

FTA

FEDERAL TRANSIT ADMINISTRATION

Safety/TAM ANPRM Webinar for Medium/Large Transit Systems

December 4, 2013



U.S. Department of Transportation
Federal Transit Administration

Agenda

- About this Webinar
- FTA's New Regulatory Authority for Safety
- Safety Management Systems
- National Safety Program
- National Transit Asset Management Program
- Q&A
- Request for Comment and Next Steps

About this Webinar

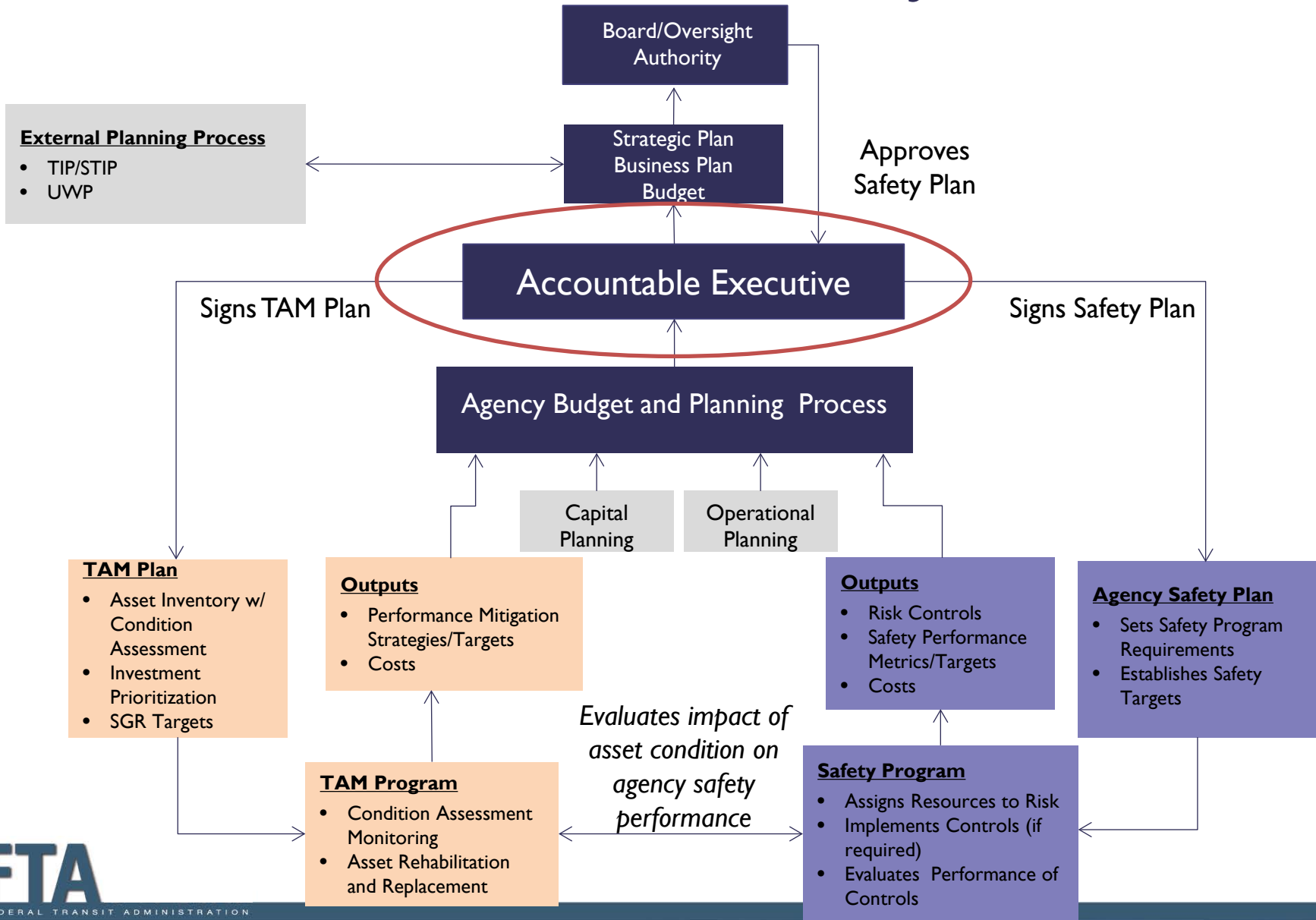
This is:

- A forum for FTA to explain what is covered in the ANPRM
- A recorded presentation to be made publicly available in the ANPRM docket 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 ANPRM

The Nexus between Safety and TAM



ANPRM Overview

- For a more detailed overview of the ANPRM, please view the [ANPRM Overview](#) from Monday, November 18
- The [ANPRM](#) is open for comments through January 2, 2014 on all topics, including:
 - Safety Management System (SMS) approach
 - National Safety Program
 - National Transit Asset Management (TAM) System

FTA's New Regulatory Authority for Safety

FTA's New Regulatory Authority for Safety

- July 6, 2012: President Obama signed into law the Moving Ahead for Progress in the 21st Century Act (MAP-21)
 - Provided FTA with the authority to regulate safety for all modes of public transit
 - FTA's initial oversight and enforcement efforts will focus on rail transit systems
- FTA does not intend to promulgate duplicative, inconsistent, or conflicting regulations

Safety Management System (SMS)

Safety Management System (SMS)

FTA proposes adoption of SMS approach to guide National Safety Program implementation.

SMS is built on four pillars:

Safety Policy

- Delineates management and employee responsibilities for safety and ensures management is actively engaged in safety oversight

Safety Risk Management

- Identifies and evaluates safety risks and develops safety risk controls to minimize the exposure of the public, personnel, and property

Safety Assurance

- Ensures the effectiveness of safety risk controls are monitored

Safety Promotion

- Includes training awareness, and communication

Safety Management System (SMS)

- Published policy to adopt SMS in May 2013
 - Essential building blocks of a successful SMS already exist
 - Each transit agency to develop processes to implement SMS
- Safety Management System is:
 - Scalable and flexible to support transit systems of all sizes
 - Proactive method for managing system safety
 - A way to ensure data-driven safety decision making
 - Focused on the overall safety performance, not compliance with regulation and requirements

See Questions 17-20 regarding SMS implementation

National Safety Program

The National Safety Program

The National Safety Program includes four distinct components, three of which are addressed in the ANPRM:

National Safety Plan

49 U.S.C. 5329(b)

- Establishes SMS as foundation for FTA's safety regulatory framework
- Includes the definition of State of Good Repair (SGR) and safety performance criteria

Transit Agency Safety Plan

49 U.S.C 5329(d)

- Introduces SMS into practice
- Provides agencies with authority to set performance targets for safety and SGR based on requirements set out in the National Safety Plan

Safety Certification Training Program

49 U.S.C. 5329(c)

- Introduces SMS concepts
- Improves technical competencies of safety oversight professionals

National Safety Plan

National Safety Plan

- At a minimum, the National Safety Plan will include:
 - Safety performance criteria;
 - Definition of SGR;
 - A public transportation safety certification training program;
 - Minimum vehicle safety performance standards.
- Data analysis will be used to identify national trends that suggest:
 - Gaps in safety performance;
 - Common hazards; and
 - Leading practices for risk control.

Safety Performance Criteria

- FTA will set safety performance criteria for all modes
- Criteria will support analysis and risk evaluation
- As a result, transit agencies will become more proactive in safety risk management

See Questions 1-7 regarding Safety Performance Criteria

Transit Agency Safety Plan

Transit Agency Safety Plan

- The Transit Agency Safety Plan will demonstrate:
 - Compliance with the National Safety Plan
 - Implementation of SMS
- Agencies must establish and certify this comprehensive plan within a year of the final rule

Transit Agency Safety Plan

- At a minimum, plans must include:
 - Approval by Board of Directors, or equivalent
 - Methods for identifying / evaluating safety risk
 - Strategies to minimize exposure to hazards
 - Process / timeline for annual review and update
 - Performance targets based on safety performance criteria
 - Assignment of safety officer
 - Comprehensive operational staff training program

See Questions 21-32 regarding Transit Agency Safety Plan requirements

Transit Agency Safety Plan

- For Rail Transit Fixed Guideway systems, current 49 CFR Part 659 requirements remain in effect until FTA promulgates regulations for both the Transit Agency Safety Plans and a new regulation for the SSO Program.
- FTA plans to conduct pilot programs and provide technical assistance to aid in this transitional process

Safety Certification Training Program

Safety Certification Training Program

- The Safety Certification Training Program focuses on:
 - Competencies and training outcomes
 - Certification training for those responsible for the safety oversight of rail transit, as an initial effort
- Interim Provisions will soon be published in Federal Register

