



FEDERAL TRANSIT ADMINISTRATION

Safety Management Systems (SMS) for Executives: Preparing for July 20, 2020

Office Transit Safety and Oversight (TSO)

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Agenda

- Introductions
- PTASP Regulation Overview
- SMS Overview and Requirements
- Agency Safety Plan Development
- PTASP Resources

Objectives

- Describe the requirements of the Public Transportation Agency Safety Plan regulation
- Understand executives' authorities, accountabilities and responsibilities for Agency Safety Plan development and implementation
- Discuss considerations for leading an agency to meet the July 20, 2020 compliance deadline

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) REGULATION OVERVIEW



FEDERAL TRANSIT ADMINISTRATION

Public Transportation Agency Safety Plans (PTASP) Regulation at 49 C.F.R. Part 673

- Innovative approach to improving transit safety:
 - Based on Safety Management System (SMS) principles and methods
 - Risk and performance-based
 - Flexible and scalable
- Compliance deadline: July 20, 2020

Applicability

Applies to:

Operators of transit systems that are recipients or subrecipients of FTA funds:



Section 5307



**Section 5310 & 5311
(applicability deferred)**



**All rail transit operators,
regardless of FTA funding source**

Does NOT Apply to:



FTA recipients that do not operate transit systems



Commuter rail service regulated by Federal Railroad Administration



Passenger ferry service regulated by U.S. Coast Guard

Impacted Agencies



**65 Rail Transit
Agencies**



**128 Large 5307
Bus Agencies**



**737 Small 5307
Bus Agencies**



**Multi-modal
Transit Agencies**

PTASP Requirements



Agency Safety Plan (ASP)

Develop and certify an Agency Safety Plan



Safety Management System (SMS) *(Subpart C)*

Implement and operate a Safety Management System



PTASP Documentation *(Subpart D)*

Maintain documentation related to the ASP, SMS implementation, and results from SMS processes and activities

Oversight

Rail Transit Modes

- SSOAs are responsible for establishing and overseeing requirements based on Parts 673 and 674 through a Program Standard
 - SSOAs may establish additional requirements
 - SSOAs provide guidance for RTAs to meet Program Standard requirements
- SSOAs cannot develop ASPs for rail transit agencies

Bus Transit Modes

- States are not responsible for overseeing or enforcing PTASP requirements
- FTA will conduct oversight through the Triennial Review process
- PTASP requirements will be added to comprehensive review guide
- States cannot use State Safety Oversight formula funds to develop Agency Safety Plans for bus transit

Certification

- Applicable States and transit agencies must certify that they meet the PTASP regulation requirements
 - Recipient or subrecipient of FTA funds is accountable for meeting PTASP regulation requirements, not contractors or other service providers
- States and transit agencies will certify under the Certifications and Assurances process
- FTA will provide further guidance on certifying PTASP compliance by July 20, 2020

Funding

Federal funds may be used to develop and implement an Agency Safety Plan

Development

**Section 5305
Statewide
Transportation
Planning
Program**

**Section 5307
Urbanized Area
Formula Grants**

Implementation

**Section 5307
Urbanized Area
Formula Grants**

**Section 5337
State of Good
Repair Grants**

**Section 5339
Grants for Bus
and Bus
Facilities
Program**

Agency Safety Plan Requirements

- One plan for all modes, or one for each mode
 - Recommend excluding commuter rail subject to safety regulation by FRA from ASP due to data protection differences
- Must include:



SMS processes and activities



Safety performance targets



Emergency preparedness and response plan (rail only)



