

THIS PRINT COVERS CALENDAR ITEM NO.: 15

**SAN FRANCISCO
MUNICIPAL TRANSPORTATION AGENCY**

DIVISION: Safety

BRIEF DESCRIPTION:

Approving the San Francisco Municipal Transportation Agency's Public Transportation Agency Safety Plan.



SUMMARY:

- In 2018, the Federal Transit Administration (FTA) published the PTASP Rule, requiring public transportation providers to develop a new safety plan, referred to as the Public Transportation Agency Safety Plan (PTASP).
- The PTASP requires the Agency to establish a Safety Management System (SMS), which is comprised of the data driven processes the agency uses to proactively manage risks of our transportation system.
- SMS is intended to change the Agency's safety culture to reduce safety events through making safety everyone's responsibility, empowering employees to play a role in safety, and encouraging employees and contractors to report safety concerns to senior management.
- The Director and Board of Directors must approve the PTASP. The San Francisco Municipal Transportation Agency's rail oversight agency, the California Public Utilities Commission (CPUC), must also approve the Agency's PTASP.

ENCLOSURES:

1. SFMTAB Resolution
2. SFMTA Public Transportation Agency Safety Plan

APPROVALS:

DIRECTOR 
SECRETARY 

DATE

June 11, 2020

June 11, 2020

ASSIGNED SFMTAB CALENDAR DATE: June 16, 2020

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PURPOSE

Approving the San Francisco Municipal Transportation Agency's Public Transportation Agency Safety Plan.

STRATEGIC PLAN GOALS AND TRANSIT FIRST POLICY PRINCIPLES

The proposed Public Transportation Agency Safety Plan supports the following San Francisco Municipal Transportation Agency Strategic Plan Goals and Objectives:

Goal 1: Create a safer transportation experience for everyone.

Objective 1.1: Achieve Vision Zero Goal by eliminating all traffic deaths.

Objective 1.2: Improve the safety of the transit system.

Objective 1.3: Improve security for transportation system users.

The proposed Public Transportation Agency Safety Plan also supports the following City of San Francisco Transit-First Principles:

1. To ensure quality of life and economic health in San Francisco, the primary objective of the transportation system must be the safe and efficient movement of people and goods;
3. Decisions regarding the use of limited public street and sidewalk space shall encourage the use of public rights of way by pedestrians, bicyclists, and public transit, and shall strive to reduce traffic and improve public health and safety.
4. Transit-priority improvements, such as designated transit lanes and streets and improved signalization, shall be made to expedite the movement of public transit vehicles (including taxis and vanpools) and to improve pedestrian safety.

DESCRIPTION

Over a decade ago, the Federal Transit Administration (FTA) began looking at the effectiveness of its safety program to reduce serious transportation safety events. In 2012, the FTA's funding legislation, Moving Ahead for Progress in the 21st Century (MAP-21), established a new nationwide safety policy for all transit agencies to manage transit safety. The FTA is implementing the new safety policy through their PTASP Rule, 49 CFR 673, requiring all transit operators to manage their safety risks through the implementation of a Safety Management System (SMS). SMS is a top-down, data-driven management system which involves the continuous collection and analysis of information to proactively identify and manage their safety risks. An agency's SMS is implemented through a safety plan known as the Public Transportation Agency Safety Plan (PTASP).

Prior to the PTASP Rule, the FTA required transit agencies to manage safety through the system safety program approach under 49 CFR 659. This is an engineering methodology that incorporates safety into the transit system during design and construction of the system. This approach was adopted in January 1995. Under the legislation, the FTA also established state

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safety oversight of rail transit and required each state to name a rail state safety oversight agency for their transit agencies. Each transit agency was required to develop a safety plan, known as the System Safety Program Plan (SSPP), reflecting their safety program for controlling hazards and preventing collisions and other safety incidents. California named the CPUC as its rail state safety oversight agency. Other transit modes were not subject to oversight by the FTA.

The SMS improves on the System Safety Program Plan approach by integrating and harmonizing the various elements of a safety plan so that they work together to manage safety risks throughout all aspects of a transit agency's operations continuously.

The PTASP Rule is an innovative, performance-based approach to improving transit safety founded on the Safety Management System (SMS) principles. The SMS is a comprehensive, collaborative approach to managing safety which brings labor and management together to better control risk, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more precisely. The SMS implementation provides the agency leadership with a better understanding of the safety risks within the organization.

The SMS is based on four components, Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion, that continuously work together to support a safe, reliable transportation system.



Component 1 - Safety Management Policy

Safety management policy establishes senior management's commitment to continually improve safety.

