MTAP's 2019 Technical Initiatives Forum
Friday, July 26, 2019
2:00PM Eastern

Topic:

State DOTs & Agency Safety Plans (PTASP)

Forum Agenda:

1. **Instructions and Introductions** - Richard Price, Associate Program Manager, Transit Policy and Technical Assistance

2. **Topic Overview & Background**
   ➢ Moderator: Don Chartock, Vice Chair, MTAP; Washington State Department of Transportation

3. **State DOTs Moving Forward on Public Transportation Agency Safety Plans (PTASP)**
   ➢ Presentations from:
     o Marsha Hoskins, Oregon Department of Transportation
     o Brittany White, Indiana Department of Transportation
     o Mike Pouliot, New Hampshire Department of Transportation

4. **Online Poll**

5. **Discussion Question**

   ➢ What challenges are you experiencing with developing agency safety plans for your smaller systems (e.g. agencies with 10 or less vehicles) versus larger systems?

6. **Q&A with Federal Transit Administration**
   ➢ Candace Key, Director for System Safety

7. **Wrap Up**

Webinar Agenda

- **State DOTs Moving Forward on Public Transportation Agency Safety Plans (PTASP)**
  - Marsha Hoskins, Oregon Department of Transportation
  - Brittany White, Indiana Department of Transportation
  - Mike Pouliot, New Hampshire Department of Transportation
- **Online Poll**
- **Discussion Question**
  - What challenges are you experiencing with developing agency safety plans for your smaller systems (e.g. agencies with 10 or less vehicles) versus larger systems?
- **Q&A with Federal Transit Administration**
  - Candace Key, Director for System Safety
- **Wrap Up**

Public Transportation Agency Safety Plans

How Oregon is handling the new PTASP requirement.

MTAP Technical Initiative Forum

Presented by: Marsha Hoskins, ODOT Public Transportation Manager

July 26, 2019

Decisions:

One plan for all or separate plans?	Use staff or consultant to write plans?	How to fund plans?

Decision 1

One plan for all or **separate plans**?

- ODOT decided on a plan for each §5307 recipient agency
  - Easier to understand and use
  - Easier to update
  - Easier to determine cost of each plan

Decision 2

Internal staff or **outsourced consultant**?

- ODOT staff lacks experience
- ODOT staff already stretched
- Project fits into existing consultant contract; only needed to amend for cost
- Consultant has national experience writing PTASPs

Decision 3

How to fund the plans?

- Eligible FTA funding sources:
    - §5303: Metropolitan Planning
    - §5304: Statewide Planning
    - §5307: Urbanized Area Formula Grants

Decision 3

How to fund the plans? (cont'd)

- Looked first at §5303
  - Some MPOs objected because it reduced their allocations
- Looked at §5307
  - ODOT doesn't currently receive §5307
  - Not clear if §5307 agencies could be compelled to pay
  - FTA directed need for existing §5307 recipients to approve State receipt of funds
- **Looked at §5304**
  - Match for §5304 paid from state funds
  - Essentially eliminates any rural planning projects for 2019-21

Other Considerations

- PTASPs
  - Link into goals in Oregon Public Transportation Plan
  - Included on Public Transit's Technical Resource Center website:
  - https://www.oregon.gov/ODOT/RPTD/Pages/Technical-Resource-Center.aspx
  - Help inform Coordinated Plans, Transit Development Plans, Transportation System Plans:
  - https://www.oregon.gov/ODOT/Planning/Pages/OR-Plan.aspx

Current Status

- Consultant is working with seven §5307 agencies
- Preliminary work via phone and email completed
- Onsite visits in progress
- On target for completion of all plans by October 31, 2019

For further information contact

Marsha Hoskins, ODOT Public Transportation Manager

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Thank you.

