

# FTA

FEDERAL TRANSIT ADMINISTRATION

## State DOTs and the PTASP Rule

### How to get to compliance

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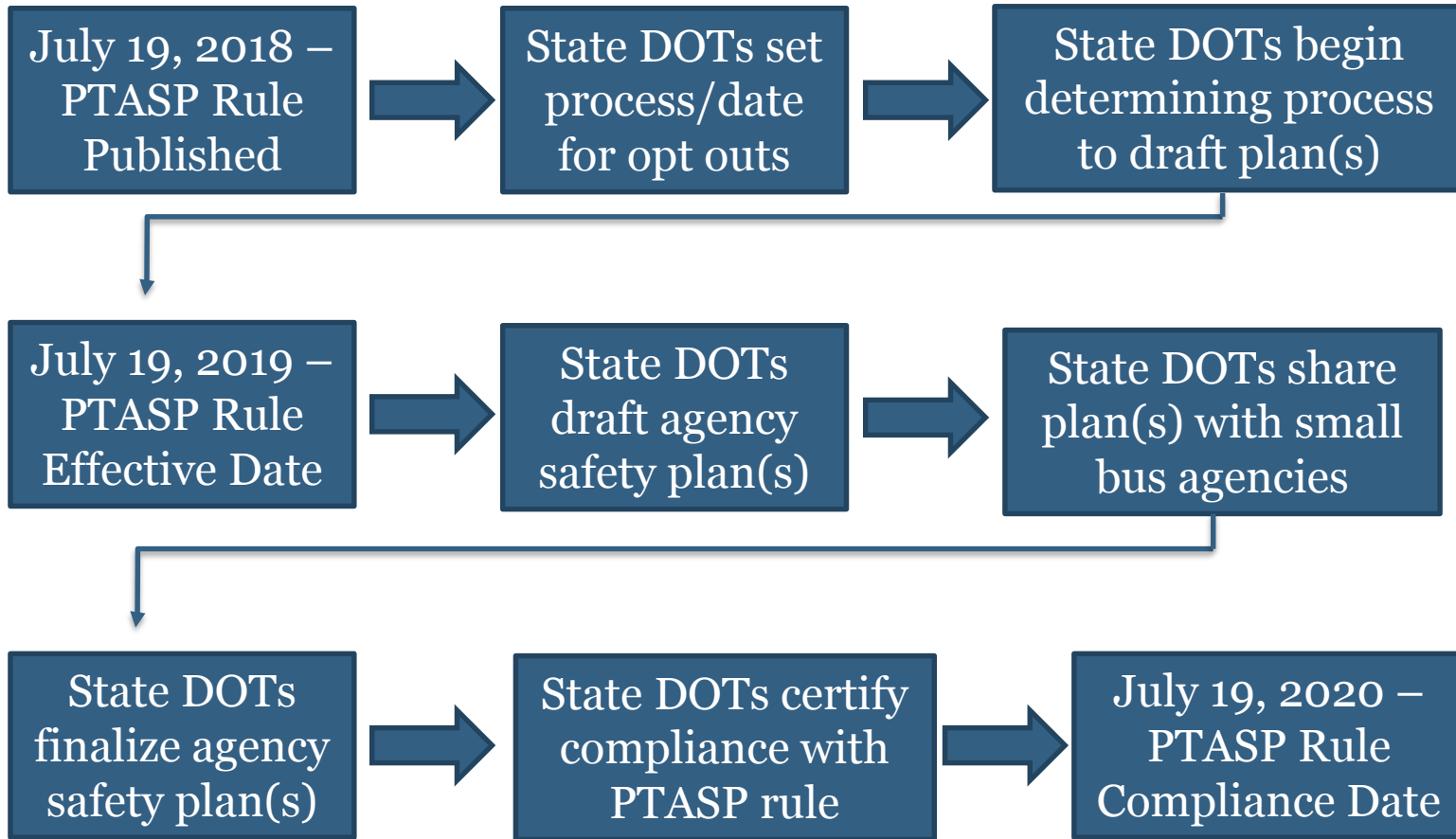
U.S. Department of Transportation

