



2020 MTAP Technical Initiatives Forum

Tuesday, November 17, 2020

1:00PM Eastern

Topic:

State DOT Check-In – Public Transportation Agency Safety Plan (PTASP) Development

Forum Agenda

1. Topic Overview & Background

- Moderator: Jennifer Debruhl, Vice Chair, MTAP; Virginia Department of Rail and Public Transportation

2. Update on PTASP Compliance - Federal Transit Administration

- Candace Key, Director, Office of System Safety

3. State DOTs Moving Forward on Public Transportation Agency Safety Plans (PTASP)

- Presentations from:
 - Nicholas Baldwin, Pennsylvania Department of Transportation
 - Brian Travis, California Department of Transportation
 - Joan (Joni) Roeseler, Missouri Department of Transportation

4. Discussion Question

- With the deadline for submitting Agency Safety Plans quickly approaching, what challenges are you still experiencing with finalizing your agency safety plans for your smaller transit systems (e.g. agencies with 10 or less vehicles) versus larger transit systems?

5. Wrap Up



FEDERAL TRANSIT ADMINISTRATION

Public Transportation Agency Safety Plan (PTASP) Implementation

Candace Key
FTA Office of Transit Safety and Oversight
November 17, 2020



U.S. Department of Transportation
Federal Transit Administration



Agenda

- Coronavirus Disease 2019 (COVID-19) impacts
- PTASP compliance status
- Available technical assistance
- Lessons learned for State DOTs

COVID-19 IMPACTS



FEDERAL TRANSIT ADMINISTRATION

COVID-19 Impacts

- Transit providers and State DOTs are experiencing **unprecedented challenges**:
 - Transit ridership has reached a plateau since July 2020 and remains down about **63 percent** nationally compared to a year ago
 - A recent APTA survey shows that without additional funding, **6 in 10 transit systems may need to reduce service and furlough employees in the coming months**
- On April 22, 2020, FTA extended its enforcement deadline for the PTASP regulation from **July 20, 2020 to December 31, 2020**

