



Roadmap to Drafting an ASP for Bus Agencies

Job Aid



U.S. Department of Transportation
Federal Transit Administration

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Job Aid for the <i>Roadmap to Drafting an ASP for Bus Agencies</i> Training Course	1
Module 1: Overview of the Public Transportation Agency Safety Plan Rule	3
1.1: What transit agency needs an ASP?	3
1.2: Who needs to know about the ASP requirements?	4
1.3: What modes of service does the transit agency operate?	5
1.4: What is the transit service arrangement?	5
Module 2: Applicable Agencies and Personnel	7
2.1: Who is developing the ASP?	8
2.2: Who has SMS authorities, accountabilities, and responsibilities?	9
Module 3: Leveraging Resources to Draft the Agency Safety Plan	11
3.1: What is the ASP development schedule?	12
3.2: What type of FTA funding does the transit agency use?	13
Module 4: Drafting the Safety Management Policy Section of the ASP	14
4.1: Who will help develop the safety management policy section?	14
4.2: How will the transit agency develop the safety management policy statement?	15
4.3: How will the transit agency communicate the safety management policy statement?	16
4.4: What is the transit agency's employee safety reporting program?	17
Module 5: Drafting the Safety Risk Management Section of the ASP	20
5.1: Who will help develop the safety risk management section?	20
5.2: What are the transit agency's sources for identifying hazards?	22
5.3: What are the transit agency's safety hazard identification methods?	23
5.4: What are the transit agency's safety risk assessment methods?	24
5.5: What are the transit agency's safety risk mitigation methods?	25
Module 6: Drafting the Safety Assurance Section of the ASP	27
6.1: Who will help develop the safety assurance section?	28
6.2: How will the transit agency coordinate with the State and MPO?	29
6.3: What are the transit agency's safety performance targets?	31
6.4: What are the activities for monitoring system compliance?	32
6.5: What are the activities for monitoring the effectiveness of mitigations?	33
6.6: What are the activities for conducting investigations?	34
6.7: What are the activities for monitoring internal safety reporting programs?	36
6.8: What is the transit agency's management of change process?	37
6.9: What is the transit agency's continuous improvement process?	38

Module 7: Drafting the Safety Promotion Section of the ASP 41

7.1: Who will help develop the safety promotion section? 41

7.2: What are the transit agency’s safety competencies and training activities? 42

7.3: How will the transit agency identify safety training program gaps? 43

7.4: What are the transit agency’s safety communication activities? 45

Module 8: Example Next Steps 47

8.1: How will the transit agency certify the ASP? 48

8.2: How will the transit agency annually review and update the ASP? 49

Checklist: Drafting an ASP for a Bus Transit Agency 50

Appendix: Safety Management Policy Statement Guidance 53

Job Aid for the Roadmap to Drafting an ASP for Bus Agencies Training Course

The *Roadmap to Drafting an ASP for Bus Agencies* course prepares bus agencies and State Departments of Transportation to develop an Agency Safety Plan (ASP) that meets the needs of their agencies and that is compliant with 49 C.F.R. Part 673. The course shares information on the ASP requirements and potential resources necessary for the development of an ASP.

This job aid supports the *Roadmap to Drafting an ASP for Bus Agencies* eLearning course. It will help you collect information and make the necessary decisions for drafting a Part 673-compliant ASP that works for your agency. The job aid works in concert with the Federal Transit Administration's (FTA):






- *Public Transportation Agency Safety Plan Template for Bus Transit (Bus Template)*: This optional template is for States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673
- *Public Transportation Agency Safety Plan Template for Bus Transit Reference Guide*: The guide helps complete each section of the optional *Public Transportation Agency Safety Plan Template for Bus Transit*. It references regulatory requirements and provides additional information and examples for illustration.

The job aid can accommodate any ASP format and aligns with the modules presented in the eLearning course.

Roadmap to Drafting an ASP for Bus Agencies
Module 1 – Overview of the Public Transportation Agency Safety Plan Rule
Module 2 – Applicable Agencies and Personnel
Module 3 – Leveraging Resources to Draft the Agency Safety Plan
Module 4 – Drafting the Safety Management Policy Section of the ASP
Module 5 – Drafting the Safety Risk Management Section of the ASP
Module 6 – Drafting the Safety Assurance Section of the ASP
Module 7 – Drafting the Safety Promotion Section of the ASP
Module 8 – Example Next Steps

The job aid presents a list of questions for each module to prompt you or your team to identify processes and personnel for developing your agency's ASP. The references to the bus template inform you of where this information will plug into the template document. These questions are also relevant to transit agencies that choose to develop an ASP using a format other than the Bus Template.

The table below depicts icons used in Modules 1–8 of this job aid.

Category Key	Meaning
	Potential Actions: These are optional actions you may consider while developing your Agency Safety Plan.
	Bus Template: These sections reference the Bus Template section for those using the template. Use of the <i>PTASP Template for Bus Transit</i> is optional, and the job aid has been designed to accommodate any ASP format. Sections specifically marked “Bus Template Support” explain activities that may benefit the transit agency in completing the Bus Template.
	Who and What? The “who” and “what” questions help identify the personnel, role, subject matter experts, or entities, such as a committee, team, or working group, responsible for or contributing to the activity.
	How? The “how” questions prompt you to determine the process for completing the activity.
	When and Where? The “when” and “where” questions focus on establishing time frames, schedules, and locations for completing the activity. Time frames, schedules, and locations could be recurring events such as meetings or other communications.

The job aid contains several tables that may be used to examine the existing safety processes and practices used by your agency. Completing these tables is optional but may reveal process gaps in need of modification or development at your transit agency.

This job aid also is designed to support States developing ASPs for Small 5307 Agencies. The process may work best if the State coordinates with the transit agency to answer the questions.

The final section of the job aid presents a table and checklist for tracking the completion of the questions listed in each module.

