

Public Transportation Agency Safety Plan (PTASP)

Section 5329

11:15-12:00

Presenter: Will Butler

Title 49 of the US Code

Sections 134 & 135

Statewide & Metro Planning, Non-Metro Planning

- Define Coordination for Target Selection, Planning, and Programming

Section 5326

Transit Asset Management (TAM) - 49 CFR Section 625

- TAM Plan
- Definition of "State of Good Repair" (SGR)
- SGR Performance Measures and Targets
- NTD Reporting

Section 5329

Public Transportation Agency Safety Plan (PTASP) 49 CFR Section 673

- Agency Safety Plan
- Safety Performance Targets

Section 5329

National Public Transportation Safety Plan

- Safety Performance Measures

DEPARTMENT OF TRANSPORTATION
Federal Transit Administration
49 CFR Part 673
[Docket No. FTA-2015-0021]
RIN 2132-AB23
Public Transportation Agency Safety Plan
AGENCY: Federal Transit Administration (FTA), DOT.
ACTION: Final rule.

SUMMARY: The Federal Transit Administration (FTA) is publishing a final rule for Public Transportation Agency Safety Plans as authorized by the Moving Ahead for Progress in the 21st Century Act (MAP-21). This final rule requires States and certain operators of public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53 to develop Public Transportation Agency Safety Plans based on the Safety Management System approach. Operators of public transportation systems will be required to implement the safety plans. The development and implementation of safety plans will help ensure that public transportation systems are safe nationwide.

DATES: The effective date of this rule is July 19, 2019. FTA's Office of Transit Safety and Oversight (TSO) will host a series of webinars to discuss the requirements of the Public Transportation Agency Safety Plan (PTASP) final rule. The first two webinars will be held at 2 p.m. on Wednesday, July 25, 2018 and Tuesday, July 31, 2018.

ADDRESSES: To register for webinars and for information about future webinars, please visit <https://www.transit.dot.gov/about/events>.

FTA is committed to providing equal access for all webinar participants. If you need alternative formats, options, or services, contact FTA-Knowledge@dot.gov at least three business days prior to the event. If you have any questions, please email FTA-Knowledge@dot.gov.

FOR FURTHER INFORMATION CONTACT: For general information, contact PTASP@QA@dot.gov. For program matters, contact Adrienne Malasky, Office of Transit Safety and Oversight, (202) 366-1783 or Adrienne.Malasky@dot.gov. For legal matters, contact Michael Culotta, Office of Chief Counsel, (212) 668-2170 or Michael.Culotta@dot.gov. Office hours are from 8:30 a.m. to 5:00 p.m., Monday through Friday, except Federal holidays.

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I. Executive Summary
A. Purpose of Regulatory Action
The public transportation industry remains among the safest surface transportation modes in terms of total and reported safety events, fatalities, and injuries.¹ Nonetheless, given public

¹ See United States Department of Transportation, Bureau of Transportation Statistics, "Table 2-1: Transportation Fatalities by Mode 1960-2016," at https://www.bts.gov/archive/publications/national-transportation-statistics/table_02_01_and_table

49 CFR Part 673: Public Transportation Agency Safety Plan (PTASP), 2018

From SSPP to PTASP standard.

49 CFR Part 673.11 – Safety Plans General Requirements

1. Safety activities will be documented in a Public Transportation Agency Safety Plan (PTASP) document
2. PTASP will be signed off by the Accountable Executive (AE), and approved by the Board of Directors or equivalent
3. PTASP will include performance measures established by the National Public Transportation Safety Plan (NPTSP)
4. A timeline for annual review and update of the PTASP

FTA set a deadline of 7/20/2020. Due to the Covid-19 pandemic, enforcement of this deadline has been deferred until 12/31/2020.

FTA Enforcement of PTASP Final Rule

1. FTA may issue restrictions or prohibitions on operations due to a substantial risk of death or personal injury as a result of unsafe conditions and/or practices.
2. FTA will have explicit authority to issue nationwide safety directives and prohibit/restrict operations.
3. FTA will require the National Public Transportation Safety Plan to include minimum safety standards (other than vehicle performance standards).
4. FTA will be required to conduct a review of public transportation safety standards and protocols, and issue a report with recommendations and actions to improve the safety of the public transportation industry.

What is an SMS?

- ❑ Formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation.
- ❑ Safety roles and responsibilities identified
- ❑ Includes systematic procedures, practices, and policies for managing risks and hazards that help –
 - *Control risk better*
 - *Detect and correct safety problems earlier*
 - *Share and analyze safety data more effectively*
 - *Measure safety performance more carefully*

PTASP Rule Applicability

Who Needs a PTASP?

- ✓ **Rail Operators**, as previously required by the State Safety Oversight Rule
- ✓ **Urban Bus Operators** receiving Federal funds under Section 5307 – Urbanized Area Formula Grants

Who Currently *Does Not* Need a PTASP?

