

FTA

FEDERAL TRANSIT ADMINISTRATION

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Federal Transit Administration

Today's Presentation

- Public Transportation Safety Program Framework and Rulemaking Update
- FAST Act: Review of Safety Standards
- SMS Overview and Implementation
- Technical Assistance
- Resources
- Questions

Safety Rulemaking

Rulemaking Timeline

MAP-21 Requirements	Federal Register Publication
Transit Asset Management NPRM	Published 9/30/15 Final Rule under development
Public Transportation Safety Program NPRM	Published 8/14/15 Final Rule under development
National Public Transportation Safety Plan	Published 2/5/16 Comment period closed 4/5/16
Public Transportation Agency Safety Plan NPRM	Published 2/5/16 Comment period closed 4/5/16
Interim Provisions Safety Certification Training Program NPRM	Effective 5/28/15 Published 12/3/15, Closed 2/1/16 Final Rule under development
State Safety Oversight Final Rule	Published 3/16/16
Operator Assault NPRM	Under Development Statutory due date March 2017

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

FTA Enforcement Authorities Under MAP-21 (2012) and FAST Act (2015)

- Issue safety directives and safety advisories
- Promulgate public transportation safety regulations
- Perform investigations
- Conduct inspections and audits
- Direct or withhold federal funding
- Remove equipment from service
- Close facilities
- Suspend operations

Safety Rulemaking Framework

Public Transportation Safety Program

- “Umbrella” document for all of the other Safety rulemakings and guidance
- Formally establishes FTA’s safety policy - Safety Management Systems (SMS)
- Sets rules of practice under FTA’s enforcement authority
- Commits FTA to creating and implementing a National Public Transportation Safety Plan

Transit Asset Management

- Transit Asset Management (TAM) is a business model designed to keep our transit networks in a State of Good Repair (SGR)
- TAM uses the condition of assets to prioritize and guide funding at transit properties

National Public Transportation Safety Plan

It is not a rule

- It is...
 - FTA's strategic plan for improving transit safety performance
 - A policy document
 - A communication tool
 - A repository of standards, guidance, best practices, tools, technical assistance, and other resources.

Public Transportation Agency Safety Plan

The proposed rule would require an operator to develop and implement an SMS-based Agency Safety Plan. Minimum requirements for each plan:

- Plan approval;
- Safety risk identification and evaluation;
- Minimizing exposure to hazards;
- Annual review and update of the plan;
- Performance targets;
- An adequately trained Safety Officer; and
- A comprehensive training program.

National Public Transportation Safety Certification Training Program

- Authorizes a training program for Federal and State employees who conduct safety audits of public transportation system, as well as public transit employees who are directly responsible for safety oversight.
- The Interim Provisions and NPRM only apply to rail fixed guideway systems. Bus participation is voluntary, but highly encouraged.

State Safety Oversight (SSO) Program

The final SSO rule strengthens the existing SSO program, providing for:

- Greater State oversight responsibility
- FTA approval of each State's SSO program standard
- FTA authority to impose penalties on States with non-existent or non-compliant safety oversight programs
- SSO Final Rule (49 CFR Part 674) replaces the current SSO rule at 49 CFR Part 659
- Stronger SSOA authority to investigate accidents and oversee implementation of a System Safety Program Plan (SSPP) and Public Transportation Agency Safety Plan (PTASP)

Operator Assault NPRM

- FAST Act requires an NPRM (Notice of Proposed Rulemaking) on transit driver safety & risk of assault
 - Transit Advisory Committee on Safety (TRACS) delivered a report on best practices and recommendations for preventing and mitigating transit worker assaults.
 - Next step is to issue NPRM on protecting public transportation operators from risk of assault, considering
 1. Different safety needs of drivers of different modes
 2. Differences in operating environments
 3. Use of technology to mitigate driver assault risks
 4. Existing experience of agencies and operators that already are using or testing driver assault mitigation infrastructure
 5. Impact of the rule on future rolling stock procurements and vehicles currently in revenue service

FAST Act: Review of Safety Standards

FAST Act Requirements: Safety Standards

1. Review public transportation system safety standards and protocols to examine efficacy of existing standards;
2. Evaluate the need to establish additional Federal minimum transit safety standards; and
3. Issue a Final Report on the findings of the review, with a comprehensive set of recommendations and further actions.