Process and timeline for annual review and update

Agency Safety Plan Requirements

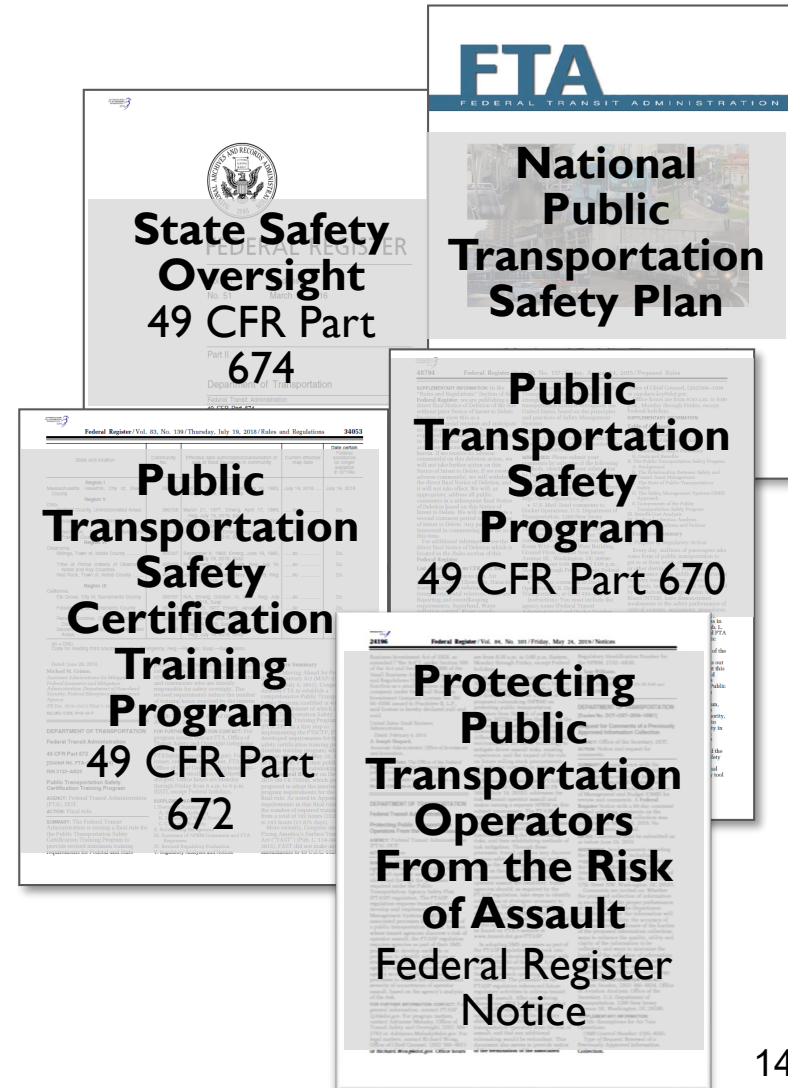
- Must address all applicable requirements and standards in FTA's Public Transportation Safety Program
- Must specify a Chief Safety Officer or SMS Executive
- Must be signed by the Accountable Executive
- Must be approved by the agency's Board of Directors or an Equivalent Authority

How is the Agency Safety Plan Different from the System Safety Program Plan (SSPP)?

SSPP	Agency Safety Plan
Based on system safety principles and the 21 fixed program elements	Based on Safety Management System principles and the four SMS components; a flexible and scalable system
Safety is generally confined to the safety department and distinct safety processes	Safety is broadened to a core organizational function that focuses on management of safety risk through all aspects of a transit agency's operations
Focuses on compliance and documentation of safety programs	Describes the interactions between safety programs and adds safety processes that support SSPP elements
Assumes technical compliance with engineered solutions will result in safe operations	Safety priorities and investments are a key part of decision-making and always considered when balancing safety and productivity

FTA Safety Program Applicable Requirements

- ASP must address applicable requirements of FTA's Safety Program based on 49 U.S.C. §5329
- Examples include:
 - Requirements established in regulations (Parts 670, 672, 673, 674)
 - General and special directives
 - Operator Assault Federal Register Notice
 - Standards in the National Public Transportation Safety Plan (not yet established)



The Accountable Executive

- A single, identifiable person who has ultimate responsibility for carrying out the Agency Safety Plan and the Transit Asset Management (TAM) Plan
- Has control or direction over the human and capital resources needed to develop and maintain the Agency Safety Plan and TAM Plan
- Accountable for ensuring that the agency's SMS is effectively implemented, and action is taken, as necessary, to address substandard performance in the agency's SMS
- Accountable Executive may be a contractor if these criteria are met



Key Take-Aways – The Accountable Executive

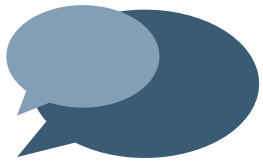
- **Empowered to make decisions about resources**
 - Has control or direction over the agency's human and capital resources
- **Accountable for:**
 - Carrying out ASP and TAM Plans
 - Effectively implementing SMS
 - Addressing substandard performance of the agency's SMS
- **Responsibility can be delegated; accountability cannot**

Chief Safety Officer (CSO) or SMS Executive

- An adequately trained individual with authority and responsibility for day-to-day implementation and operation of the SMS
- Designated as the CSO/SMS Executive by the Accountable Executive
- Direct line of reporting to the Accountable Executive
- May be a full-time or part-time employee of the transit system, or a contracted employee
- For rail modes, may not serve in other operational or maintenance capacities unless those responsibilities have a nexus to safety, for example:
 - Security
 - Training
 - Transit asset management

PTASP Documentation and Recordkeeping

- Transit agencies must maintain documentation and recordkeeping of:
 - Establishing the ASP, including documents included in whole or by reference
 - Programs, policies, and procedures to carry out the ASP
 - SMS implementation activities
 - Results from SMS processes and activities
- Must maintain these documents for a minimum of three years after they are created and make these documents available upon request by the FTA, other Federal agency or SSOA



Exercise – Defining Your Role

Please write down your responses and discuss

1. **What is your PTASP role? (formal, informal)**
2. **Will your PTASP role require changes to your day-to-day activities? If so, how? If not, why?**