Module 1: Overview of the Public Transportation Agency Safety Plan Rule



Potential Actions

Prepare for ASP Development

- Use the PTASP website as a starting point for Agency Safety Plan (ASP) development.
- Become familiar with 49 C.F.R. Part 673 requirements and SMS components.

Maintain SMS Documentation

- Prepare to review and tailor applicable processes to incorporate SMS to meet the specific needs of the agency.
- Plan to maintain documents supporting the ASP and make documents available to FTA for a minimum of three years.

Reference Documents in the Agency Safety Plan

- Prepare to clearly describe the document's contribution to the Agency Safety Plan.
- Consider specifying the document's name and location.
- Plan to explain how 49 C.F.R. Part 673 requirements have been met in the document's description.

1.1 What transit agency needs an ASP?

Identify the transit agency subject to the PTASP rule requirements (§673.11).



Section 1: Transit Agency Information

Transit Agency Name

Transit Agency Address



What is the name and address of the transit agency required to develop and implement an SMS and ASP in compliance with PTASP requirements?



1.2 Who needs to know about the ASP requirements?

Inform relevant personnel of the PTASP requirements to establish and implement an SMS and ASP for the transit agency by July 20, 2020 (optional).



Bus Template Support: In order to complete the bus template or any ASP format, it may be beneficial for certain transit agency personnel to understand and commit to compliance with PTASP requirements.



Who at the transit agency should be informed of the PTASP requirements to develop an SMS and ASP?

Who at other agencies or organizations, if applicable, should be informed of the PTASP requirements to develop an SMS and ASP?



How will these personnel be informed about the PTASP requirements?



When will these personnel be informed about the PTASP requirements?

1.3 What modes of service does the transit agency operate?

Identify the transit agency's modes of transit service and, if operating two or more modes of transit service, determine the approach to ASP development (§673.11(b)).



Section 1: Transit Agency Information

Mode(s) of Service Covered by This Plan

Mode(s) of Service Provided by the Transit Agency (Directly Operated or Contracted Services)



What modes of transit service does the agency operate including contracted operations?



How will the transit agency develop the ASP with respect to transit service modes (if operating two or more modes)?

- ☐ One ASP for all modes of transit.
- ☐ An ASP for each mode of transit service.

[If this option is chosen, the transit agency may choose to use the Bus Template to develop ASPs for each mode. Transit agencies with rail modes may use ASP guidance for rail documents found on FTA's website.]

1.4 What is the transit service arrangement?

Describe the arrangement of the transit services provided by the transit agency (§673.11(b)).



Section 1: Transit Agency Information

Does the agency provide transit services on behalf of another transit agency or entity?

[If yes, then answer...]

- *Description of Arrangement(s)*
- *Name and Address of Transit Agency(ies) for Which Service Is Provided*



How are transit services provided?

- ☐ The agency provides its own services only
- ☐ The agency provides services on behalf of another transit agency or entity.
[If yes, then answer the questions in the next box.]



If the agency provides services on behalf of another transit agency or entity:

What is the name and address of the transit agency(ies) or entity(ies) for which service is provided?

Describe this arrangement.



Potential Actions

Draft and Certify the ASP (completed by the Small 5307 Agency)

- Notify the State of this decision. Work with the State to determine the chosen method of communication.

Draft and Certify the ASP (completed by the State DOT for the Small 5307 Agency)

- Set up meetings with the State.
- Provide documents and procedures.
- Provide information on safety responsibilities and contracted services.
- Clarify expectations and timelines.
- Include all stakeholders.
- Assess and communicate available resources.

Involve Contractors (if applicable)

- Maintain open and ongoing communication.
- Identify contractor roles and responsibilities.
- Use existing contracts as a starting point.

Identify SMS Contributors

- Include agency departments or individuals who may need to be involved in clarifying SMS roles, such as Human Resources or Employee Relations.
- Consider that SMS contributors may change throughout and following the development of the initial ASP.

Facilitate Cooperation between the Safety Function, Agency Leadership, and Key Staff

- Schedule meetings to provide regular updates on ASP progress.
- Encourage leadership and key staff to share ASP and SMS information.
- Issue reports to aid with ASP discussions and decision-making.
- Engage in one-on-one discussions.

2.1 Who is developing the ASP?

Identify the entity responsible for developing the transit agency's ASP (§673.11(d)).



Section 2: Plan Development, Approval, and Updates

Name of the Entity That Drafted This Plan



Who is the transit agency point of contact responsible for ASP development?

Which entity is responsible for drafting the transit agency's ASP?

- ☐ The transit agency (If checked, skip to section 2.2.)
- ☐ The State (If checked, complete the next table.)

If the State develops and certifies the ASP for a Small 5307 Agency (§673.11(d)):



What is the name of the State agency responsible for developing the transit agency's ASP?

Who is the State point of contact responsible for developing the transit agency's ASP?



How will the State and transit agency collaborate on ASP development, review, approval, and certification activities?



What are the State deadlines for ASP development, review, approval, and certification activities to make sure the plan is certified by July 20, 2020?

2.2 Who has SMS authorities, accountabilities, and responsibilities?

Describe and document the transit agency's SMS authorities, accountabilities, and responsibilities (§673.23(d)).



Section 1: Transit Agency Information

Signature by the Accountable Executive

- *Name and Title of Accountable Executive*
- *Name of Chief Safety Officer or SMS Executive*

Section 4: Safety Management Policy

Authorities, Accountabilities, and Responsibilities: Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

- *Accountable Executive*
- *Chief Safety Officer or SMS Executive*
- *Agency Leadership and Executive Management*
- *Key Staff*



Who is the Accountable Executive for the transit agency (name and job title)?

What are the Accountable Executive's SMS authorities, accountabilities, and responsibilities?



Who is the Chief Safety Officer/SMS Executive for the transit agency (name and job title)?

What are the Chief Safety Officer/SMS Executive's SMS authorities, accountabilities, and responsibilities?



