

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Checklist for Rail Transit Agencies (RTAs) and State Safety Oversight Agencies (SSOAs)

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Checklist for Rail Transit Agencies (RTAs) and State Safety Oversight Agencies (SSOAs)* to assist with the development of the Public Transportation Agency Safety Plan (ASP) for rail transit modes. Use of this checklist is voluntary.

The checklist is intended for use by RTAs that are required to draft an ASP in accordance with 49 CFR Part 673, Public Transportation Agency Safety Plans (Part 673), and for SSOAs that must review and approve the ASP per 49 CFR Part 674, State Safety Oversight (Part 674).

The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP> and Part 674 is available at <https://www.transit.dot.gov/state-safety-oversight>.

The guidance in this document is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect



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Section A. Transit Agency Information

The RTA specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	A-1. Transit agency name and address.		
<input type="checkbox"/>	A-2. Mode(s) of transit service covered by the ASP (§ 673.11(b)).		
<input type="checkbox"/>	A-3. SSOA and authority for State Safety Oversight (SSO) program.		
<input type="checkbox"/>	A-4. An Accountable Executive who is:		
<input type="checkbox"/>	A-4-a. Accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's transit system (§ 673.23(d)(1)).		
<input type="checkbox"/>	A-4-b. Accountable for ensuring action is taken to address substandard performance in the agency's SMS (§ 673.23(d)(1)).		
<input type="checkbox"/>	A-5. A Chief Safety Officer (or SMS Executive) who:		
<input type="checkbox"/>	A-5-a. Is designated by the Accountable Executive (§ 673.23(d)(2)).		
<input type="checkbox"/>	A-5-b. Holds a direct line of reporting to the Accountable Executive (§ 673.23(d)(2) and § 674.29(b)).		
<input type="checkbox"/>	A-5-c. Is adequately trained (§ 673.5 and § 674.29(b)).		



<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	A-5-d. Has the authority and responsibility for day-to-day implementation and operation of the agency's SMS (§ 673.23(d)(2)).		
<input type="checkbox"/>	A-5-e. Does not serve in other operational or maintenance capacities (§ 673.5).		

Section B. Plan Development, Approval, and Updates

The RTA provides:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	B-1. The Accountable Executive's signature of the ASP (§ 673.11(a)(1)) and date of signature.		
<input type="checkbox"/>	B-2. The Board of Directors' or Equivalent Authority's approval of the ASP (§ 673.11(a)(1) and § 674.29(b)) and date of approval.		
<input type="checkbox"/>	B-3. Process and timeline for conducting an annual review and update of the ASP (§ 673.11(a)(5) and § 674.29(b)), including the ASP version number and other relevant information.		



Section C. Emergency Preparedness and Response Plan

The RTA provides or references:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	C-1. An emergency preparedness and response plan or procedure that addresses, at a minimum:		
<input type="checkbox"/>	C-1-a. The assignment of employee responsibilities during an emergency (§ 673.11(a)(6)); and		
<input type="checkbox"/>	C-1-b. Coordination with Federal, State, regional, and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area (§ 673.11(a)(6)).		

Section D. Safety Performance Targets

The RTA specifies performance targets for:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	D-1. <i>Fatalities</i> : Total number of reportable fatalities and rate per total vehicle revenue miles, by rail transit mode (National Safety Plan and § 673.11(a)(3)).		
<input type="checkbox"/>	D-2. <i>Injuries</i> : Total number of reportable injuries and rate per total vehicle revenue miles, by rail transit mode (National Safety Plan and § 673.11(a)(3)).		
<input type="checkbox"/>	D-3. <i>Safety Events</i> : Total number of reportable events and rate per total vehicle revenue miles, by rail transit mode (National Safety Plan and § 673.11(a)(3)).		
<input type="checkbox"/>	D-4. <i>System Reliability</i> : Mean (or average) distance between major mechanical failures, by rail transit mode (National Safety Plan and § 673.11(a)(3)).		

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	D-5. Performance targets are made available to the State to aid in the planning process (§ 673.15(a)).		
<input type="checkbox"/>	D-6. Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process (§ 673.15(a)).		



<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	D-7. Coordination with the State and MPOs in the selection of State and MPO safety performance targets, to the maximum extent practicable (§ 673.15(b)).		



Section E. Development and Implementation of a Safety Management System (SMS)

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	E-1. Its establishment and implementation of a Safety Management System (SMS) (§ 673.11(a)(2) and § 673.21). (§ 673.21).		
<input type="checkbox"/>	E-2. The SMS is appropriately scaled to the size, scope, and complexity of the RTA and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion (§ 673.21).		

