



FEDERAL TRANSIT ADMINISTRATION

Proposed National Public Transportation Safety Plan and Public Transportation Agency Safety Plans NPRM

Candace Key/Brian Alberts
Office of Transit Safety and Oversight

Michael Culotta
Office of Chief Counsel



U.S. Department of Transportation
Federal Transit Administration

Today's Presentation

- Overview
- Proposed National Public Transportation Safety Plan (NSP)
- Public Transportation Agency Safety Plans (PTASP) Notice of Proposed Rulemaking (NPRM)
- Submitting Public Comments
- Learn More
- Questions

About this Webinar

This is:

- A forum for FTA to explain what is covered in the proposed documents
- A recorded presentation that will be made publicly available in the dockets and on FTA's website

This is not:

- A public hearing for providing comments or posing questions about implementation
- A forum to discuss issues not included in the proposed documents

About the Questions

We can discuss:

- Clarifying questions

We cannot discuss:

- Questions about implementation
- Comments about implementation
- Suggestions related to proposals

Public Transportation Safety Program

- Establishes FTA's Safety Oversight Authority and program of requirements for most recipients of FTA funding
- Establishes FTA's commitment to a Safety Management System (SMS) approach
- Requires FTA to create National Public Transportation Safety Plan to communicate with public transit industry
- Formalizes a comprehensive framework for safe public transportation through 4 program components:

National Public Transportation Safety Plan

- Safety vision, mission, goals
- Performance management criteria and guidance
- Safety Risk Management practices and procedures
- SMS implementation guidance
- Best practices and safety plan templates
- Top Safety Priorities
- Safety Standards

GUIDANCE

National Public Transportation Safety Certification Training Program

- Federal/State employees (or their designees) who conduct audits and examinations of public transportation systems
- Personnel of public transportation systems who have direct responsibility for safety oversight at their system

Public Transportation Agency Safety Plans

Identifies:

- Methods for identifying and evaluating safety risk
- Framework for agencies to identify strategies for minimizing public exposure to unsafe conditions
- Performance targets and criteria based on criteria established in the National Safety Plan
- Requires training for personnel responsible for safety

TRANSIT AGENCIES

State Safety Oversight (SSO) Program

- Oversees the agency safety plan for the rail transit systems
- Investigates and enforces plan
- Audits rail transit systems
- Reports on safety status of each transit rail agency

SAFER PUBLIC TRANSPORTATION

Overview: MAP-21 Performance Management Framework

FTA

- National Public Transportation Safety Plan
- Public Transportation Agency Safety Plans
- Transit Asset Management