Who serves as the Agency Leadership and Executive Management for the transit agency (names and job titles)?

What are the Agency Leadership and Executive Management's SMS authorities, accountabilities, and responsibilities?



Who serves as the Key Staff for the transit agency (names and job titles)?

What are the Key Staff's SMS authorities, accountabilities, and responsibilities?



When will these selections be determined?



Potential Actions

Recognize Employees as the Most Valuable Resource for Developing the Agency Safety Plan

- Involve various departments and job functions.
- Leverage agency experts from operations and maintenance.
- Identify employees who can help the ASP reflect an agency-wide SMS.

Manage Time for Agency Safety Plan Development

- Support availability and participation of the right resources.
- Include enough time for the Board of Directors to review the ASP and provide feedback.
- Include enough time for other stakeholders and oversight entities to review the ASP and provide feedback.

Manage Funding to Support Agency Safety Plan Development

- Consider reallocating existing funds for ASP development.
 - Transit agencies: 5307 funding
 - State DOTs: 5303, 5304, or 5305 funding

Review Existing Documentation

- Consider identifying and leveraging the transit agency's existing policies for ASP development.

Review FTA's PTASP Website

- Review the PTASP Resources web page.
- Review the *PTASP Template for Bus Transit* and the *PTASP Template for Bus Transit Reference Guide*.
- Consider using the template (use of the template is not required).

3.1 What is the ASP development schedule?

Establish a schedule for developing and certifying the transit agency's ASP (optional).



Bus Template Support: In order to develop a compliant ASP, it may be beneficial for the transit agency to establish a schedule with milestones to make sure the ASP is approved and certified by July 20, 2020.



Who is responsible for developing a schedule to make sure the transit agency's ASP is developed and certified by July 20, 2020?



How will the transit agency's ASP development and certification schedule be created and agreed upon?



When will/did the transit agency begin ASP development?

When will the transit agency have a first draft of the ASP?

When will the transit agency have a final draft of the ASP?

When will the transit agency make the ASP available to the Accountable Executive for review?



When will the transit agency make the ASP available to the Board of Directors for review?

When will the transit agency make the ASP available to the oversight authority, if applicable, for review?

When will the transit agency certify its ASP?

When could there be transit agency scheduling challenges that could impact ASP development?

3.2 What type of FTA funding does the transit agency use?

Identify the FTA funding type(s) received by the transit agency (§673.1).



Section 1: Transit Agency Information

List All FTA Funding Types (e.g. 5307, 5310, 5311)



How does the transit agency receive Federal funding (5307, 5310, or 5311)?

Module 4: Drafting the ASP Safety Management Policy Section



Potential Actions

Develop the Safety Management Policy Statement

- Solicit the Accountable Executive's support in including transit agency leadership to review and revise the four areas of the safety management policy section of the ASP.
- Consider the guidance provided in the appendix of this job aid.
- Document the methods for communicating the statement (throughout the agency) that work best for the agency.

Develop and Document the Employee Safety Reporting Program (ESRP)

- Review the 49 C.F.R. Part 673 preamble.
- Involve the union in employee safety reporting program development, if applicable.
- Promote and encourage use of the employee safety reporting program.
- Make safety reporting quick and simple.
- Describe how the agency will manage employee safety reporting program information.
- Document how safety report status will be communicated throughout the agency, including how reported safety concerns were resolved.

4.1 Who will help develop the safety management policy section of the ASP?

Identify a working group to help draft and review the safety management policy section of the ASP (optional).






Bus Template Support: In order to draft the safety management policy section of the ASP, it may be beneficial to create a working group to assist in the effort.



Who is responsible for leading the development of the safety management policy section?

Who will support the development of the safety management policy section?



	Who will review the safety management policy section?
	<p>How will representatives supporting the development of the safety management policy section be selected and informed of their responsibilities?</p> <p>How will the transit agency establish milestones and manage the development of the safety management policy section?</p>
	When will the safety management policy section development milestones be completed? (Consider the development of other ASP sections and the deadline of July 20, 2020.)

4.2 How will the transit agency develop the safety management policy statement?

Develop and finalize the transit agency's safety management policy statement (§673.23(a)).






Section 4: Safety Management Policy

Safety Management Policy Statement: Include the written statement of the safety management policy, incorporating safety objectives.



Who or what entity will develop the safety management policy statement (or revise the existing one)?

Who will be consulted during the development of the safety management policy statement (or the possible revision of the existing one)?

	Who will approve and finalize the safety management policy statement?
	How will the transit agency determine what to include in the safety management policy statement in addition to the required safety objectives?
	When will the safety management policy statement be finalized? Where will the safety management policy statement be documented?



4.3 How will the transit agency communicate the safety management policy statement?

Establish and document the transit agency's methods for communicating the safety management policy statement (§673.23(c)).



Section 4: Safety Management Policy

Safety Management Policy Communication: Describe how the safety management policy is communicated throughout the agency. Include dates where applicable.

	Who or what entity(ies) is (are) responsible for communicating the safety management policy statement throughout the transit agency?
	How will the transit agency communicate the safety management policy statement throughout the organization?



How will the transit agency document the communication of the safety management policy statement throughout the organization?



When and how frequently will the transit agency communicate the safety management policy statement throughout the organization?

4.4 What is the transit agency's employee safety reporting program?

Establish and document the transit agency's employee safety reporting program (ESRP) (§673.23(b)).



Section 4: Safety Management Policy

Employee Safety Reporting Program: Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).



Who or what entity(ies) is (are) responsible for the transit agency's ESRP?

Who or what entity(ies) will support the ongoing development or modification (as needed) of the transit agency's ESRP?



How will the transit agency use its existing processes to build or modify its ESRP?

How will the transit agency manage ESRP data and information?



When will/did the transit agency establish the ESRP?

When will the transit agency review and modify the transit agency's ESRP?