Indiana DOT's
Public Transportation Agency Safety Plan

Presented by Brittany White,

Intercity Program Manager

Indiana DOT Office of Transit

BrWhite@indot.IN.gov

NextLevel INDIANA

Indiana PTASP Overview

- Indiana has 18 transit systems subject to final rule 49 C.F.R. Part 673
  - Two have opted to draft and certify without INDOT assistance
- INDOT providing technical assistance
  - Working with Kelly Shawn, RLS Associates
- Early and consistent communication

NextLevel
INDIANA

Indiana PTASP Overview

- May – Email Introduction
  - Asked 18 systems to answer 3 questions
    - Does your agency plan to opt to draft and certify your own plan?
    - Is your agency currently implementing FTA's Safety Management System (SMS)?
    - Had your agency designated an Accountable Executive and Safety Officer?

- July – Conference Call
  - Transit Systems and MPOs participated
  - RLS Associates gave high level overview of the PTASP template
  - Provided additional resources: FTA template, webinars and link to upcoming workshop

Indiana PTASP Overview

- September 10
  - In depth training over FTA's PTASP template
    - Available in person in Columbus, IN or via webinar
    - Led by Kelly Shawn, RLS Associates
- Fall/Winter
  - Monthly Q&A calls
  - In person meetings at transit agencies if necessary

Indiana PTASP Overview

- March 31, 2020
  - Drafts due to INDOT
  - This allows time for review and revisions if necessary
- July 2020
  - Final certification

July '19
- Intro conference call
- Led by Larry Buckel, INDOT and Kelly Shawn, RLS

Aug
- FTA workshop in Chicago

Sept
- Training in Columbus, IN
- Webinar also available

Oct-Feb
- Bimonthly (or monthly if needed) conference calls

Mar
- Drafts submitted to the state for review

July '20
- Certification complete

NextLevel INDIANA

NHDOT
Bureau of Rail & Transit

Public Transportation Agency Safety Plan Update

July 26, 2019

Presented by Fred Butler, Public Transportation Administrator and Mike Pouliot, Transportation Specialist

NH 5307 Agencies

- Seven bus agencies – no rail
- All small systems
- Two provide commuter service between Southern NH and Boston
- Five are local transit systems
- All local transit systems are direct recipients of FTA 5307 funds
- NHDOT is drafting the ASP for six agencies, one local agency has opted out and will draft its own.

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Resources

- PTASP Website
- PTASP Webinar Series
- Transportation Safety Institute training courses
- MIL-STD-882E (DOD)
- Safety Management Systems for Airports (Volume 1 & 2) (ACRP)
- FAA SMS Implementation Guide

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Resources (cont.)

- Lessons Learned from Airport Safety Management Systems Pilot Studies (ACRP Synthesis 37)
- Airport SMS Manuals

Where We're At

- Transit Agencies have designated a Chief Safety Officer and Accountable Executive (NHDOT Form)

- Chief Safety Officers have taken the SMS Awareness Course offered by the National Transportation Institute

- About 30% complete with our draft ASP with the intent of introducing it to the agencies in the August/September timeframe (using FTA template as a guide)

Safety Performance Targets

Reference documents:

- 49 CFR Part 673
- National Public Transportation Safety Plan
- Bus Transit Safety Data 2008-2016
- NTD Safety & Security Reporting Manual

Definitions in each do not always correspond to the same thing.

Safety Performance Targets

NTD	PTASP
Fatality	Accident
Injury (Bus)	Incident
Property Damage	Occurrence

- Need to ensure we clearly define goals and objectives to all levels of agency staff.

- Injuries may need to split into two or more performance targets.

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Safety Management Policy

- Policy Statement – the policy statement in the National Public Transportation Safety Plan is a good starting point

- Authorities, Accountabilities, and Responsibilities for the AE and CSO are well articulated by the FTA

- Agencies will need to identify other agency leadership and key staff and delineate their responsibilities under their ASP.

Employee Safety Reporting Program

- FTA allows a wide latitude of options for a reporting program

- Reporting Program must include a description of behaviors that are unacceptable and what is reportable.

