PTC STANDARDS TASK FORCE
RSAC PROGRESS REPORT

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MAY 19, 2000
MADISON HOTEL, WASHINGTON, DC

REVIEW OF TASK FORCE ACTIVITIES

- Origin of the PTC Standards Task Force
- November 1997-Ponte Vedra Beach, FL
- December 1997 -Washington, DC
- February 1998 -Fort Worth, TX (first formal meeting)
- December 1999 -Ponte Vedra Beach, FL (most recent meeting)

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MISSION

- CODE OF FEDERAL REGULATIONS (CFR) PART 236, SUBPART H "SAFETY OF PROCESSOR-BASED SIGNAL AND TRAIN CONTROL SYSTEMS"
- MASTER DRAFT
- STAKEHOLDERS
  - Railroad Management
  - Railroad Labor
  - FRA/Government
  - Signal/Train Control System Manufacturers (Non-voting)

RECENT ISSUES - DEC. 1999

- Risk metric
- Products to be covered by subpart H
- Criteria for requiring third party assessment
- Recordkeeping requirements

RECENT EVENTS

- Distributed and received comments on draft rule text
- Discussed comments with parties submitting them

FUTURE BUSINESS

- Come to consensus on full draft NPRM (preamble and rule text)
- Present to PTC Working Group for consensus vote
- RSAC consensus vote
- Obtain clearance to publish in Federal Register

DRAFT NOTICE OF PROPOSED RULEMAKING (NPRM)

1. APPLICATION OF THE RULE
2. RAILROAD SAFETY PROGRAM PLAN (RSPP)
3. CONFIGURATION MANAGEMENT
4. PERFORMANCE STANDARD
5. PRODUCT SAFETY PLAN (PSP)
6. FRA OVERSIGHT
7. IMPLEMENTATION & OPERATION

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1. APPLICATION OF THE RULE

- Product = Processor-based signal or train control system, subsystem, or component.

- Existing processor-based systems - Grandfathered.

- Products which interface with highway-rail grade crossing systems-Part 234 amended.

2. RSPP

- Guidance document - establishes minimum requirements for development of all products on railroad.
- Must be approved by FRA.

3. CONFIGURATION MANAGEMENT

- Railroads must adopt configuration management control plan.
- Ensures proper configuration of systems are maintained.

4a. PERFORMANCE STANDARD

- Railroad operation using new products can be no less safe than old railroad operation.

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4b. PERFORMANCE STANDARD

- How to show compliance?

  - Risk assessment.
  - For simple component replacement, risk assessment reduces to Mean Time to Hazardous Event (MTTHE) comparison.

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5. PSP

- Describes safety aspects of product. If product varies from proven design principles, then PSP explains how safety requirements are met using new design.

- Includes risk assessment.

- Includes plans for training of employees and recordkeeping.

6a. FRA OVERSIGHT

- 2 tracks- petition and informational filing. Petitions required for PSPs involving full-fledged PTC systems. Informational filing required for all others.

- FRA will publish notice in Federal Register periodically to inform interested parties of filings and petitions.

- Under certain circumstances, FRA may require an independent third party assessment.

6b. FRA OVERSIGHT

PETITION FOR FINAL APPROVAL

- FRA review and approval time proportional to timing of Notice of Product Development (not required). Earlier notice is better.

- Petition must include PSP.

6c. FRA OVERSIGHT

INFORMATIONAL FILING

- Informational filings: if no objections by FRA (for cause), railroad can implement product 180 days after filing.

- Filing need not contain entire PSP, but rather description and actual location of it.

7. IMPLEMENTATION & OPERATION

- Operation governed by PSP.
- Training required for all employees who work with product (including those whose safety depends on it).
- Recordkeeping - Installation, repair, modification, testing, inspection, and maintenance records to be kept; safety-relevant hazards tracked.

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