Employee Safety Reporting Program Checklist (optional): Consider using the checklist below to inventory the transit agency's current employee safety reporting program activities. Check the elements currently in place at the transit agency. Then review the elements the transit agency does not currently have in place and consider incorporating these elements, as appropriate, to enhance the transit agency's employee safety reporting program.

Employee Safety Reporting Program	
ESRP Structure	
The ESRP describes what to report.	<input type="checkbox"/>
The ESRP describes what not to report.	<input type="checkbox"/>
The ESRP describes how to report.	<input type="checkbox"/>
The ESRP clearly documents the reporting protections in place (required).	<input type="checkbox"/>
The ESRP clearly documents the behaviors that will result in disciplinary actions (required).	<input type="checkbox"/>
Employee safety reporting is made accessible for all employees and contractors.	<input type="checkbox"/>
Employee safety reporting is easy for all employees and contractors to use.	<input type="checkbox"/>
ESRP Operational Considerations	
A process is in place for collecting and storing employee safety reports.	<input type="checkbox"/>
Reporting employees and contractors are informed that their report was received (for those reports providing contact information).	<input type="checkbox"/>
Personnel, processes, and tools are in place to analyze and prioritize safety concerns reported by employees and contractors.	<input type="checkbox"/>
Safety trends resulting from employee safety reports are shared and communicated throughout the transit agency.	<input type="checkbox"/>
Actions or resolutions to employee safety reports and trends are shared and communicated throughout the transit agency.	<input type="checkbox"/>

Module 4 Review

Safety Management Policy Checklist	
<input type="checkbox"/>	Description – Have we described or referenced documentation that describes how the transit agency will meet the safety management policy requirements?
<input type="checkbox"/>	Direction – Have we specified the authorities, accountabilities, and responsibilities for the safety management policy?
<input type="checkbox"/>	Documentation – Have we established how the transit agency will meet documentation requirements for the safety management policy?
<input type="checkbox"/>	Communication – Have we identified what information people need to know, and how, for the safety management policy?



Potential Actions

Develop the Safety Risk Management Process

- Determine safety risk management outcomes.
- Review any existing safety plans or procedures.
- Identify the safety risk management process and determine what pieces of the process are in place.
- Identify safety risk management gaps.
- Devise and implement a plan to close the gaps.

Close the Gaps in the Safety Risk Management Process

- Update existing language in the hazard management process to the safety risk management approach.
- Document all proactive and reactive sources for hazard identification.
- Review and modify the existing organizational and reporting structure.
- Review and revise existing mitigation procedures.
- Describe activities for evaluating existing mitigations versus proposed mitigations.
- Describe the decision-making process for prioritizing and assigning resources to assess risk.

5.1 Who will help develop the safety risk management section of the ASP?

Identify a working group to help draft and review the safety risk management section of the ASP (optional).



Bus Template Support: In order to draft the safety risk management section of the ASP, it may be beneficial to create a working group to assist in the effort.



Who is responsible for leading the development of the safety risk management section?



Who will support the development of the safety risk management section? Which departments/functions may assist with developing the safety risk management section?

Who will review the safety risk management section?



How will representatives supporting the development of the safety risk management section be selected and informed of their responsibilities?

How will the transit agency establish milestones and manage the development of the safety risk management section?



When will the safety risk management development milestones be completed? (Consider the development of other ASP sections and the deadline of July 20, 2020.)

5.2 What are the transit agency's sources for identifying hazards?

Determine the information sources your transit agency will use for identifying safety hazards (§673.25(b)(2)).

Hazard Identification Source Checklist (optional): Consider using the checklist below to inventory the sources the transit agency currently uses or will use to identify hazards. The sources identified below may be used to describe the safety hazard identification process.



Bus Template Support: When drafting the safety risk management section of the ASP, the transit agency may benefit from determining its hazard identification sources.

Hazard Identification Sources	
External Examples	
Oversight Authority information (required)	<input type="checkbox"/>
State information (required if serving as the oversight authority)	<input type="checkbox"/>
Federal Transit Administration information (required)	<input type="checkbox"/>
National Transportation Safety Board information	<input type="checkbox"/>
Other:	<input type="checkbox"/>
Internal Examples	
Events, incidents, and occurrences (including “near misses” or “close calls”)	<input type="checkbox"/>
Employee safety reports and/or passenger complaints	<input type="checkbox"/>
Internal or external inspections	<input type="checkbox"/>
Internal reviews/audits	<input type="checkbox"/>
Special studies or surveys	<input type="checkbox"/>
Industry data or safety alerts	<input type="checkbox"/>
Operational data or observations	<input type="checkbox"/>
Failure to meet safety performance targets	<input type="checkbox"/>
Dispatch or control logs	<input type="checkbox"/>
Pre- and post-trip inspection logs	<input type="checkbox"/>
Maintenance information-management system records or work orders	<input type="checkbox"/>
Maintenance preventative and/or corrective maintenance records	<input type="checkbox"/>
Maintenance in-service vehicle failure records	<input type="checkbox"/>
Maintenance hazardous material program records	<input type="checkbox"/>
Maintenance performance reliability reports	<input type="checkbox"/>
Maintenance testing results	<input type="checkbox"/>
On-board video/audit surveillance data	<input type="checkbox"/>
Rules compliance assessment reports	<input type="checkbox"/>
Claims and employee occupational injury reports	<input type="checkbox"/>
Quality assurance/quality control reports	<input type="checkbox"/>
Supervisory Control and Data Acquisition (SCADA) system downloads and reports	<input type="checkbox"/>
Other:	<input type="checkbox"/>

5.3 What are the transit agency's safety hazard identification methods?

Establish and document the transit agency's methods for identifying hazards and consequences of hazards (§673.25(b)(1)).



Section 5: Safety Risk Management

Safety Risk Management Process: Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards*



Who is responsible for identifying hazards?

Who or what entity is responsible for managing (collection and analysis) hazard information at the transit agency?



How is hazard information managed (collection and analysis)?