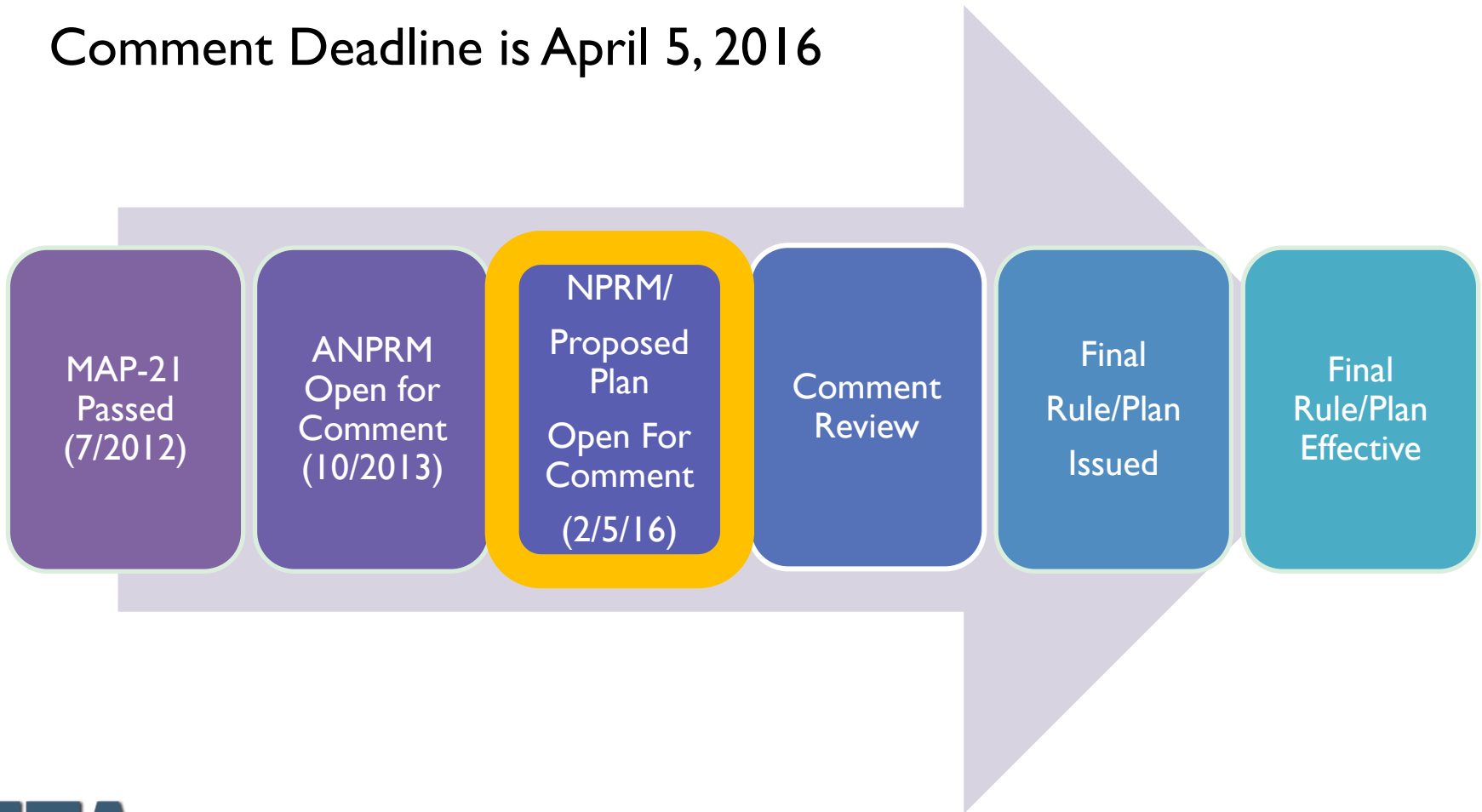
FHWA

- Safety Performance
- Pavement and Bridge Condition
- System Performance & CMAQ
- Highway Safety Improvement Program
- Highway Asset Management Plan

- Statewide and Metropolitan Planning

Overview: Where Are We In the Process

Comment Deadline is April 5, 2016



Proposed National Public Transportation Safety Plan (NSP)

NSP:Table of Contents

- EXECUTIVE SUMMARY
- Chapter I-INTRODUCTION
- Chapter II- SMS FRAMEWORK
- Chapter III-SAFETY PERFORMANCE MANAGEMENT
- Chapter IV-MANAGING RISKS AND ASSURING SAFETY PERFORMANCE
- Appendix A:Glossary
- Appendix B:Sample SMS Policy Statement
- Appendix C: Sample Safety Risk Register for Safety Risk Management and Safety Assurance

NSP: In General

Through MAP-21 and the FAST Act, Congress has required FTA to create and implement a National Public Transportation Safety Plan to improve the safety of all public transportation systems that receive funding under 49 U.S.C. chapter 53. (49 U.S.C. 5329(b)(1)).

NSP: Statutory Requirements

- Safety performance criteria for all modes of public transportation
- The definition of the term “state of good repair”
- Minimum safety performance standards for public transportation vehicles used in revenue operations that are not regulated by another Federal agency
- Minimum safety standards to ensure the safe operation of public transportation systems
- A safety certification training program

NSP: Objectives

1. Meet the statutory requirement to develop and implement a plan to improve the safety of public transportation systems that receive Federal transit funds
2. Communicate FTA's approach to improving safety to the public transportation industry

NSP: SMS Framework

The SMS Framework is a foundational implementation guide for the transit industry that:

- Provides a brief overview of key SMS concepts
- Describes attributes of an effective SMS
- Presents FTA's adopted SMS components and sub-components
- Presents SMS development phases and sample tasks

NSP: Safety Performance Management

Proposed Performance Criteria:

