



FEDERAL TRANSIT ADMINISTRATION

Overview of MAP-21 Safety Requirements

Transit Rail Advisory Committee for
Safety (TRACS) Meeting
September 20, 2012



U.S. Department of Transportation
Federal Transit Administration



Moving Ahead for Progress in the 21st Century

- Key Provisions
- MAP-21 Program Elements
- Safety Management System (SMS) Approach
- FTA Next Steps

Key Provisions

Overview

MAP-21 –

FTA authority to establish and enforce a new safety framework for public transportation in the U.S.

- The law authorizes FTA to, among other things, issue regulations to carry out transit safety provisions.
- The law also includes important new safety provisions for bus-only operators.

Oversight and Enforcement

MAP-21 provides authority to:

- inspect and audit all public transportation systems
- make reports and issue directives with respect to the safety of public transportation systems
- issue subpoenas and take depositions
- require the production of documents
- prescribe record-keeping and reporting requirements
- investigate public transportation accidents and incidents
- inspect equipment, rolling stock, operations and relevant records

Additional Safety Authorities

- **Project Management Oversight** - Major Capital Projects required to have Project Management Plan that includes safety management. DOT must approve these plans.
- **National Transit Database** – Improve data systems management to ensure that reported accident data is accurate and reliable. Work with industry to make sure the right data is being collected.
- **Alcohol and Controlled Substance Testing**

MAP-21 Program Elements

National Public Transportation Safety Plan (NPTSP)

- To improve the safety of all systems receiving Federal transit funding
 - Safety performance criteria for all modes of public transportation (rail, bus, streetcar, etc.).
 - Minimum safety performance standards for vehicles not regulated by other Federal agencies.

Public Transportation Agency Safety Plans (Agency Safety Plans)

- At a minimum, these plans must include:
 - Strategies for identifying risks and minimizing exposure to hazards
 - An adequately trained safety officer to report directly to the general manager or equivalent
 - Performance targets based on the safety performance criteria and State of Good Repair standards established in the NPTSP
 - Staff training program for operations personnel and personnel directly responsible for safety

Agency Safety Plans

State Role and Interim Plans

- State Role with Rural and Small Urban Agencies
 - For 5311 recipients, agency plans may be drafted and certified by the recipient or the state.
 - FTA must issue a rule designating 5307 recipients who are small public transportation providers that may have their safety plans drafted or certified by the state.
 - Interim Plans - Plans developed pursuant to Part 659 and in effect on October 1, 2012, remain in effect until the new Agency Safety Plan requirements are in place.

Safety Certification Training Program

- Requirement for:
 - Federal, State or other personnel who conduct safety audits and examinations of systems and transit agency personnel who are directly responsible for safety oversight.
- Establish Interim Certification Training Program
- Up to 0.5% of 5307/5311 funds may be used for up to 80% of the costs to train employees in this Program

State Safety Oversight (SSO) Program Requirements

- Each State with rail systems not regulated by the Federal Railroad Administration (FRA) will need to meet FTA's requirements for the SSO program.

At a minimum, these States must:

- assume responsibility for oversight and enforcing Federal law of rail fixed guideway public transportation safety and
- establish a State Safety Oversight Agency (SSOA).

State Safety Oversight (SSO) Program Certification and Oversight

- Certification
 - SSO Program Certification disapproval requires correction and resubmittal
- Oversight
 - Rule issuance
 - Implementation oversight
 - Audits
 - Rulemakings