When or how frequently is hazard information reviewed?

When or how frequently is hazard information shared?

Where is hazard information stored?

5.4 What are the transit agency's risk assessment methods?

Establish and document the transit agency's safety risk assessment methods (§673.25(c)).



Section 5: Safety Risk Management

Describe the Safety Risk Management process, including:

- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.*



Who or what entity(ies) is (are) responsible for safety risk assessment at the transit agency?

Who should be informed about the outcomes of safety risk assessment activities?



How does the transit agency determine what hazard information or which safety trends make it to the safety risk assessment process?

How does the transit agency evaluate the likelihood of the consequences of the hazards, taking into account existing mitigations?

How does the transit agency evaluate the severity of the consequences of the hazards, taking into account existing mitigations?

How does the transit agency measure and prioritize safety risk?



When or how frequently is safety risk assessed?

When does the transit agency communicate the results of safety risk assessments to relevant audiences?

5.5 What are the transit agency's risk mitigation methods?

Establish and document the transit agency's safety risk mitigation methods (§673.25(d)).



Section 5: Safety Risk Management

Describe the Safety Risk Management process, including:

- *Safety Risk Mitigation: The methods or processes for identifying mitigations or strategies necessary as a result of safety risk assessment.*



Who or what entity(ies) is (are) responsible for the safety risk mitigation process for the transit agency?

Who or what entity(ies) is (are) responsible for the development of safety risk mitigations?

Who or what entity(ies) is (are) responsible for the approval of safety risk mitigations?

Who or what entity(ies) is (are) responsible for the application of mitigations?

Who or what entity(ies) is (are) responsible for the verification of mitigations?



How are mitigations developed (including minimum criteria)?

How are mitigations documented and tracked?

How are mitigation conflicts resolved?



When are mitigations developed?

When are mitigations approved?

When are mitigations applied?

Module 5 Review

Safety Risk Management Checklist

☐

Description – Have we described or referenced documentation that describes how the transit agency will meet the safety risk management requirements?

☐

Direction – Have we specified the authorities, accountabilities, and responsibilities for safety risk management?

☐

Documentation – Have we established how the transit agency will meet documentation requirements for safety risk management?

☐

Communication – Have we identified what safety and safety performance information people need to know, and how, for safety risk management?





Potential Actions

Monitor Safety Information and Reporting

- Make safety performance measures quantifiable, consistent, and representative of what is being measured.

Monitor Compliance with Procedures

- Identify all policies, procedures, and protocols the agency needs to monitor and measure.
- Develop the process to monitor operations and maintenance activities for compliance.
- Define the process to determine if existing procedures are sufficient.
- Specify how to collect and share compliance monitoring results.
- Define non-compliance findings.

Determine the Effectiveness of Mitigations

- Specify the intended outcomes of mitigations.
- Identify a way to measure the mitigation results to determine if a mitigation was effective.
- Provide access to data to confirm mitigation effectiveness for those monitoring mitigations.

Conduct Investigations

- Revise investigation procedures and update definitions in accordance with Part 673.
- Involve investigators in drafting the process.

Review the Management of Change Process (not required for Small 5307 Agencies)

- Describe how the agency would identify and assess changes.
- Identify both internal and external sources of change and how they may impact safety performance.
- Determine if there have been any changes in the agency's operating environment that were not planned.

Develop a Continuous Improvement Process (not required for Small 5307 Agencies)

- Develop a process to annually assess safety performance.
- Develop a process to address sufficiencies identified through the annual assessment.

6.1 Who will help develop the safety assurance section of the ASP?

Identify a working group to help draft and review the safety assurance section of the ASP (optional).



Bus Template Support: In order to draft the safety assurance section of the ASP, it may be beneficial to create a working group to assist in the effort.



Who is responsible for leading the development of the safety assurance section?

Who will support the development of the safety assurance section?

Who will review the safety assurance section?



How will representatives supporting the development of the safety assurance section working group be selected and informed of their responsibilities?





How will the transit agency establish milestones and manage the development of the safety assurance section?



When will the safety assurance development milestones be completed? (Consider the development of other ASP sections and the deadline of July 20, 2020.)

6.2 How will the transit agency coordinate with the State and MPO?

Coordinate and communicate safety performance targets to the State and the Metropolitan Planning Organization (MPO) (§673.15).

State	
	Section 3: Safety Performance Targets <i>Safety Performance Target Coordination: Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets. Targets transmitted to the State:</i> <ul style="list-style-type: none">• State entity name• Date targets transmitted
	What State entity will the transit agency coordinate with to select safety performance targets (agency, department, etc.)? Who is the State point of contact for the transit agency (department, job title, contact information)?
	How will the transit agency coordinate and communicate safety performance targets with the State?
	When will the transit agency submit safety performance targets to the State (initial and ongoing)?

Metropolitan Planning Organization(s) (MPO)



Section 3: Safety Performance Targets

Safety Performance Target Coordination: Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets. Targets transmitted to the Metropolitan Planning Organization(s):

- *Metropolitan Planning Organization name*
- *Date targets transmitted*



What is the MPO entity the transit agency is to coordinate with in the selection of safety performance targets (agency, department, etc.)?

Who is the MPO point of contact for the transit agency (department, job title, name, contact information)?



How will the transit agency coordinate and communicate safety performance targets with the MPO?



When will the transit agency submit safety performance targets to the MPO (initial and ongoing)?

6.3 What are the transit agency's safety performance targets?

Establish and document the transit agency's safety performance targets (§673.11(a)(3) and §673.15(b)).



Section 3: Safety Performance Targets

Safety Performance Targets: Specify performance targets based on the safety performance measures established under the Public Transportation Safety Plan.

- Fatalities
- Injuries
- Safety Events
- System Reliability
- Other



Who or what entity is responsible for developing and managing safety performance targets at the transit agency?

Who or what entity approves the transit agency's safety performance targets?