Component 2 – Safety Risk Management

Safety Risk Management (SRM) involves identifying, evaluating, and devising means to eliminate, mitigate, or accept hazards. Since not all hazards can be eliminated given the

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resources at hand, the goal with SRM is to mitigate hazards to a level as low as reasonably practicable.

Component 3 – Safety Assurance

Safety Assurance evaluates the continued effectiveness of implemented risk control strategies and supports the identification of new hazards. The Agency's safety assurance processes continuously monitor its operations.

Component 4- Safety Promotion

Safety Promotion utilizes training and communication to create a positive safety culture within all levels of the workforce and reinforce that everyone has a role in promoting safety.

PTASP Development Approach

The Agency's PTASP was developed through a strategic approach that involved the following phases:

1. Project Preparation Phase

In early 2019, the Safety Division began informing the agency about the new PTASP Rule through informational presentations to the Executive Team, Senior Management Team, the Board of Directors, and the Labor Unions.

2. Gap Analysis Phase

In August of 2019, the Safety Division established the Agency's baseline compliance with the PTASP Rule through a Gap Analysis, which is a process to assess the differences between the current safety program and the new safety program. The FTA recognized that initially transit agencies will be minimally compliant with the PTASP Rule and expect it would take transit agencies between two and four years to have a fully mature SMS, depending on their size and complexity. The Gap Analysis showed the Agency was minimally compliant with the PTASP Rule.

3. PTASP Development Phase

Between August 2019 – November 2019, Safety began developing the Draft PTASP, first based on the Gap Analysis results and then by gathering information from all stakeholders including the FTA staff at the PTASP Technical Advisory Center for guidance on new regulatory interpretations, regular meetings with the CPUC, one-on-one meetings with various subject matter experts, those persons who are authorities in their area of the transit system, and feedback from the Executive Team and Senior Management.

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4. PTASP Approval Phase

On April 24, 2020, the CPUC granted the Municipal Transportation Agency a preliminary approval of its' PTASP. The approval means that the CPUC staff considers the document fully compliant with all the regulatory requirements. The CPUC will issue a final approval once the Board approves the PTASP.

PROJECT ELEMENTS

The PTASP and the SMS implementation will result in the following significant changes to the Agency's Safety Program:

The FTA's regulatory oversight has been expanded

The PTASP Rule authorizes the FTA's oversight beyond just rail to cover all modes, including rail, bus, and paratransit.

Chief Safety Officer accountabilities and responsibilities have been expanded

The PTASP Rule introduces a new role for the Chief Safety Officer (CSO) as the SMS Executive responsible for implementing the agency-wide SMS. The CSO/SMS Executive serves as the SMS subject matter expert.

The Board's role for the safety of the transit system has been expanded

The Board is now required to approve the Agency's PTASP which confirms that the PTASP complies with each requirement of the PTASP Rule and that it will effectively guide the Agency in the management of safety risks.

An Employee Safety Reporting Program for employees to report safety events to management has been established

The PTASP Rule requires the Agency to implement a robust program for employees and contractors to report safety concerns to senior management. The Agency has established a multifaceted Employee Safety Reporting Program that includes an electronic safety reporting form, a paper reporting form, a 24-hour phone hot line, and various Division Safety Committees.

STAKEHOLDER ENGAGEMENT

Informational Outreach

January 2018 – April 2020, the Safety Division provided training on the new PTASP Rule to the Director of Transportation, the Executive Team, the Senior Management Team, the Senior Management Safety Committee, the Board of Directors and labor unions.

Subject Matter Expert Meetings

November 2019 – February 2020, the Safety Division engaged in a robust outreach process with subject matter experts throughout the Agency to gather information for developing and refining the PTASP document including, but not limited to, City Attorney, Transit Operation Maintenance and Training Units, Transit Product Delivery, Safety Division, Sustainable Streets Traffic Engineering, Security and Emergency Preparedness, Information Technology, Capital Projects and Construction, Central Subway Project, Governmental Affairs, Human Resources, Communications, and Taxi and Accessible Services. This outreach was in the form of targeted one-on-one meetings and a PTASP Project Kick-off meeting.

California Public Utilities Commission

January 2018 – February 2020, beginning with the onset of the PTASP Project, Safety Division staff met regularly with CPUC staff to review the new PTASP Rule and provide progress reports on the development of our PTASP.

March 2020 – April 2020, the Safety Division met with CPUC staff multiple times to review the Final PTASP Draft and receive Preliminary CPUC Approval.

