# FEDERAL TRANSIT ADMINISTRATION

### Public Transportation Agency Safety Plan Final Rule

### **Bus Template and Guidance**

**Office of Transit Safety and Oversight** 

November 1,2018



### In today's presentation...

- Where can I find the bus template and guidance?
- Who should use the bus template and guidance?
- Why should I use the bus template and guidance?
- State DOT's role in safety plan development
- Importance of Documentation
- How do I use the bus template and guidance?
- Questions?

## Follow along with the Bus Template and Guidance documents if you have them available

<u>Objective</u>: To prepare the urban bus transit industry and State DOTs to develop their agency safety plans using the bus template and guidance.



### Where can I find the bus template and guidance?

- On the PTASP "Guidance and Templates" and/or "Resources" Page
- Guidance and Templates
  - <u>https://www.transit.dot.gov/regulatio</u>
     <u>ns-and-guidance/safety/public-</u>
     <u>transportation-agency-safety-</u>
     <u>program/guidance-and-templates</u>
- Resources
  - <u>https://www.transit.dot.gov/regulatio</u>
     <u>ns-and-guidance/safety/public-</u>
     <u>transportation-agency-safety-</u>
     <u>program/ptasp-resources</u>

Nederal Transit Administration						
About	Funding	Regulations & Guidance				
	lations and	Guidance » Safety				
Overview Getting Started		Guidance and Templates				
Guidance and Templates FAQs		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.				
Resources		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				
💫 Fec	deral Tr	ansit Administration				
About	Funding	Regulations & Guidance				
Overview Getting Started		Graphics				
Guidance and Tem	plates	<ul><li>PTASP Applicability Infographic</li><li>PTASP-TAM Infographic</li></ul>				
Resources		Guidance and Templates				
		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				

### Who should use the bus template and guidance?

- Large 5307 recipient bus agencies
- State DOTs who are required to write safety plans on behalf of their Small 5307 bus agencies
  - § 673.11(d) explains that a State must develop a safety plan for small transit agencies within the State that receive Urbanized Area Formula Program funds (49 U.S.C. § 5307) and operate 100 or fewer vehicles in peak revenue service, unless the transit agency chooses to develop its own safety plan. In either case, small bus operators must implement their own safety plans.
- Small 5307 bus agencies who opt to draft their own plans

# Why should I use the Agency Safety Plan bus template and guidance?

- This is a new requirement for bus agencies
  - Assists bus agencies to meet the minimum requirements for the PTASP Rule
  - Points out sections where Small Public Transportation Providers\* do not need to develop and implement certain SMS processes
- Included as part of cost-saving measures with the rule
- Asked for by industry stakeholders when reviewing and commenting on the Notice of Proposed Rulemaking (NPRM)

\*5307 recipients with 100 or fewer vehicles in peak revenue service across all fixed-route modes or one nonfixed-route mode and not operating a rail system

### State DOT's role in safety plan development

- State DOTs must develop safety plans on behalf of all Small Public Transportation Providers within their state. Staff responsible may include:
  - Grant Manager
  - Transit Program Manager
- State DOTs must also develop safety plans for any 5307 recipient bus systems that the state operates itself
- SSOA funds may not be used to draft a plan for a Small bus transit agency
- No requirement to draft plans in a particular way
  - One plan for all bus agencies or separate plans for each
- Things to think about:
  - Number of small bus agencies within your state
  - Similarities of the small bus agencies
  - Ability of each small bus agency to implement the plan based on staff, resources, etc.

### **Importance of Documentation**

- § 673.31 describes the requirements for Safety Plan documentation
- Transit agencies must:
  - Maintain documents that set forth its Agency Safety Plan, including those related to the implementation of its SMS and results from SMS processes and activities
  - Maintain documents included in whole, or by reference, that describe the programs, policies, and procedures the agency uses to carry out its Agency Safety Plan

#### **DOCUMENTATION TIPS**

Referencing documents directly in a Safety Plan is an easy way to demonstrate that a requirement for Safety Plan documentation is met, and reduces the need to summarize processes and activities already described elsewhere.

When referencing a document in a Safety Plan, clearly describe what the document contributes to the Plan (for example, it describes a certain process), and specify the name of the document and where it is stored.