How will the transit agency communicate the status of safety performance in relation to safety performance targets?

How will transit agency safety performance targets be reviewed and revised?



When will the transit agency develop safety performance targets?

When (frequency) will the transit agency communicate the status of safety performance in relation to safety performance targets?

When will the transit agency review and revise safety performance targets (ongoing)?

6.4 What are the activities for monitoring system compliance?

Establish and document the transit agency's safety performance monitoring and measurement activities for monitoring system compliance (§673.27(b)(1)).



Section 5: Safety Assurance

Safety Performance Monitoring and Measurement: Describe activities to monitor the system for compliance with procedures for operations and maintenance.



Who or what entity is responsible for system compliance monitoring?

Who or what other entities are involved in the transit agency's process for monitoring system compliance?



How is system compliance monitoring performed?

How is system compliance monitoring information collected, stored, and analyzed?

How is system compliance monitoring information shared and communicated?



When or how frequently will system compliance monitoring be performed?

6.5 What are the activities for monitoring the effectiveness of mitigations?

Establish and document the transit agency's safety performance monitoring and measurement activities for monitoring the effectiveness of mitigations (§673.27(b)(2)).



Section 5: Safety Assurance

Safety Performance Monitoring and Measurement: Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.



Who or what entity is responsible for monitoring the effectiveness of mitigations?

Who or what other entities are involved in the transit agency's process for monitoring the effectiveness of mitigations?



How is the monitoring of mitigation effectiveness performed?

How is the monitoring of mitigation effectiveness information collected, stored, and analyzed?

How are ineffective mitigations managed and resolved?

How is monitoring mitigation effectiveness information shared and communicated?



When or how frequently is mitigation effectiveness information reviewed?

When is mitigation effectiveness verified and accepted?

6.6 What are the activities for conducting investigations?

Establish and document the transit agency's safety performance monitoring and measurement activities for conducting investigations (§673.27(b)(3)).



Section 5: Safety Assurance

Safety Performance Monitoring and Measurement: Describe activities to conduct investigations of safety events to identify causal factors.



Who or what entity is responsible for the transit agency's investigation process?

Who or what other entities are involved in the transit agency's investigation process?



How does the transit agency perform investigations, including identifying causal factors?

How does the transit agency determine when an investigation calls for the development of a mitigation?

How are investigations finalized?



How does the transit agency store investigation information?

How does the transit agency manage and resolve investigation mitigations?

How is investigation information shared and communicated?

How does the transit agency manage investigations conducted by external organizations?



When are transit agency investigations performed?

When do external organizations perform investigations?

6.7 What are the activities for monitoring internal safety reporting programs?

Establish and document the transit agency's safety performance monitoring and measurement activities for monitoring information reported through internal safety reporting programs (§673.27(b)(4)).



Section 5: Safety Assurance

Safety Performance Monitoring and Measurement: Describe activities to monitor information reported through internal safety reporting programs.



Who or what entity is responsible for monitoring the transit agency's internal safety reporting programs?

Who or what other entities are involved in the transit agency's process for monitoring internal safety reporting programs?



How does the transit agency monitor internal safety reporting programs?

How is internal safety reporting program information collected, stored, and analyzed?

How is internal safety reporting program information used?

How does the transit agency determine when internal safety reporting program information calls for the development of a mitigation?

How is internal safety reporting program information shared and communicated?



When are internal safety reporting activities monitored?

6.8 What is the transit agency's management of change process?

Establish and document the transit agency's management of change process (§673.27(c) — exception: not required for Small 5307 Agencies).



Section 5: Safety Assurance

Management of Change (Not Required for Small Public Transportation Providers): Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.



Who or what entity is responsible for the transit agency's management of change process?



How does the transit agency identify change that may introduce new hazards or impact safety performance?

How will the transit agency manage the management of change process?

How will the transit agency document and communicate the management of change process to the appropriate employees and contractors at the agency?



When will the transit agency implement the management of change process?

Management of Change Process Checklist (optional): Consider using the checklist to inventory the management of change elements currently in place at the transit agency. Then review the elements the transit agency does not currently have in place and consider incorporating these elements, as appropriate, to enhance the transit agency’s management of change process.

Management of Change Process	
Describes how to identify changes from internal sources.	<input type="checkbox"/>
Describes how to identify changes from external sources.	<input type="checkbox"/>
Describes the considerations for managing unplanned changes in the operating environment.	<input type="checkbox"/>
Describes how to assess changes.	<input type="checkbox"/>
Describes the use of the safety risk management process to evaluate the risk of proposed changes.	<input type="checkbox"/>
Describes record keeping and documentation of management of change activities.	<input type="checkbox"/>
Incorporates the safety department as part of the management of change process.	<input type="checkbox"/>

6.9 What is the transit agency’s continuous improvement process?

Establish and document the agency’s continuous improvement process (§673.27(d)—exception: not required for Small 5307 Agencies).



Section 5: Safety Assurance

Continuous Improvement (Not Required for Small Public Transportation Providers): Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.



Who or what entity is responsible for the transit agency’s improvement process?

Who is responsible for developing plans to address identified safety performance deficiencies?

Who is responsible for carrying out plans to address identified safety performance deficiencies?



How is safety performance assessed to identify safety performance deficiencies in need of improvement?

How will the transit agency manage the continuous improvement process?

How will the transit agency document and communicate the continuous improvement process?



When does the transit agency plan to perform activities to examine safety performance deficiencies as part of the continuous improvement process (ongoing)?

Continuous Improvement Process Checklist (optional): Consider using the checklist to inventory the continuous improvement elements currently in place at the transit agency. Then review the elements the transit agency does not have currently in place and consider incorporating these elements, as appropriate, to enhance the transit agency's continuous improvement process.

Continuous Improvement Process

Describes the annual (at minimum) process for assessing safety performance.

☐

Describes how to assess the agency's safety performance.

☐

Describes the types of deficiencies that may be identified during the assessment of safety performance.