See Questions 48 – 55 regarding the Safety Certification Training Program

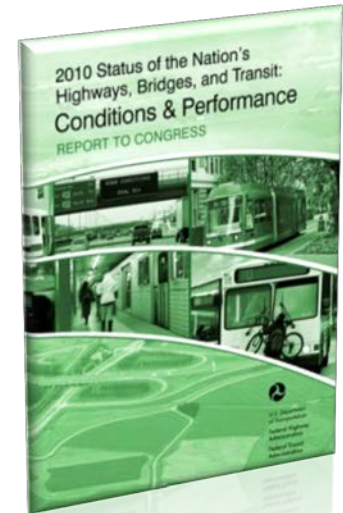
Safety Summary

- FTA's initial oversight and enforcement efforts will focus on rail transit systems
- SMS is scalable and flexible and recognizes that *one size does not fit all*
- All transit agencies will be required to develop Transit Agency Safety Plans
- FTA plans to provide pilots and technical assistance

National Transit Asset Management (TAM) Program

Bringing Transit Into a “State of Good Repair”

- SGR Backlog, estimated to be \$78B and growing
 - Conditions & Performance Report
 - Rail Modernization Study
 - SGR: Beginning the Dialogue Report
- New MAP-21 Formula Program
 - Replaces Fixed Guideway Modernization Program
 - Eventually, all projects in this program must be identified in an agency’s TAM Plan



The National Transit Asset Management System

National Transit Asset Management System

FTA Defines *State of Good Repair* (SGR)

49 U.S.C. 5326(b)(1)

FTA Establishes SGR performance measures;
Recipients set SGR targets based on the measures

49 U.S.C. 5326(c)(1) and (c)(2)

Recipients and subrecipients develop TAM Plans

49 U.S.C. 5326(b)(2)

Recipients report asset inventories and condition assessments

49 U.S.C. 5326(b)(3) and 5335(c)

FTA provides technical assistance

49 U.S.C. 5326(b)(5)

4 Proposed Methods for Defining SGR

Age -based

Assets should be scheduled for replacement beyond a certain maximum age

Condition-based

Assets should be replaced once inspections identify deteriorated conditions

Performance-based

Assets should be replaced when their deteriorated condition reduces speed or reliability

Comprehensive-assessment

Combines age, condition inspections, performance data, and maintenance history

Less Burden

More Accuracy

Performance Measures and Targets

- FTA must define SGR using objective standards for measuring conditions
- FTA must establish performance measures based on the definition of SGR
- Each recipient must set their own targets within 3 months of FTA establishing the measure:
 - No reward for making a target
 - No penalty for missing a target
- Annual reports to FTA by the recipient

Transit Asset Management Plans

- Recipients and subrecipients must develop a TAM Plan

TAM Plan Requirements:

- 1) Asset inventory with condition assessments
- 2) Investment prioritization
- 3) Certification by the recipient to FTA

- FTA will conduct risk-based oversight of TAM Plans

Technical Assistance

- Two statutory requirements:
 - Decision support tool for investment prioritization
 - Analytical process for capital investment needs (TERM-Lite)
- Technical assistance underway
 - Transit Asset Management Guide
 - Best practices from TAM pilot projects
 - TAM courses
- What other technical assistance is needed?

Other Areas for Comment

Certification of Plans

- Both the Agency Safety Plan and the Agency TAM Plan must be certified by the recipient
- How should the certification be implemented?
- How should certification for subrecipients work?

Metropolitan Planning

- MPOs are established in urbanized areas of 50,000 or more population, and must prepare a long range plan of at least 20 years in duration (updated every 4-5 years)
- Both safety and SGR performance measures and targets must be integrated into the Metropolitan Planning Process
- How should these plans be integrated into the Unified Planning Work Program (“UPWP”) and Congestion Management Process (“CMP”)?

Cost-Benefit Analysis

- Each future NPRM issued by FTA will include a cost-benefit analysis for comment
- This ANPRM is an opportunity to contribute specific information that FTA will rely upon in developing our cost-benefit analysis

About the Questions

We can discuss:

- Clarifying questions

We cannot discuss:

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

Request for Comment and Next Steps

We request that you please take the time to comment on this ANPRM and provide your thoughts to docket No. *FTA-2013-0030*

You may do so via:

- Web: www.regulations.gov
- Fax: 202-493-2251
- Mail: USDOT HQ*
- Hand delivery: USDOT HQ*

*1200 New Jersey Ave. SE
Washington, DC 20590