



# American Public Transportation Association



## Safety and Standards Programs

# Federal Authority

- The Federal Railroad Administration (FRA) has had enhanced safety authority since 1996.
- Federal Transit Administration (FTA) has been grant maker with oversight left to State Safety Oversight Agencies (SSOA).
- MAP-21 and the FAST Act has given FTA new regulatory powers. (funding/shut downs)





# Safety Management System (SMS)

- A comprehensive, and collaborative approach between management and labor to enhance risk mitigation, detect and correct leading safety issues, use and transparency safety data, and benchmark safety performance


# APTA Safety Audit Program

- Started in mid 1980s
- Triennial Audit Cycle:
  - Pre-Audit, Audit, Post Audit
- Mode specific Safety Critical Items



# SSO/FTA Audit vs. APTA Audit Program



- Compliance/Punitive  Holistic and Recognition based
- Highlights safety culture and leadership consistent with SMS
- Encourage learning maturity model, use of industry best practices and shared lessons learned
- Realization of APTA Strategic Goal to enhance Industry Safety
- FRA partners with APTA to encourage audit use, no FRA audit program
- New for 2017/2018
- Three year cycle to an annual cycle or as member needs
- Option for an Agency audit vs. modal specific
- Data analysis of audits to identify industry strengths and opportunities

# Audit Program Fee Structure

- **RAIL SAFETY MANAGEMENT PROGRAM**

Small agency	\$16,720/year
Medium agency	\$21,120/year
Large agency	\$25,520/year

- **COMMUTER RAIL SAFETY MANAGEMENT PROGRAM**

Small agency	\$ 7,000/year
Medium agency	\$15,000/year
Large agency	\$22,000/year