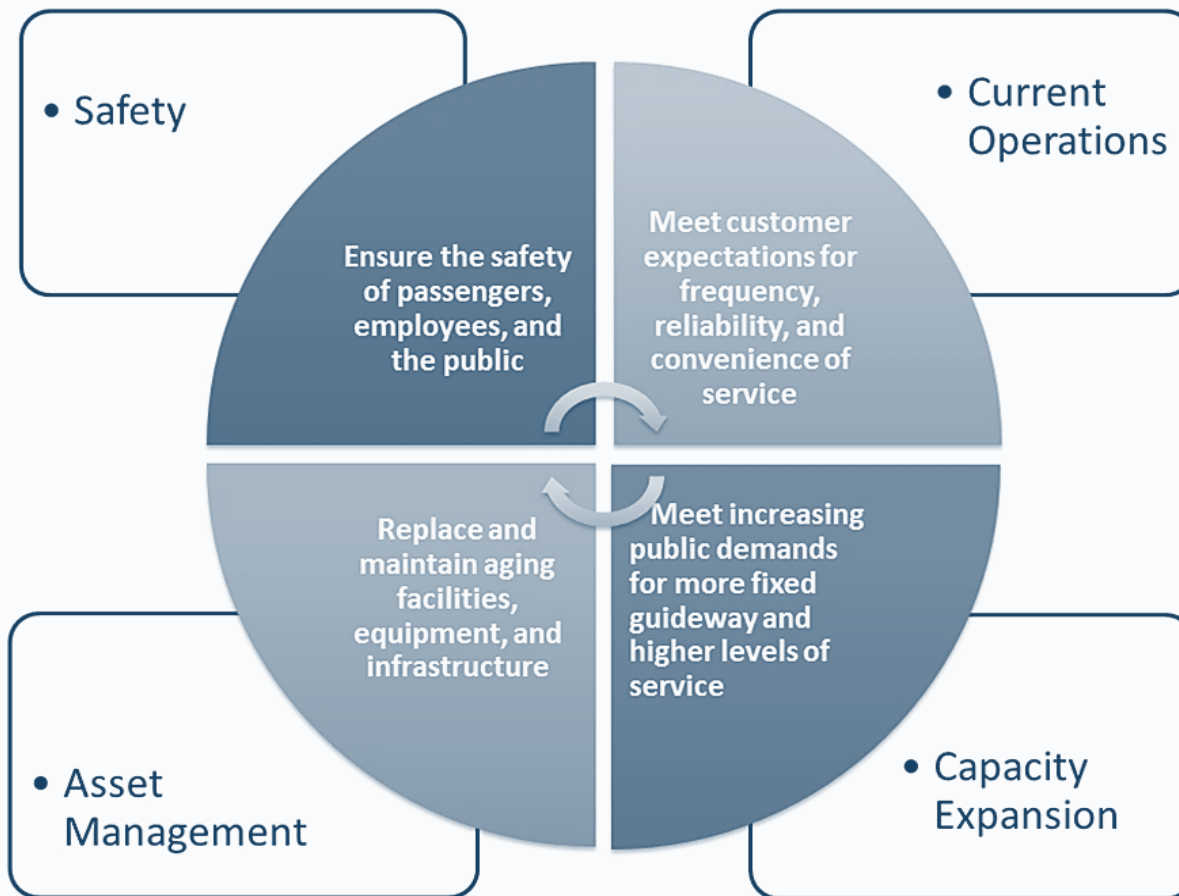
SMS OVERVIEW



Safety Management System (SMS) Components



Decision-Making Priorities



SMS REQUIREMENTS

Safety Management Policy Requirements

- Safety **management** policy, not all safety policy
- Include information **relevant to** developing and carrying out the **other SMS components**
- Consider how you will **develop, maintain,** and **make available** required documents

§ 673.23

- a) Written statement, with safety objectives
- b) Employee safety reporting program
- c) Safety management policy communication
- d) Authorities, accountabilities, and responsibilities

The Safety Management Policy Statement

§ 673.23(a)

- Presents the agency's safety objectives
- Can clarify and communicate:
 - Management and employee responsibilities for safety
 - Policies, procedures, and organizational structures necessary to accomplish the safety objectives
- To develop the statement, transit agencies could consider:
 - Relevant audiences
 - Key take-aways
 - Communication approaches
- May be part of, or referenced in, the ASP