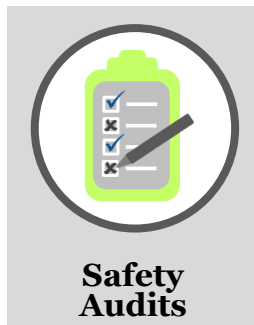
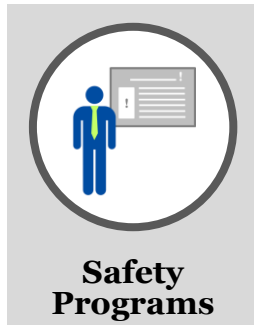
Review of Transit Safety Standards

- Inventory of safety standards:
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/transit-safety-standards>
- Federal Register Notice: <https://federalregister.gov/a/2016-11585>
- Comment period ends June 16
- Webinar
 - Thursday, May 26, 2– 3 PM ET: FAST Act Safety Standards
- Points of contact:
 - Brian Alberts, Lead Program Analyst, TSO, Brian.Alberts@dot.gov
 - Raj Wagley, Senior Engineer, Office of Research, Demonstration and Innovation, Raj.Wagley@dot.gov

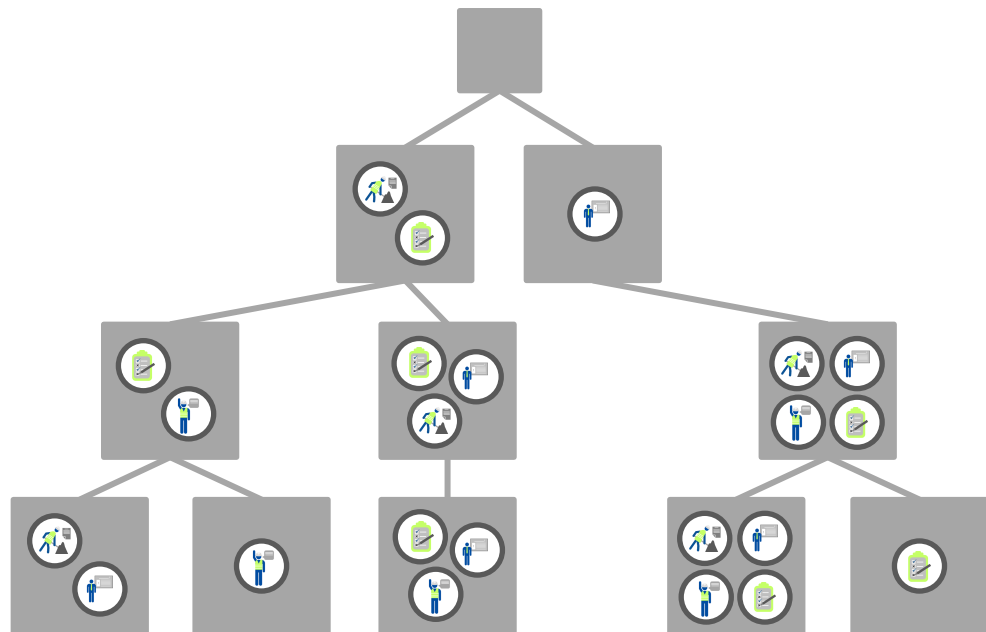
Safety Management System (SMS) Overview & Implementation

What is a Safety Management System?

