Manual for the Standards Development Program

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Manual for Standards Development Program

Abstract: This manual describes the process of developing standards as part of the APTA Standards Development Program for all public transportation modes and related issues.

Scope and purpose: This manual defines the standardized processes and procedures for all standard development efforts under the APTA Standards Development Program. This document contains the operating procedures for approving a new document (standard, recommended practice, guideline, white paper, technical specification and/or educational training document), as well as procedures for revising, reaffirming and withdrawing documents. It defines the process for voting by a consensus body and conducting public and industry review of comments. It also details the responsibilities of APTA's Standards Policy & Planning Committee (SPPC) to approve or withdraw documents. As appropriate, samples of relevant forms, templates and illustrations have been provided to further define these operating procedures.

Compiled under the direction of the Standards Development Oversight Council (SDOC)
of the American Public Transportation Association (APTA)

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Introduction

This Manual for the Standards Development Program (hereafter referred to as "the manual") is developed, approved and maintained by the Standards Development Oversight Council (SDOC) of the American Public Transportation Association (APTA).

When the APTA Standards Development Program was first started in the late 1990s, each program—including bus transit, rail transit, safety and security, and procurement—had its own manual for developing and processing standards. This resulted in differing processes, bylaws and standards formats for each of these programs.

The intent of this document is to standardize processes for all standards development programs into a single manual. Some of the changes relate to the organizational structure of the standards program, the new standards format, defining the standards development process, etc.

APTA standards are developed by its working groups using a consensus-based process. With the exception of APTA staff advisers, members of these working groups are volunteers. They represent a consensus of broad expertise, including public transportation systems, builders, suppliers, labor and government representatives, and others within the industry.

APTA's member organizations and the SDOC do not assume any duties or responsibilities for users of this manual. By publishing this manual, APTA does not insure anyone using the information contained in the manual against any liability resulting from that use.

For purposes of discussion in this manual, the terminology "standard" shall be regarded as being inclusive of six different document types, as noted in Section 4.1.

Requests for official interpretations, comments or suggestions should be addressed to:

American Public Transportation Association
Standards Development Program
1300 I Street, NW, Suite 1200 East
Washington, DC 20005
Email: standards@apta.com

1. About APTA

APTA is a nonprofit international association of over 1,500 public and private sector member organizations, including public transit systems and commuter operators; planning, design, construction and finance firms; product and service providers; academic institutions; transit associations; and state departments of transportation. APTA members serve the public interest by providing safe, efficient and economical transit services and products. Over 90% of people using public transportation in the United States and Canada are served by APTA members.

1.1 Mission statement

To bring together the world's leading experts in public transportation to organize, develop, implement and maintain standards that lead to safer and more efficient operations, provide better methods of system procurement, lower maintenance costs, and encourage design and operation innovation.

APTA's mission is to:

- Serve and represent its members in making public transportation an effective path to economic opportunity, personal mobility and improving quality of life through partnerships, communication, technology and advocacy.
- Seek synergy and reduce redundancy among APTA's transit standards programs through the creation of a single unified organization representing all operating modes and technologies, whose primary purpose is to oversee and coordinate the development and promotion of standards in the public transportation industry.
- Make APTA's transit standards development programs a more attractive and effective investment for federal agencies, public transportation organizations and their suppliers.
- Communicate the benefits of standards to the public transportation industry. Increase the visibility and awareness of APTA's transit standards programs to gain full support, acceptance and use throughout the public transportation industry.
- Serve as the liaison to organizations outside APTA that develop standards of importance to the public transportation industry. Work with these organizations to establish priorities consistent with the interests of organizations and suppliers within the public transportation industry.

1.2 Antitrust policy

Federal antitrust laws prohibit contracts, combinations and conspiracies in restraint of trade. Sanctions for violating the antitrust laws include civil damages (including treble damages) and criminal fines and imprisonment. The policy of APTA and the APTA Standards Development Program is to strictly adhere to the antitrust laws.

Accordingly, standards are developed objectively for the legitimate noncompetitive purpose of promoting safe, secure and sustainable public transportation.

1.3 Disclaimer

Neither APTA nor any person or organization contributing to the preparation of this document makes any warranty, expressed or implied, with respect to the usefulness or effectiveness of any information, method or process disclosed in this material. Nor does APTA assume any liability for the use of, or for damages arising from the use of, any information, methods or processes disclosed in this document.

No information or suggestions shall be deemed to be a recommendation nor an endorsement to use any specific manufacturer's products or any system in conflict with an existing patent right, code or regulation. This manual should not serve as a substitute for sound engineering judgment.

1.4 Implementation flexibility

standards documents incorporate flexibility in how or if they may be implemented. Language to this effect is reflected under a subheading titled "Note on alternate practices." The language of this section does not apply in cases where federal and/or state regulations govern portions of a transit system's operations—e.g., commuter, intercity and high-speed rail operations.

1.5 Intellectual property

APTA reserves all intellectual property rights in its standards. APTA does not consent or allow any of its standards to be altered or modified in any respect.

1.6 Standards usage terms and conditions

APTA standards are available to the public for use at no cost. APTA does require that, when used, the user provides credit and acknowledges that these documents are provided free of charge by APTA.

2. Standards program organization

The APTA Standards Development Program organizational hierarchy is outlined below:

- At the highest level, the Standards Development Oversight Council (SDOC) provides overall management and direction for all standards development programs. See Section 2.1 and **Figure 1** for details.
- At the next level, a Policy & Planning Committee (PPC) is charged with the technical oversight of the working groups and reports to the SDOC. See Section 2.2 and **Figure 2** for details.
- A Technical Advisory Group (TAG) responds to the PPC when called upon to perform assigned tasks on an as-needed basis. See Section 2.3.
- Reporting to the PPC are working groups (WGs) that develop the technical content of the standard. Criteria for participating in a working group are provided in Section 2.4. **Figure 2** shows the relationship between the WGs and the PPC.
- Sub–working groups (SWGs) are organized by the chair of the working group on an as-needed basis. See Section 2.5.
- The role of the APTA program staff adviser is provided in Section 2.6.
- Section 2.9 contains APTA's travel and reimbursement policy.

2.1 Standards Development Oversight Council (SDOC)

The SDOC is approved and established by and works under the guidance of APTA's Executive Committee to provide direction to the Standards Development Program from a multimodal perspective that encompasses the interests and inclusion of all relevant stakeholders. In keeping with the spirit of industry consensus standards development, the SDOC will be cognizant of the issue of balance among participating members representing the diverse interests of the public transportation industry as a whole.

The core membership of the SDOC will be made up by the chairs of each Policy & Planning Committee plus others in order to provide balance.

FIGURE 1
Standards Development Oversight Council
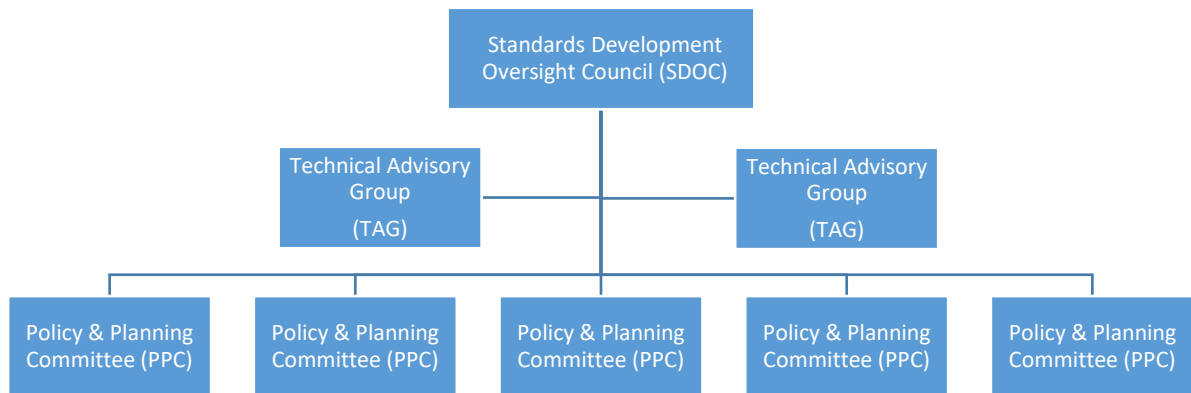
Note: There is only one SDOC for the whole APTA Standards Development Program.