Employee Safety Reporting Program

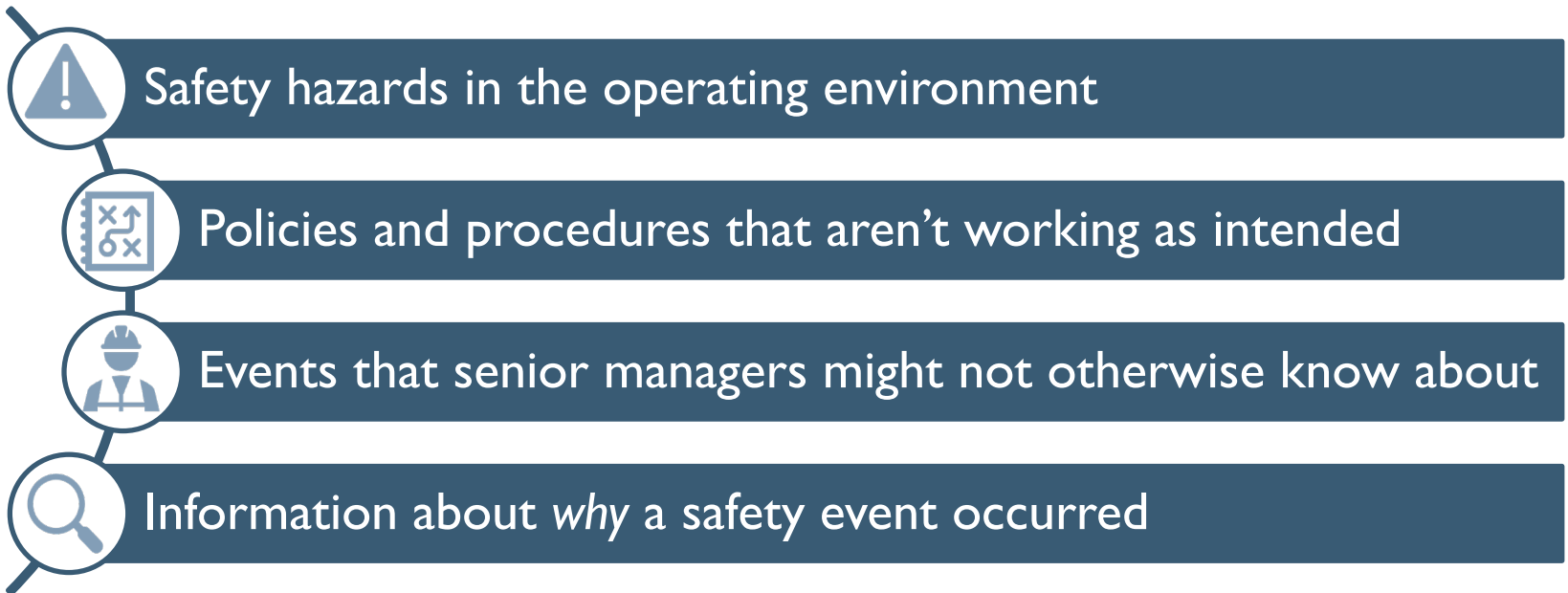
§ 673.23(b)

- Must establish and implement a process that allows **all employees**—including relevant contract employees—to **report safety conditions to senior management**
- Must **specify protections** for employees who report safety conditions to senior management
 - Part 673 does not specify what those protections must be
- Must **describe employee behaviors** that may result in disciplinary action, and therefore would not be covered by protections
- **Must inform employees of safety actions taken in response to reports** submitted through an employee safety reporting program
§ 673.29(b)

Employee Safety Reporting Program

§ 673.23(b)

- It may be helpful to **consider what safety information the agency needs from employees** when developing the process, methods, and protections for employee reporting, such as:

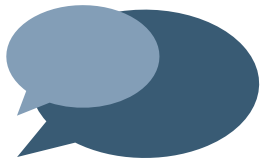


- Note: Other industries may have helpful experience with effective safety reporting programs. Transit agencies should consider reaching out to local or partner organizations in rail, aviation, utilities, healthcare, etc., for relevant insights.



Key Take-Aways – Safety Management Policy

- Policy statement and objectives are opportunities to reinforce values and set expectations
 - Build trust by enacting promised changes
 - Reinforce agency's successes and best practices
- Employee safety reporting program success is linked to safety culture and managers' reinforcement of behaviors
 - Ask what information you need to make decisions
 - Consider a long-term plan for culture change, with opportunities for quick wins



Exercise – Building a Culture of Safety Reporting

Please write down your responses and discuss

- 1. What does your agency do to encourage employee safety reporting?**
- 2. In your experience, what has/hasn't worked well to encourage reporting?**

Authorities, Accountabilities, and Responsibilities

§ 673.23(d)

- Must establish necessary **authorities, accountabilities, and responsibilities for the development and management of the transit agency's SMS**

Authorities

- What is the position authorized to do?

Accountabilities

- What is the position accountable for, which cannot be delegated?

Responsibilities

- What must the position do or oversee the accomplishment of?