- Airport SMS Manuals have provided some good examples

Employee Reporting Policy

(Transit agency's) has a policy that ensures employees who report safety hazards, occurrences, incidents or accidents will not be subject to disciplinary action with a few exceptions such as the following (which could create or worsen risk exposures):

- Premeditated or intentional acts of violence against people or damage to equipment/property;
- Actions or decisions involving material negligence which, in the (Transit Agency's) judgment, no reasonably prudent employee of relevant training and experience would take; or
- Failure to report safety incident or risk exposures as required by this Safety Plan's procedures and policies.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. An employee's compliance with reporting requirements will be a factor to be weighed in (Transit Agency's) decision-making in such circumstances. Outside theses specific and rarely invoked exceptions, employees who make honest mistakes or misjudgments will not be subject to blame-provided that they report such incidents in a proper fashion.

Source: Concord (NC) Regional Airport SMS Manual

Safety Risk Management

- MIL-STD-882E (DOD) is a good resource for Safety Risk Assessment & Safety Risk Management

- Airport SMS Manuals also have good examples of SRM processes

- Our approach will be for the transit agency to establish a SMS Committee

SMS Committee Responsibilities

- Ensuring SMS processes are followed and appropriately documented
- Risk assessment, accident/incident investigation, and determining the root cause of all safety events
- Assigning implementation of mitigations, corrective actions, and safety risk controls and providing follow-up

Safety Assurance

- Safety Assurance's primary task is control

- Control is conducted by monitoring and measuring the outcomes of activities that personnel must engage in for the delivery of services

- Safety Assurance establishes a process of permanent examination, analysis and assessment of these controls throughout the daily operation of the agency

- Achieved through safety performance monitoring and measurement

- Agencies are all performing some degree of Safety Assurance

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SMS Implementation

- Need to provide our transit agencies with a SMS Implementation Plan at the same time as the draft ASP

- FTA has addressed the need for SMS Implementation Plan in general terms and expect more specific details to follow as a result of the PTASP pilot programs

- Other resources we have used:
  - FAA SMS Implementation Guide – very detailed step by step process with checklists, activities, expectations and a phased approach to a fully functioning SMS
  - Lessons Learned from Airport Safety Management Systems Pilot Studies – good summary of what worked and did not with some interesting comments

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SMS Implementation

- Gap Analysis
  - Identify the processes already existing at the transit agency and compare what the agency has against the elements of SMS and identify what needs to be done to make the two match or to fill in the gaps
- Existing agency personnel and functions that should fit within the SMS framework include:
  - Safety Officer
  - Safety Committee
  - Hazard Identification
  - Risk Mitigation
  - Accident/Incident Investigation
  - Safety Performance Monitoring
  - Safety Training

SMS Implementation

- Phase 1
    - Establish the agency's Safety Policy
    - Convey safety performance targets, goals, and objectives to all employees
    - Identify key personnel and their responsibilities
    - Complete a gap analysis
    - Complete SMS training for all employees

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SMS Implementation

- Phase 2
  - Develop safety information management and analysis processes
  - Identify, analyze and assess known hazards
  - Design and implement risk mitigations/controls
  - Develop safety assurance processes for safety performance monitoring and measurement
  - Develop employee safety reporting system
  - Additional SMS training for all or specific employees as appropriate

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What % of applicable 5307 systems have decided to opt out of your PTASP plans?

75% to 100%	(≈30%)
50% to 74%	(≈5%)
25% to 49%	(≈5%)
0% to 24%	(≈60%)