The purpose of the SDOC shall be:

- to promote the support for and use of standards in the public transportation industry;
- to set overall direction for the development and maintenance of standards in the public transportation industry;
- to establish priority programs among APTA's modal standards development working groups;
- to coordinate standards development activities among the modal groups as well as other organizations outside APTA, including the federal government and international agencies; and
- to develop and manage the standards budget activities of APTA.

This document does not go into any depth regarding the working of the SDOC, as the primary purpose of this manual is to describe the background and process description as they pertain to the development of standards, which involves the PPCs, WGs and SWGs.

For more information regarding the work of this council and its bylaws, refer to the APTA SDOC Bylaws (latest revision).

2.2 Technical Advisory Group

Membership of the Technical Advisory Group (TAG) consists of senior experts from transit systems and other industry stakeholders. This ad hoc group is formed and dissolved as can be requested from the SDOC This group responds to requests from the SDOC to review and make recommendations on documents developed by the WGs containing subject matter spanning the subject area of multiple Policy & Planning Committees and/or working groups. The TAG may be called upon to perform the following functions:

- Recommend a small number of focus areas for the standards development effort. The focus areas should have high potential to produce meaningful safety improvements. By way of example, possible focus areas include vehicle inspection and maintenance, vehicle crashworthiness, grade crossings, operating practices, track, escalators and elevators, emergency preparedness, and station design.
- Identify related industry standards development efforts so duplication is avoided.
- Recommend a policy or guiding philosophy to determine when a subject should be addressed and whether it should be a standard or a recommended practice.
- Make recommendations for key personnel to recruit from both transit agencies and suppliers to lead the development effort in each of the recommended focus areas.

- Make recommendations as to particular language within a standard pertaining to the scope of the TAG.
- Create documents pertaining to the scope of the TAG (these documents would subsequently fall under the requesting Policy & Planning Committee).

2.3 Policy & Planning Committees

APTA has several standards development programs. Each program will have a PPC organization, as shown in **Figure 2**.

The chair of each PPC will be a member of the SDOC. Each PPC's membership will be defined within their bylaws. Membership of commercial organizations is limited to no more than 40% of the total PPC membership.

The PPC has responsibility for:

- setting the broad policy to be followed by WGs;
- approving the WGs' annual budgets and approving major changes to the budgets (if required);
- approving the WGs' priorities;
- authorizing implementation of documents approved by the WGs;
- approving due process of all documents created by associated WGs;
- approving priorities within the Standards Development Program; and
- authorizing publication of documents approved by the WGs.

FIGURE 2
Policy & Planning Committee (PPC)
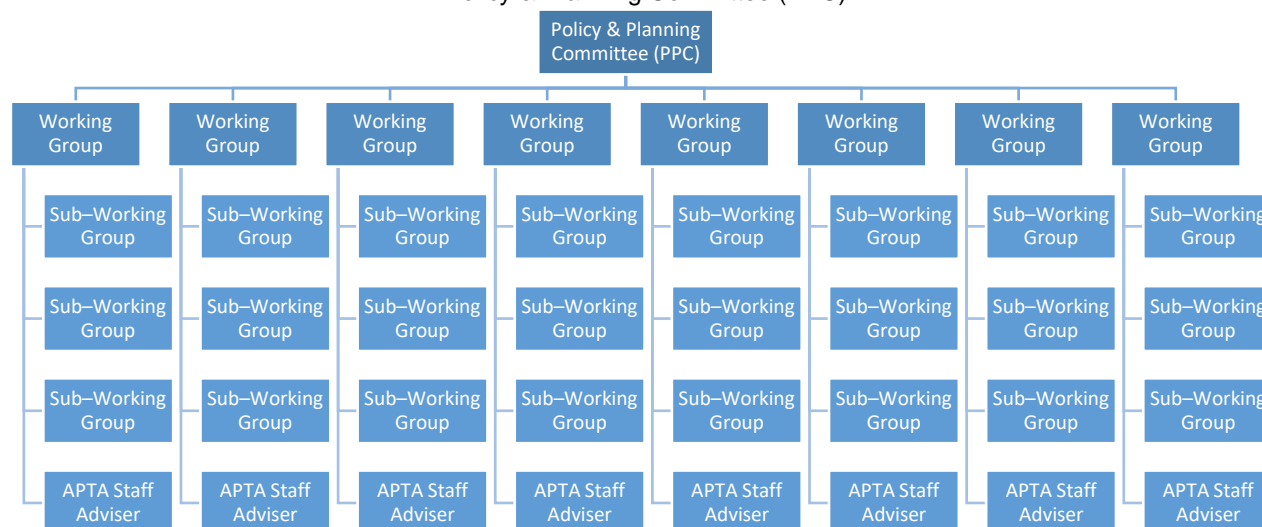
Notes:
1. Each program will have its own PPC, working groups and sub–working groups.
2. Working groups are formed on an as-needed basis by the PPC.
3. SWGs are formed by the chair of the WG on an as-needed basis.
4. The number of SWGs is dependent on the amount of work to be performed.
5. On completion of their assigned task(s), SWGs may be disbanded.
6. Members of an SWG are typically members of the working group that formed the SWG.

2.4 Working groups (WGs)

As determined by the PPC, working groups are organized for the purpose of developing standards. WG members develop individual work plans and schedules. The chair of the WG may form SWGs for the purpose

of initial development of these standards. Members of the WGs are typically staff from transit systems, business members, consultants, suppliers and vendors, subject matter experts, and others as deemed necessary.

2.4.1 Working group membership

- Membership is open to anyone wishing to participate.
- Membership requires a commitment to:
    - attend meetings in person, by webinar or by conference call;
    - exercise voting responsibility within prescribed time limits as may be established; and
    - contribute and share expertise throughout the development process of standards documents.
- Repeatedly failing to complete ballots before the close of the voting period, not attending meetings, or an absence for a period of 12 months may result in demotion to working group subscriber.

2.4.2 Working group objectives

Working groups shall have the following objectives:

- Recruit and maintain a membership that is broadly representative of the transit industry.
- Develop industry standards through a consensus process.
- Identify, develop and maintain standards for transit system design and/or operation where these standards have a high potential to lead to safety improvements and operational efficiency.
- Provide guidance to the federal government on transit industry safety research needs.
- Provide a forum for transit industry professionals to share safety experience and best practices.

2.4.3 Working group responsibilities

Each working group, including the leadership, with the assistance of the APTA staff adviser, is responsible for the following:

- Developing a work plan and schedule.
- Organizing, setting the agenda for and scheduling meetings.
- Appointing SWGs to address individual work plan items.
- Chairing and ensuring productive meetings.
- Ensuring that summary minutes of meetings are developed, recorded and distributed.
- Identifying resources or research needed to execute the work plan.
- Seeking and maintaining broad-based industry representation of the membership.
- Drafting the initial versions of each document. Once a workable draft is developed by the members, the staff adviser provides formatting, quality and change control for refinements and revisions to the document.

2.5 Sub–working groups

Working group members may organize themselves into sub–working groups to execute portions of the work plan. SWGs develop initial drafts of proposed standards for full WG review and approval.

An SWG can be used when it is necessary to perform a rapid review of whether an existing document needs to be reaffirmed or completely revised. This recommendation is then provided to the full WG, which in turn will work with APTA for a final determination.

2.6 Role of program staff adviser

The following is the role of the APTA staff adviser:

- Ensure development and publication of all standards.
- Arrange to support the WGs and SWGs, either with APTA staff, contractors or volunteer members.
- Assist the WG chair with administrative functions such as arranging working group meetings, taking and distributing meeting minutes, keeping an accurate membership and communication list, and distributing work products for review.
- Provide technical expertise to help the WG develop and implement its work plan. If support is provided by contractors, they will be recognized consultants to the transit industry.
- Review proposals for new standards (see Section 4.1 to review the full list of document types).
- Manage allocated budget.