- Required positions or categories of positions include:
 - Accountable Executive
 - Chief Safety Officer or SMS Executive
 - Agency leadership and executive management
 - Key staff

Authorities, Accountabilities, and Responsibilities

§ 673.23(d)

- May choose to document authorities, accountabilities, and responsibilities in job or position descriptions, among other options
- Transit agencies are **responsible for ensuring that requirements specified for a role are met**
 - Both in § 673.23(d) and in § 673.5 Definitions
- It may be helpful to **consider all the requirements in Part 673** to identify what authorities, accountabilities, and responsibilities are necessary for the development and management of the SMS
- Using clear and concise language can help reduce confusion and misunderstanding, especially when implementing new processes and activities



Key Take-Aways – Safety Management Policy

- Authorities, accountabilities, and responsibilities are the basis for who does what in your SMS, so they should be well-defined
- Consider linking roles and responsibilities to performance management processes
 - Job or position descriptions
 - Performance reviews
 - Progress tracking and reporting
- Leverage effective business tools and processes to reinforce accountability

Safety Risk Management

- Enables a **proactive approach** to managing safety
- Helps **allocate resources to areas of highest safety risk** and/or unacceptable safety risk

§ 673.5 Definitions

Safety Risk Management means a process within a transit agency's Public Transportation Agency Safety Plan for **identifying hazards and analyzing, assessing, and mitigating safety risk**

Safety Risk Management Requirements

- For **all elements** of a transit agency's system
- Consider how you will **develop, maintain, and make available** required documents
- Detailed documentation can help **increase consistency**, and therefore **confidence** in the process and its results
- Consider defining **when** SRM is conducted

§ 673.25

- a) A transit agency must **develop and implement a Safety Risk Management process** for all elements of its public transportation system

Risk

- A **measure** of severity and likelihood, combined
- **Predicted**—in the future; hasn't happened yet
- Measures the **potential effects** of a hazard, not the hazard itself
- Likelihood (**how often**) vs. severity (**how bad**)

§ 673.5 Definitions

Risk means the composite of predicted severity and likelihood of the potential effect of a hazard

- **Avoid confusing** risk with hazard
 - We often call something “a safety risk” when we mean “a hazard”

Hazard

- **Real or potential** condition—not an event
 - **Real:** Observable condition that exists in the transit system
 - **Potential:** Condition that doesn't exist, but could exist if a change is made in the transit system
- **Can cause** consequences

§ 673.5 Definitions

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment

Consequence

- Important to **distinguish hazards from consequences** for accurate safety risk assessment
- Potential consequences are **the focus of safety risk assessment**
 - Assess the **severity and likelihood of potential consequences, not hazards**
- A single hazard could cause multiple consequences

Not defined in § 673.5, but can be derived from the definition of *Hazard*. Transit agencies may choose to use the following definition:

Consequence means an effect of a hazard, involving injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment

Event

- **Something that happened**, not a condition or system state
- Important to distinguish from a hazard
- Safety event investigation may reveal hazards

§ 673.5 Definitions

Event means any accident, incident, or occurrence

- Used primarily for reporting, not SRM
 - Event definitions are based on type of event and magnitude of outcomes

Example of Hazard vs. Consequence



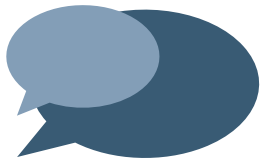
HAZARD

Near-side bus stop

CONSEQUENCE



Bus pulls away from the near-side bus stop and the car, trying to turn right in front of the bus, collides with the bus



Exercise – Identifying Hazards and Consequences



Please write down your responses and discuss

1. **Identify one or more hazards**
2. **Identify one or more potential consequences for each hazard**

Risk Mitigation

- **Solution** to a problem, not the problem itself
- Eliminates or reduces **likelihood and/or severity of consequences**
- Usually focused on **reducing safety risk to an acceptable level**, not getting the level of risk to zero

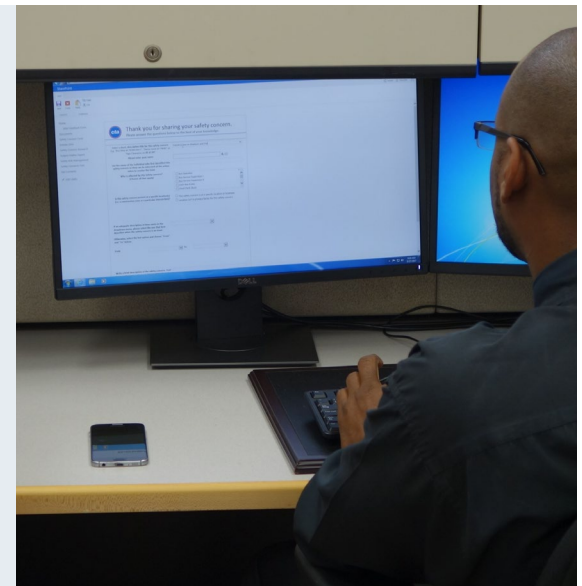
§ 673.5 Definitions

Risk mitigation means a method or methods to eliminate or reduce the effects of hazards

Engaging Employees in SRM

- Consistently and accurately distinguishing key terms can be challenging
- **Could use key terms for analysis, while using other words to communicate** about safety throughout the agency

For example, in its SRM Pilot, the Chicago Transit Authority **asks individuals to report** whatever concerns they regarding safety—**their safety concerns**. Safety specialists then ensure the safety concerns are properly characterized for analysis