- Documents must be made available upon request by FTA, other Federal entities, or SSOAs having jurisdiction (for rail systems)
- Transit agencies must maintain documents for at least 3 years after creation

### How do I use the bus template and guidance?

- The documents should be used together
- The template is a Word document so text can be added, boxes moved or copied into another format
- The guidance document provides context and directions for completing the bus template to develop your Agency Safety Plan
- Recommend reading the guidance first and then reading it again as you complete the bus template
- The bus template is where you document your Agency Safety Plan and all of the required components, including any additional attached documents
- Remember that much of this is documenting your agency's **processes** that you develop to carry out your agency's Safety Management System
  - These processes should be repeatable, easy to follow, and effective



### **Reference Guide Introduction**

- The Reference Guide begins with background and instructions on its use
- This introduction will give you context and background on how the reference guide is organized and should be used
- **Reminder:** Use of the reference guide and template is *voluntary*

### Public Transportation Agency Safety Plan Template for Bus Transit

### **Reference Guide**

The Federal Transit Administration (FTA) is providing the Public Transportation Agency Safety Plan Template for Bus Transit and accompanying Reference Guide to assist with the development of a Public Transportation Agency Safety Plan (Safety Plan) for bus transit modes. The template and reference guide are intended for use by States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673. The full text of Part 673 is available at <u>http://www.transit.dot.gov/PTASP</u>.

#### How to use this reference guide

This reference guide is intended to help you complete each section of the *Public Transportation Agency* Safety Plan Template for Bus Transit and draft a Safety Plan that meets the requirements of Part 673 for bus transit modes. Use of the template and reference guide is voluntary. This document is not intended to provide guidance on implementing or operating a Safety Management System (SMS). As you develop content to include in the template, we recommend reviewing the corresponding section of this guide.

Each section of this Guide begins with the relevant regulatory text from Part 673 in a grey box. After this, you will find a description of the regulatory requirement and additional information from the preamble to the final rule. Examples and voluntary guidance are presented in blue boxes. The examples are provided for illustration only.

Certain requirements in Part 673 do not apply to small public transportation providers<sup>1</sup>. The relevant sections in this guide are noted in red to indicate where requirements differ.

### **Reference Guide Introduction**

- The Reference Guide also introduces and includes:
  - Applicability of the PTASP rule
  - General requirements
  - References to and text of specific sections of the rule
  - Tips for filling out the template

#### What does Part 673 require?

This section summarizes the requirements of Part 673 to help you understand the requirements for a Safety Plan in the context of the regulation. For a complete description of the regulatory requirements, please see the final rule text at <a href="http://www.transit.dot.gov/PTASP">http://www.transit.dot.gov/PTASP</a>

#### A Safety Plan

§ 673.11(a) – A transit agency must, within one calendar year after the effective date of the final rule, establish a Public Transportation Agency Safety Plan that meets the requirements of this part.

§ 673.11(a)(4) – The Public Transportation Agency Safety Plan must address all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. Compliance with the minimum safety performance standards authorized under 49 U.S.C. § 5329(b)(2)(C) is not required until standards have been established through the public notice and comment process.

§ 673.11(b) – A transit agency may develop one Public Transportation Agency Safety Plan for all modes of service or may develop a Public Transportation Agency Safety Plan for each mode of service not subject to safety regulation by another Federal entity.

### **Template Instructions/Introduction**

- Bus Template begins with background and instructions on how to use the template
- This introduction will give you context and background on how the template is set up and should be used
- **Reminder:** Use of the reference guide and template is *voluntary*

### Public Transportation Agency Safety Plan Template for Bus Transit

Version 1, issued 07/19/18

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Template for Bus Transit* and accompanying *Reference Guide* to assist with the development of a Public Transportation Agency Safety Plan (Safety Plan) for bus transit modes. Use of this template is voluntary. The template and reference guide are intended for use by States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <u>http://www.transit.dot.gov/PTASP</u>.

Certain requirements in Part 673 do not apply to small public transportation providers<sup>1</sup>. The relevant sections in this template are noted in red to indicate where requirements differ. Transit operators that are subject to Part 673 may choose to include additional sections beyond what is required in Part 673.

Under Part 673, a transit agency is required to maintain documents that describe its Safety Plan, including those related to implementation and results from processes and activities. Also, a transit operator may have existing documentation that describes processes, procedures, and other information required in Part 673. You may reference these documents in your Safety Plan by specifying the document names and locations within the appropriate sections of the plan.