2.7 Role of the standards document manager

The following are the responsibilities of the standards document manager:

- Maintain the APTA Standards Development Program website.
- Arrange to send documents for public comment, CEO approval, and finally to the Policy & Planning Committee for approval to publish.
- Coordinate and distribute comments to respective program managers for resolution.

2.8 Role of the working group subscriber

The following are the attributes of a working group subscriber:

- Receives all working group communication.
- Not allowed to vote; doesn't count toward quorum.
- Can access working group materials.
- Can be promoted to working group member upon request to the staff adviser.

2.9 Travel and reimbursement policy

The APTA Standards Development Program strictly adheres to the policies and procedures defined in the "APTA Standards Travel Reimbursement Policy_Rev 1." The travel policy document can be obtained by requesting it from the relevant standards program manager.

3. Processes for document development

This section refers to the processes that must be followed when proposing to:

1. Develop a new standard (see Section 4.1 to review the full list of document types); or
2. Make changes to an existing standard; or
3. Begin an appeals process.

3.1 Process for development of a new standard

The following is an outline of the required steps to be taken when proposing a new standard. This is also shown in **Figure 3**. See Appendix D for a form to be used by a proposer.

Any party may propose a new standard (see Section 4.1 to review the full list of document types). A copy of the proposal should be submitted to APTA at:

American Public Transportation Association

Director, Standards Program
1300 I Street, NW, Suite 1200 East
Washington, DC 20005

Or complete the online form at www.apta.com/resources/standards/Pages/default.aspx.

1. The proposal should contain at a minimum the following elements:
    • proposer information
    • description of proposed standard
    • justification/rationale (why this is important for the industry)
    • research needed (if any)
    • related standards/work (if any)
    • stakeholders
2. APTA staff will review the proposal and direct it to the appropriate PPC.
3. If directed by the PPC, APTA staff will help assign a WG to develop a draft standard.
4. APTA staff will forward the document template to the chair of the WG.
5. The WG chair will organize a sub–working group, if necessary, from the WG membership or invite others as needed.
6. The membership of the working group will:
    • review the work of the SWG;
    • discuss and resolve any outstanding comments; and
    • vote on the document as defined by Section 3.5.
7. APTA staff will provide formatting, quality and change control for refinements and revisions to the document.
8. APTA staff will arrange for the document to be posted to the APTA website for 30 days for public comment, and if directed by the PPC it will also be sent to the Technical Advisory Group.
9. Any comments from the public comment review cycle will be forwarded to the WG for review and resolution.
10. APTA staff will next forward the document to the relevant APTA CEO Committee for 14 days for review, comments and approval.
11. Any comments from the CEO Committee review will be sent to the WG members for their review and resolution.
12. Finally, the document will be sent to the Policy & Planning Committee for a 14-day period for authorization to publish.
    • PPC members will be asked to approve the document on the basis that the document development process was followed.
13. When authorized by the PPC, the document will be released for publication by APTA, and notification of this will be provided by:
    • a post on APTA's website; and
    • an article in APTA's Passenger Transport.

FIGURE 3
Process Diagram for Creating a New Document

PROPOSAL
• Anyone may propose a new standard.
• Proposal should include a justification and rationale as to why it is important to the industry.

APTA
• APTA reviews proposal and determines need for a new standard

APTA
• APTA provides a document template and assigns a WG to develop the document

Work Group
• WG develops the standard or
• Assigns it to a SWG

To WG

To SWG

SWG
• Develops the document
• Reaches consensus
• Forwards to the full WG

To WG

APTA
• Staff adviser to arrange for WG to review and respond to any public comments

APTA
• Document is posted on the APTA website for 30 days for public comment
• Notification of this posting is also published in the APTA *Passenger Transport*

APTA
• APTA staff adviser to provide quality and change control for refinements to the document

Work Group
• Ballots full membership of the WG for approval
• Balloted and approved document forwarded to APTA

Work Group
• Reviews document from SWG
• Provides comments (if any) to SWG

APTA
• Document is posted on the website for review by the respective program CEOs for a period of 14 days

APTA
• Staff adviser to arrange for WG to review and respond to any CEO comments

APTA
• Document is sent to members of the PPC for authorization and approval to publish
• Review period 14 days

APTA
• Final document is posted on APTA standards web page
• An article is published in APTA *Passenger Transport*

3.2 Process for making changes to an existing standard

Anyone may propose a change to a previously approved standard.

1. Proposers need to provide specific changes. Where practical, these changes should be made by marking up the published version with tracked changes to show deletions and additions. These proposed changes and/or corrections should contain the exact text proposed and a clear statement of the reasons for the change.
2. A copy of the proposed changes and supporting rationale should be submitted to APTA at:

   American Public Transportation Association
   Director, Standards Program
   1300 I Street, NW, Suite 1200 East
   Washington, DC 20005

   Or complete the online form at www.apta.com/resources/standards/Pages/default.aspx.

3. APTA will review the proposed changes and act in one of the following ways:
   • Deny the proposed changes as having no merit.
   • If the change corrects an obvious error or the proposed changes are minor (meaning that it does not change the intent of the document), APTA may simply reissue the corrected document and advise the concerned party, the working group chair and the PPC.
   • If the proposed change has merit, and incorporation of it could change the intent or application of the document, then APTA will refer the proposed changes back to the WG that developed the document for consideration and also advise the PPC. See Sections 4.13 and 4.14 to review the procedure for changing document types.
4. The WG will review and revise the document as appropriate.
5. On completion of the work, the membership of the WG will ballot its members for consensus.
6. APTA staff will review the work and provide formatting, quality, change control and revisions to the document.
7. The document will next be posted on the APTA website for 30 days for public comment.
8. Any comments from the public comment review cycle will be forwarded to the WG chair for resolution and disposition.
9. After resolution of the comments, WG members will be required to vote on the document and send the approved document to APTA.
10. APTA staff will next forward the document to the relevant CEO Committee for review and comments for a period of 14 days.
11. Any comments from the CEO's review cycle will be sent by APTA to the WG chair for review, resolution and disposition of comments.
12. The document will be sent to the Policy & Planning Committee (PPC) for a 14-day period for authorization to publish. The PPC's task is to ensure that the document development process has been followed.
13. When authorized, the document will be released for publication, and notification of this will be provided by:
    • a post on the APTA website; and
    • an article in APTA's *Passenger Transport*.

3.3 Appeals process

1. Anyone can appeal against a published standard document.
2. The appeal must be formally submitted in writing to:

   American Public Transportation Association
   Director, Standards Program
   1300 I Street, NW, Suite 1200 East
   Washington, DC 20005
   Email: standards@apta.com

   Or complete the online form at www.apta.com/resources/standards/Pages/default.aspx.

3. The written appeal must contain at a minimum the following items:
   • appellant's information
   • description of the appeal
   • justification/rationale
   • who or what is impacted
4. APTA will review the appeal.
5. If there is no merit to the appeal, APTA will respond back to the appellant and state the reasons why no further action will be taken.
6. If APTA considers that there is merit in the appeal, it will determine whether addressing the appeal constitutes a major or a minor change.
   • If the change is determined to be major or if the current revision of the document is the original version of the document, follow the procedure set forth in Section 3.2 of this document.
   • If the change is considered to be minor and if the current revision of the document is not the original version of the document, no official working group ballot is required. Upon the completion of steps 4 and 5 in Section 3.2, the staff adviser shall give the opportunity for any objections to the changes by members of the working group to be raised.
       • If no objections are made and the scope of changes was limited solely to the scope of the appeal, the standards document is published as an interim revision (i.e., if the appeal is to Rev. 3, the first interim revision is Rev. 3.1, the second interim revision is Rev. 3.2, etc.).
       • If objections are made, a full working group ballot is required, as are the remainder of the steps outlined in Section 3.2. When published, the document will be designated as a full cycle revision.