Percent
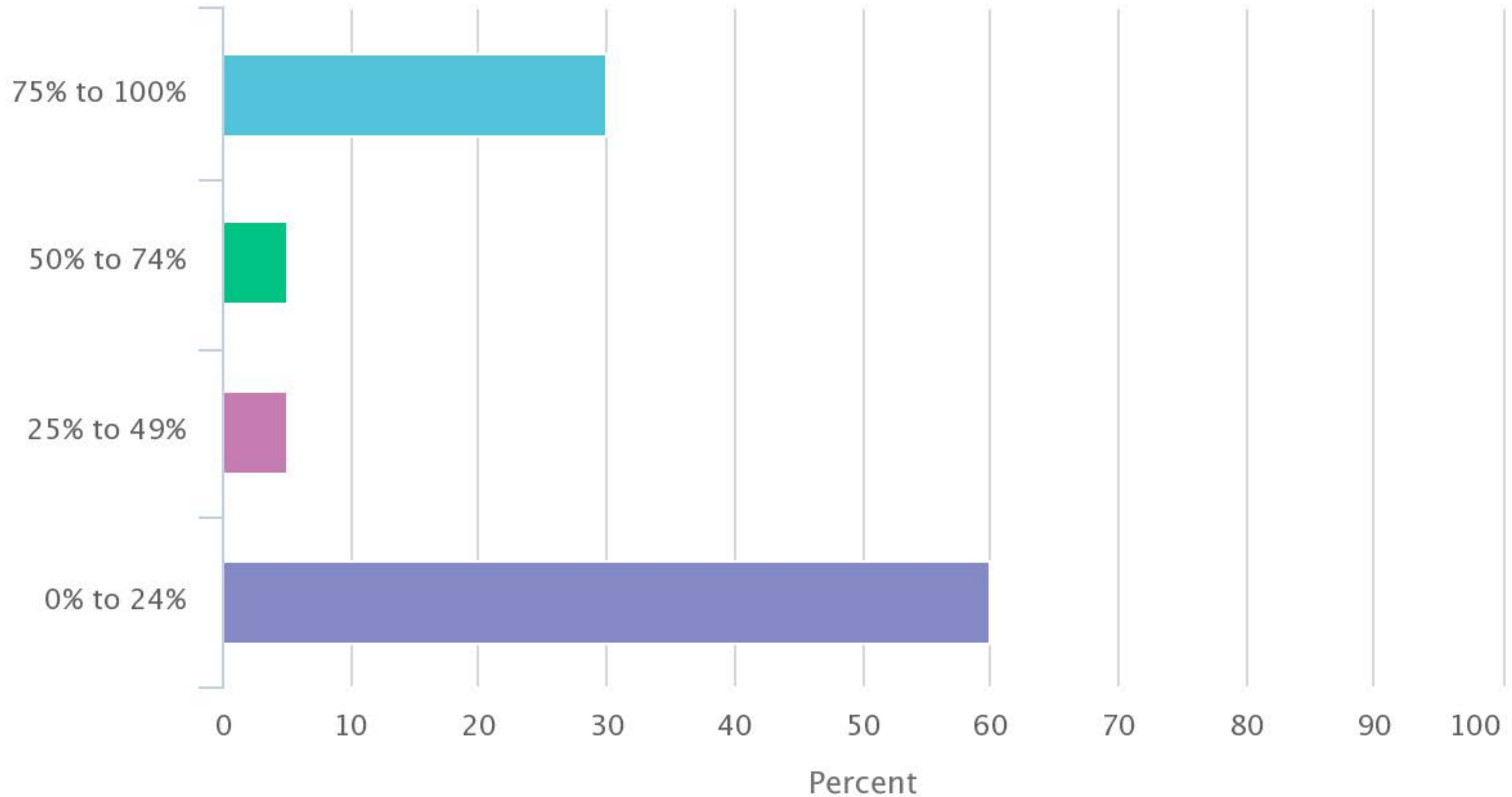
Is your State planning to oversee annual updates to the PTASP plans?

Yes! We will oversee annual updates for applicable systems.

Yes! But only for those who opt-in

No! Systems will update their plans. We will certify them.