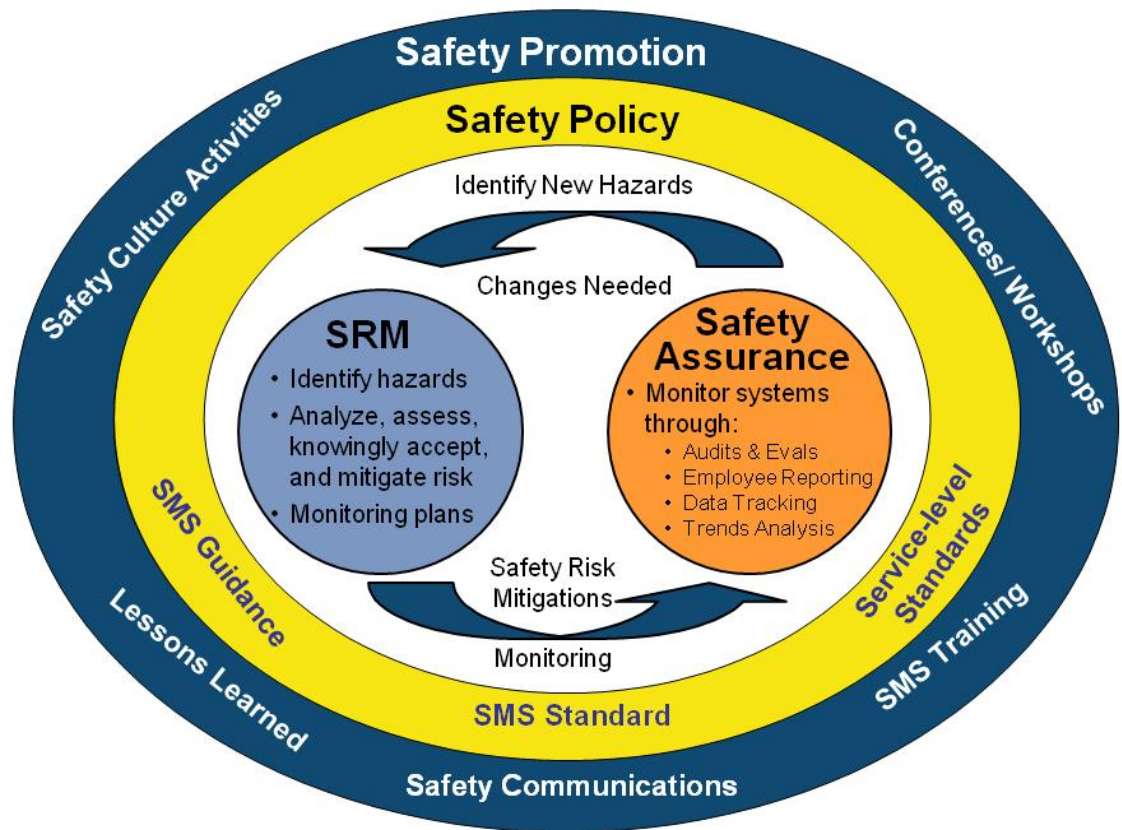
State Safety Oversight (SSO) Program Funding

- Grants shall be made to eligible States to develop or carry out SSO programs.
 - Funds may be used for program operational and administrative expenses, including employee training
 - Funds may reimburse up to 80% of eligible expenses
 - FTA will develop a formula that takes into account vehicle revenue miles¹, route miles¹, and passenger miles¹.

Safety Management System (SMS) Approach

Safety Management System (SMS) Framework

- A formal, top-down business-like approach to managing safety risk
- Features:
 - Strong safety culture
 - Proactive hazard analysis
 - Performance measures and leading indicators
 - Formal data collection
 - Voluntary reporting
 - Continuous learning and communications



FTA's Next Steps

FTA Next Steps

Immediate (now – 3 months)	Implementation Steps
Initiate development of the National Public Transportation Safety Plan [5329(b)]	<ul style="list-style-type: none"> ▪ Define vision, mission, goals ▪ Identify gaps between pre- and post- MAP-21 legal authority ▪ Engage key stakeholders
Develop performance measures and targets [5326(c)]	<ul style="list-style-type: none"> ▪ Summarize lessons-learned from other modes, agencies ▪ Develop leading indicators of safety
Issue an interim provision for certification training [5329(c)(2)]	<ul style="list-style-type: none"> ▪ Perform needs assessment and gap analysis ▪ Develop certification elements, requirements, and evaluation criteria
Establish SSO funding streams [5329(e)(3)]	<ul style="list-style-type: none"> ▪ Communicate new safety rules and requirements ▪ Funding contingent upon SSO program approved
Issue rule designating small urban providers who may have agency plans drafted or certified by a State [5329(d)(3)(B)]	<ul style="list-style-type: none"> ▪ Review current rulemaking process within FTA and determine needed changes ▪ Develop and propose rule

Longer Term Requirements

3 – 8 Months	1 – 3 Years
Review SSO safety programs [5329(e)(7)(A)]	Certify SSO safety programs within one year of enactment [5329(e)(7)(A)]
First annual report to Congress on SSO program by July 1, 2013 [5329(e)(8)]	Annually by July 1, report to Congress on SSO program [5329(e)(8)]
Initiate rulemaking to implement provisions [5329 (c,d,e,f,g)]	Continuously update methods, performance targets, and training [5329(1)(B,E,G)]
Set up mishap investigation protocol program [5330(c)(2)(B)], [5329(c)(1)], [5329(d)(1)(B)]	Within 3 years, report to Congress on program effectiveness [5329(k)(1)]
Develop minimum safety standards for vehicles, guideways, etc.[5329(e)(3)(B)]	
Within 180 days, conduct bus safety study [20021(b)]	



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