3.4 Standards life cycle

APTA, as a standards development organization, maintains an established process for the development, maintenance and configuration management of standards. These documents have a validity period of five years from the latest date of publication (interim revisions do not apply). At the end of the specified period, APTA will work with the current WG to review and update these documents as necessary. When possible, APTA will arrange for the original document author(s) to be included as part of the review process.

At the end of the review cycle, the document will be reaffirmed, revised or withdrawn:

• **Reaffirmed:** This occurs when the intent and technical content of the document are still valid. Amendments that offer minor revisions or reformatting of the document to update its style can be made and reissued under reaffirmation. APTA will reissue the corrected document with the same

document number and differentiate it by adding a revision number. The document will also show the original publication date and date when reaffirmed.

EXAMPLE: Old document number was APTA RT-VIM-S-016-03. Reaffirmed document will be numbered APTA RT-VIM-S-016-03, Rev. 1. The front page of the document will show a) First Published date, and b) First Revision date (reaffirmed). APTA will also advise the concerned parties, the appropriate WG and the PPC. The standard is then published and posted on the APTA standards website with a notification in the APTA *Passenger Transport* newspaper. The document will then have a new five-year validity period.

- **Revised:** A revision to the document is required if the standard's intent or technical content need to be changed or updated. When all comments have been addressed and dispositioned, a ballot of the WG approval, public review period, CEO Committee review and PPC approval will be required. The document approval path is identified in **Figure 4**. APTA will reissue the document with a revised document number showing last published date and date when revised.

  EXAMPLE: Old document number was APTA RT-VIM-S-016-03. Revised document will be numbered APTA RT-VIM-S-016-03, Rev. 1. The front page of the document will show a) First Published date, and b) First Revision date. The standard is then published and posted on the APTA standards website with a notification in the APTA *Passenger Transport* newspaper. The document will then have a new five-year validity period.

- **Withdrawn:** A standard could be withdrawn for any reason and at any time. This will require a ballot of the WG for a recommendation to withdraw, PPC approval (14 days), CEO Committee approval (14 days) and public notification period (30 days). From start to finish the process for withdrawing a document will not exceed 90 days. Notification to this effect will be made on the APTA standards website and in APTA's *Passenger Transport*.

FIGURE 4
Process for Making Changes to an Existing Document

Proposal
• Anyone may propose a change to an existing Standard
• Proposal should include a justification, and rationale as to why it is important to the industry

Review
• APTA reviews proposed changes

Minor Changes
Changes are minor (minor means it does not change the intent or content of the document)

YES

APTA
APTA makes the changes and re-issues the document

APTA
• Post final document on APTA's Standards website
• Notification is published in APTA's *Passenger Transport*

NO

Major Changes
Changes are sufficiently major and will change the intent and content of the document

YES

APTA
Staff Advisor to arrange for the Work Group to review, respond and disposition the comments.

Work Group
Working Group (WG) chair to determine if the full WG or a sub-working group (SWG) will work on the proposed changes

TO WG   **TO SWG**

Sub-Work Group
• Sub-Work Group reviews
• Incorporates applicable changes
• Returns to WG .

Work Group
• Review SWG work or make applicable changes
• Approves and votes changes

APTA
APTA provides quality and change control refinements to the document

APTA
Document is posted on APTA's website for public comment for 30 days

Work Group
• Review and disposition comments (if any)
• Incorporate applicable changes to the document

APTA
Document is sent to APTA's CEO Committee for 14 days review and comments.

Work Group
• Review and disposition comments (if any)
• Incorporate applicable changes to the document

APTA
Document is sent to the Policy & Planning Committee (PPC) for authorization to publish.

APTA
When authorized, document is posted to APTA's Standards website, and notification is made in APTA's *Passenger Transport*

3.5 Voting and balloting requirements

When a document requires a vote for authorization to proceed to the next consensus step, the following requirements must be met:

1. To constitute a quorum, APTA must receive votes from at least two-thirds of the membership.
2. Of those votes cast, at least 75% must be in the affirmative.
3. Ballots indicating abstain only count up to the minimum quorum requirement after all affirmative and negative ballots are included.

Voting and balloting are conducted electronically. The working group chair, APTA staff adviser or document manager shall notify the full working group when a proposed document is ready for approval. This notification shall include:

1. An explanation of why the action is being proposed
2. Review and explanation of substantive revisions during the development process
3. Announcement of the closing date for the balloting/voting period

The voting ballot form shall contain three responses:

1. **Approval:** Minor suggested editorial revisions may be provided in comments submitted as part of the ballot.
2. **Disapproval:** If citing a major objection or concern, concerns shall be provided on the comments submitted as part of the ballot.
3. **Abstention:** Reasons for abstaining should be provided in comments submitted as part of the ballot.

The voting period shall be as determined by the APTA staff adviser but no shorter than 14 calendar days or longer than 60 calendar days, ballot extensions included. If the balloting requirements are not met after 61 days, all collected votes shall be thrown out, and a new ballot will need to be conducted.

While each individual on a working group may submit a ballot, ballots are to be counted on an organizational level. Each organization, company, firm, agency or railroad shall have one vote, regardless of the number of ballots submitted and the number of members participating. The counted ballot of an entity shall be the most restrictive ballot submitted by a representative of that entity, unless the APTA staff adviser is notified otherwise. Disapproval is the most restrictive possible ballot, while approval is the least restrictive. Comments from *all* submitted ballots are to be considered and resolved by the working group prior to the document proceeding to the public comment period.

In order to get a consensus of the WG, it is important that members are active participants, as described in Section 2.4.

3.6 Meeting requirements

Working groups may be required to meet several times a year and may be organized by APTA staff and/or the WG's leadership.

1. All meetings will have an agenda to outline the purpose of the meeting, meeting minutes or notes taken, and shared no more than 10 business days after the meeting.
2. Working group leadership with support from APTA staff will preside over and facilitate meetings.
3. Working group leadership will determine if the meeting will be an in-person meeting, web conference or audio conference.

4. APTA staff will work with the WG leadership to secure a meeting space and hotel accommodations, and discuss travel reimbursements, etc., to meet requirements as defined in "APTA Standards Travel Reimbursement Policy_Rev 1."
5. Meeting notifications will be sent to participants at least 35 to 45 days in advance of the face-to-face meeting (three months is recommended) and/or 10 days for web or audio conferences (14 to 30 days is recommended).
6. The meeting is posted on the APTA Standards Calendar.
7. Meetings are open to all stakeholders (including nonmembers).

3.7 Document format

APTA standards use a format closely based on the Institute of Electrical and Electronics Engineers (IEEE) Standards Style Guide. See Appendix C for the format to be used when developing a new standard or converting a standard from an old format.

3.8 Notification of standards publication

When a document is ready for publication, APTA staff will do the following:

1. Upload it to the APTA standards website at www.apta.com/resources/standards/Pages/default.aspx.
2. Publish an article briefly describing the contents of the document.
3. Notify the respective working groups and others as deemed appropriate.

3.9 Records retention

The records of the APTA Standards Development Program, its council, the Policy & Planning Committee staff, and working groups or sub–working groups shall be maintained for a reasonable time at APTA headquarters, where they can be made available for inspection or audit by members or the appropriate certification or accreditation body and public stakeholders, at the discretion of the council or APTA's legal counsel. An agenda, minutes and attendance roster shall be maintained by APTA staff for all council, Policy & Planning Committee and WG/SWG meetings for a period not to exceed seven years.

All other documents maintained by the working groups or staff to develop a standards-related document will be discarded at the time of publication. Information related to records retention (inclusive of documents, ballots, agendas, summaries, minutes and attendance rosters) will be stored on collaboration web pages and supported by a centralized database.

3.10 References to other standards, federal regulations and regulatory bodies

In the development process of the standards (see Section 4.1 to review the full list of document types), APTA will ensure that other APTA standards, federal regulations and other regulatory bodies are referenced as appropriate.