Percent
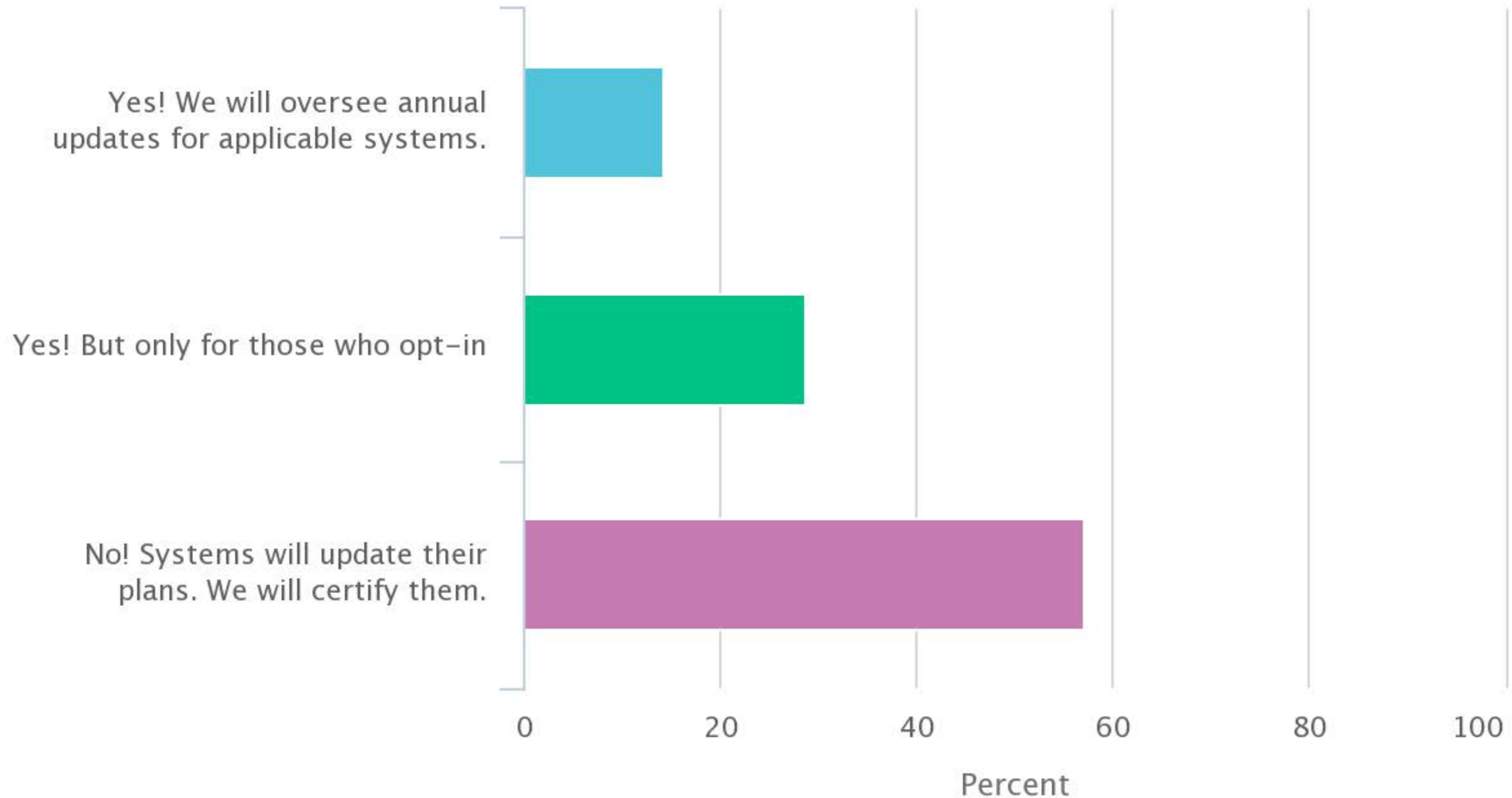
If you are developing PTASP plans for some or all applicable systems, are the plans customized to systems approach to safety?