- ✓ **Rural Transit Operators** receiving Federal funds under Section 5111 – Formula Grants for Rural Areas
- ✓ **Human Services Transportation Operators** receiving Federal funds under Section 5310
- ✓ **Urban Bus Operators** receiving Federal funds under any grant program, such as Section 5339 – Bus and Bus Facilities that *do not* receive Section 5307 funds

GDOT's Role in Safety Management

FTA's PTASP Final Rule states:

“Small public transportation providers may opt to have their plans drafted by the State in which they operate.”

In this case, a “small public transportation provider”:

- Is a recipient or subrecipient of Section 5307 funds;
- Operates less than 100 vehicles in maximum service; and
- Does not operate a rail fixed guideway public transportation system.

Agencies that are direct recipients of Section 5307 funds may still qualify as “small public transportation providers” and are thus eligible to have their plans drafted by GDOT.

49 CFR Part 673.21 – Safety Management Systems General Requirements

“A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements.”

Section 673.23



Safety
Management
Policy

Section 673.25



Safety Risk
Management

Section 673.27



Safety
Assurance

Section 673.29



Safety
Promotion

The Four Pillars

4 Pillars of Safety Management

1. **Safety Management Policy** • Delineates management and employee responsibilities for safety • Ensures highest level of management is actively engaged in safety oversight
2. **Safety Risk Management** • Identifies and evaluates safety risks • Develops safety risk mitigations to minimize the exposure of the public, personnel, and property
3. **Safety Assurance** • Monitors effectiveness of safety risk mitigations • Assures potential impacts to safety are considered when changes take place • Monitors safety performance
4. **Safety Promotion** • Includes safety awareness training & communication • Ensures agency-wide communication of safety information. • Creates a positive safety culture

Safety Performance Monitoring



- Focused on current agency processes and activities
- Are there plans and procedures for actions (formal, informal)?
- Are outcomes matching expectations?
- How does a system, personnel, infrastructure or other change alter your goals, expectations, assumptions?
- What systems (formal, informal, comprehensive, simple) do you have in place that test performance?
- Monitor goals, targets via investigations, reporting systems, other data inputs.

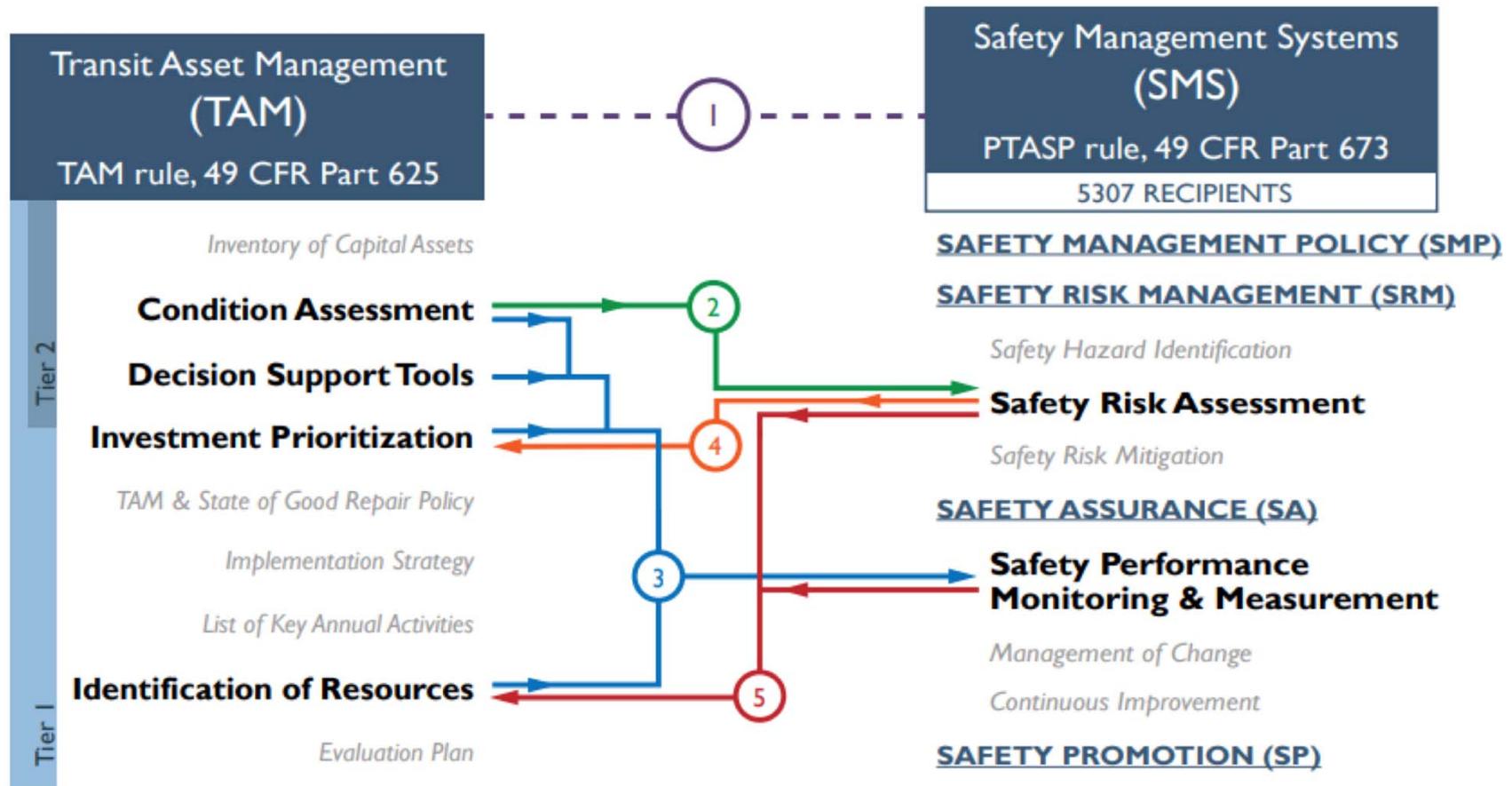
Updating the Plan:

Your Adopted PTASP and Plans, Policies, and Procedures

- Annual review and update, certification
- Systems shall maintain and append all documents included by reference or inference
- Systems shall maintain these documents a minimum of 3 years after created
- Documents must be available upon request



TAM & SMS Interplay

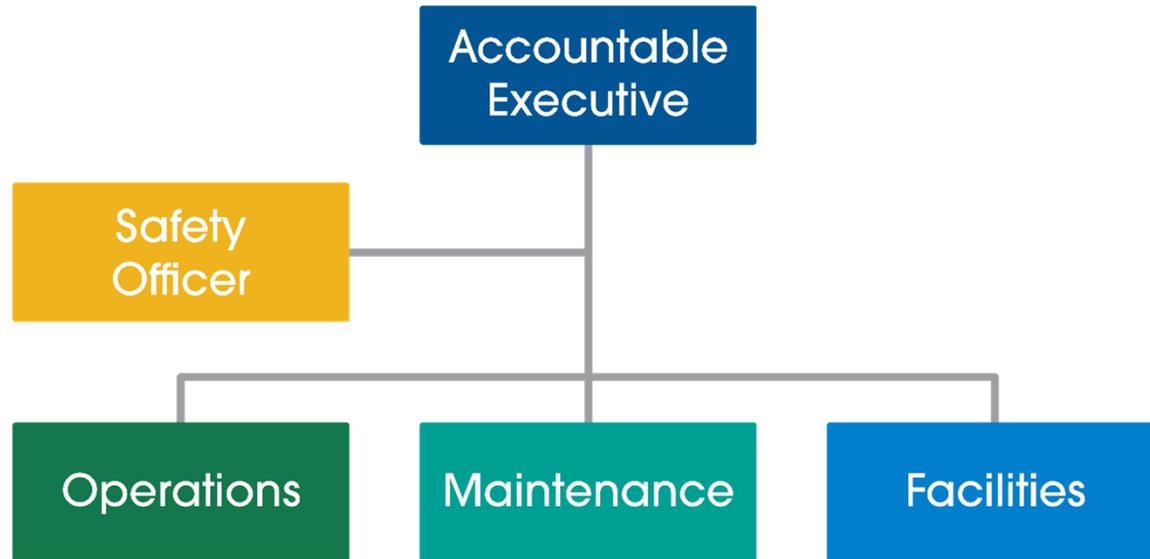


Continued Considerations

- ✓ **Your existing operations and how they apply to:**
 - ✓ Risk Management
 - ✓ Data Collection
 - ✓ Safety Assurance activities
 - ✓ Employee Hazard communications

- ✓ **What your Performance Targets are for:**
 - ✓ Injuries
 - ✓ Fatalities
 - ✓ Safety Events
 - ✓ Mean Distance Between Major Failures

Your Executive Safety Committee



- **Periodic group update** of key departmental activities and performance
- Discuss and raise **safety issues**
- Discuss **safety initiatives and programs** (e.g. TAM, Employee Safety Program reporting SOP, updating SMS)
- **Data needs** and analysis
- Promotes interdepartmental transparency, **coordination**, high-level forum to raise/settle issues

Employee Safety Considerations

Your PTASP:

- Describes the process to report safety conditions to a senior manager, HR, etc.
- Describes behaviors that may result in disciplinary actions.
- Provides protections for employees who report.

Your Accountable Executive:

- Must inform employees of steps taken in response to issues.
- Must ensure communication of the PTASP throughout organization.



PTASP FTA Resource Links

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

Links

- [PTASP Technical Assistance Center](#)
- [PTASP TAC Updates- Week of August 3](#)
- [Agency Safety Plan Lessons Learned](#)
- [Sample List of Documented Safety Risk Management and Safety Assurance Process Elements](#)
- [PTASP Community of Practice](#)