## 4. Document development policies

4.1 Types of documents

The following are six types of documents developed by APTA:

1. Standards
2. Recommended practices
3. Guidelines
4. White papers
5. Technical specifications
6. Training/educational materials

4.2 Document numbering nomenclature

Documents defined in Section 4.1 will use an established document numbering nomenclature (see **Figure 5**). The numbering system is divided into five parts and is described further in Appendix E.
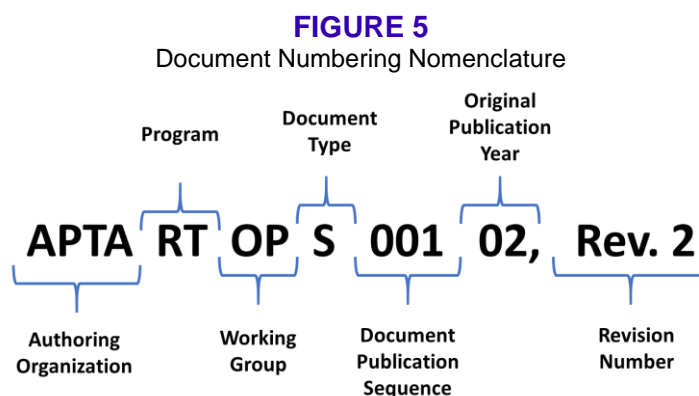
This number is assigned by the document manager after the PPC has approved the document. As an example, a typical document number would be "APTA RT-OP-S-001-02, Rev. 2":

- "APTA" shall be used at the beginning of the numbering system, indicating that the document was developed through an APTA working group.
- "RT" indicates the transit mode or type. In this example, "RT" stands for Rail Transit.
- "OP" signifies the working group that developed the document. "OP" in this case refers to the Rail Transit Operating Practices Working Group.
- "S" stands for standard. "RP" would be used for a recommended practice, "GL" for a guideline, "WP" for a white paper, etc.
- "004" is a three-digit number assigned to a document within a specific program.
- "02" is a two-digit number indicating the year the document was originally published.
- "Rev. 2" indicates the number of revisions made to the document over its entire life cycle.

    NOTE: The two-digit number indicates the year when the document was originally published and shall be retained regardless of how many times the document is revised. Revisions to the document shall be denoted in the top-right box on the first page of the document stating First Published and the date, First Revision and the date, Second Revision and the date, etc.

4.3 Document classifications

The following policy issues are discussed in the sections specified below:

- Determining document type (Section 4.10)
- Mixed-purpose standards documents (Section 4.12)
- Upgrading a recommended practice to a standard (Section 4.13)
- Downgrading a standard to a recommended practice (Section 4.14)
- Changes to the name of a document (Section 4.15)
- Safety vs. service reliability and/or efficiency (Section 4.16)
- Compliance with standards (Section 4.17)

4.4 Characteristics of a standard

Standard: A generally accepted practice, method or prescribed manner by which something is achieved by authority as a rule, measure of quality or value.

A standard should be developed when the document:

1. covers a system, component, process or task that is safety-critical; or
2. ensures interoperability between transit systems or equipment; or
3. standardizes a design or process.

4.5 Characteristics of a recommended practice

Recommended practice: An established or usual way of doing something usually based on repeated actions or widely established processes.

A recommended practice should be developed when:

1. the document describes only one of several acceptable approaches; or
2. the document is tutorial in nature; or
3. the document does not meet one of the characteristics for a standard; or
4. consensus could not be reached that the document should be a standard.

4.6 Characteristics of a guideline

Guideline: Represents a common viewpoint of those parties concerned with its provisions and aims to streamline a particular process according to a set routine or practice.

A guideline should be developed when:

1. the document describes how to perform a particular process using a set of accepted practices; or
2. the document is tutorial in nature; or
3. the document does not meet one of the characteristics of a standard or recommended practice.

A guideline may be issued and used by transit industry professionals to make routine processes somewhat uniform and more predictable, and presumably improve quality and safety.

4.7 Characteristics of a white paper

White paper: An authoritative report or guide written expressly to provide information about a complex issue that presents the industry's prevailing philosophy on the subject matter.

A white paper should be developed when:

1. the document describes how to address a specific problem or make a decision; or
2. the document is designed to inform and invite comments/opinions; or
3. the document does not meet one of the characteristics for a standard, recommended practice or guideline.

4.8 Characteristics of a technical specification

Technical specification: An authoritative report or guide written expressly to illustrate information about a complex issue or process.

A technical specification should be developed when:

1. the document can best describe and/or illustrate an acceptable approach or practice; or
2. the document is tutorial in nature; or
3. the document does not meet the minimum set of characteristics for a standard, recommended practice, guideline or white paper; or
4. consensus could not be reached on the best method to present this information.

4.9 Characteristics of a training and/or educational document

Training/educational document: Represents teaching or professional developmental resources that can be used to improve one's skills or knowledge.

A document should be considered training/educational when:

1. the document describes several acceptable approaches or practices; or
2. the document is teaching in nature; or
3. the document does not meet the minimum set of characteristics for a standard, recommended practice, guideline, white paper or technical specification; or
4. the document provides some form of training, knowledge evaluation and post-tests.

4.10 Determining document type

The following subsections detail how to differentiate between different classes of document.

4.10.1 Standards vs. recommended practices

Unnecessary standards can increase costs and severely limit a transit system's operating flexibility. However, making truly safety-critical actions voluntary leads to lack of credibility and confidence in the transit industry. Adopting safety-critical standards is one of the ways a transit agency can demonstrate its compliance with industry best safety practice.
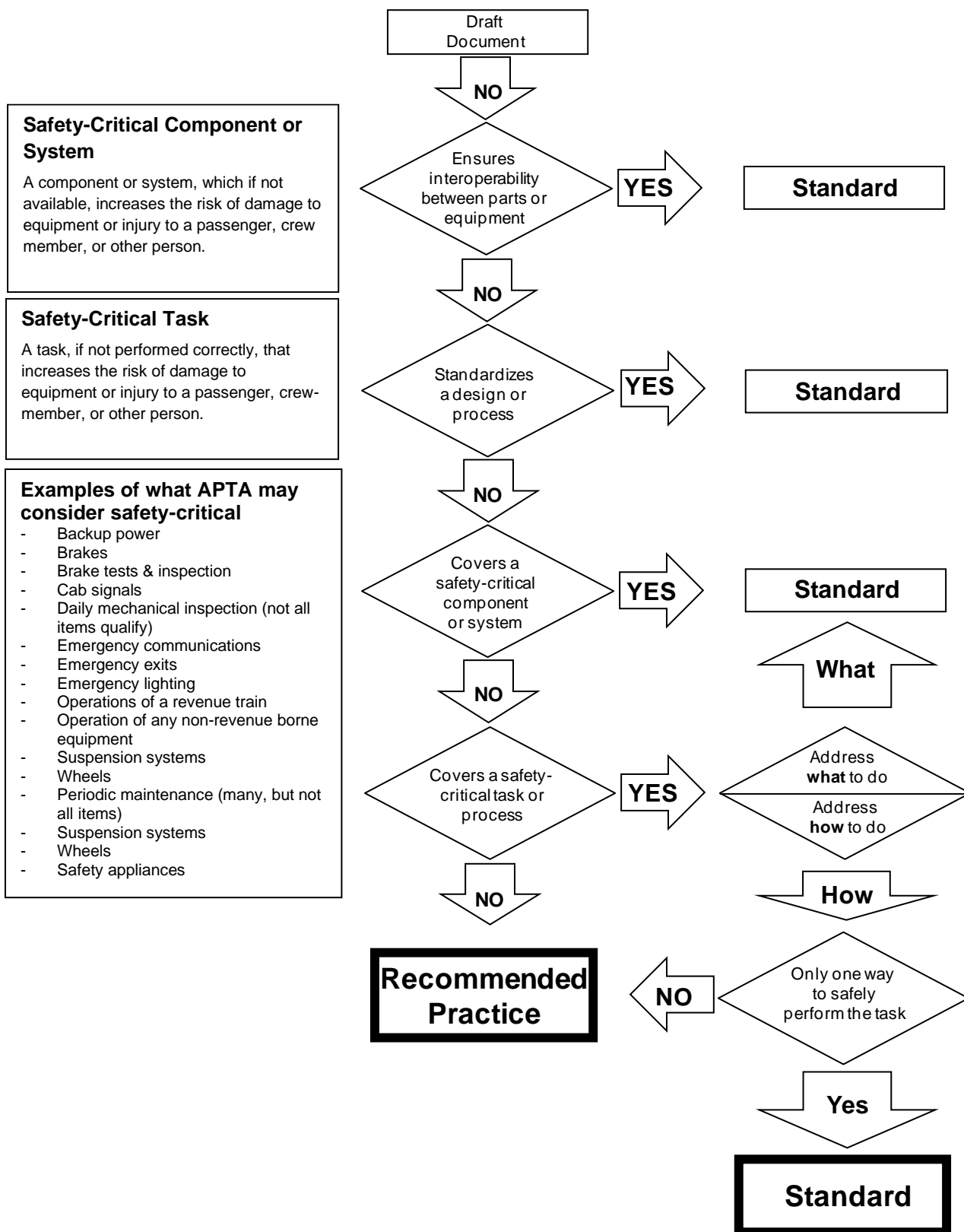
One of the most significant and persistent challenges to APTA's Standards Development Program is reaching consensus on the basis for making the decision on whether a document should become a standard or a recommended practice. APTA's initial guidance given to working groups charged with making this decision is shown in a decision tree (see **Figure 6**). The decision tree leads to a standard if the document addresses a safety-critical subject and to a recommended practice in all other cases. The decision tree is a valuable tool to make an initial decision. If the decision tree leads to a standard, then more guidance is required from the working group that justifies this decision.

