



Learn. Share. Engage.

This issue of the *Biweekly Message* focuses on investigations of safety events for the Safety Assurance section of the Public Transportation Agency Safety Plan (PTASP) regulation (49 CFR § 673.27(b)(3)).

Featured Resources

New! The article [Monitoring Compliance and Sufficiency of Operations and Maintenance Procedures](#) provides information on the PTASP requirements for compliance monitoring.

The [Sample Agency Safety Plan \(ASP\) for Small Public Transportation Providers](#) (page 13) and the [Sample ASP for Bus Transit Providers](#) (pages 28-31) offer sample content for the investigations section of an ASP.

The [Sample List of Documented Safety Risk Management and Safety Assurance Process Elements](#) is a fillable checklist that provides key processes that may help in the development of your ASP.

[Causal Factor of Accidents](#), from the 2018 State Safety Oversight Workshop, helps agencies develop processes to effectively identify and manage safety risk.

Safety Assurance Webinar (July 11, 2019):
[Webinar Presentation](#) | [Webinar Recording](#)

Safety Assurance ASP Section Lessons Learned Webinar (March 26, 2020):
[Webinar Presentation](#) | [Webinar Recording](#)

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



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](#).

ASP Certification Deadline

There are only **77 days** left to certify that your agency has met the PTASP regulation requirements within the [Transit Award Management System](#) (TrAMS) and meet the **December 31, 2020** deadline.

Recipients that have not completed the PTASP certification by December 31, 2020, will be ineligible to receive FTA funds until the certification is complete.



Q & A Highlights

Question 1:

Are the terms Accident, Incident, and Occurrence, as defined in 49 CFR Part 673, applicable to bus transit agencies?

FTA Response:

Yes, the definitions at [§673.5](#) apply to both bus and rail modes. Part 673 defines the term “Event” as any “Accident, Incident, or Occurrence.” The regulation also defines each of these three terms. The Safety Assurance requirement (§673.27(b)(3)) calls for transit agencies to conduct investigations of safety events (Accidents, Incidents, and Occurrences) to identify causal factors.

Question 2:

Do we have to describe all of our safety event investigation procedures in our ASP, or can we reference the location of the documentation for our procedures?

FTA Response:

A transit agency may reference documents in its ASP as long as the final ASP and any referenced information, when taken together, satisfy all requirements of the PTASP regulation. For the safety event investigation requirement, your referenced procedures must include how you identify causal factors. When you reference other documentation in your ASP, you may consider also specifying who is responsible for investigations, where the results of investigations are documented, or specific categories of causal factors. (These could include latent organizational factors that the agency reviews or considers as part of safety event investigations.) Please note that you must maintain documents related to your ASP (including those you reference) for a minimum of three years. They must be available upon request by FTA, other Federal entities, or your State Safety Oversight Agency (§673.31).

Question 3:

What are some other examples of causal factors, beyond the transit vehicle driver being at fault?

FTA Response:

Beyond human factors such as errors, violations, the condition of an individual, or lack of communication or coordination between individuals, other factors could include equipment and infrastructure, organizational or environmental elements, or elements outside of the agency’s control.

Upcoming Events

ASP Lessons Learned Webinar

When: October 22,
2-3:30 p.m. EDT

[Register Here](#)



ASP Lessons Learned: Investigation of Safety Events

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

- Define what the agency investigates and ensure, at a minimum, that the agency's approach includes [Accidents](#), [Incidents](#), and [Occurrences](#) as defined in §673.5.
- Describe the agency's investigation process, including how the agency identifies causal factors.
- Consider referencing existing procedures, policies, or handbooks, if available.
- If establishing that the "preventability" of the safety event is part of the investigation process, consider explaining the role that causal factors play in this determination.
- Consider listing or describing specific categories of causal factors that the agency reviews or considers as part of its investigation process.
- Consider describing how the agency addresses hazards identified in investigations through the Safety Risk Management process.
- Consider describing the agency's training requirements for individuals who investigate events.

Coronavirus Disease 2019 (COVID-19)

FTA encourages transit agencies to stay informed and prepared for protecting personnel and passengers against COVID-19. For more information, 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)

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.

- Which part of ASP development did your agency find the most challenging, and [how did you overcome that challenge?](#)
- What [resources or guidance](#) from the FTA's TAC were the most helpful in supporting the development of your agency's Agency Safety Plan?

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.