### **Template Section I: Transit Agency Information**

- Self-explanatory this section is where you enter descriptive information about your agency
- Reference Guide Pages 4 and 5 explain who is the Accountable Executive and who is the Chief Safety Officer or SMS Executive

#### EXAMPLES OF ACCOUNTABLE EXECUTIVES

The Accountable Executive could be a transit agency's chief executive; commonly the president, chief executive officer, or general manager. For municipal government agencies, the Accountable Executive could be a county executive or a mayor, the head of a city's department of transportation, the head of a city's department of public works, or a city manager.

#### 1. Transit Agency Information

Transit Agency Name					
Transit Agency Address					
Name and Title of Accountable Executive					
Name of Chief Safety Officer or SMS Executive					
Mode(s) of Service Covered by This Plan	-		ll FTA Funding (e.g., 5307, 5310,		
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	-				
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	No	Description Arrangeme		
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided					

### Template Section 2: Plan Development, Approval and Updates

- Where you document the process that you develop and follow for approval and updates of your plan
- § 673.11 explains who is responsible for drafting and implementing plans, updating the plan, and approving the plan
- § 673.13 explains certification of the plan
- Reference guide pages 6-8 explain this section

Name of Entity That Drafted This Plan	-				
Signature by the	Signature of Accountable Executive	Date of Signature			
Accountable Executive	-				
	Name of Individual/Entity That Approved This Plan	Date of Approval			
Approval by the Board	-	-			
of Directors or an Equivalent Authority	Relevant Documentation (title and location)				
	-				
	Name of Individual/Entity That Certified This Plan	Date of Certification			
Certification of	=	-			
Compliance	Relevant Documentation (title and location)				
	-				

#### Version Number and Updates

Record the complete history of successive versions of this plan.

2. Plan Development, Approval, and Updates

Version Number	Section/Pages Affected	Reason for Change	Date Issued

Annual Review and Update of the Public Transportation Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

### Reference Guide Section 2: Plan Development, Approval and Updates

### What should you think about when completing section 2?

- Is our Accountable Executive (AE) designated yet?
- Is our Chief Safety Officer designated yet?
- Does our Board or it's Equivalent Authority have rules and procedures to follow for approvals?
- Who should be involved in annual Safety Plan review?
- How do State DOTs determine roles and responsibilities?
- Can the AE be at the state level?
- How can State DOTs efficiently use the plan for multiple bus agencies?

2.2 Signature by the Accountable Executive and Approval by the Board of Directors or Equivalent Authority

§ 673.11 (a)(1) – The Public Transportation Agency Safety Plan and subsequent updates must be signed by the Accountable Executive and approved by the agency's Board of Directors or an Equivalent Authority.

§ 673.5 Definitions – Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

A transit agency should update its Safety Plan at any point when information, processes or activities required under Part 673 undergo significant changes. As a transit agency collects data through its Safety Risk Management and Safety Assurance processes, the agency should be evaluating its safety performance targets

#### WHEN SHOULD A SAFETY PLAN BE REVIEWED?

For example, when a transit agency:

- Determines its approach to mitigating safety deficiencies is ineffective;
- · Makes significant changes to service delivery;
- Introduces new processes or procedures that may impact safety;
- Changes or re-prioritizes resources available to support SMS; and/or
- Significantly changes its organizational structure.

(SPTs) to determine whether they need to be changed, as well.

### **Template Section 3: Safety Performance Targets**

- § 673.5 defines relevant terms
- § 671.11 and § 673.15 explain target setting and sharing requirements
- Transit agencies must set Safety Performance Targets based on the Safety Performance Measures in the <u>National Safety Plan</u>
- Targets must be shared with States and MPOs
- There will be webinars in the winter about Planning and Setting Targets

#### 3. Safety Performance Targets

#### Safety Performance Targets

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability	Other	Other	Other

#### Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

Targets	State Entity Name	Date Targets Transmitted
Transmitted to the State		
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted

### **Reference Guide Section 3: Safety Performance Targets**

- Reference Guide Pages 8 and 9 include the relevant sections of the PTASP rule and a description of the minimum requirements, and see Page 15 for examples of Safety Performance Indicators (SPIs) and Safety Performance Targets (SPTs)
- What should you think about when completing section 3?
  - If the State DOT is drafting the plan, does the State DOT want to set the same or different targets for each of its small bus agencies?
    - Advantages: consistency across the state for statewide planning
    - Disadvantages: targets may not be realistic for all bus agencies
  - Do we have the appropriate data to set targets? If not, how can we collect that data? Are we collecting the data efficiently (on paper vs. digital)?
  - Can we set **realistic** targets? Is a target of 0 fatalities realistic based on your data/trends?
  - What targets are the State and Metropolitan Planning Organization (MPO) setting? Can we leverage our highway safety performance targets?



