Public Transportation Agency Safety Plan Checklist for Bus Transit

Version 1, Issued 09/09/19

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan (PTASP) Checklist for Bus Transit* to assist with the development of Agency Safety Plans (ASP) for bus transit modes. Use of this checklist is voluntary. The checklist is intended for use by States and operators of public transportation systems that are required to draft an ASP in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at *http://www.transit.dot.gov/PTASP*.

1. Transit Agency Information

The ASP specifies:

☐	Name(s) and address(es) of the transit agency(ies) that the ASP applies to.
☐	Mode(s) of transit service covered by the ASP.
☐	Mode(s) of service provided by the transit agency (directly operated or contracted service).
☐	FTA funding types. (e.g., 5307, 5337, 5339)
☐	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).
☐	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).
☐	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).

2. Plan Development, Approval, and Updates

The ASP specifies or references documentation that specifies:

☐	Name of the entity that drafted the ASP (e.g., State Department of Transportation).
☐	The Accountable Executive's signature of the ASP and date of signature.
☐	The Board of Directors' or Equivalent Authority's approval of the ASP and date of approval.
☐	Certification of compliance with Part 673, including the name of the individual or entity that certifies the ASP and date of certification.
☐	Process and timeline for conducting an annual review and update of the ASP, including the ASP version number and other relevant information.
☐	The ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.

3. Safety Performance Targets

The ASP specifies performance targets, as defined in § 673.5, for:

☐	*Fatalities:* Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.
☐	*Injuries:* Total number of reportable injuries and rate per total vehicle revenue miles, by mode.
☐	*Safety Events:* Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)
☐	*System Reliability:* Mean (or average) distance between major mechanical failures, by mode.

The ASP specifies or references documentation that specifies:

☐	Performance targets are made available to the State to aid in the planning process.
☐	Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.
☐	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.

4. Safety Management Policy

The ASP describes or references documentation that describes:

☐	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.
☐	Employee safety reporting program, that includes: • A process that allows employees to report safety conditions to senior management, • Protections for employees who report safety conditions to senior management, and • A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.
☐	Communication of the SMP throughout the agency's organization.
☐	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals: • Accountable Executive, • Chief Safety Officer or SMS Executive, • Agency leadership and executive management, and • Key staff.

5. Safety Risk Management

The ASP describes or references documentation that describes a Safety Risk Management (SRM) process for all elements of the transit agency's public transportation system, to include:

☐	*Safety hazard identification:* Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and FTA as sources for hazard identification.
☐	*Safety risk assessment:* Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.
☐	*Safety risk mitigation:* Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.

6. Safety Assurance

The ASP describes or references documentation that describes:

☐	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance (i.e., *Safety performance monitoring and measurement*).
☐	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended (i.e., *Safety performance monitoring and measurement*).
☐	Activities to conduct investigations of safety events, including the identification of causal factors (i.e., *Safety performance monitoring and measurement*).
☐	Activities to monitor information reported through any internal safety reporting programs (i.e., *Safety performance monitoring and measurement*).
☐	*Management of change:* A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's SRM process. [Not Required for Small Public Transportation Providers]
☐	*Continuous improvement:* A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies. [Not Required for Small Public Transportation Providers]

7. Safety Promotion

The ASP describes or references documentation that describes:

☐	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency's public transportation system. This program must include refresher training, as necessary.
☐	Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: • Information on hazards and safety risks relevant to employees' roles and responsibilities, and • Safety actions taken in response to reports submitted through an employee safety reporting program.

Additional Information

The ASP specifies or references:

☐	Documentation not included or referenced elsewhere in the ASP, related to: • Implementation of the transit agency's SMS; • Programs, policies, and procedures that the agency uses to carry out its ASP; and • Results from SMS processes and activities. *The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction.*
☐	Definitions of terms used in the ASP.
☐	List of acronyms used in the ASP.