1. **FATALITIES** (total number of reportable fatalities and rate per total unlinked passenger trips by mode)
2. **INJURIES** (total number of reportable injuries and rate per total unlinked passenger trips by mode)
3. **SAFETY EVENTS** (total number of reportable events and rate per total vehicle miles, by mode)
4. **SYSTEM RELIABILITY** (mean distance between failures by mode)

NSP: Managing Risks and Assuring Safety Performance

- SMS
- Standards
- Advisories
- Guidance
- Technical Assistance
- Pilots
- Best Practices
- Templates
- Tools

Public Transportation Agency Safety Plans (PTASP) NPRM

PTASP: Table of Contents

Title 49—Transportation

PART 673—PUBLIC TRANSPORTATION AGENCY SAFETY PLANS

Subpart A—General

Sec.

673.1 Applicability

673.3 Policy

673.5 Definitions

Subpart B—Safety Plans

673.11 General requirements

673.13 Certification of compliance

673.15 Coordination with metropolitan, statewide, and non-metropolitan planning processes

Subpart C—Safety Management Systems

673.21 General requirements

673.23 Safety management policy

673.25 Safety Risk Management

673.27 Safety assurance

673.29 Safety promotion

Subpart D—Safety Plan Documentation and Recordkeeping

673.31 Safety plan documentation

673.33 Safety plan records



PTASP: In General

Through MAP-21 and the FAST Act, Congress has required each “operator of a public transportation system” that receives FTA funds to develop and implement a Public Transportation Agency Safety Plan. (49 U.S.C. 5329(d)).



PTASP:The NPRM

In the PTASP NPRM:

- FTA proposes to implement 49 U.S.C. 5329(d) by adding a new Part 673 to Title 49 of the Code of Federal Regulations
- FTA summarizes and responds to public comments that it received on its October 3, 2013 ANPRM (78 Fed. Reg. 61,251)

PTASP: Applicability

Would Apply to...

- Each “operator of a public transportation system” that receives Federal financial assistance under 49 U.S.C. Chapter 53, including recipients and sub-recipients

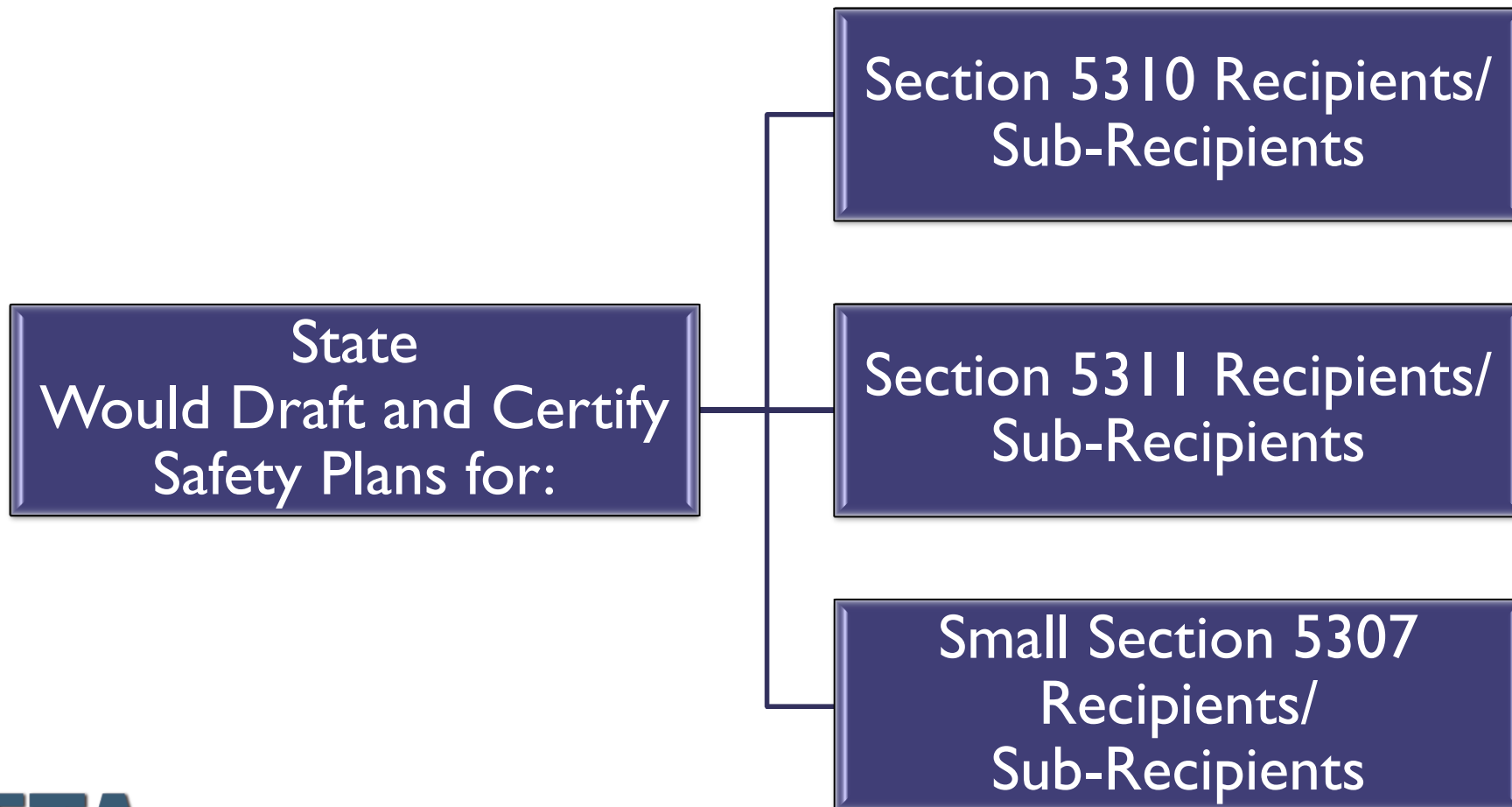
Would Not Apply to...