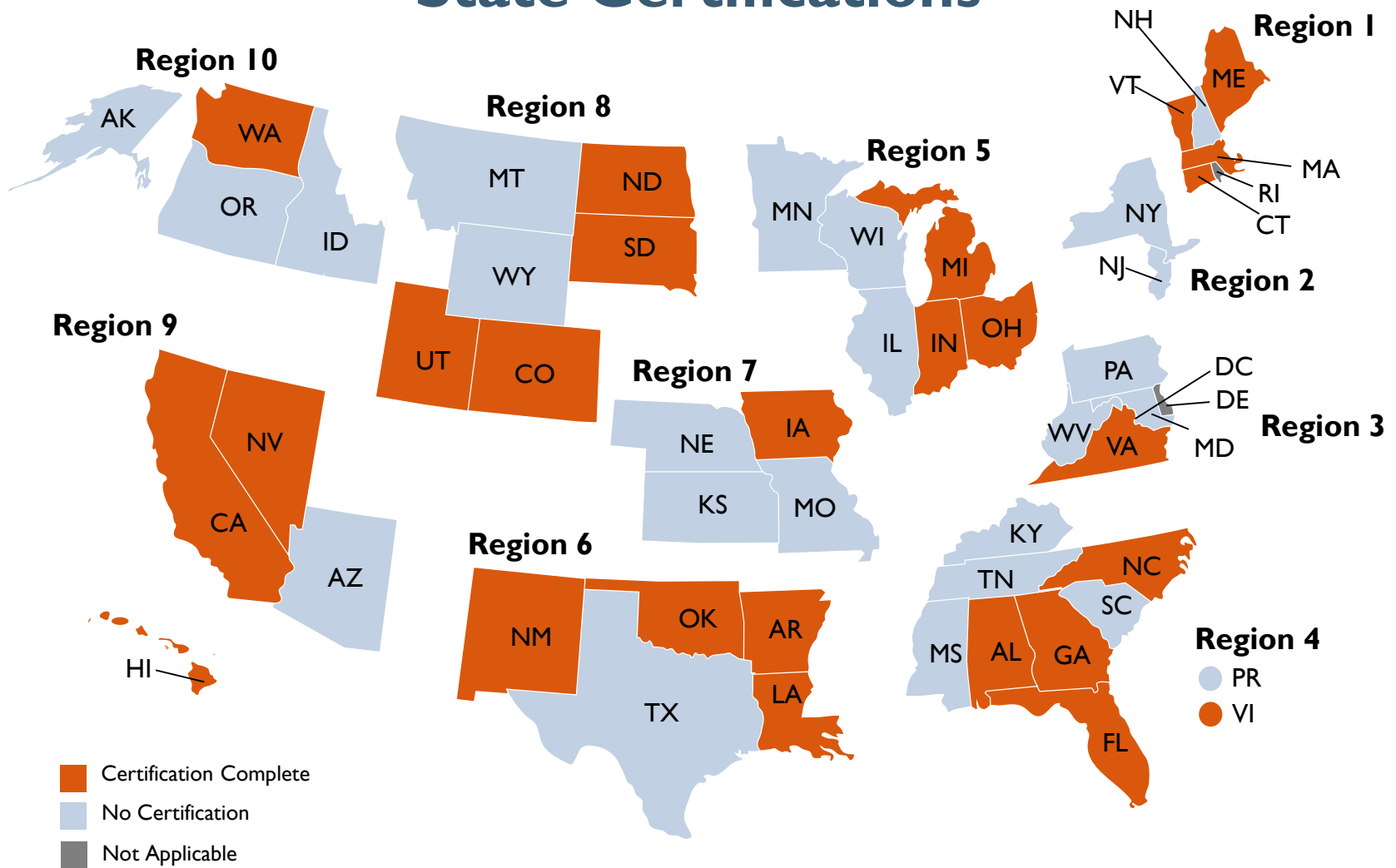
PTASP COMPLIANCE STATUS



Certification Status

- Despite challenges from COVID-19, States and transit providers **continue to make progress** towards compliance with the PTASP regulation
- As of November 12, 2020:
 - **61 percent** (433 of 705) of applicable transit providers have certified compliance with FTA's PTASP regulation
 - **47 percent** of State DOTs that are not also Section 5307 recipients (18 of 38) have certified compliance with FTA's PTASP regulation

State Certifications



- 26 of the 50 applicable States have completed PTASP certification (52%)

AVAILABLE TECHNICAL ASSISTANCE

FTA Technical Assistance

- FTA provides outreach and technical assistance to help States and transit agencies address PTASP requirements and overcome challenges
- To date, FTA has reached out to every State and transit provider that must implement the PTASP regulation through its PTASP Technical Assistance Center (TAC)

PTASP TAC

- Over the last year, FTA's PTASP TAC has become a trusted resource for assistance in addressing the PTASP regulation:
 - 40 webinars conducted with over 6,400 attendees
 - 61 guidance documents published, including templates, guides, and sample ASPs for differently sized agencies
 - Approximately 1,300 requests/questions resolved
 - 21 workshops provided with over 1,200 attendees
 - 20 biweekly updates published

Voluntary ASP Reviews

- FTA's PTASP TAC also offers transit agencies and State DOTs voluntary ASP reviews on an ongoing basis:
 - To date, the TAC has reviewed 12 voluntarily submitted State DOT-developed ASPs or ASP templates that represent over 130 individual transit agencies
- Lessons learned from these reviews are documented and shared with industry

LESSONS LEARNED FOR STATE DOTs

ASP Lessons Learned – Authorities and Activities

- Clarify authorities, accountabilities, and responsibilities for SMS (§ 673.23(d))
- Explain how the transit agency will carry out SMS requirements (§ 673.11(a)(2))
 - Safety Management Policy (§ 673.23)
 - Safety Risk Management (§ 673.25)
 - Safety Assurance (§ 673.27)
 - Safety Promotion (§ 673.29)