For the purposes of the transit systems program, a standard establishes mandatory requirements that must be met (however, more than one acceptable way to meet these mandatory requirements often exists). On the other hand, a recommended practice describes an approach that is generally accepted as desirable and successful. A recommended practice could describe one of the acceptable ways to meet a standard.

4.10.2 Recommended practice vs. guideline

A recommended practice describes specific practices, procedures or characteristics that are generally considered as desirable or superior to others not described in the recommended practice. A guideline lays out a framework that allows incorporation of available options without deciding as to the respective desirability or superiority of the options. A guideline can be upgraded to a recommended practice in a subsequent revision by providing recommendations as to the most desirable option, and to a standard by incorporating explicit requirements.

FIGURE 6
Decision Tree: Standard vs. Recommended Practice

Safety-Critical Component or System

A component or system, which if not available, increases the risk of damage to equipment or injury to a passenger, crew member, or other person.

Safety-Critical Task

A task, if not performed correctly, that increases the risk of damage to equipment or injury to a passenger, crew-member, or other person.

Examples of what APTA may consider safety-critical
- Backup power
- Brakes
- Brake tests & inspection
- Cab signals
- Daily mechanical inspection (not all items qualify)
- Emergency communications
- Emergency exits
- Emergency lighting
- Operations of a revenue train
- Operation of any non-revenue borne equipment
- Suspension systems
- Wheels
- Periodic maintenance (many, but not all items)
- Suspension systems
- Wheels
- Safety appliances

Draft Document

NO

Ensures interoperability between parts or equipment — **YES** → **Standard**

NO

Standardizes a design or process — **YES** → **Standard**

NO

Covers a safety-critical component or system — **YES** → **Standard**

What

NO

Covers a safety-critical task or process — **YES** → Address **what** to do / Address **how** to do

How

NO

Recommended Practice

Only one way to safely perform the task — **NO** → Recommended Practice

Yes

Standard

4.10.3 Guideline vs. white paper

A guideline is used to address processes, characteristics or options used by the industry in the form of a framework in which any of the options can be incorporated at the choosing of the party having jurisdiction. A white paper merely informs on the current state of a subject rather than advising the document's user on potential courses of action. An existing white paper can be upgraded to a guideline in a subsequent revision by incorporating guidance regarding the application, to a recommended practice by providing recommendations as to the most desirable option, and to a standard by incorporating explicit requirements.

4.11 Process to select a standard vs. a recommended practice

A standards program may include documents that contain both requirements and recommendations. To provide consistency and to reduce controversy, APTA developed the following guidance to help make the decision as to whether a document should be developed as a standard or a recommended practice. See also **Figure 6** for a decision tree showing how to determine if a document should be a standard or a recommended practice.

1. If a document does not address a safety-critical subject, then that document should be developed as a recommended practice.
2. If a document is to be developed as a standard, a history of safety problems to support the need for the standard should exist; otherwise the document should be a recommended practice.
3. If the document is to be developed as a standard, there should be a likelihood that the safety benefits of implementation will outweigh the cost; otherwise the document should be a recommended practice.
4. If the document contains both standards requirements and recommendations, refer to Section 4.12.
5. All standards (with the exception of Passenger Rail Equipment Safety Standards [PRESS]) should contain a "Note on alternate practices" clause that allows transit systems the flexibility to provide equivalent safety through an alternate approach to the standard.

The word "shall" is used in standard documents to indicate mandatory requirements strictly to be followed in order to conform to the standard and from which no deviation is permitted unless the transit system can demonstrate that equivalent safety is achieved through an alternate approach.

The word "should" is used in recommended practice documents to indicate that, among several options, one is recommended as particularly suitable—without mentioning or excluding others—or that a certain course of action is preferred but not required.

4.12 Mixed-purpose standards documents

Some documents may contain a combination of requirements, recommendations, guidance and purely informative content. A document should be classed as detailed within the abstract, summary, and scope and purpose, of the document.

In a document classed as a standard, any recommendations, guidance or informational material should be clearly indicated in such a way that, if the document were to be cited within the Code of Federal Regulation, the recommendations, guidance and informational material are incorporated in such a way so the reader can ascertain that the non-requirement content cannot be considered as legal requirements. The preferred way to do this is by putting the recommendations into normative technical appendixes, and the guidance and purely informative content into informative technical appendixes. Notes within the body of the document are also an acceptable way to provide this information appropriately.

4.13 Transition from a recommended practice to a standard

A recommended practice may be upgraded to a standard if a complete survey of every affected party in the United States and Canada indicates universal adoption of the recommended practice. A complete survey is defined as a survey with a 100% response rate from all affected parties. No other content revisions to the document shall be considered in the same revision of the upgrade other than those required specifically for the upgrade.

Any document that has been upgraded as a result of a complete survey shall indicate the document's upgraded status in the first upgraded publication of the document.

The document will contain the following indications of the upgrade:

1. Language placed at the end of the "Scope and purpose" section of the document shall read: "The latest revision of this document was upgraded from a recommended practice to a standard after a complete survey of all affected parties indicated universal application of the content herein. A full list of the affected parties can be found in Appendix A."
2. Language placed at the end of the "Introduction" section of the document shall read: "The latest revision of this document was upgraded from a recommended practice to a standard after a complete survey of all affected parties indicated universal application of the content herein. A full list of the affected parties can be found in Appendix A."
3. Appendix A of the document shall contain:
   - a narrative regarding the rationale for the upgrade of the document; and
   - a full list of the affected parties surveyed.

All subsequent published revisions within 15 years of the first upgraded publication of the document shall retain in Appendix A of the document:

1. a narrative regarding the rationale for the upgrade of the document;
2. information regarding when the document was upgraded; and
3. a full list of the affected parties surveyed.

All subsequent publications of the document shall contain the following language below the "Document history" table: "This document was upgraded from a recommended practice to a standard in Rev. X."

4.14 Transition from a standard to a recommended practice

A standard shall be demoted to a recommended practice if none of the contents of the standard:

1. ensure interoperability between parts or equipment;
2. standardize a process or design;
3. address a safety-critical component or system;
4. address a safety-critical task or process;
5. address what to do for a safety-critical task or process; or
6. are not the only way to safely carry out a safety-critical task or process.