☐

Describes how identified deficiencies are addressed in a plan.

☐

Describes record keeping and documentation of continuous improvement activities.

☐

Involves the Accountable Executive as part of the continuous improvement process.

☐

Incorporates the safety department as part of the continuous improvement process.

☐

Module 6 Review

Safety Assurance Checklist	
<input type="checkbox"/>	Description – Have we described or referenced documentation that describes how the transit agency will meet the safety assurance requirements?
<input type="checkbox"/>	Direction – Have we specified the authorities, accountabilities, and responsibilities for safety assurance?
<input type="checkbox"/>	Documentation – Have we established how the transit agency will meet documentation requirements for safety assurance?
<input type="checkbox"/>	Communication – Have we identified what safety and safety performance information people need to know, and how, for safety assurance?



Potential Actions

Develop a Comprehensive Safety Training Program

- Identify all the existing safety responsibilities for all the different job functions within the agency.
- Identify actions to carry out SMS responsibilities for each job function directly responsible for safety.
- Determine the knowledge and skills needed to carry out safety and SMS responsibilities.
- Revise training to capture new SMS requirements.

Enhance Safety Communication

- Identify methods for enhancing safety communications throughout the agency. For example:
 - Discuss safety issues at safety meetings.
 - Hold safety briefings on specific issues.
 - Review agency safety and safety performance in safety committees.
 - Post safety signage at facilities.
 - Encourage one-on-one dialogue.
 - Incorporate new technologies as applicable.

7.1 Who will help develop the safety promotion section of the ASP?

Identify a working group to help draft and review the safety promotion section of the ASP (optional).



Bus Template Support: In order to draft the safety promotion section of the ASP, it may be beneficial to create a working group to assist in the effort.



Who is responsible for leading the development of the safety promotion section?

Who will support the development of the safety promotion section?

Who will review the safety promotion section?



How will representatives supporting the development of the safety promotion section be selected and informed of their responsibilities?

How will the transit agency establish milestones and manage the development of the safety promotion section?



When will the safety promotion development milestones be completed? (Consider the development of other ASP sections and the deadline of July 20, 2020.)

7.2 What are the transit agency's safety competencies and training activities?

Establish and document the transit agency's competencies and training activities (§673.29(a)).



Section 7: Safety Promotion

Competencies and Training: Describe the safety training program for all agency employees and contractors directly responsible for safety.



Who is responsible for leading the development of the safety promotion section?

Who will support the development of the safety promotion section?

Who will review the safety promotion section?



How will the transit agency develop its comprehensive safety training program?

How will the transit agency manage the comprehensive safety training program once it is developed?



When will the transit agency's comprehensive safety training program be ready for implementation?

When will the transit agency review and revise the transit agency's comprehensive safety training program to make sure it reflects current processes (ongoing practice)?

7.3 How will the transit agency identify safety training program gaps?

Perform a training needs analysis to identify gaps in the transit agency's safety training program (optional).



Section 7: Safety Promotion

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Training Needs Analysis Example Action Items: If the transit agency chooses to conduct a training needs analysis, the following list of example action items may help the agency complete the steps for analysis.

JOB FUNCTIONS

NOTES

Review existing job descriptions.

Identify which positions, including contractors, have direct responsibility for determining when safety training is needed.

Identify what role-based safety training is needed.

Determine what SMS roles, responsibilities, and processes are missing from job descriptions.

Update job descriptions to reflect SMS practices.



POLICIES AND PROCEDURES

NOTES

Review existing agency policies and procedures.

Update procedures to make sure they reflect real-life work and incorporate or work in concert with SMS practices.

Establish a process for documenting safety training and related materials.

TRAINING REVIEW AND REVISIONS

NOTES

Review existing training courses, including internal and external sources of training.

Revise training to reflect new policies and capture new SMS practices.

Identify training delivery methods to teach the skills efficiently and effectively with regard to the content being presented.

Make sure training courses include all support materials.

Make sure training is delivered by subject matter experts and trainers who are knowledgeable about new safety topics and processes.

REFRESHER TRAINING REVIEW AND REVISIONS

NOTES

Review and determine the skills and subjects that warrant refresher training.

Design and deliver refresher training to place emphasis on continuing education and training.

TRAINING MONITORING

NOTES

Monitor training to make sure it delivers the necessary SMS skills and information.

Oversee contractor training to make sure it provides necessary agency safety and SMS information.

Establish a process for reviewing and revising training courses and consider review frequency, reviewers, and decision-making process for revisions.

7.4 What are the transit agency's safety communication activities?

Establish and document the transit agency's safety communication activities (§673.29(b)).



Section 7: Safety Promotion

Safety Communication: Describe processes and activities to communicate safety and safety performance information throughout the organization.



Who or what entity is responsible for distributing and communicating safety and safety performance information throughout the agency?



How will the transit agency distribute and communicate safety and safety performance information throughout the organization?



When will the agency communicate safety and safety performance information throughout the organization?

Module 7 Review

Safety Promotion Checklist

☐

Description – Have we described or referenced documentation that describes how the transit agency will meet the safety promotion requirements?

☐

Direction – Have we specified the authorities, accountabilities, and responsibilities for safety promotion?

☐

Documentation – Have we established how the transit agency will meet documentation requirements for safety promotion?

☐

Communication – Have we identified what information people need to know, and how, for safety promotion?



Safety Promotion Training Checklist

☐

Training – Have we established what training is necessary for individuals to understand and support the safety management policy (Module 4)?

☐

Training – Have we established what training is necessary for employees and contractors to report concerns through the employee safety reporting program (Module 4)?

☐

Training – Have we established what training is necessary for individuals to carry out safety risk management (Module 5)?

☐

Training – Have we established what training is necessary for individuals to carry out safety assurance (Module 6)?

☐

Training – Have we established what training is necessary for individuals to understand and support safety promotion (Module 7)?