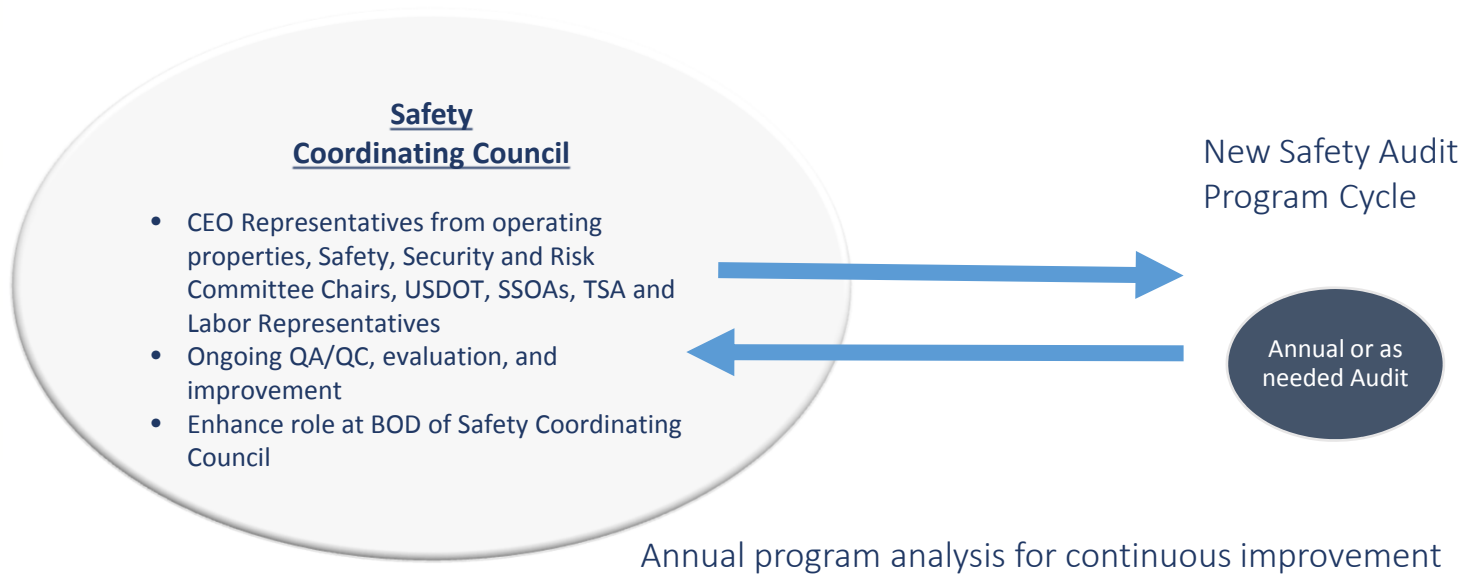
- **BUS SAFETY MANAGEMENT PROGRAM**

Systems Operating 1-50 vehicles (Regional Program)	\$ 3,850/year
Systems Operating 51-100 vehicles	\$ 9,020/year
Systems Operating 101 - 699 vehicles	\$11,330/year
Systems Operating 700 or more vehicles	\$13,970/year

**NOTE:** \*\* Current program fees are being evaluated as part of FY18 budget process.



# New Audit Program Methodology



\* Long Term Goal to develop an accreditation model similar to aviation, fire life safety and other industries





# National Transit Safety Database

- **Issue:**

- NTD does not measure safety, may lead to apples-oranges comparison using post event data
- No industry-wide benchmarking (to demonstrate safety and to improve)

- **Potential:**

- In discussion with FTA to partner on a 3<sup>rd</sup> party hosted database
- Leading indicators
- Allows for benchmarking without FOIA exposure concerns
- Real data to demonstrate industry safety to media, congress, regulators





# National Transit Safety Database

- **Needs:**

- Industry standard definitions (TRACS)
- Quarterly and Annual data reporting
- Funding to support development and operations (ideally Federal partnership)
- Safety Coordinating Council modal CEO representation
- \*Buy In by Agency Leadership

# APTA Peer Review Program

- Industry helping industry
- Peer Reviews throughout North America and Asia.
  - 28 peer reviews conducted in CY2015 – Dec 2016\*
  - 2 completed in CY 2017 and 5 are in the queue.
- Construction
- Operations
- Maintenance
- Procurement
- Service quality
- Security
- Procurement



# Peer Review Fee Structure

- ***Narrow Scope***

- Travel expenses of the peer review panel members.
- Administrative fee of \$15,000.

- ***Wide Scope***

- Travel expenses of the peer review panel members.
- Administrative fee of \$45,000.

- ***Complex Scope***

- Costs and fees subject to negotiation.





# Standards Development Program

# Standards and Regulations

- A **STANDARD** is a “document established by consensus and approved by a recognized body that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at achievement of the optimum degree of order in a given context.”
- A **REGULATION** is a “government imposed requirement, which specifies product, process or service characteristics, including the applicable administrative provision, with which compliance is mandatory.”
- \* FAST ACT language use is causing issues with recent FTA directives



# Background and Overview

- In 1997 Commuter Rail Members created mechanism to address safety, operations and maintenance issues
- 300 documents developed or in process
- 27 active Technical Working Groups and 1100 volunteer subject matter experts
- APTA Standards documents are developed using a consensus based process patterned after the ANSI process



# Document Types

- **Standards:** A generally accepted practice, method, or prescribed manner by which something is achieved by authority as a rule, measure of quality, or value
- **Recommended Practices:** An established or usual way of doing something usually based on repeated actions or widely established processes
- **Guidelines:** General options on how to accomplish the task at hand
- **White Papers:** Document that only gives information, no action described.



# Program Areas

- Accessibility
- Bus
- Passenger Rail equipment Safety Standards (PRESS)
- Procurement
- Rail
- Security
- State of Good Repair
- Sustainability and Urban Design





# Importance to the Industry

- Improve Passenger Safety
- Reduce Costs
- Provide a Basis for Self Policing—  
Avoiding Government Intervention
- Promote Market Competition  
(Performance Standards)
- Reduce Liability



# Standards Challenges

- Ensure consensus is achieved
  - May result in increased costs, benchmarking and takes a long time
  - Active member participation
- Advocate for use and acceptance of standards
  - FTA, FRA and TSA being pushed to regulate
  - Not enough use or depth opens window to regulation
  - APTA is not able to verify industry's adoption
  - Risk Exposure





**Questions?  
What do you need?  
What can we do to help?**