Any document that has been downgraded shall indicate the document's downgraded status in the first downgraded publication of the document.

The document will contain the following indications of the downgrade:

1. Language placed at the end of the "Scope and purpose" section of the document shall read: "The latest revision of this document was downgraded from a standard to a recommended practice, as none of the contents herein contained material meeting the requirements of an APTA standard."
2. Language placed at the end of the "Introduction" section of the document shall read: "The latest revision of this document was downgraded from a standard to a recommended practice, as none of the contents herein contained material meeting the requirements of an APTA standard."
3. All subsequent publications of the document shall contain the following language below the "Document history" table: "This document was downgraded from a standard to a recommended practice in Rev. X."

4.15 Changes to the name of a document

Any document that undergoes a name change as part of the revision process shall indicate the change in name within the first published revision of the document with the new name and any revisions of the document published within five years of the name change.

The first published revision of the document with the new name and any revisions of the document published within five years of the name change shall contain the following:

a. At the beginning of the "Summary" section on the cover page of the document, language shall read: "This [standard/recommended practice/etc.] was titled [previous title] in the previous publication of this document."
b. At the beginning of the "Introduction" section of the document, italicized language shall read: "This introduction is not part of [document number], [document name], ([previous name of document immediately preceding the renamed revision])."

Additionally, all revisions to a document within the 15 years after the renaming of that document shall contain the following language below the "Document history" table: "This document was retitled to its current title from [previous name] as part of Rev. X. For all previous publications of this document prior to Rev. X, unless otherwise indicated, this document was titled [previous title]."

4.16 Safety vs. service reliability and/or efficiency

Safety is the foundation and first priority of the program. However, improvements in service reliability and/or efficiency are important secondary goals. Only documents that clearly address safety improvements will be drafted as standards. Documents that stray from a safety focus into service reliability and/or efficiency improvements are not standards. They will be developed as recommended practices or guidelines.

4.16.1 Definitions of "safety-critical"

- "Safety-critical component or system means a component or system that, if not available, increases the risk of damage to equipment or injury to a passenger, crew-member, or other person." *(From FRA "Notice of Proposed Rulemaking on Passenger Equipment Safety Standards")*
- "Safety-critical task means a task that, if not performed correctly, increases the risk of damage to equipment or injury to a passenger, crew-member or other person." *(From FRA "Notice of Proposed Rulemaking on Passenger Equipment Safety Standards")*
- "Safety-Critical – A designation placed on a system, subsystem, element, component, device, or function denoting that satisfactory operation of such is mandatory to assurance of patrons, personnel, equipment, or facility safety. Such a designation dictates incorporation of special safety design features." *(From APTA "Guidelines for Design of Rapid Transit Facilities")*

4.17 Compliance with standards

APTA does not have an enforcement staff. Enforcement of these standards is the responsibility of the individual transit systems. When APTA performs a safety audit, it will include a detailed review of a transit system's compliance with the standards.

Recommended practices are voluntary but strongly advised. If a transit system chooses not to follow a recommended practice, then it should ensure that the practice it uses is at least equivalent to the recommended practice.

Appendix A: Working group comment response form

Responses from working groups will be completed online. Below is a representation of what the online form looks like.

Document Number							**Comment Response Form**		American Public Transportation Association		
Document Title									Date of latest version of comment response form		
Comment Number	Date (DD/MM/YR)	From		Page #	Section #	Line #	Comment		Group Response		Change Made in WD

Appendix B: Public comment and CEO Committee comment response form

Comment responses for the public comment phase and the CEO Committee comment phase will be completed online. Below is a representation of what the online form looks like:

Appendix C: Template for standards documents

APTA STANDARDS PROGRAM
XXXX

Input Document Type

APTA RP-xxx-00x-24, Rev. x
First Published: xxxx xx, 2024
First Revision: xxxx xx, 2024
Working Group Approved:
Public Comment:
CEO Committee Approval:
Policy & Planning Approval:
Name of APTA Working Group

Red text is for tracking and is deleted before publication.

Document Heading, Title Case, 26 pt. Arial Bold, Keep to Three Lines Maximum

Do not put document type as part of title.

Abstract: xx

Keywords: xx

Summary: xx

American Public Transportation Association | 1300 I Street, NW, Suite 1200 East, Washington, DC 20006

APTA Standards

Foreword

The American Public Transportation Association is a standards development organization in North America. The process of developing standards is managed by the APTA Standards Program's Standards Development Oversight Council (SDOC). These activities are carried out through several standards policy and planning committees that have been established to address specific transportation modes, safety and security requirements, interoperability, and other topics.

APTA used a consensus-based process to develop this document and its continued maintenance, which is detailed in the manual for the APTA Standards Program. This document was drafted in accordance with the approval criteria and editorial policy as described. Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

This document was prepared by the [Working Group] as directed by the [Name of Standards Policy Planning Committee].

This document represents a common viewpoint of those parties concerned with its provisions, namely transit operating/planning agencies, manufacturers, consultants, engineers and general interest groups. [The application of any recommended practices or guidelines contained herein is voluntary.] APTA standards are mandatory to the extent incorporated by an applicable statute or regulation. In some cases, federal and/or state regulations govern portions of a transit system's operations. In cases where there is a conflict or contradiction between an applicable law or regulation and this document, consult with a legal adviser to determine which document takes precedence.

This document supersedes [document number], which has been [revised, reaffirmed or withdrawn]. Below is a summary of changes from the previous document version:

- Xx

APTA Standards

Table of Contents

List of Figures and Tables

> When document is complete, Table of Contents and List of Figures and Tables can be updated by right-clicking and choosing "Update Field."

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![APTA Standards logo]

Participants

The American Public Transportation Association greatly appreciates the contributions of the [working group name], which provided the primary effort in the drafting of this document.

At the time this standard was completed, the working group included the following members:

Chair Name [body bold style], Chair, xx
Vice Chair Name, Vice Chair, xx

Insert names of
participants,
following
each one with a
return. List will
automatically flow
into two
columns. [11 pt

Times New Roman]
Please note:
Be careful
not to disturb
the section breaks
at beginning and
end of the list.

Project team
Name [Times 11 pt], *American Public Transportation Association*

Introduction

This introduction is not part of APTA RP-xxx-00x-24, "Name of Standard as it Appears on First Page."

xx

APTA recommends the use of this document by:

- individuals or organizations that operate rail transit systems;
- individuals or organizations that contract with others for the operation of rail transit systems; and
- individuals or organizations that influence how rail transit systems are operated (including but not limited to consultants, designers and contractors).

Scope and purpose

xx

Note on alternate practices

Individual rail transit systems may modify the practices in this standard to accommodate their specific equipment and mode of operation. APTA recognizes that some rail transit systems may have unique operating environments that make strict compliance with every provision of this standard impossible. As a result, certain transit systems may need to implement the standards and practices herein in ways that are more or less restrictive than this document prescribes. A transit system may develop alternates to APTA standards so long as the alternates are based on a safe operating history and are described and documented in the system's safety program plan (or another document that is referenced in the system safety program plan).

Documentation of alternate practices shall:

- identify the specific APTA rail transit safety standard requirements that cannot be met;
- state why each of these requirements cannot be met;
- describe the alternate methods used; and
- describe and substantiate how the alternate methods do not compromise safety and provide a level of safety equivalent to the practices in the APTA safety standard (operating histories or hazard analysis findings may be used to substantiate this claim).

Name of Document as it Appears on Cover Page, Title Case, Arial Bold, 20 pt.

1. Heading 1

1.1 Heading 2

1.1.1 Heading 3

Body text, Figure 1 text and url.com text.

- Bulleted
- List
    - Sub-bullet

NOTE: note text

TABLE 1
Table Title

Table heading	Table heading	Table heading
Table text	Table text	Table text

1.   Table footnote

FIGURE 1
Figure Title

                                                                      1

Name of Document as it Appears on Cover Page, Title Case, Arial Bold, 20 pt.