Federal Transit Administration

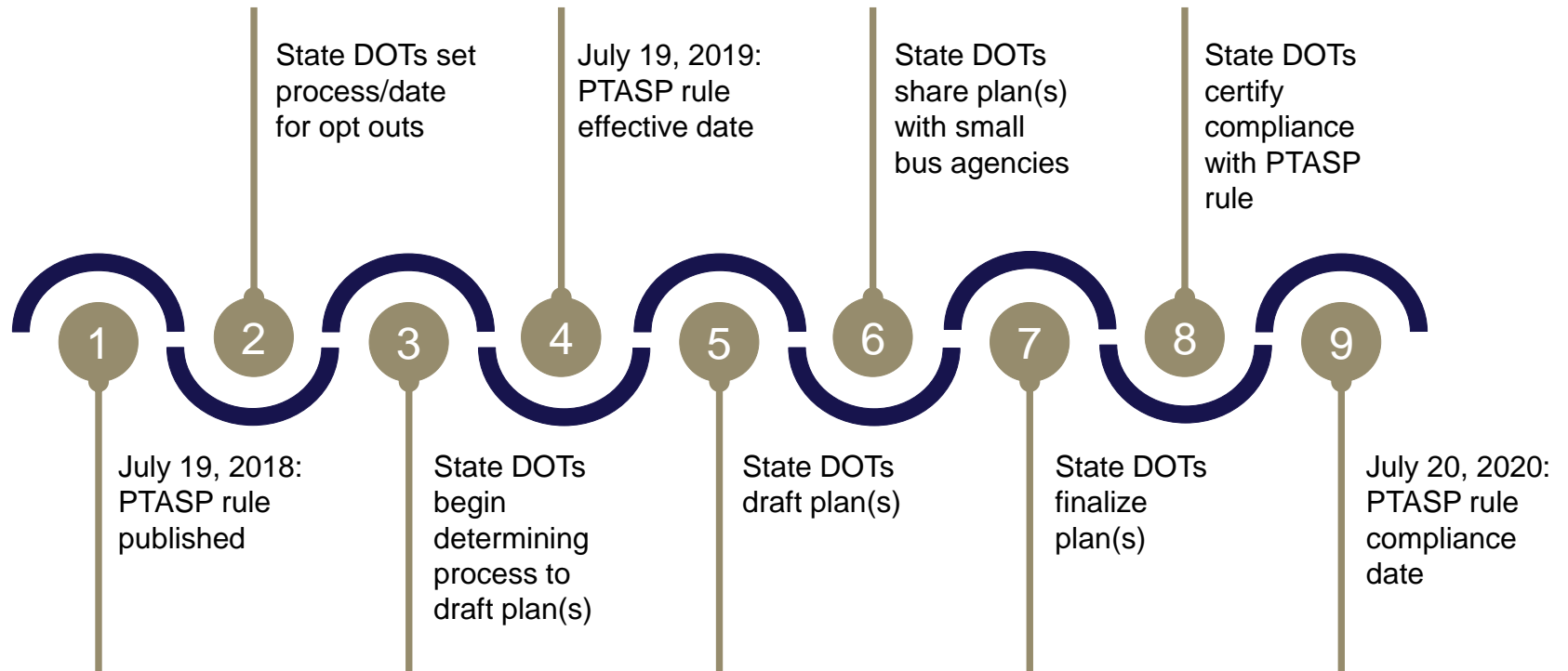
## In today's presentation...

- Timeline to compliance
- State DOT Roles, Responsibilities and Opting Out
- Applicability and Definition of Small Provider
- Funding
- Assistance
- Things to Think About
- Questions?

# Timeline to Compliance



# Timeline to Compliance



## State DOT Roles, Responsibilities and Opting Out

§ 673.11(d) states: “A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that agency notifies the State that it will draft its own plan. In each instance, the transit agency must carry out the plan...”

## State DOT Roles, Responsibilities and Opting Out

§ 673.11(d), cont.: “...If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.”

# State DOT Roles, Responsibilities and Opting Out

- Responsibility lies with the State DOT for small urban bus system plans
- State DOT role includes:
  - Drafting the plan, or multiple plans if that makes more sense based on the types of small urban bus systems in your state
  - Certifying in the Certs and Assurances process that you have met the requirements
- FTA recommends setting a formal process for opting out
  - Set a deadline for opting out
  - Decide what type of notification is sufficient (email, phone call, signed letter, form, etc.)

# State DOT Roles, Responsibilities and Opting Out

- FTA recommends that the State DOTs work with the small urban bus agencies as much as is practical to ensure you are writing a plan that will be able to be implemented
  - If you don't know your small urban bus agencies yet, now is the time to get to know them!



# Applicability and Definition of Small Provider

- **Definition:** *Small public transportation provider* means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.
- Interpreting the definition in the same way as the TAM Tier II Definition
  - 100 or fewer vehicles in peak revenue service across all fixed-route modes or one non-fixed route mode
- This is a good time to start figuring out which agencies in your state would be in the plan
  - What are their characteristics?
    - Operating environment, fleet size, number of routes/distance covered, etc.
  - What are their current resources?
  - Do they have a safety office or safety staff?