### **Template Section 4: Safety Management Policy**

- § 673.23 of the rule explains the requirements for a Safety Management Policy (SMP) statement
- SMP is the foundation for your plan
- SMP should be well thought out by a group of staff, including executives, from your agency
- Includes more than just a statement of support for Safety Management

Safety Management Po	olicy Statement
Include the written state	ment of safety management policy, incorporating safety objectives.
Safety Management Po	blicy Communication
Describe how the safety Include dates where app	r management policy is communicated throughout the agency's organization. plicable.
-	
Authorities, Accountal	bilities, and Responsibilities
	, accountabilities, and responsibilities of the following individuals for the gement of the transit agency's Safety Management System (SMS).
Accountable Executive	—
Chief Safety Officer or SMS Executive	
Agency Leadership and Executive Management	
Key Staff	
Employee Safety Repo	brting Program
Describe the process ar	nd protections for employees to report safety conditions to senior management.

### **Reference Guide Section 4: Safety Management Policy**

 Reference guide Pages 9-12 explain the requirements and how to develop your Safety Management Policy statement, roles and responsibilities, and other requirements

#### CHIEF SAFETY OFFICER'S OR SMS EXECUTIVE'S ROLES MAY INCLUDE:

- Developing and maintaining SMS documentation;
- Directing hazard identification and safety risk assessment;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive and Board of Directors on SMS implementation progress; and
- Planning safety management training.

AN EFFECTIVE SAFETY MANAGEMENT POLICY STATEMENT IS a short, straightforward document developed by top executives and management to describe a transit agency's commitment to SMS and the dedication of resources (e.g., people and funds) to support it. It commits the agency to developing and implementing the structures and activities necessary to sustain an SMS and assigns ultimate accountability for safety management to the agency's Accountable Executive.

Senior management should consult with staff members in charge of safety critical functions to ensure that the safety objectives are relevant to the agency and the services it delivers.

#### ACCOUNTABLE EXECUTIVE'S ROLES OFTEN INCLUDE:

- Decision-making about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments;
- Signing SMS implementation planning documents; and
- Endorsing SMS implementation team membership.

#### EMPLOYEE SAFETY REPORTING GUIDELINES SHOULD CLARIFY:

- What to report, what not to report, and how to report;
- What managers should do when employees report safety concerns;
- How reports are documented; and
- How employees will receive feedback about the results of their reports.

### **Reference Guide Section 4: Safety Management Policy**

- What should you think about when completing section 4?
  - Who should be involved in writing the Safety Management Policy statement?
  - If we already have a Safety Policy Statement, what do we need to change or modify in the statement to reflect SMS principles?
  - How do we make the statement effective so that it will resonate with employees and the Board?
  - Do we have to change or update any roles and responsibilities? If so, do we need to provide training or hire someone new?
  - Do we need to set up an employee reporting program or update/change what we currently have?
  - Don't promise what you can't deliver



### **Template Section 5: Safety Risk Management**

- § 673.25 of the rule explains the minimum requirements for Safety Risk Management
- Where you document your processes for Safety Risk Management and its subcomponents
- This section may seem small, but it is very important!

5. Safety Risk Management					
Safety Risk Management Process					
e the Safety Risk Management process, including:					
Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.					
Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.					
Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary <u>as</u> <u>a result of</u> safety risk assessment.					

### **Reference Guide Section 5: Safety Risk Management**

- Reference Guide Pages 13 and 14 document and describe the requirements for Safety Risk Management (SRM), Safety Hazard Identification, Safety Risk Assessment and Safety Risk Mitigation
- What should you think about when completing section 5?
  - Do we currently have these processes in place? If so, do they need updating/changing?
  - Do our employees know how to identify safety hazards? Do they know how to report safety hazards (see Employee Reporting Program – Section 4)?
  - Who should be involved in assessing hazards? Do we need to set up a committee?
  - What resources do we have to implement mitigations?
  - What information should be included when presenting mitigation options to executives to decide on?