Section F. Safety Management Policy

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	F-1. Written statement of safety management policy, including the agency's safety objectives (§ 673.5, § 673.21(a), and § 673.23(a)).		
<input type="checkbox"/>	F-2. Employee safety reporting program, that includes:		
<input type="checkbox"/>	F-2-a. A process that allows employees, including contractors, to report safety conditions to senior management (§ 673.23(b)).		
<input type="checkbox"/>	F-2-b. Protections for employees who report safety conditions to senior management (§ 673.23(b)).		
<input type="checkbox"/>	F-2-c. A description of employee behaviors that may result in disciplinary action (§ 673.23(b)).		
<input type="checkbox"/>	F-3. Communication of the safety management policy throughout the agency's organization (§ 673.23(c)).		
<input type="checkbox"/>	F-4. Necessary authorities, accountabilities, and responsibilities for the management of safety and the implementation of the RTA's SMS among the key safety roles within the organization:		
<input type="checkbox"/>	F-4-a. Accountable Executive (§ 673.5, § 673.23(d)(1), and § 674.7).		
<input type="checkbox"/>	F-4-b. Chief Safety Officer (or SMS Executive) (§ 673.5, § 673.23(d)(2), and § 674.29(b)).		
<input type="checkbox"/>	F-4-c. Agency Leadership and Executive Management (§ 673.23(d)(3)).		



<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	F-4-d. Key Staff (§ 673.23(d)(4)).		
<input type="checkbox"/>	F-5. Adequate methods to ensure implementation of ASP by all employees, agents, and contractors (§ 674.29(b)).		



Section G. Safety Risk Management

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	G-1. Safety Risk Management process for all system elements (§ 673.21(b), § 673.25, and § 674.29(b)).		
<input type="checkbox"/>	G-2. Process for hazard identification including identifying consequences of hazards (§ 673.25(a), § 673.25(b)(1), and §674.7).		
<input type="checkbox"/>	G-3. Process to include FTA, the SSOA, and other oversight authorities as sources for hazard information (§ 673.25(b)(2)).		
<input type="checkbox"/>	G-4. Process for assessing the safety risks associated with identified safety hazards, including an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations (§ 673.7, § 673.25(c), and § 674.7).		
<input type="checkbox"/>	G-5. Process to prioritize hazards based on the safety risk (§ 673.25(c)(2)).		
<input type="checkbox"/>	G-6. Process to identify mitigations or strategies necessary as a result of safety risk assessments to reduce the likelihood and severity of the consequences of hazards (§ 673.25(a) and § 673.25(d)).		
<input type="checkbox"/>	G-7. Process for safety risk management, with adequate means of risk mitigation (§ 673.25 and § 674.29(b)).		

Section H. Safety Assurance

The RTA specifies, or references documentation that specifies, its methods or processes to:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	H-1. Develop and implement a Safety Assurance process covering Safety Performance Monitoring and Measurement, Management of Change, and Continuous Improvement (§ 673.27).		

Safety Performance Monitoring and Measurement

The RTA specifies, or references documentation that specifies, its methods or processes to:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	H-2. Monitor system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance (§ 673.27(b)(1)).		
<input type="checkbox"/>	H-3. Monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended (§ 673.27(b)(2)).		
<input type="checkbox"/>	H-4. Conduct investigations of safety events to identify causal factors (§ 673.27(b)(3)) and that address:		
<input type="checkbox"/>	H-4-a. SSOA requirements for notifying the SSOA of accidents including time limits for and methods of notification and what information the RTA must submit to the SSOA (§ 674.27(a)(6) and § 674.33(a)).		



☒	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	H-4-b. FTA requirements to notify the SSOA and FTA within two hours of any accident occurring on the RTA system (§ 674.33(a)). Accident is defined as any instance involving a fatality occurring at the scene or within 30 days following the accident, one or more persons suffering serious injury (§ 673.5 and §674.7), property damage resulting from a collision involving a rail transit vehicle, or any derailment of a rail transit vehicle (§ 674 Appendix).		
<input type="checkbox"/>	H-4-c. What must be included in any investigation report developed on behalf of the SSOA, including, at a minimum, identification of factors that caused or contributed to the accident and setting forth a Corrective Action Plan as appropriate (§ 674.35(b)).		
<input type="checkbox"/>	H-4-d. How the RTA will work with the SSOA when conducting its own internal investigation of a safety event (§ 674.35(a)).		
<input type="checkbox"/>	H-4-e. The process through which the RTA will review investigation reports developed by the SSOA, and submit written dissent, as appropriate (§ 674.35(b)).		
<input type="checkbox"/>	H-4-f. Training requirements for all personnel and contractors that conduct investigations on behalf of an SSOA in accordance with the Public Transportation Safety Certification Program (§ 674.35(c)).		
<input type="checkbox"/>	H-5. Monitor information reported through any internal safety reporting programs (§ 673.27(b)(4)).		



