administering components of the RTS' drug and alcohol program, including reasonable suspicion identification and follow-up.

2. Supervisor selection

The RTS shall develop a selection process for the supervisor position that is reflective of core job duties and requirements. The RTS shall incorporate the following areas.

2.1 Criteria for becoming a supervisor

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

2.2 Agility and/or physical requirements

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

APTA has developed RT-OP-S-011-10 *Standard for Rule Compliance* which may serve as a useful reference.

> (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-011-10)

4. Training

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

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

5. Management and update

The RTS shall establish a methodology to assess and update its supervisory program, as needed.

The RTS shall include a review of all supervisory program and training documentation by applicable RTS departments, for example: rail operations, human resources, safety, labor relations, or other departments.

6. Related APTA standards

The Standard for Rail Transit Operations Supervisor Program Requirements contains information that is directly related to other APTA Standards. The following Standard(s) contain information directly related to subjects within this Standard.

- APTA RT-OP-S-002-02   *Standard for Rail Transit Accident/Incident Investigation*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-002-02)

- APTA RT-OP-S-007-04   *Standard for Rail Transit System Emergency Management*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-007-04)

- APTA- RT-OP-S-011-10   *Standard for Rule Compliance*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-011-10)

- APTA-RT-OP-S-013-04   *Standard for Training of Rail Operations & Station Operations Personnel*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-013-04)

- APTA-RT-OP-S-018-13   *Standard for Fitness for Duty Program Requirements.*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was previously known as APTA RT-S-OP-018-13)

- APTA-RT-OP-S-014-04   *Standard for Train Operating Employees Reporting to Work*
  (Note: APTA document numbering nomenclature has changed – hence the referenced standard was 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 below are used in this standard for informational purposes only. It is up to the individual RTS to determine and utilize titles as it finds appropriate.

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

rail transit system (RTS): An organization that operates passenger train service and its supporting activities.

train – A rail mounted vehicle that is used or intended to be used in revenue service.

Abbreviations and acronyms

APTA   American Public Transportation Association
NATSA   North American Transit Standards Association
OJT   on the job training
RTS   rail transit system

Summary of document changes

This is a new standard, hence there are no changes.

Document history

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