Federal Transit Administration

August 2019 – March 2020, the Safety Division met multiple times with the Federal Transit Administration PTASP staff to discuss the regulatory interpretation and requirements of the PTASP Rule and to receive feedback on the Agency's Final PTASP Draft.

Metropolitan Transportation Commission

March 2019 – May 2020, the Safety Division met with the Metropolitan Transportation Commission (MTC) to discuss the Agency's safety performance targets which were also submitted to the MTC for use in their regional planning.

Other Outreach

The Safety Division established a webpage [PTASP and SMS Website](#) to provide stakeholders with access to information on the PTASP including the Gap Analysis, the training Presentations, the PTASP drafts, and the PTASP regulations and SMS..

ALTERNATIVES CONSIDERED

The Safety Division considered the alternative to keep the old System Safety Program Plan and rename it PTASP making no changes. Based on the Gap Analysis performed by the Safety Division, it was determined this alternative was not feasible because the PTASP Rule had

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additional requirements not in the SSPP. Consequently, the Municipal Transportation Agency concluded that we would need to develop an entirely new safety plan for both bus and rail to comply with SMS requirements.

FUNDING IMPACT

The impact on the SFMTA's operating budget is negligible.

ENVIRONMENTAL REVIEW

On March 26, 2020, the San Francisco Municipal Transportation Agency, under authority delegated by the Planning Department, determined that the proposed PTASP is not defined as a "project" under the California Environmental Quality Act (CEQA) pursuant to Title 14 of the California Code of Regulations Sections 15060(c) and 15378(b).

A copy of the CEQA determination is on file with the Secretary to the San Francisco Municipal Transportation Agency Board of Directors and is incorporated herein by reference.

OTHER APPROVALS RECEIVED OR STILL REQUIRED

On March 19, 2020, the PTASP was provided to the MTC to coordinate the Agency's safety performance targets with MTC's regional planning, as required by the regulation.

On April 24, 2020, the Agency received CPUC's preliminarily approval of the PTASP. The Municipal Transportation Agency will certify the PTASP through the grants process each year. While the PTASP is not subject to the FTA approval, the FTA will review the PTASP for compliance during their next, FY 20-21 triennial audit.

The City Attorney's Office has reviewed this calendar item.

RECOMMENDATION

Approving the San Francisco Municipal Transportation Agency' Public Transportation Agency Safety Plan.

SAN FRANCISCO
MUNICIPAL TRANSPORTATION AGENCY
BOARD OF DIRECTORS

RESOLUTION No. _____

WHEREAS, In 2018, the Federal Transit Administration (FTA) published the PTASP Rule, requiring each public transportation agency to develop a new safety plan, referred to as the Public Transportation Agency Safety Plan (PTASP), and implement a Safety Management System (SMS), and;

WHEREAS, The PTASP Rule is designed to change the safety culture of a transportation agency by making safety everyone's responsibility, empowering employees to play a role in safety and encouraging employees and contractors to report safety concerns to senior management, and;

WHEREAS, The Safety Division conducted a Gap Analysis to determine the extent of the agency's compliance with the new PTASP Rule, and;

WHEREAS, The Safety Division subsequently developed and received internal approval of the Draft PTASP documenting the Agency's existing compliance with the new PTASP Rule based on data collected from subject matter experts within the Agency, and;

WHEREAS, The Safety Division shared its performance targets, as required by the PTASP Rule, with the California Public Utilities Commission (CPUC), and with the Metropolitan Transportation Commission (MTC) to aid in its regional planning processes, and;

WHEREAS, On April 24, 2020, the California Public Utilities Commission (CPUC) granted Preliminary Approval of the Agency's PTASP, and;

WHEREAS, The PTASP must be approved by the Board of Directors by July 20, 2020, and;

WHEREAS, On March 26, 2020, the San Francisco Municipal Transportation Agency, under authority delegated by the Planning Department, determined that the Public Transportation Agency Safety Plan is not defined as a "project" under the California Environmental Quality Act (CEQA) pursuant to Title 14 of the California Code of Regulations Section 15060(c) and 15378(b); and,

WHEREAS, A copy of the CEQA determination is on file with the Secretary to the San Francisco Municipal Transportation Agency Board of Directors and is incorporated herein by reference; now, therefore, be it

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RESOLVED, That the San Francisco Municipal Transportation Agency Board of Directors does hereby approve the SFMTA's Public Transportation Agency Safety Plan.

I certify that the foregoing resolution was adopted by the San Francisco Municipal Transportation Agency Board of Directors at its meeting of June 16, 2020.

Secretary to the Board of Directors
San Francisco Municipal Transportation Agency