Management of Change

The RTA specifies or references documentation that specifies its methods or processes to:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	H-6. Identify and assess changes that may introduce new hazards or impact the RTA's safety performance (§ 673.27(c)(1)).		
<input type="checkbox"/>	H-7. Evaluate any changes that may introduce new hazards or impact the agency's safety performance through the RTA's Safety Risk Management Process (§ 673.27(c)(2)).		

Continuous Improvement

The RTA specifies or references documentation that specifies its methods or processes to:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	H-8. Assess the RTA's safety performance (§ 673.27(d)(1)), including:		
<input type="checkbox"/>	H-8-a. Notifying the SSOA before conducting any internal safety review, following the process specified in the SSOA Program Standard (§ 674.27(a)(4)).		
<input type="checkbox"/>	H-8-b. Submitting materials regarding the conduct and results of internal safety reviews to the SSOA under the Accountable Executive's signature (§ 674.27(a)(4)).		
<input type="checkbox"/>	H-9. Develop and carry out a plan, under the direction of the Accountable Executive, to address safety deficiencies identified as part of the safety performance assessment (§ 673.27(d)(2)).		



Section I. Safety Promotion

The RTA specifies or references documentation that specifies its methods or processes to:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	I-1. Establish and implement a comprehensive safety training program for all personnel directly responsible for RTA safety (§673.29(a)) that:		
<input type="checkbox"/>	I-1-a. Includes employees and contractors (§ 673.29(a)).		
<input type="checkbox"/>	I-1-b. Includes refresher training, as necessary (§ 673.29(a)).		
<input type="checkbox"/>	I-2. Communicate safety and safety performance information throughout the agency's organization (§ 673.29(b)).		
<input type="checkbox"/>	I-3. Convey information on hazards and safety risks relevant to employees' roles and responsibilities (§ 673.29(b)).		
<input type="checkbox"/>	I-4. Inform employees of safety actions taken in response to reports submitted through an employee safety reporting program (§ 673.29(b)).		



Section J. Corrective Action Plans

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	J-1. When the RTA must develop and carry out a CAP (§ 674.37(a)).		
<input type="checkbox"/>	J-2. How the RTA will submit CAPs to the SSOA for review and approval (§ 674.37(a)).		
<input type="checkbox"/>	J-3. How the RTA will manage immediate or emergency corrective actions (§ 674.37(a)).		
<input type="checkbox"/>	J-4. The required contents of a CAP, including describing the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions (§ 674.37(a)).		
<input type="checkbox"/>	J-5. How the RTA must periodically report to the SSOA on its progress in carrying out CAPs (§ 674.37(a)).		



Section K. Documentation, Definitions and Acronyms

The RTA specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	K-1. How the RTA will document key processes and procedures required to carry out the SMS that are not included or referenced elsewhere in the (ASP) (§ 673.31).		
<input type="checkbox"/>	K-2. How the RTA will maintain SMS documentation and ensure that all SMS documentation will be maintained for a period of no less than three years after they are created (§ 673.31).		
<input type="checkbox"/>	K-3. How the RTA will ensure that FTA, any other Federal entity, and the SSOA have access to any SMS documentation maintained by the RTA upon request (§ 673.31).		
<input type="checkbox"/>	K-4. Applicable definitions from Part 673, Part 674, and the SSOA Program Standard (§ 673.5 and § 674.7).		
<input type="checkbox"/>	K-5. Applicable acronyms from Part 673, Part 674, and the SSOA Program Standard (§ 673.5 and § 674.7).		

Section L. SSOA Compliance Assessment

Per § 674.29(b), the ASP:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	L-1. Is consistent with FTA’s regulations for implementing such plans and the National Public Transportation Safety Plan (§ 674.29(a)).		
<input type="checkbox"/>	L-2. In compliance with the SSOA’s Program Standard (§ 674.29(a)).		
<input type="checkbox"/>	L-3. Is approved by the RTA’s board of directors or equivalent entity (§ 674.29(b)).		<i>See B-2 (Section B, item 2).</i>
<input type="checkbox"/>	L-4. Sets forth a sufficiently explicit process for safety risk management, with adequate means of risk mitigation for the rail transit system (§ 674.29(b)).		<i>See G-7.</i>
<input type="checkbox"/>	L-5. Includes a process and timeline for annually reviewing and updating the ASP (§ 674.29(b)).		<i>See B-3.</i>
<input type="checkbox"/>	L-6. Includes a comprehensive staff training program for the operations personnel directly responsible for the safety of the RTA (§ 674.29(b)).		<i>See I-1.</i>
<input type="checkbox"/>	L-7. Identifies an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the RTA (§ 674.29(b)).		<i>See A-6.</i>
<input type="checkbox"/>	L-8. Includes adequate methods to support the execution of the ASP by all employees, agents, and contractors for the rail transit system (§ 674.29(b)).		<i>See F-5.</i>
<input type="checkbox"/>	L-9. Sufficiently addresses other requirements under the regulations at 49 C.F.R. Part 673 (§ 674.29(b)).		