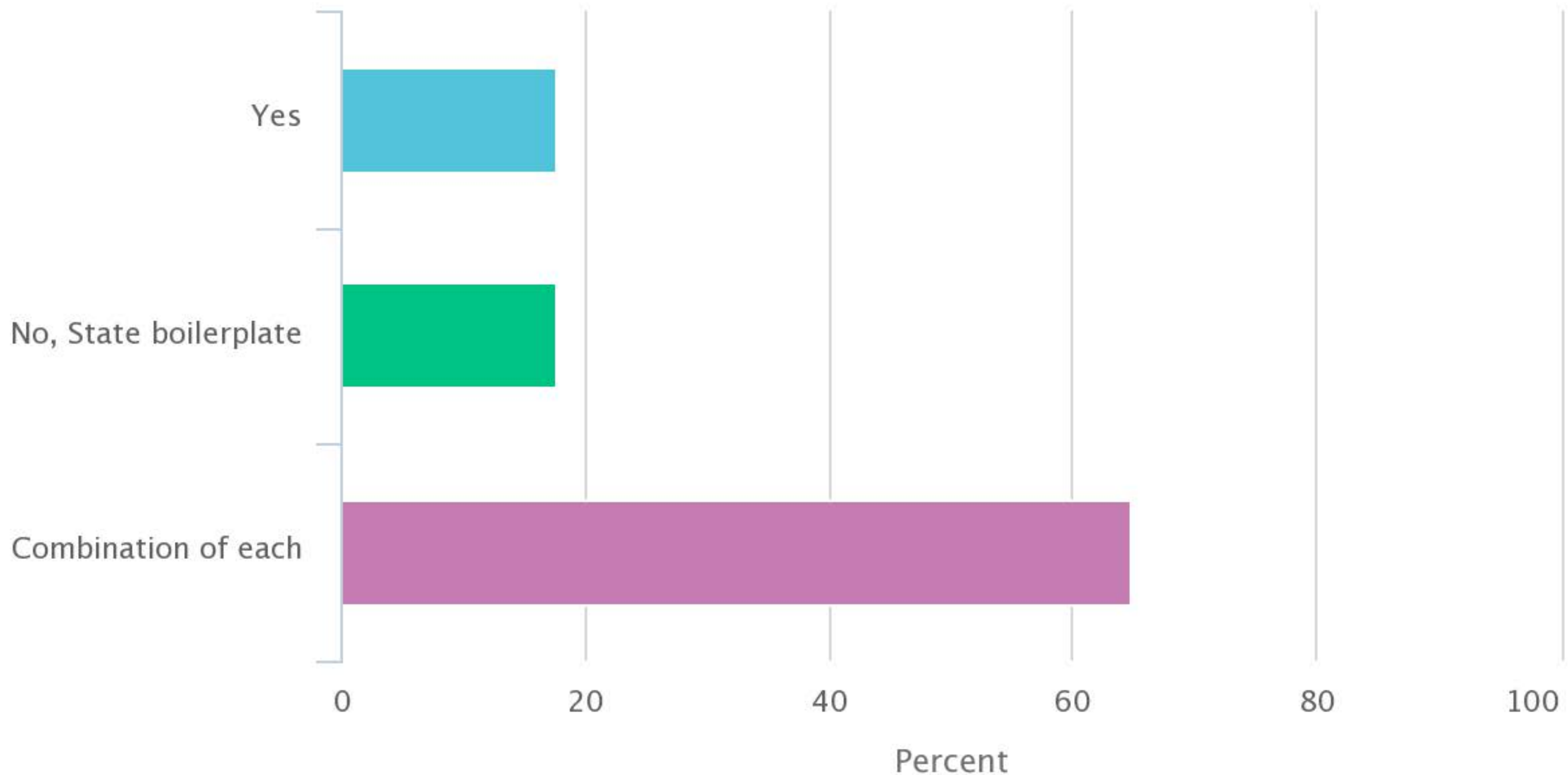
Have you provided training to applicable systems on Safety Management Systems (SMS) and PTASP?

