



## Learn. Share. Engage.

This issue of the *Biweekly Message* focuses on the Safety Assurance Compliance Monitoring section of Agency Safety Plans (ASPs).

## Featured Resources

**New!** The [Safety Performance Targets Fact Sheet](#) contains guidance on how to determine safety performance targets (SPTs).

**New!** [Certifying Compliance with the Public Transportation Agency Safety Plan \(PTASP\) Regulation](#) discusses what certification means and who must certify. The [Certification Fact Sheet](#) reviews the who, when, and how of certifying compliance with the PTASP regulation.

**New!** Version 5 of the [PTASP Workshop Participant Guide](#) is now available. It includes an update in the SPT section.

**New!** [Understanding PTASP Safety Training and Communication Requirements](#) looks at key aspects of Safety Promotion.

**New!** Management of Change Webinar (August 27, 2020):

[Webinar Presentation](#) | [Webinar Recording](#)

Safety Assurance Webinar (July 11, 2019):

[Webinar Presentation](#) | [Webinar Recording](#)

Safety Assurance ASP Section Lessons Learned Webinar (March 26, 2020):

[Webinar Presentation](#) | [Webinar Recording](#)

The [Guide to Developing the Safety Assurance Component of a Public Transportation ASP](#) contains details about Safety Performance Monitoring.

Access the entire resource library by visiting FTA's [PTASP Technical Assistance Center website](#).

### Need Assistance?

Contact a PTASP Specialist today!



[PTASP-TAC@dot.gov](mailto:PTASP-TAC@dot.gov)



1-87 PTASP-AID  
1 (877) 827-7243

9 a.m. to 8 p.m. EDT, M-F

Did you know that FTA's Technical Assistance Center (TAC) offers voluntary reviews of draft ASPs?



**Submit your ASP by  
November 13, 2020 to  
guarantee review by TAC.**

For more information, see the [Agency Safety Plan Review: What to Expect](#).

## Coronavirus Disease 2019 (COVID-19)

FTA encourages transit agencies to stay informed and prepared for protecting personnel and passengers against COVID-19. For more info, visit [FTA's COVID-19 web page](#).

Consider reviewing:

- [FAQs from FTA Grantees Regarding COVID-19](#)
- [FTA's COVID-19 Resource Tool for Public Transportation](#) (a one-stop-shop for Federal COVID-19 guidance and recommendations)



## Q & A Highlights

### Question 1:

Can we reference procedures that our transit agency has already implemented regarding compliance monitoring and safety event investigations or do we need to reiterate those procedures in the ASP?

#### FTA Response:

Yes, you may reference your previously existing procedures within the Safety Assurance section of your ASP as long as those procedures meet requirements at [49 CFR § 673.27\(b\)](#) for compliance monitoring.

### Question 2:

In our ASP, we describe how we ensure the compliance of our operations and maintenance procedures and their sufficiency. Is there something else we should include?

#### FTA Response:

In your description of how your agency monitors compliance and sufficiency, consider specifying:

- Which procedures are monitored for compliance and sufficiency;
- Job position(s) responsible for carrying out monitoring activities;
- Who is responsible for reviewing the results of the monitoring;
- Measures taken when non-compliance or insufficient procedures are identified; and
- How this information is documented and tracked.

### Question 3:

Does the compliance monitoring portion of the Safety Assurance section need to list every activity our agency uses to monitor compliance and include detailed information on each activity?

#### FTA Response:

Your ASP should contain sufficient information to explain how your agency meets the requirement, such as details on the scope (or focus and level of effort) of these activities and how you will respond to the issues identified by your monitoring process(es).

### Upcoming Events

#### Compliance Monitoring Webinar

**When:** September 16,  
2-3:30 p.m. EDT

[Register Here](#)



## ASP Lessons Learned: Compliance Monitoring

(The following content is an excerpt from the [ASP Lessons Learned document](#).)

- Describe the activities to ensure compliance with operations and maintenance procedures.
  - For example, rules compliance programs, internal audits, records reviews, observations, “ride-alongs,” etc.
- Describe the activities to ensure the sufficiency of operations and maintenance procedures.
- Consider describing the scope, or focus and level of effort, of these activities.
- Consider describing how the agency acts on issues identified during these activities.
- Describe how the agency monitors operations to identify safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended.
- Consider describing the inputs the agency uses to monitor safety risk mitigations.
- Consider describing the threshold(s) the agency uses to determine whether to act on a safety risk mitigation that is not implemented or performing as intended.
- Consider describing how the agency responds to safety risk mitigations that are not implemented as intended.
  - For example, identifying alternative mitigation approaches.
- Consider describing how the agency responds to ineffective safety risk mitigations.
  - For example, reanalyzing the hazard(s) or potential consequences the mitigation was intended to address through Safety Risk Management.
- Consider describing how the agency responds to inappropriate safety risk mitigations, such as identifying new mitigations.

### Get Involved with the [PTASP Community of Practice](#)

We want to hear from you! Below are two of many topics for discussion. Start the conversation today to support your ASP development and learn from your peers.

- How does your agency [document changes](#) to your service operations?
- Who will be responsible for assessing your agency’s [safety performance and the effectiveness of your SMS](#)? Will you use outside expertise?

*The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA’s statutes and regulations for applicable requirements.*