Safety Hazard Identification Requirements

- Must establish how the agency will **identify hazards and consequences**
- All agencies **must consider FTA and oversight authority information**
- Some agencies **must consider changes that may impact safety performance**
§ 673.27(c)(2)
- Information sources **may include employee safety reporting and Safety Assurance outputs** § 673.27

§ 673.25

- b) Safety hazard identification
 - 1) A transit agency must establish **methods or processes to identify hazards and consequences** of hazards
 - 2) A transit agency **must consider**, as a source for hazard identification, **data and information provided by an oversight authority and the FTA**

Safety Risk Assessment Requirements

- Must assess likelihood and severity of the consequences of hazards
 - Must include existing mitigations
- Must **prioritize hazards based on the safety risk** of their potential consequences
- Consider how your agency will **select or prioritize** hazards and potential consequences **to undergo safety risk assessment**

§ 673.25

c) Safety risk assessment

- 1) A transit agency must **establish methods or processes to assess safety risks** associated with identified safety hazards
- 2) A safety risk assessment includes an 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

Benefits of Using a Safety Risk Matrix

- **Communicates leadership guidance to support decision-making** (e.g., what is unacceptable)
- Supports **consistent assessment**
- **Leverages data analysis**
- Can make it **easier to communicate and track changes** in safety risk

The diagram illustrates a Safety Risk Matrix. It consists of a main matrix and two sub-tables, 'Severity Table' and 'Likelihood Table', which are shown as overlapping components of the main matrix.

Severity \ Likelihood	1	2	3	4
A	1A	2A	3A	4A
B	1B	2B	3B	4B
C	1C	2C		4C
D				4D
E				4E

	1	2	3	4
I				
2				
3				
4				

	A	B	C	D	E

- Enables **easier comparison** of hazards

Safety Risk Mitigation Requirements

- Must have methods or processes to **identify necessary mitigations or strategies**
- **Can reduce risk by reducing likelihood and/or severity**
 - No requirement for a single mitigation to address both
- When identifying and choosing mitigations, **consider mitigation monitoring needs** § 673.27(b)(2)

§ 673.25

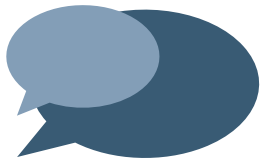
d) Safety risk mitigation

A transit agency must **establish 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



Key Take-Aways – Safety Risk Management

- Words matter; consider how you can reinforce key terms, but still be inclusive in safety conversations
- Consider SRM design as an opportunity to formalize and routinize decision-making about safety
- A well-defined, well-executed SRM process could help counter questions and concerns about prioritization of limited resources
 - Identifying and documenting hazards doesn't mean you have to fix them all

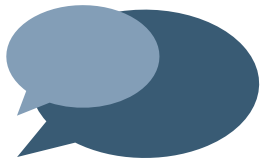


Exercise – Safety Resource Prioritization

Scenario:

- You are the Accountable Executive of Straightline Transit, a mid-size bus transit agency.
- Straightline Transit experienced 3 passenger slip and fall events, all requiring medical transport, on Bus Rapid Transit platforms last week.
- The trend was highlighted in the local newspaper, where a transit expert is quoted saying that Straightline Transit should replace platform surfaces with a new, expensive slip-resistant material.
- The mayor's office has called to request a meeting to discuss installation of the new material. You aren't confident the new material is the best use of Straightline Transit's limited resources.

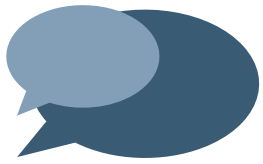
How can your SRM process help you prepare for the meeting?



Exercise – Safety Resource Prioritization

Please write down your response and discuss

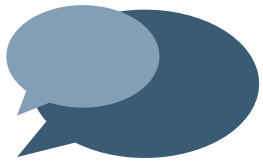
- I. Hazard Identification – How could Straightline Transit identify hazards, based on these slip and fall events, that may require further analysis?**



Exercise – Safety Resource Prioritization

Please write down your response and discuss

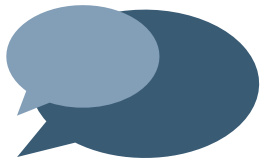
- 2. Safety Risk Assessment – How could Straightline Transit determine if the identified hazards are a top priority, based on safety risk?**



Exercise – Safety Resource Prioritization

Please write down your response and discuss

- 3. Safety Risk Mitigation – How could Straightline Transit determine what mitigation(s), if any, are appropriate?**



Exercise – Safety Resource Prioritization

Please write down your response and discuss

- 4. How would you explain Straightline Transit's SRM process and your safety resource decision to the mayor?**

Safety Assurance

- Processes for the **collection, analysis, and assessment of information**
- Help to ensure:
 - Safeguards are in place and *actually* effective
 - Early identification of potential safety issues
 - Safety objectives are met

§ 673.5 Definitions

Safety Assurance means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information

Safety Performance Monitoring and Measurement Requirements

- Focused on **current** agency processes and activities
- To **validate expectations** and **identify system changes**:
 - Do our assumptions match reality? Is there something we missed that could be a safety concern?
 - How is the system changing? Is the change a safety concern?