- Yes! We made training available to all applicable systems
- No! Not yet. But we will be provide training.
- No. We will not provide training

Percent
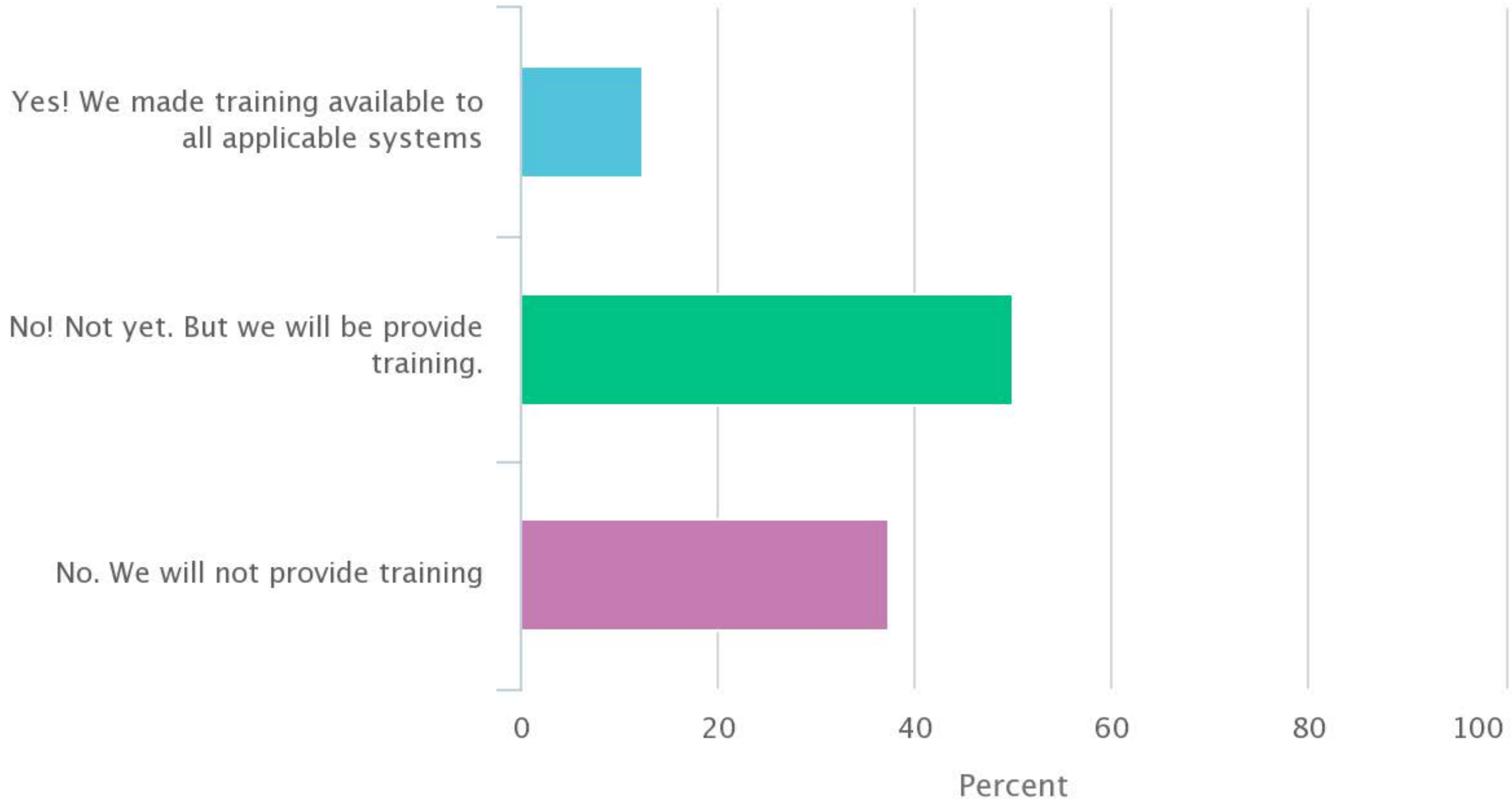
Will you provide additional safety oversight to applicable systems as a result of the PTASP rule?

Yes! We will provide it for all applicable systems.

Yes! We will provide it for those who opt-in.

No.