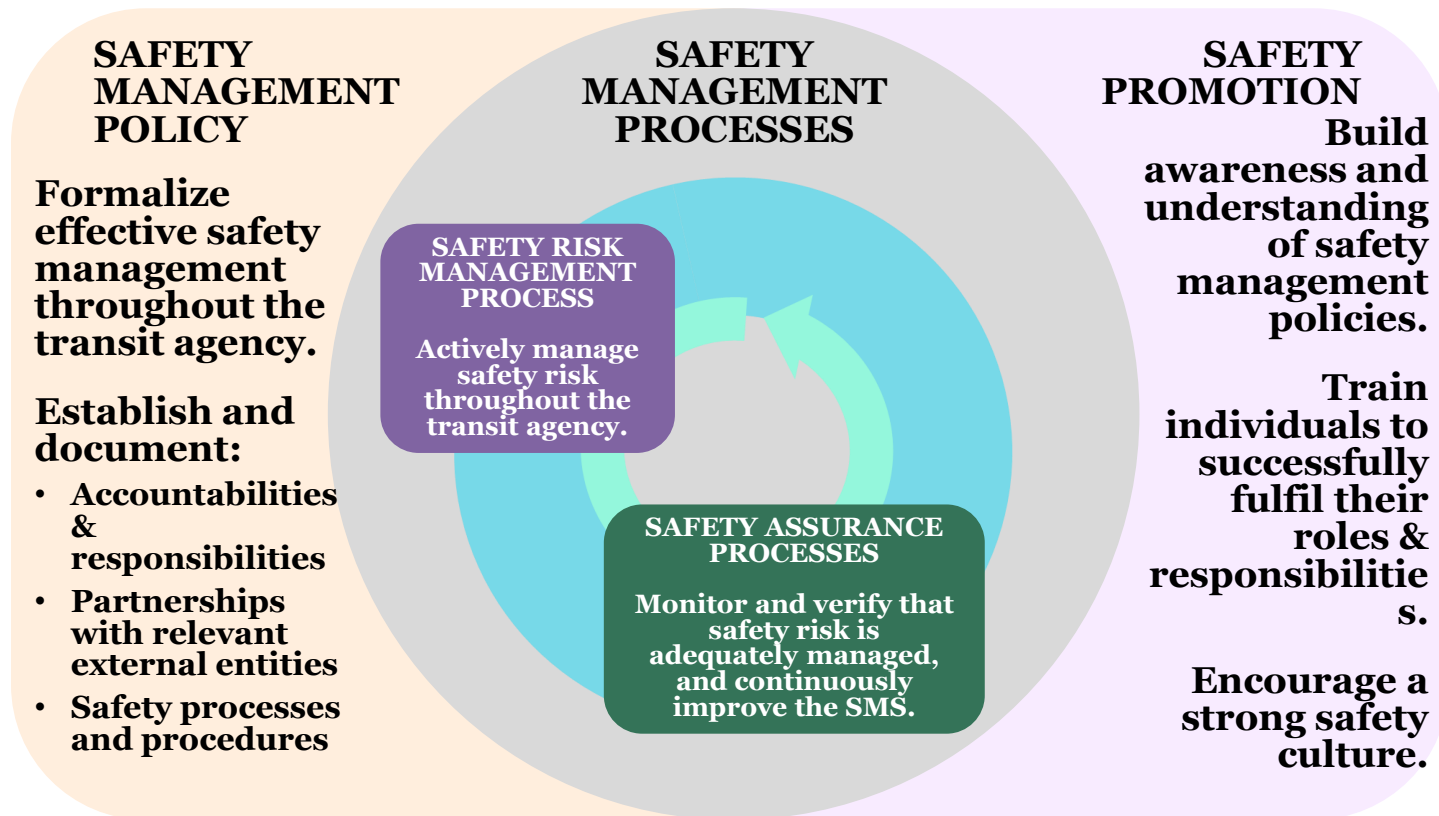
Transit agencies already perform many activities to stay safe.



A safety management system makes sure the *right* safety activities are performed *correctly* and *routinely*, and that they are having the *impact* transit agencies expect.



Pillars of SMS



The SMS Implementation Process

Phase 1 Prepare

- Engage key individuals and build a team.
- Get familiar with SMS implementation.
- Identify gaps—the SMS policies, processes, and activities the agency still needs to develop.
- Make a plan for how to fill the gaps.

Key Outputs

- SMS gap analysis
- SMS development plan
- Safety Management Policy Statement (recommended for large, complex agencies)

Phase 2 Develop

- Design the safety risk management process.
- Build the safety assurance function.
- Determine SMS-related training and communication.
- Draft safety management policies to formally establish SMS processes and activities throughout the agency.

Key Outputs

- *Public Transportation Agency Safety Plan* (awaiting final rule)
- SMS policy documents

Phase 3 Operationalize

- Put SMS policies, processes, and activities into practice as they're approved by the agency.