- A transportation operator that only provides service closed to the general public and only available for a particular clientele
- Commuter rail service regulated by the Federal Railroad Administration
- Passenger ferry service regulated by the U.S. Coast Guard

PTASP: Role of the State

- Each State would be required to draft and certify a Public Transportation Agency Safety Plan on behalf of any recipient/sub-recipient under 49 U.S.C. 5310 and 5311, and any “small public transportation provider” located in that State.
 - A “small public transportation provider” would include a recipient/sub-recipient of funds under FTA’s Urbanized Area Formula Program at 49 U.S.C. 5307 that has 100 or fewer vehicles in revenue service and does not operate a rail fixed-guideway system.
- Any of these transit agencies may opt to draft and certify their own plans.
- If State drafts and certifies a plan on behalf of a transit agency, then that transit agency would be required to carry out and implement the plan.
- A State Safety Oversight Agency would be required to review and approve each plan of a rail fixed guideway system under its jurisdiction.

PTASP: State Drafting and Certification of Safety Plans



PTASP: FTA Templates and Guidance

To assist States and transit agencies with the drafting and development of safety plans, and to reduce administrative and financial burdens, FTA intends to provide templates, checklists, guidance, and technical assistance to the industry.



PTASP: Certification and Enforcement

- Each transit agency, or State, would be required to annually certify that it has a plan compliant with the rule.
- FTA proposes to use its existing Certifications and Assurances process to satisfy this requirement.
- FTA would ensure compliance with the rule through its existing Triennial Review and State Management Review processes.