1. Heading 1

1.1 Heading 2

1.1.1 Heading 3

Body text, Figure 1 text and url.com text.

- Bulleted
- List
    - Sub-bullet

NOTE: note text

TABLE 1
Table Title

Table heading	Table heading	Table heading
Table text	Table text	Table text

1. Table footnote

FIGURE 1
Figure Title

1

APTA RP-xxx-00x-24, Rev. xx
Name of Document, One Line

Related APTA standards

APTA RP-xxx-00x-16, "Name name name name"
APTA RP-xxx-00x-16, "Name name name name"

References

xx

These sections are not numbered.
Appendices follow and should be sequenced Appendix A, Appendix B, Appendix C, and so on.
If an Appendix provides additional specific requirements or recommendations of the document,
put normative in parentheses immediately after the end of the Appendix title. If the appendix
only provides information, put informative in the parentheses instead.

Definitions

xx

Abbreviations and acronyms

xx	xx
xx	xx
xx	xx

Document history

Document Version	Working Group Vote	Public Comment/ Technical Oversight	Rail CEO Approval	Policy & Planning Approval	Publish Date
First published	—	—	—	—	—
First revision	—	—	—	—	—
Second revision	—	—	—	—	—

2

Appendix D: Template for a proposal for a new standard or revision

Proposal for a New Standard/ Revision

Proposer Information

Name _____

Email _____

Organization _____

Phone _____

Description of proposed standard or revisions to existing standard

_____

_____

_____

_____

_____

_____

_____

_____

Justification/rationale (why is this important for the industry)

_____

_____

_____

_____

_____

Research needed (if any)

_____

_____

Related standards/ work (if any)

_____

_____

Stakeholders

_____

_____

APTA

Topic		Resource requirements	
Modal Specific		Time to complete	
Program		Estimated cost	
Working Group		Date PPC approved	

Appendix E: Document numbering abbreviations

Part 1: Program

AC Accessibility
BTS Bus Transit
IT   Technology
MS   Mobility Management
PR PRESS (Passenger Rail Equipment Safety Standards)
PROC Procurement
RT Rail Transit
SS   Security
SUDS Sustainability & Urban Design
TAM Transit Asset Management

Part 2: Working groups responsible for developing the document

AC Accessibility Committee (integrated into SUDS as of Jan. 1, 2018)
FRSA Fixed Route Stop Announcements
GSM Gap Safety Management
PCC Paratransit Call Center
UA   Universal Accessibility

BTS (Bus Transit)

BC   Brake & Chassis (previously Steering & Suspension)
BFD Bus Transit Facility Design
BMF Bus Maintenance Facility Design
BMT Bus Maintenance Training
BO   Bus Operations
BPG Bus Procurement Guidelines
BRT Bus Rapid Transit
BS   Bus Safety
HVAC Bus Standards HVAC
HT   Hybrid Technology
II   Bus In-Plant Inspection
PE   Passenger Environment
PT   Power Train
VE   Vehicle Environment
VS   Vehicle Specifications
ZBT Zero Emissions Bus Maintenance Training

IT (Technology)

CCS Chip Card Security
CCTV Closed-Circuit Television
RD   Revenue and Data
TCIP Transit Communication Interface Protocols
TOSS Transit Operating Software Standards
TP   Technology Procurement
TR   Technical Report
UTFS Universal Transit Fare System

PR (PRESS [Passenger Rail Equipment Safety Standards])

CS   Construction & Structural
E   Electrical
IM   Inspection and Maintenance
M   Mechanical
PS   Passenger Systems

PROC (Procurement)

LRP   Light-Rail Procurement
PP   Procurement Process
PRM   Procurement Risk Management
TC   Terms & Conditions
TP   Technology Procurement

RT Rail Transit

EE   Elevator & Escalator
EETG   Elevator & Escalator Training Guidelines
FS   Fixed Structures and Maintenance
HT   Heritage Trolley
OP   Operating Practices
RGC   Rail Grade Crossing
RMT   Rail Maintenance Training
RPG   Rail Procurement Guidelines
RVTG   Rail Vehicle Training Guidelines
SC   Signal & Communications
SCS   Streetcars & Vintage Trolleys (replaced by Heritage Trolley and Streetcar)
ST   Streetcar
STG   Rail Signal Training Guidelines
TPG   Traction Power Training Guidelines
VIM   Vehicle Inspection & Maintenance

SS (Security)

CCS   Control and Communication Security
ECS   Enterprise Cyber-Security
SEM   Security Emergency Management
SIS   Security Infrastructure Standards (renamed Infrastructure Security Systems-ISS and merged with SRM)
SRM   Security Risk Management (renamed Infrastructure Security Systems-ISS and merged with SIS)

SUDS (Sustainability and Urban Design)

CC   Climate Change and Sustainability
FRSA   Fixed Route Stop Announcements
GSM   Gap Safety Management
PCC   Paratransit Call Center
TAM   Transit Asset Management
UA   Universal Accessibility
UD   Urban Design

SGR (State of Good Repair [integrated into SUDS as of Jan. 1, 2018])

TAM   Transit Asset Management

Standing TAGs

WRI   WheelRail Interface

Part 3: Type of document

S   standard
RP   recommended practice
GL   guideline
WP   white paper
TS   technical specification
ED   training and educational

Part 4: Sequential document number

XXX   Three-digit sequential number assigned by program starting with 001.

> **NOTE:** This number is not based upon document type or publish year. The original number is always retained. When the document is revised, add "Rev. 1," "Rev. 2," etc. after the original number

Part 5: Publication year

YY   The last two digits of the year the document was first published.

> **NOTE:** When the document is revised, the original publish year is retained in the numbering system. The revised document shall be identified by adding "First Revision: MMM DD, YYYY" or "Second Revision: MMM DD, YYYY," etc. below the document number.

Appendix F: Document development checklist

> **NOTE:** Working Groups are authorized to hold one in-person meeting annually and conduct all other work via Virtual meeting or conference calls

- ❑ SDOC authorization to create relevant Standards Policy & Planning Committee, if it does not exist
- ❑ Pre-planning virtual meeting with relevant Standards Policy & Planning Committee
  - ❑ Identify/review document proposals for development
  - ❑ Authorization to create relevant working group(s)
  - ❑ APTA staff to create document outline, project plan and schedule for the document's development
  - ❑ Send a call for volunteers (e.g., relevant APTA committees and public announcement via www.apta.com)
- ❑ Virtual meeting with the appropriate working group
  - ❑ Discussion of project goals, milestones and development schedule
  - ❑ Assignment of content sections for volunteers to contribute
  - ❑ Begin development of content (document development can take from 1 to 14 months to complete depending on the complexity)
- ❑ Potential additional virtual meetings with the core set of volunteers as necessary
  - ❑ Continue content development
  - ❑ Prepare working draft of document
- ❑ Virtual meeting with working group
  - ❑ Review initial draft from the core set of volunteers
  - ❑ Submit draft of document for editorial review and formatting
  - ❑ Complete document update based on relevant editorial remarks and formatting
  - ❑ Prepare final document for working group ballot
- ❑ Conduct working balloting for document approval
  - ❑ If approved as written, advance document to public comment (send to Standards Program manager)
  - ❑ If approved with minor edits/changes, update and advance document to public comment
- ❑ Public comment
  - ❑ Announcement via www.apta.com
  - ❑ 30-day public review period to solicit comments and feedback
  - ❑ At conclusion of review period all comments must be addressed and resolved
  - ❑ Revised document advanced to CEO review
- ❑ CEO review
  - ❑ Announcement via www.apta.com
  - ❑ 10-day public review period to solicit comments and feedback from transit agency/transit CEOs
  - ❑ At conclusion of review period all comments must be addressed and resolved
  - ❑ Revised document advanced to relevant Standards Policy & Planning Committee for approval
- ❑ Standards Policy & Planning Committee
  - ❑ Review document development process and procedure (not content)
  - ❑ Approval of document for publishing
  - ❑ Post to www.apta.com within five to seven business days