Percent
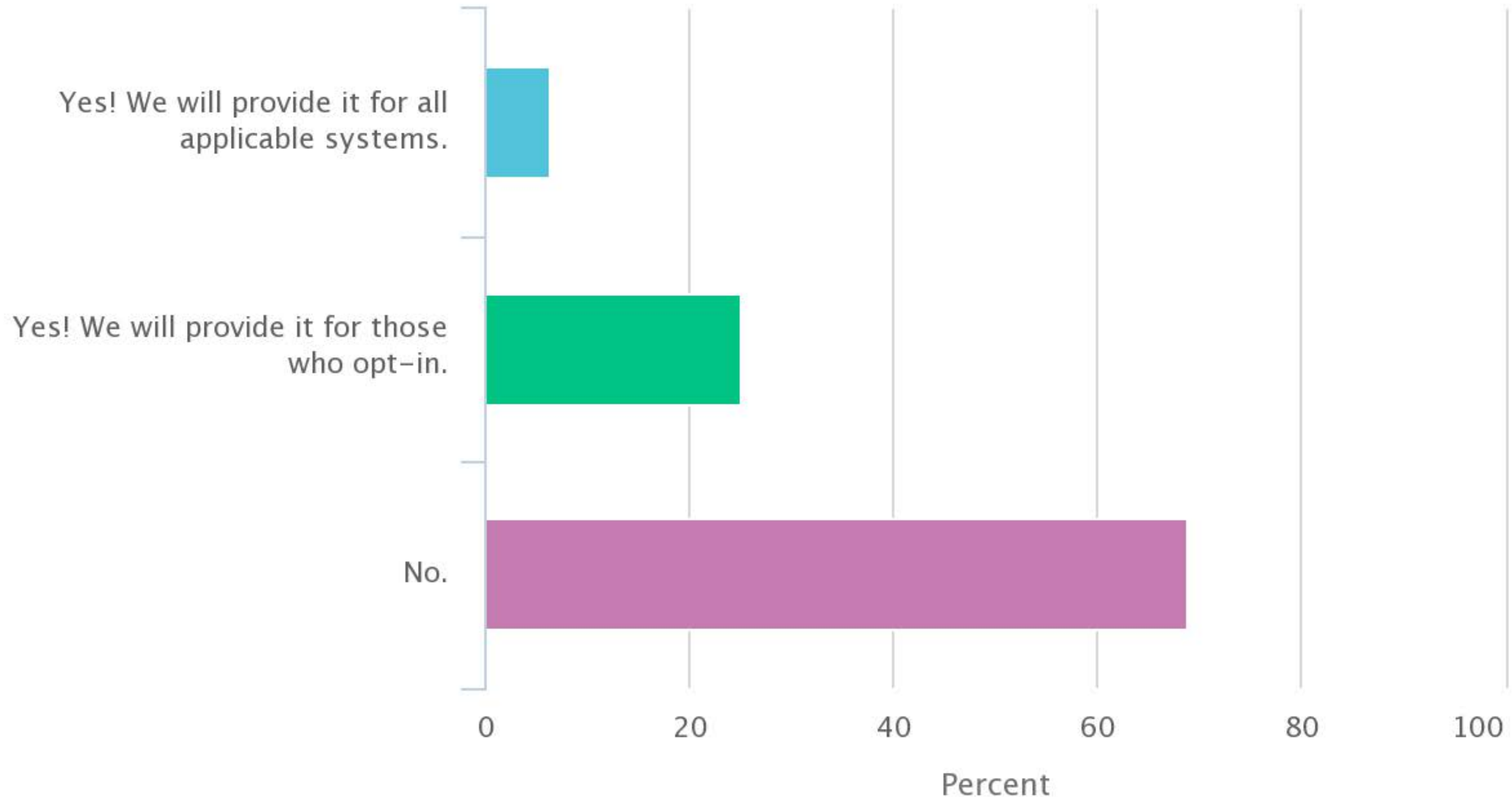
What funds are you using to develop PTASP plans for systems opting in?