Key Outputs

- A functioning SMS
- Safety Management Policy Statement (recommended at this point for smaller, less complex agencies)

Technical Assistance: SMS Bus Pilot Program

SMS Bus Pilot Program

- FTA is working with select transit agencies to support the industry's transition to safety management systems (SMSs)
- FTA is currently working with a large multi-modal agency, but will be kicking-off a pilot with a few mid-size and small bus agencies in the near future

SMS Bus Pilot Program Con't

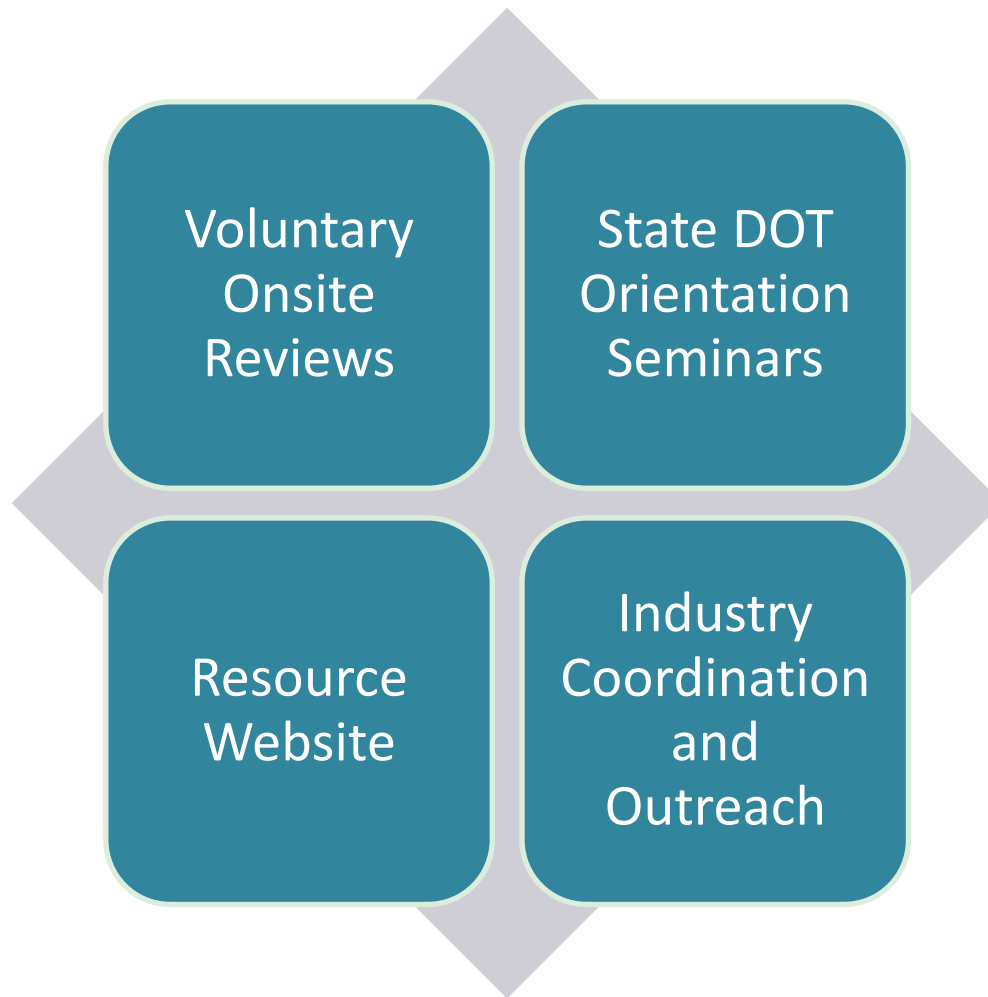
- Through this program, FTA:
 - Provides onsite training, guidance, technical assistance, and expertise to help the agency implement an SMS;
 - Establishes the agency as a role model for SMS implementation;
 - Applies lessons learned to the development of guidance materials and technical assistance tools for the entire transit industry; and
 - Develops insights on how best to support the industry-wide transition to SMS.

Technical Assistance: Voluntary Bus Safety Program

Bus Safety Program Background

- Voluntary program
- Developed in collaboration with industry partners
- Objective – improve safety for passengers, employees, and all that share roadways with transit buses
- Initial focus on small urban and rural bus transit systems
- Now includes large urban bus transit systems and Bus Rapid Transit (BRT)

Program Elements



Safety Resources

Resources to Help You Prepare Now

Check out the website

- SMS information
- Training
- Events
- Emails to registered users



Get trained

Through FTA's safety website:

- Take the *SMS Awareness* online course
- Sign up for classroom courses
- Request an Individual Training Profile for a list of courses based on your role at your agency

Read, watch, and participate

- Review SMS resources, including the *SMS Framework*
- Participate in webinars explaining new regulations and guidance
- Visit FTA's YouTube page to view previous webinars
- Read our newsletter *TSO Spotlight*



Questions?

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