Section 2.1 – Hazard Identification, of WisDOT’s ASP template contains a general description of requirements under 49 CFR Part 673. However, to comply with the requirements of § 673.11(a)(2), your agency will need to include specific risk management and hazard identification and analysis methods and processes for your final ASP (in addition to information collected in Appendices B and C).

You will need to explain how identified hazards and associated consequences are tracked and reviewed across your agency, as well as who is responsible for managing this overall process. For example, your process could describe where the information is being saved, monitored, and analyzed, and who is responsible for each of the steps.

For additional information on this topic, review [FTA’s Guide to Developing the Safety Risk Management Component of a Public Transportation Agency Safety Plan](https://www.transit.dot.gov/regulations-and-guidance/safety/public-transportation-agency-safety-program/safety-risk-management-fact-sheet).

Safety hazard identification guidance is also available in [FTA’s Hazards and Consequences Self Guided Learning Tool](https://www.transit.dot.gov/regulations-and-guidance/safety/ptasp-hazards-and-consequences-self-guided-learning-tool).

The following is checklist for safety risk management and safety assurance (two of the four components of a safety management system, or SMS) information you will need to include in your final ASP:

**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 to document hazards and their potential consequences
	+ Including any forms or tools used
* 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
* 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
	+ 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