




U.S. Department of Transportation  
Federal Transit Administration

## Federal Transit Administration (FTA) Notice of Proposed Rulemaking Public Transportation Agency Safety Plan


FTSN Quarterly Meeting  
Thursday, March 3, 2016



OFFICE OF FREIGHT, LOGISTICS & PASSENGER OPERATIONS

## Public Transportation Agency Safety Plan

- Applicability
- FTA Policy Statement
- Definitions
- General Requirements
- SMS Pillars
- Comment Period/Docket
- Implications for Florida



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## Applicability

- Any state, local governmental authority, and any other operator of a public transportation system that receives Federal financial assistance under 49 USC Chapter 53.
- Example 5307, 5311, and in some cases 5310 agencies (5310 who operate open door services)



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## FTA Policy Statement

- SMS is the basis – the standard - for enhancing the safety of public transportation in the US
- PTASPs must be responsive to FTA's safety program defined in legislation and National Public Transportation Safety Plan
- SMS principles and methods tailored to the size, complexity, and scope of the system and operating environment



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## Definitions

- Accountable Executive – single, identifiable person responsible and accountable for implementation and maintenance of the SMS for the agency
- Chief Safety Officer – adequately trained individual responsible for safety who reports directly to the CEO, GM, president or equivalent officer – with no other operations/maintenance capacities (small agency exception)



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## General Requirements

- Plan must be in place within one year following the publication of final rule
- Plan and subsequent updates must be signed by Accountable Executive and approved by Board of Directors (or equivalent – see definitions)
- Must document the processes and activities related to SMS implementation



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## General Requirements

- Must include performance targets based on safety performance criteria established by FTA in the National Public Transportation Safety Plan AND State of Good Repair standards included in the regulations implementing the National Transit Asset Management System



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## General Requirements

- Within one year of rule - each transit agency (or state) must certify that it has established a PTASP
- On an annual basis, must recertify
- Certification will be performed through annual Certifications and Assurances process



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## **Safety Management System Pillars – Central to PTASP**

- Must establish and implement SMS
- Must be appropriately scaled to size, scope, complexity
- Must include the following elements/pillars:
  - Safety Management Policy
  - Safety Risk Management
  - Safety Assurance
  - Safety Promotion



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## **SMS – Safety Management Policy**

- Specifically identify Accountable Executive and Chief Safety Officer (or SMS Executive for small agencies)
- Demonstrate organizational accountabilities and responsibilities
- Describe organizational structure – and KEY staff responsible for plan implementation
- Describe how the agency will manage SMS



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## SMS – Safety Management Policy

- Identify specific safety objectives
- Reference performance targets for those objectives
- Include process to allow employee reporting of safety conditions to senior management – including protections for those employees
- Identify and execute communication of SMS Safety Management Policy and make available to all agency employees and contractors



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## SMS – Safety Risk Management

- Describe process that the agency will use to manage safety risk, including:
  - Identification of hazards
  - Analysis of hazards
  - Evaluation of safety risk
  - Mitigation of risk
- Process must be conducted in all elements of system performance
  - Design/re-design of the system
  - System expansions
  - New service
  - Operating and maintenance procedural or organizational changes



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## SMS – Safety Risk Management

- Develop and describe measures to ensure safety principles, requirements, and appropriate agency representatives are included in transit agency procurement processes
- Perform asset condition assessments and SMS hazard analyses to ensure compliance with State of Good Repair standards



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## SMS – Safety Risk Management

- Hazard identification and analysis
  - All aspects of the system
  - Must include sources and process for identifying hazards – may include:
    - Various event logs/databases, risk analyses methods, and method and criteria for establishing mitigation measures
    - Internal safety focus groups
    - Safety trend reviews
    - Direct discussions with transit operators, maintenance technicians, others

These activities must be specifically discussed and documentation of activities must be maintained.



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## SMS – Safety Risk Management

- Hazard identification and analysis
  - Data centric component – internal data and NTD or other sources
  - Delineate activities that will be conducted to evaluate and prioritize risk – based on probability and severity



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## SMS – Safety Assurance

- Safety performance monitoring and measurement
- Annual review of safety risk mitigation measures
- Identify data and information that will be gathered/used to track the effectiveness of the agency's SMS
- Describe investigation of safety events
- Describe investigation of non-compliance reports – internal/external
- Describe how issues identified through employee safety reporting will be monitored



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## SMS – Safety Assurance

- Describe process used for identifying and assessing changes in the system that may result in or introduce new hazards or otherwise impact safety performance
- Describe process used to regularly assess safety performance
- Describe the process that will be used to address identified deficiencies



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## SMS – Safety Promotion

- Must establish competencies and training for all agency employees directly responsible for management of safety.
- Must include a comprehensive safety training program
- Must include refresher training
- Must include training on agency policies, activities, and procedures related to their roles and SM responsibilities
- NPRM does not prescribe specific curriculum/content/source



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## SMS – Safety Promotion

- Must establish communication methods to ensure information on hazards and safety risks related to employee roles and responsibilities are effectively disseminated
  - Actions that are taken in response to reports submitted through employee reporting system
  - Reasons why new policies, procedures, and activities have been introduced (generally will be the result of activities conducted under Safety Risk Management or Safety Assurance programs)



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## PTASP – Documentation and Recordkeeping

- Document and maintain all analyses, results from SMS processes and activities
- Reviews, investigations, audits – maintain and have available to FTA or other oversight agencies
- Records of employee safety training
- Any other documentation that allowed the agency to determine how well it has met safety objectives and performance targets
- Documents must be maintained and available for three years



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## PTASP – Oversight

- Must certify each year through Certifications and Assurances process
- Will be reviewed through FTA Triennial Review Process (and for states through State Management Review Process)



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## FTA Resources

- Templates will be developed
- Guidance available
- Other tools
- Technical assistance to support SMS implementation
- Webinars conducted – see FTSN or FTA site for schedule



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## NPRM - Comments

- Due on or before April 5, 2016
- Docket is available via FTSN, FTA, or GPO websites:
  - <http://www.floridatsn.org/?s=nprm>
  - [http://www.fta.dot.gov/legislation\\_law/federal\\_register\\_notices.php](http://www.fta.dot.gov/legislation_law/federal_register_notices.php)
  - <https://www.gpo.gov/fdsys/pkg/FR-2016-02-05/pdf/2016-02017.pdf>



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## Implications for Florida Transit Bus Agencies

- Expanded requirements for Safety Risk Management and Safety Assurance-related activities and description of those activities
- Training
- Qualification of drivers
- MECs
- Chapter 14-90 modification process?