ASP Lessons Learned – Training, Communication and Definitions

- Describe training for all workers the transit agency designates as directly responsible for safety (§ 673.25(a))
- Describe the communication tools and processes the agency uses to ensure all workers receive safety information relevant to their jobs (§ 673.29(b))
- Ensure the processes described in the ASP reflect the definitions provided in § 673

ASP Lessons Learned – Coordination with Small Public Transportation Providers

- Some States with small public transportation providers decided to create and distribute an ASP template to those providers
 - These States are still responsible for developing a compliant ASP
 - These States may want to schedule in time for their review of the completed ASP

ASP Lessons Learned – Certification

- States with small public transportation providers must certify compliance with the PTASP regulation in TrAMS:
 - Even if all small public transit providers in the State opted to develop their own ASP
 - Only after small public transit providers have met all applicable requirements, including approval by Board or Equivalent Authority

Questions?

Candace Key
Director, Office of System Safety

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PTASP TAC Links and Contact Information



Technical Assistance Center

- www.transit.dot.gov/PTASP-TAC

PTASP Community of Practice

- www.transit.dot.gov/PTASP-COP

Frequently Asked Questions

- www.transit.dot.gov/PTASP-FAQs

		transit.dot.gov/PTASP-TAC
		1 - 877 - 827 - 7243
		PTASP-TAC@dot.gov
		PTASP Technical Assistance Center 943 Glenwood Station Lane, Suite 301 Charlottesville, VA 22901



Pennsylvania Department of Transportation Public Transportation Agency Safety Plan (PTASP) Development

Presentation to AASHTO

November 17, 2020

Nicholas Baldwin, Program Manager

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➤ Background

- Upon FTA's issuance of the PTASP Final Rule, the Department coordinated with the Pennsylvania Public Transportation Association (PPTA) Safety Committee to ascertain the state of the industry regarding safety.
 - Many agencies had System Safety Program Plans (SSPP), but most plans did not incorporate Safety Management Systems and performance targets, which are critical elements of the PTASP Final Rule.
 - Most SSPPs were relatively basic documents emphasizing the importance of safety, but using antiquated methodologies.

➤ Background (cont.)

- In consultation with the industry, it was determined that the Department would not be the appropriate entity to draft a statewide plan, but rather the industry would benefit most if each agency drafted its own plan using a PennDOT-provided template.
- To do so, each applicable agency wrote a letter to PennDOT indicating that they would draft and certify a compliant PTASP independently; however, much of each plan's development was conducted by PennDOT through our template program.

➤ Template Development – Initial Stage

- Department decided to develop a PTASP template in-house.
- Employees involved successfully completed several training courses provided by TSI and other industry-recognized training programs.

➤ Template Development – Analysis of Resources

- Documents collected and analyzed:
 - Agency SSPPs
 - *FTA's Public Transportation Agency Safety Plan Template for Bus Transit*
 - 49 CFR Part 673
- Determination made to use 49 CFR Part 673 as primary resource and structure of template.

➤ Template Development - Drafting

- Used PTASP Final Rule from Federal Register as much as possible to organize template.
- Borrowed language significantly and made changes mostly to ensure grammatical integrity.
- To clarify more complex concepts, language was taken from FTA's *Public Transportation Agency Safety Plan Template for Bus Transit – Reference Guide*.

➤ Template Development - Review

- The Department received technical assistance from Lebanon Transit to ensure language was appropriate to small urban transit providers.
- FTA's PTASP Technical Assistance Center was instrumental in providing value-added suggestions, which were incorporated into the template.

➤ Template Introduction

- Department offered a series of trainings to show agencies how to use the template and make it a value-added product for their operations.
- Months of one-on-one technical assistance.

➤ Challenges and Lessons Learned

- Challenges:
 - Ensuring understanding that SSPPs do not meet many requirements of PTASP Final Rule and Safety Management Systems.
 - Developing a document that meets all requirements and is still user friendly.
- Lessons Learned:
 - Getting agencies to start working early-on.
 - Added technical assistance for agencies that subcontract service—such PTASPs are more about subcontractor oversight.

