Sample List of Documented Safety Risk Management and Safety Assurance Process Elements[1]
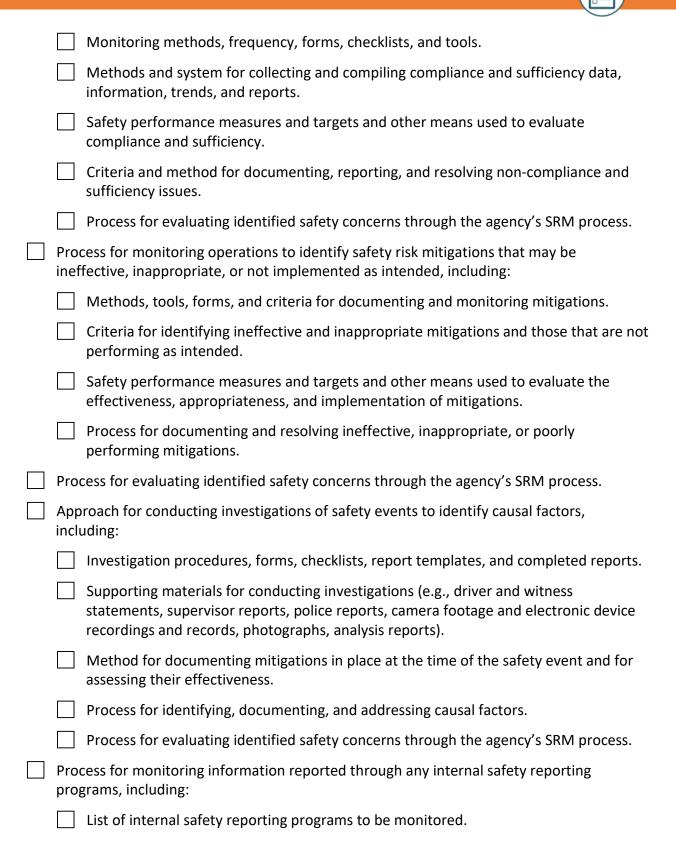
Safety Risk Management (SRM)

- ☐ SRM definitions.

- ☐ Roles and responsibilities for the SRM process, including safety risk assessment, safety risk acceptance, and safety risk mitigation.

- ☐ Sources of information about hazards and consequences, including any forms or tools used by the transit agency to report, receive, and review safety concerns.

- ☐ Methods, including any forms or tools used, to document hazards and their potential consequences.

- ☐ Process for assessing the likelihood and severity of a hazard's potential consequences, taking existing mitigations into account, including any tools, forms, or thresholds/matrices used to support and document the assessment.

- ☐ Approach for prioritizing hazards based on safety risk.

- ☐ Method for developing safety risk mitigations.

Safety Assurance (SA)

- ☐ SA definitions.

- ☐ Authorities, accountabilities, and responsibilities for the SA process, including:

  - ☐ Safety performance monitoring and measurement.

  - ☐ Management of change and continuous improvement (for agencies with more than 100 vehicles operating in peak service).

- ☐ Process, methods or approach for monitoring compliance with, and sufficiency of, the agency's procedures for operations and maintenance, including:

  - ☐ List of operations and maintenance procedures to be monitored.

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[1] The guidance in this document is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect rights and obligations under existing statutes and regulations.

- ☐ Monitoring methods, frequency, forms, checklists, and tools.

- ☐ Methods and system for collecting and compiling compliance and sufficiency data, information, trends, and reports.

- ☐ Safety performance measures and targets and other means used to evaluate compliance and sufficiency.

- ☐ Criteria and method for documenting, reporting, and resolving non-compliance and sufficiency issues.

- ☐ Process for evaluating identified safety concerns through the agency's SRM process.

☐ Process for monitoring operations to identify safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended, including:

- ☐ Methods, tools, forms, and criteria for documenting and monitoring mitigations.

- ☐ Criteria for identifying ineffective and inappropriate mitigations and those that are not performing as intended.

- ☐ Safety performance measures and targets and other means used to evaluate the effectiveness, appropriateness, and implementation of mitigations.

- ☐ Process for documenting and resolving ineffective, inappropriate, or poorly performing mitigations.

☐ Process for evaluating identified safety concerns through the agency's SRM process.

☐ Approach for conducting investigations of safety events to identify causal factors, including:

- ☐ Investigation procedures, forms, checklists, report templates, and completed reports.

- ☐ Supporting materials for conducting investigations (e.g., driver and witness statements, supervisor reports, police reports, camera footage and electronic device recordings and records, photographs, analysis reports).

- ☐ Method for documenting mitigations in place at the time of the safety event and for assessing their effectiveness.

- ☐ Process for identifying, documenting, and addressing causal factors.

- ☐ Process for evaluating identified safety concerns through the agency's SRM process.

☐ Process for monitoring information reported through any internal safety reporting programs, including:

- ☐ List of internal safety reporting programs to be monitored.

- [ ] Process for reviewing, managing, and responding to information captured in the Employee Safety Reporting Program.

- [ ] Process for reviewing, managing, and responding to information from other reporting programs at the agency.

- [ ] Process for evaluating identified safety concerns through the agency's SRM process.

- [ ] Method or process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance, including any tools, forms, or thresholds/matrices used to support and document the assessment, and an approach for evaluating proposed changes through the agency's SRM process (for agencies with more than 100 vehicles operating in peak service).

- [ ] Method or process to assess safety performance to support continuous improvement and to identify, document, and carry out, under the direction of the Accountable Executive, a plan for addressing identified safety deficiencies (for agencies with more than 100 vehicles operating in peak service).

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