Potential Actions

Review Guidance and Agency Practices

Review FTA guidance on PTASP development. Review existing transit agency safety management policies and procedures.

Explain Requirements

Inform relevant personnel of ASP roles and requirements and the July 20, 2020, deadline.

- Board of Directors
- Oversight agency
- Planning partners
- States, if applicable

Identify Support Staff

Identify staff to support ASP development. Assemble working groups, including contractors and union representatives if applicable, and begin development of the ASP.

- Safety management policy section
- Safety risk management section
- Safety assurance section
- Safety promotion section

Complete the Job Aid

Complete this job aid to identify existing safety processes that need to be modified or developed or process gaps that need to be rectified in order to establish a roadmap of activities for ASP development.

Develop a Timeline

Develop and refine an ASP timeline to make sure the ASP is completed, approved, and certified by July 20, 2020, building in review and approval time for approval positions or entities.

- Accountable Executive
- Board of Directors
- Oversight agency

Complete the Bus Template or Other Format

Incorporate the information gathered from this job aid, existing policies, and new or modified processes into the bus template or a format of your own design.


Prepare for ASP Certification

Prepare for ASP certification by reviewing the following materials on FTA’s “Certifications & Assurances” web page:

- Certifications and assurances document
- Instructions document
- Summary of Changes document

8.1 How will the transit agency certify the ASP?

Describe the process for ASP certification (§673.13).



Section 2: Plan Development, Approval, and Update

Signature by the Accountable Executive



- *Signature of Accountable Executive*
- *Date of Signature*

Approval by the Board of Directors or an Equivalent Entity

- *Name of Individual/Entity That Approved This Plan*
- *Date of Approval*
- *Relevant Documentation (title and location)*

Certification of Compliance

- *Name of Individual/Entity That Certified This Plan*
- *Date of Certification*
- *Relevant Documentation (title and location)*

	<p>Who is responsible for managing the ASP certification process for the transit agency?</p>
	<p>How will the Board of Directors (or equivalent) document their approval and the approval date for the ASP?</p>



When will the Accountable Executive approve, via signature and date, the ASP?

When will the Board of Directors or equivalent approve the ASP?

8.2 How will the transit agency annually review and update the ASP?

Establish and document a process and timeline for conducting an annual review and update of the ASP (§673.11(a)(5)).



Section 2: Plan Development, Approval, and Update

Version Number and Updates:

Record the complete history of successive versions of this plan.

- *Version Number*
- *Section/Pages Affected*
- *Reason for Change*
- *Date Issued*
- *Annually Review and Update of the Public Transportation Agency Safety Plan*



How will the transit agency annually review and revise the ASP?

How will the transit agency record the annual review and revision to track the history of changes to the ASP?



When will annual ASP review and revision activities take place?

Checklist: Drafting an ASP for Bus Transit Agency

Example Action Items	PTASP Rule Part	Bus Template Section	Complete
Module 1: Overview of the Public Transportation Agency Safety Plan Rule			
1.1 What transit agency needs an ASP?	673.11	1	
1.2 Who needs to know about the ASP requirements?	Optional	NA	
1.3 What modes of service does the transit agency operate?	673.11(b)	1	
1.4 What is the transit service arrangement?	673.11(b)	1	
Module 2: Applicable Agencies and Personnel			
2.1 Who is developing the ASP?	673.11(d)	2	
2.2 Who has SMS authorities, accountabilities, and responsibilities?	673.23(d)	4	
Module 3: Leveraging Resources to Draft the Agency Safety Plan			
3.1 What is the ASP development schedule?	Optional	NA	
3.2 What type of FTA funding does the transit agency use?	673.1	1	
Module 4: Drafting the Safety Management Policy Section of the ASP			
4.1 Who will help develop the safety management policy section of the ASP?	Optional	NA	
4.2 How will the transit agency develop the safety management policy statement?	673.23(a)	4	
4.3 How will the transit agency communicate the safety management policy statement?	673.23(c)	4	
4.4 What is the transit agency's employee safety reporting program?	673.23(b)	4	

Example Action Items	PTASP Rule Part	Bus Template Section	Complete
Module 5: Drafting the Safety Risk Management Section of the ASP			
5.2 What are the transit agency's sources for identifying hazards?	Optional	NA	
5.1 Who will help develop the safety risk management section of the ASP?	673.25(b)(2)	5	
5.3 What are the transit agency's safety hazard identification methods?	673.25(b)(1)	5	
5.4 What are the transit agency's safety risk assessment methods?	673.25(c)	5	
5.5 What are the transit agency's safety risk mitigation methods?	673.25(d)	5	
Module 6: Drafting the Safety Risk Assurance Section of the ASP			
6.1 Who will help develop the safety assurance section of the ASP?	Optional	NA	
6.2 How will the transit agency coordinate with the State and MPO?	673.11(a)(3) 673.15(b)	3	
6.3 What are the transit agency's safety performance targets?	673.27(b)(1)	3	
6.4 What are the activities for monitoring system compliance?	673.27(b)(2)	6	
6.5 What are the activities for monitoring the effectiveness of mitigations?	673.27(b)(3)	6	
6.6 What are the activities for conducting investigations?	673.27(b)(4)	6	
6.7 What are the activities for monitoring internal safety reporting programs?	673.25(b)(2)	6	
6.8 What is the transit agency's management of change process?	673.27(c)	6	
6.9 What is the transit agency's continuous improvement process?	673.27(d)	6	

Example Action Items	PTASP Rule Part	Bus Template Section	Complete
Module 7: Drafting the Safety Promotion Section of the ASP			
7.2 What are the transit agency's safety competencies and training activities?	Optional	NA	
7.1 Who will help develop the safety promotion section of the ASP?	673.29(a)	7	
7.3 How will the transit agency identify safety training program gaps?	Optional	NA	
7.4 What are the transit agency's safety communication activities?	673.29(b)	7	

Placeholder Page