> Questions?

- Contact:
 - Nicholas Baldwin, Program Manager
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Public Transportation Agency Safety Plan's

California MTAP Check-In

**Caltrans Division of Rail and Mass
Transportation**

Brian Travis

11/17/20

Discussion Topics

- ▶ Activities to date
- ▶ Snags along the way
- ▶ Status
- ▶ Current Issues
- ▶ Questions

Activities To Date

- ▶ Who - Which Agencies - 70
- ▶ Develop Workplan
- ▶ Develop Caltrans ASP
- ▶ Educate/Technical Assistance
- ▶ Plan Reviews
- ▶ Plan Certifications

Snags Along The Way

- ▶ Identifying Responsibility
- ▶ Identifying Small Providers
- ▶ COVID Complications
- ▶ Local Board Schedules

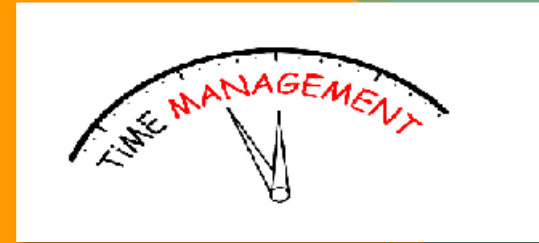
Status

- ▶ 49 Agencies have opted out
- ▶ 43 Opt-out letters on file
- ▶ 3 not sure if they are opting-out
- ▶ 18 using the State's Plan
- ▶ 28 Certified
- ▶ 29 going to Board/Council Nov/Dec
- ▶ 13 need status update

Current Issues

- ▶ Accountable Executive identified in ASP?
- ▶ Accountable Executive signature in ASP?
- ▶ Agency communication - COVID??
- ▶ Holidays

Current Efforts



- Last few opt-out letters
- Ongoing Technical Assistance
- Tracking certifications, and Safety Performance Targets coordination w/Caltrans and the MPOs.

Questions/Comments?

Thank you!

Contact Information

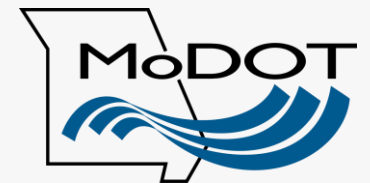
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PTASP

2020 UPDATE



Public Transportation Safety Plan

The PTASP rule became effective on July 19, 2019.

FTA published a Notice of Enforcement Discretion on April 22, 2020 effectively extending the PTASP compliance deadline from July 20, 2020 to December 31, 2020.

MoDOT Prep – Early in the Process

Participated in FTA Webinars

Attended Workshop in Atlanta – 2019

Missouri Public Transit Association MPTA Outreach

Outreach to Transit Agencies

Participated in MPTA PTASP Webinar Fall 2019

Participated in MoDOT Planning Partner Meetings

PTASP – Which Modes?

Bus Modes

Bus, Bus Rapid Transit, Commuter Bus, Demand Response, Demand Response Taxi, Publico, Trolley Bus, Vanpool

Rail Modes

Cable Car, Heavy Rail, Hybrid Rail, Inclined Plane, Light Rail, Monorail/Automated Guideway • Trolley Bus, Streetcar

Remember: Modes under the safety jurisdiction of FRA and U.S. Coast Guard, including commuter rail and ferries, don't count!