# Funding

- Work with your Governor to reappropriation 5307 funds if you will need more than usual to write the plans
- 5310 and 5311 may not be used
- How you choose to use the funds is up to you
  - Hire a contractor
  - Hire new staff
  - As long as it is an eligible 5307 expense

# Where can I get assistance?

- Bus template and guidance document
  - Available on FTA's website
  - Watch the webinar recording
- FTA courses on SMS
  - SMS Awareness (Online course)
  - Safety Assurance (e-Learning course)
  - SMS Principles for Transit
  - Effectively Managing Transit Emergencies
  - Transit Bus System Safety
  - Fundamentals of Bus Collision Investigation
  - <https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training>
- SSOA in some circumstances
  - Guidance and questions are ok, but SSOA should not be involved in drafting/writing plan(s)

Federal Transit Administration

About Funding Regulations & Guidance

Home » Regulations and Guidance » Safety

Overview

Getting Started

**Guidance and Templates**

FAQs

Resources

## Guidance and Templates

These guidance and templates were created to assist states and transit agencies with the development of safety plans and to reduce administrative and financial burdens.

### Rail Documents

- Comparison of Definitions Part 673 versus Part 659
- Transition Roadmap Guidance on Using SSPPs to Develop PTASPs

### Bus Documents

- Bus Template
- Bus Template Reference Guide

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## Graphics

- PTASP Applicability Infographic
- PTASP-TAM Infographic

## Guidance and Templates

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### Bus Documents

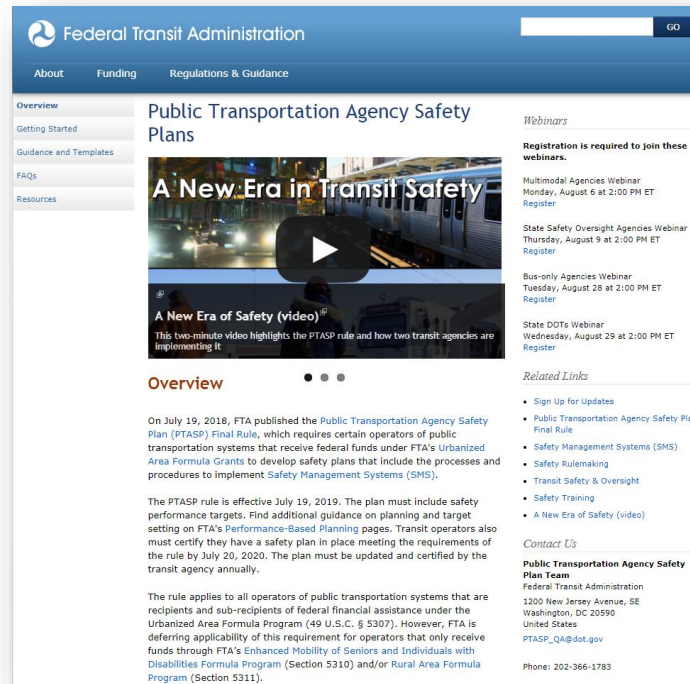
- Bus Template
- Bus Template Reference Guide

# Things to think about

- Economies of scale
  - Will one plan work for all of your small bus agencies?
- You can set the processes to be followed across the state
  - Consistency
- Do targets make sense to be the same at each bus agency?
  - Size
  - Operating environment and characteristics
  - Resources
  - Past performance data/trends

# Questions?

- PTASP Questions: [PTASP\\_QA@dot.gov](mailto:PTASP_QA@dot.gov)
- Other questions? Call the Office of Transit Safety and Oversight main number at 202-366-1783



The screenshot shows the Federal Transit Administration website page for "Public Transportation Agency Safety Plans". The page features a navigation menu with "About", "Funding", and "Regulations & Guidance". A sidebar on the left lists "Overview", "Getting Started", "Guidance and Templates", "FAQs", and "Resources". The main content area includes a video player titled "A New Era in Transit Safety" with a play button and a caption: "A New Era of Safety (video)®. This two-minute video highlights the PTASP rule and how two transit agencies are implementing it." Below the video is an "Overview" section with three bullet points. The first bullet point states: "On July 19, 2018, FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS)." The second bullet point states: "The PTASP rule is effective July 19, 2019. The plan must include safety performance targets. Find additional guidance on planning and target setting on FTA's Performance-Based Planning pages. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by July 20, 2020. The plan must be updated and certified by the transit agency annually." The third bullet point states: "The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (Section 5310) and/or Rural Area Formula Program (Section 5311)." To the right of the main content, there are sections for "Webinars" (listing four webinars with dates and "Register" links), "Related Links" (listing five links), and "Contact Us" (providing the "Public Transportation Agency Safety Plan Team" contact information: Federal Transit Administration, 1200 New Jersey Avenue, SE, Washington, DC 20590, United States, email: PTASP\_QA@dot.gov, and phone: 202-366-1783).

<https://www.transit.dot.gov/PTASP>