§ 673.27

- b) Safety performance monitoring and measurement. A transit agency must establish activities to:
 - 1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;
 - 2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;
 - 3) Conduct investigations of safety events to identify causal factors; and
 - 4) Monitor information reported through any internal safety reporting programs

Mapping Safety Performance Monitoring and Measurement Processes – Example

Safety Assurance Process		If yes, then...
Procedures Monitoring and Measurement		
	Inadequate compliance?	Address non-compliance
	Insufficient?	Evaluate hazards through SRM
Safety Risk Mitigation Monitoring and Measurement		
	Ineffective?	Evaluate hazards through SRM
	Inappropriate?	Identify new mitigation under SRM
	Not implemented?	Address non-compliance
Safety Event Investigations		
	Causal factors identified?	Evaluate hazards through SRM
	Information collected?	Use to monitor and measure through other SA processes
Internal Reporting Programs Monitoring and Measurement		
	Safety concerns identified?	Evaluate hazards through SRM
	Information collected?	Use to monitor and measure through other SA processes

Corrective Action Plan vs Mitigation Monitoring Plan

Corrective Action Plan (CAP)

- Documents the corrective action
- Typically addresses short-term defects or compliance issues
- Helps ensure the corrective action is implemented

Mitigation Monitoring Plan (MMP)

- Documents mitigation(s) and monitoring activities
- Defines how the transit agency will monitor whether the mitigation is performing as intended—implemented, appropriate, and effective
- Helps the agency prioritize safety resource investments

Management of Change Requirements

- Management of change, **not change management**
- **Evaluates *proposed or future* changes**
 - Once a change is made (e.g., new procedure implemented) it may be monitored through other SA activities
- **Focused on non-safety changes**
- Not required for small public transportation providers

§ 673.27

b) Management of change

- 1) A transit agency must establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance
- 2) If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process

Continuous Improvement Requirements

- Focused on **agency-wide safety performance**
- Assessment could use:
 - **Required safety performance targets** (e.g., number of injuries)
 - **Safety objectives**
 - Additional **agency-wide or mode-wide SPTs**
- Not required for small public transportation providers

§ 673.27

- c) Continuous improvement
 - 1) A transit agency must establish a **process to assess its safety performance**
 - 2) If a transit agency identifies any deficiencies as part of its safety performance assessment, then the transit agency must **develop and carry out, under the direction of the Accountable Executive**, a plan to address the identified safety deficiencies

Assessing Safety Performance (§ 673.27(d)(1))

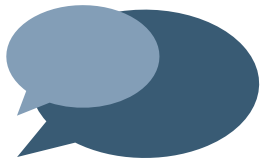
Must establish a **process to assess safety performance**

- Part 673 **does not** specify **how to conduct** assessments **or which standard** to base assessments on
 - FTA may establish performance standards at a later time
§ 673.11(a)(4))
- Should be sufficient for the Accountable Executive to know **when to take action** to address inadequate safety performance
- Safety performance assessment **might not show you what is wrong, only that something is wrong** that requires a closer look

Addressing Safety Deficiencies (§ 673.27(d)(2))

Must **develop and carry out**, under the direction of the Accountable Executive, a **plan to address identified safety deficiencies**

- Safety deficiencies can be in the **transit agency's SMS or related to other agency processes and activities**
- A plan to address identified safety deficiencies could involve:
 - Addressing underlying hazards and potential consequences through Safety Risk Management
 - Changing data collection or analysis techniques to better understand what's really going on
 - Testing and evaluating new approaches to SMS processes



Exercise – Continuous Improvement

Please write down your responses and discuss

- 1. How does your transit agency assess safety performance today?**
- 2. What is your role in this process?**
- 3. Would your activities change based on the PTASP continuous improvement requirements? If so, how?**



Key Take-Aways – Safety Assurance

- Consider Safety Assurance process outputs as inputs for other processes, such as SRM
 - Linking different parts of your SMS could help prevent hazards from being identified, but not addressed appropriately
- You may find it beneficial to get involved in developing or shaping your agency's continuous improvement process

Safety Promotion Requirements

- Must establish and implement a comprehensive safety training program for all agency employees directly responsible for safety
 - Includes contractors
 - Includes refresher training
- Must demonstrate that safety and safety performance information is communicated throughout the agency's organization

§ 673.29

- a) Competencies and training
- b) Safety communication

Competencies and Training

§ 673.29(a)

- Must **establish and implement a comprehensive safety training program for all agency employees directly responsible for safety**
 - Part 673 does not define “directly responsible for safety”
 - Must include relevant contractors
 - Must include refresher training
 - May consider training for Board Members or others involved in approving or overseeing the ASP