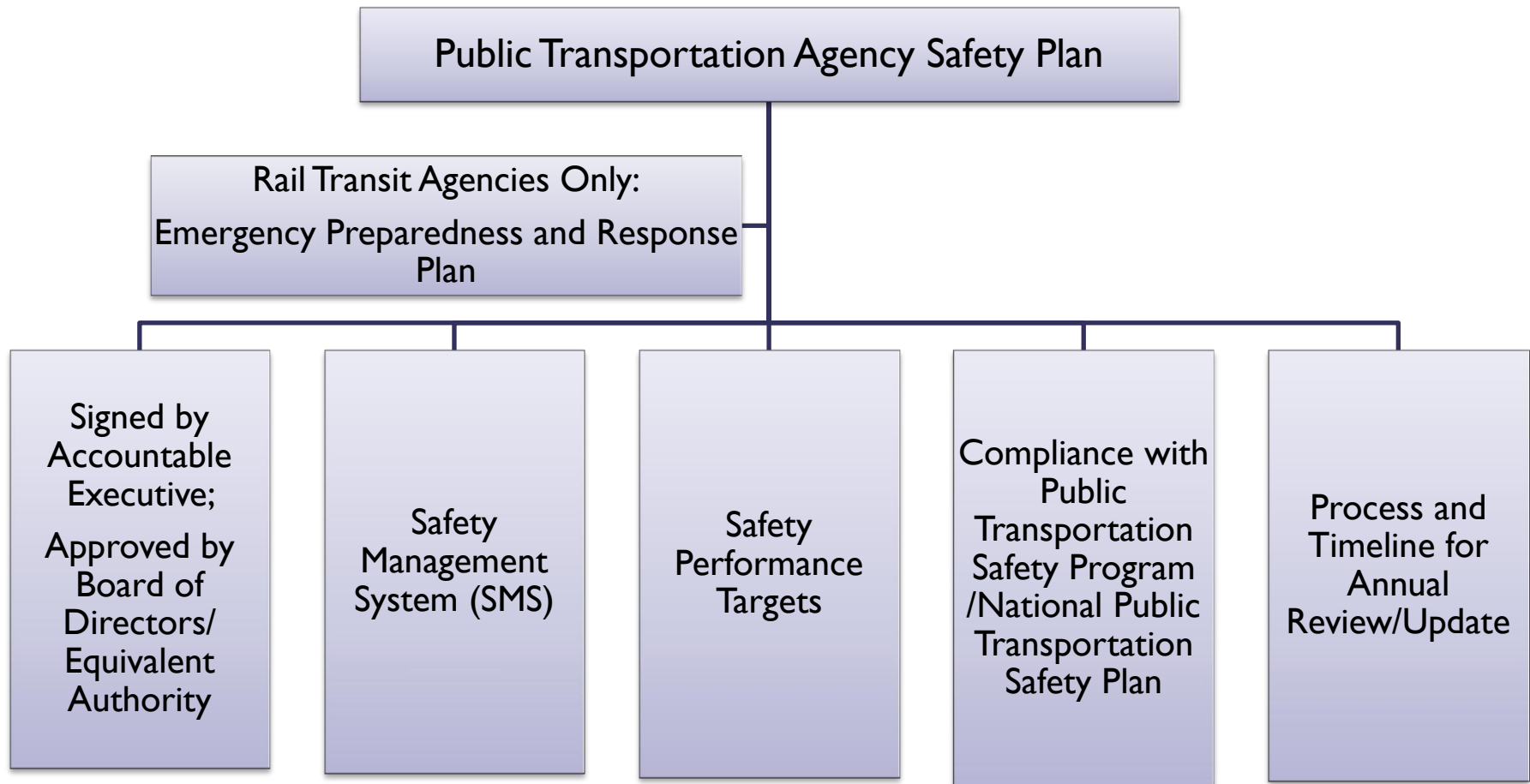
PTASP: Effective Date

- Each transit agency, or State, would have one year after the effective date of a final rule to draft and certify a safety plan.
- A rail transit agency with an existing System Safety Program Plan under 49 C.F.R. Part 659 may keep that plan in effect until one year after the effective date of a final rule.

PTASP: Coordination with the Planning Process

Each transit agency would be required to make its safety performance targets available to States and Metropolitan Planning Organizations (MPO) to assist with the selection of safety performance targets at the State and MPO levels.

PTASP: General Requirements



PTASP: Safety Management Systems (SMS)



PTASP: Safety Management Policy

Establishes a Written Statement of Safety Policy, Communicated Throughout the Agency, that Includes:

Safety objectives and performance targets

A confidential employee reporting program

Organizational accountabilities and safety responsibilities for:

1. Accountable Executive

2. Chief Safety Officer

3. Agency Leadership

4. Key Staff Responsible for Safety

PTASP: Safety Risk Management

Establishes a
Process for:

Identifying safety hazards

Evaluating the safety risks associated with safety hazards

Prioritizing safety risks

Implementing safety risk mitigations

PTASP: Safety Assurance

Establishes a Process for:

Monitoring compliance with, and sufficiency of, internal operations and maintenance procedures