PTASP – Public Transit Agencies in Urbanized Areas that Receive FTA Section 5307 Funding

Bus Transit Providers peak hour requirement of at least 100 buses per mode

Bus Transit Providers with a peak hour requirement of less than 100 buses per mode – includes a state requirement

Rail Transit Providers any size or funding

FTA PTASP Requirements Vary by Mode and Transit Provider Type

Rail Transit Mode

Public transit – Under FTA State Safety Oversight Program – through the State Safety Oversight Agency (SSOA) in Missouri housed in the MO Rail Division (KC Streetcar, MetroLink, Loop Trolley) – split compliance manual to target system requirements

Includes an emergency preparedness and response plan (Section 673.11(a)(6))

Includes any additional requirements established by the State Safety Oversight Program or the State Safety Oversight Agency (SSOA)

FTA PTASP Requirements Vary by Mode and Transit Provider Type

Bus Transit Mode (>100 peak hour) – Public transportation – Provider is responsible for developing their PTASP plan

Transit Agency Certifies Compliance as part of the FTA Annual Certifications and Assurances

FTA will review compliance through Transit Triennial Reviews and other Oversight Processes

FTA PTASP Requirements Vary by Mode and Transit Provider Type

Small Bus Transit Mode (< or =100 peak hour) –
Public transportation – State DOTs are responsible for development of the plans, unless the entity opts out. However, the entity is responsible for adopting and implementing the plan.

Transit Agency Certifies Compliance as part of the FTA Annual Certifications and Assurances

FTA will review compliance through Transit Triennial Reviews and other Oversight Processes

Missouri Section 5307 Providers Peak Hour < 100 buses per Mode

Cape Girardeau County Transit Authority

City of Columbia – Go COMO Transit

Jefferson City – JEFFTRAN and Handi Wheels

Joplin – MAPS Transit

Southeast Missouri University – SEMO

Independence – IndeBus

Springfield – City Utilities

St. Joseph Transit

MoDOT Approach to PTASP Responsibilities

Contacted Agencies and Set Up Conference Calls – Fall of 2019 and Winter of 2020

Invited FTA PTASP Technical Assistance

Provided FTA Technical Assistance Items to Transit Agencies – Sample Small Bus Plan etc.

Finally used Contractor Support

Basic Plan Components

Identify Transit System Modes

Identify Key positions within the agency

Safety Performance Targets

Description of Target Coordination

Safety Management Policy Statement

Safety Management Policy Communication

Employee Safety Reporting System

Safety Risk Management Process

Safety Performance Monitoring and Management

Safety Promotion and Training

Target Setting

Data is Collected and Targets For the Following:

Fatalities and fatalities per 100,000 miles

Injuries and injuries per 100,000 miles

Safety events and safety events per 100,000 miles

System Reliability – miles between breakdowns

Challenges

All <100 peak hour entities are either direct or subrecipients of FTA funding – none thru MoDOT

Small Agency Staff – many roles are performed by 1 or 2 folks

Some entities were unclear on mode definition

Some had difficulty identifying data for target setting

PTASP Plan Status

All 5 plans developed

4 plans had Voluntary FTA PTASP Technical Review

Cape Girardeau – plan adopted by Transit Board

Cape Girardeau – Plan Sent to MPO

MoDOT to Complete Checklist

MPO Involvement

Transit Agencies are required to provide their targets to the MPO after their plans are approved

MPOs will integrate transit agency performance targets and performance plans into their planning documents, including the TIP

MPOs are required to reference the safety performance targets and Agency Safety Plans in their TIPs and MTPs updated or amended after July 20, 2021.

MoDOT FAST Act Monthly Planning Partner Webinar

Sample Agenda

MPOs, RPCs, and Arkansas, Illinois and Kansas DOT, FHWA, and FTA staff:
Ground Rules/ Purpose of Partner Webinars – Karen Miller, MoDOT

Performance Based Planning and Programming (PBPP) Requirements Status

- FHWA PMF (Performance Management Form) from Missouri, Arkansas, Kansas, Illinois, if available

Transit Updates – Joan Roeseler, MoDOT

- PTASP Overview

State Freight and Rail Plan Update – Cheryl Ball, MoDOT

MoDOT Safety Updates – Ray Shank, MoDOT

- MoDOT HSIP Implementation Plan
- FHWA Transportation Safety Workshop held on October 19 – follow up and next steps

Upcoming Events:

Questions? Contact

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Administrator of Transit

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Please join the movement:



www.modot.org/BuckleUpPhoneDown