Safety Communication

§ 673.29(b)

- Must demonstrate that **safety and safety performance information is communicated** throughout the agency's organization
 - Must include **information on hazards and safety risk relevant to employees' roles and responsibilities**
 - Must **inform employees of safety actions taken in response to reports** submitted through an employee safety reporting program
 - A safety action doesn't have to mean implementing a new safety solution
 - Could communicate safety action information to a group of employees, not just the individual reporter
 - Must include relevant contractors



Key Take-Aways – Safety Promotion

- Safety Training
 - Consider who needs what safety training
 - Ensure documentation of training activities
- Safety Communication
 - Informal communication can be documented and formalized to meet requirements
 - Consider how to ensure that communication, and documentation about communication, is carried out
- Don't forget contractors

AGENCY SAFETY PLAN DEVELOPMENT



FEDERAL TRANSIT ADMINISTRATION

SMS Content in an Agency Safety Plan

Could include:

Descriptions of how the transit agency meets Part 673 requirements

References to other documents, such as agency procedures, that establish or demonstrate Part 673 requirements

Explanations of how information in referenced documents satisfies Part 673 requirements

Discussion of how the transit agency has implemented, or plans to implement, Part 673 requirements described or referenced in the ASP

Planning for ASP Development

- Recommend developing a project plan to meet milestones
- Content could include:
 - Purpose, scope, and objectives
 - Project management
 - Roles and responsibilities
 - Resources
 - Schedule
 - Document management
 - Communications plan
 - Directory of participants
 - Detailed timeline
 - Development and implementation task lists
 - Plan management
 - Revisions and document control
 - Tracking plan execution
 - Training plan

Sample Timeline

Step	Target*
Requirements and guidance review	9/1/2019
Define ASP development and SMS implementation roles	9/15/2019
SMS gap assessment – identify what changes your agency will need to make to existing processes and policies	11/1/2019
Draft the ASP (Includes working sessions with representatives from safety, operations, and maintenance)	2/15/2020
Submit to Board of Directors for review and approval	3/1/2020
Submit to SSOA for review and approval (for rail agencies only)	4/1/2020
Finalize ASP	6/1/2020

*These dates are provided only as an example and do not represent FTA-required deadlines

PTASP RESOURCES



FEDERAL TRANSIT ADMINISTRATION

PTASP Technical Assistance Center Components

Community of Practice



- Online discussion forums to ask questions, share ideas and documents, and engage with posts
- Hosted on DOT's UserVoice system
- Will be moderated during business hours

Resource Library



- Voluntary technical assistance materials organized by agency type
- Hosted on FTA's website
- Updated with new materials, based on industry needs

One-on-One Technical Assistance




- Agency Safety Plan reviews
- Help desk to answer questions and schedule assistance
- Staffed 9am-8pm ET, M-F, with a dedicated phone number, email and mailing address


Onsite Technical Assistance



- Conduct onsite trainings and provide assistance to help agencies meet PTASP regulation requirements

PTASP Technical Assistance Center Main Website

**Federal Transit Administration**

Search FTA site 

AboutFundingRegulations & Guidance

Web Address
<https://www.transit.dot.gov/PTASP-TAC>

Home » Regulations and Guidance » Safety

PTASP Technical Assistance Center

Community of Practice

Resource Library

Small Bus Transit Providers

Bus Transit Providers

Rail Transit Providers


State DOTs

State Safety Oversight Agencies

FAQs

PTASP Regulation

Welcome to the Public Transportation Agency Safety Plan (PTASP) Technical Assistance Center! We are here to help you meet PTASP regulation requirements by July 20, 2020.

**PTASP** TECHNICAL ASSISTANCE CENTER


Sign Up for PTASP Updates


How can we help?


- Answer questions
- Review draft Agency Safety Plans
- Provide onsite trainings and support
- Submit documents to share with peers


**PTASP Community of Practice**
Learn. Share. Engage.


Have a question or suggestion?
Participate in an online forum for transit industry stakeholders.


**PTASP Resource Library**
Choose your agency type to begin.


Small Bus Transit Provider


Bus Transit Provider


Rail Transit Provider


State Department of Transportation


State Safety Oversight Agency





Contact Us

PTASP Technical Assistance Center
943 Glenwood Station Lane
Suite 301
Charlottesville, VA 22901
United States
PTASP-TAC@dot.gov

Phone: 877-827-7243

Business Hours:
9:00am-8:00pm ET, M-F

Share





Key Take-Aways – Conclusion

- FTA is focused on ensuring that minimum PTASP requirements are met
 - Your State may establish additional requirements
- Understand your role in PTASP compliance
- Compliance with the PTASP regulation requires a number of sequenced steps
 - Consider developing a plan and timeline to complete requirements on time
- Contact the PTASP Technical Assistance Center to ask questions and request assistance

PARTICIPANT QUESTIONS