Monitoring operations to identify hazards not identified through the Safety Risk Management process

Identifying risk mitigations that were ineffective, inappropriate, or not implemented as intended

Investigating safety events

Monitoring safety-related information

Identifying and assessing changes that may introduce new hazards or impact safety performance

Assessing safety performance and correcting safety deficiencies

PTASP: Safety Promotion

Elements:

Establish a comprehensive safety training program, including refresher training, for all agency employees and contractors directly responsible for the management of safety

Communicates an agency's safety performance throughout the organization

PTASP: Safety's Relationship with Asset Management/ State of Good Repair

Accountable Executive



PTASP: Recordkeeping

A transit agency would be required to keep records related to the implementation of its safety plan for three years.



Submitting Public Comments:

- The public comment period closes on April 5, 2016.
- Public comments must identify the following information:

Proposed NSP

Docket Number: FTA-2015-0017

Regulatory Identification Number (RIN): 2132-ZA04

PTASP NPRM

Docket Number: FTA-2015-0021

Regulatory Identification Number (RIN): 2132-AB23

Submitting Public Comments:

- **Electronically:** <http://www.regulations.gov>
- **U.S. Mail:**
Docket Operations
USDOT
1200 New Jersey Avenue SE,
West Building
Room W12-140
Washington, DC 20590-0001
- **Hand Deliver:** Docket Operations in Room W12-140 of the West Building, Ground Floor, at 1200 New Jersey Avenue SE, Washington, DC (M-F, 9:00 am – 5:00 pm)
- **FAX:** 202-493-2251

Learn More

- Webinars
 - Registration for webinars can be found here:
<http://www.fta.dot.gov/newsroom/calendar.html>
 - 3/1 – Bus-only Agencies
 - 3/2 – Multimodal Agencies
 - 3/3 – Small Urban, Rural & Tribal
 - 3/7 – Small Urban, Rural & Tribal w/National RTAP
- Public Listening Session
 - 3/16 – APTA Legislative Conference
- Website
 - http://www.fta.dot.gov/tso_15918.html

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Federal Transit Administration

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MAP-21 & Safety-Related Rulemaking

Public Transportation Agency Safety Plan NPRM	<ul style="list-style-type: none">Public Transportation Agency Safety Plan NPRM<ul style="list-style-type: none">Regulatory Impact Analysis for the Federal Transit Administration's Public Transportation Agency Safety Plan NPRMPublic Transportation Agency Safety Plan Notice of Proposed Rulemaking (NPRM): Request for Comments<ul style="list-style-type: none">Federal RegisterCrosswalk Matrix: 49 CFR Part 659.19 System Safety Program Plan Requirements with Proposed Requirements for Public Transportation Agency Safety Plans (PDF)Public Transportation Agency Safety Plan NPRM FAQ (PDF)
National Public Transportation Safety Plan	<ul style="list-style-type: none">National Public Transportation Safety Plan (PDF)<ul style="list-style-type: none">Advanced Notice of Proposed Rulemaking and Responses to Relevant Comments on the National Public Transportation Safety Plan (PDF)National Public Transportation Safety Plan Notice of Availability: Request for Comments<ul style="list-style-type: none">Federal RegisterProposed National Public Transportation Safety Plan FAQ (PDF)

Transit Safety and Oversight

Administrator's Safety Messages

WMATA Safety Oversight

Safety Stakeholder Letters/Bulletins

Safety and Training Resources

Drug & Alcohol Program

Emergency Management

FTA Safety Advisories

Organization Structure

Oversight

MAP-21 & Safety-Related Rulemaking

Conference Presentations

Publications

Public Transportation Safety Program Notice of Proposed Rulemaking (NPRM)

Safety Management Systems (SMS)

State Safety Oversight (SSO) Program

http://www.fta.dot.gov/tso_15918.html

Questions?

Candace Key

Candace.Key@dot.gov

202.366.9178

Brian Alberts

Brian.Alberts@dot.gov

202.366.3600

Michael Culotta

Michael.Culotta@dot.gov

212.668.2178

About the Questions

We can discuss:

- Clarifying questions

We cannot discuss:

- Questions about implementation
- Comments about implementation
- Suggestions related to proposals