### **Template Section 6: Safety Assurance**

- § 673.27 of the rule explains the requirements for Safety Assurance procedures
- Small Public Transportation Providers are not required to develop processes for Managing Change and Continuous Improvement

Safety P	erformance Monitoring and Measurement
Describe	activities to monitor the system for compliance with procedures for operations and maintenant
	activities to monitor operations to identify any safety risk mitigations that may be ineffective, riate, or were not implemented as intended.
-	
Describe	activities to conduct investigations of safety events to identify causal factors.
Describe	activities to monitor information reported through internal safety reporting programs.
Manage	ment of Change (Not Required for Small Public Transportation Providers)
	the process for identifying and assessing changes that may introduce new hazards or impact arformance.
Continu	ous Improvement (Not Required for Small Public Transportation Providers)
Describe	the process for assessing safety performance. Describe the process for developing and carry to address identified safety deficiencies.

### **Reference Guide Section 6: Safety Assurance**

- Reference guide Pages 14-16 document and describe the requirements for Safety Assurance and its subcomponents
- What should you think about when completing section
   6?
  - What subcomponents of SA do we need to develop processes for?
  - Do we have processes for safety investigations that identify causal factors for all safety events?
  - Are we collecting enough data and the right data to conduct safety performance monitoring and measurement?
  - How often should we monitor our mitigations?
  - Who should be involved in safety assurance processes?
     Do we need to set up a committee?
  - How will we identify changes to manage?
  - How do we show improvement?
    - Safety Performance Indicators (SPIs) and Safety Performance Targets (SPTs) are the primary way to measure safety performance

#### MEASURING SAFETY PERFORMANCE

To enable safety performance monitoring and measurement activities, a transit agency should establish safety performance indicators (SPIs) and safety performance targets (SPTs) based on its safety objectives.

Examples Safety Objective: Minimize passenger slip and fall events in buses.		
SPI	SPT	
The number of passenger slip and fall events on a vehicle per [number] of vehicle revenue miles.	Reduce the number of passenger slip and fall events on a vehicle by [percent] per [number] of vehicle revenue miles over the next [time period].	

#### EXAMPLES OF CHANGES

Changes with safety performance impacts can come from many sources and may include:

- Regulatory requirements
- Audit results
- City or regional planning
- Service environment
- New technology
- New processes or procedures
- Switching to new products (parts or chemicals)
- New employee contracts

### **Template Section 7: Safety Promotion**

- § 673.29 of the rule explains the requirements for Safety Promotion
- **Describe (and develop, if necessary)** the safety training program for staff and contractors
- **Describe (and develop, if necessary) processes** for safety communication throughout the agency

Competencies	and Training
Describe the sa safety.	ety training program for all agency employees and contractors directly responsible for
Safety Commu	lication
Describe proces the organizatior	ses and activities to communicate safety and safety performance information throughout

### **Reference Guide Section 7: Safety Promotion**

- Reference Guide Page 17 describes the requirements for Safety Promotion
- What should you think about when completing section 7?
  - Do we have a curriculum of safety training courses that our employees are already completing? If so, are those courses effective?
    - Look at the FTA curriculum and courses offered by TSI and NTI
    - Ask your peers for best practices through SWTA, CTAA, APTA, AASHTO, etc.
  - What competencies should our employees have in terms of safety? Do different positions have different safety training needs?
  - What safety information needs to be communicated throughout the agency?
     What does not?
  - Who is responsible for communicating about safety?
  - How will we communicate safety issues and concerns within the agency?



### **Final Sections**

- Additional Information

   any additional
   information you want
   to add to your agency
   safety plan
- Reference SMS Implementation Documentation here
- Definitions of Special Terms used in your plan
- Acronyms used in your plan

#### **Additional Information**

#### Supporting Documentation

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

#### Definitions of Special Terms Used in the Safety Plan

Term	Definition

#### List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase

### **Upcoming Webinars**

Webinars	Dates
Frequently Asked Questions	Thursday, November 15 at 2:00 PM ET   <u>Register</u>
Guidance on using SSPPs to develop PTASPs	Wednesday, December 5 at 2:00 PM ET   <u>Register</u>

### **Questions?**

- Questions: <u>PTASP\_QA@dot.gov</u>
- Other questions? Call the TSO Main Number at 202-366-1783



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