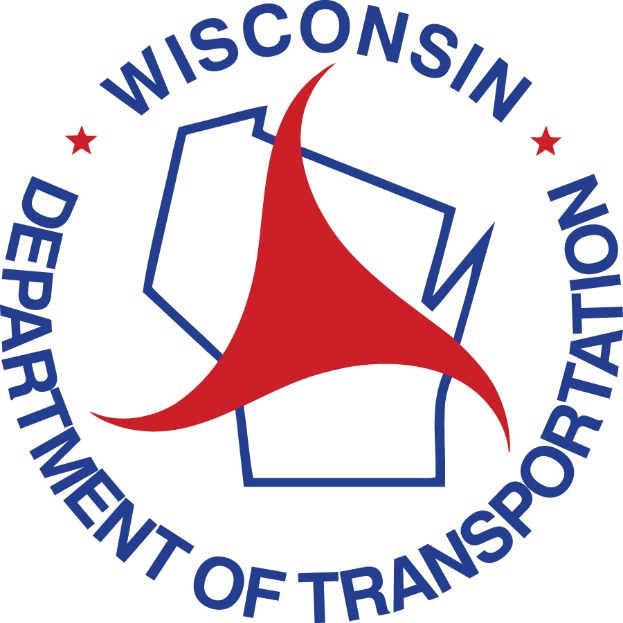
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**[Insert Transit Agency Logo here; WisDOT logo shown as example]**

Public Transportation Agency Safety Plan

Template for Wisconsin Small Public Transportation Providers

WISCONSIN DEPARTMENT OF TRANSPORTATION (WisDOT)

Division of Transportation Investment Management (DTIM)

Bureau of Transit, Local Roads, Railroads and Harbors (BTLRRH)

LAST UPDATED: January 23, 2020

The WisDOT Public and Specialized Transit section, in collaboration with several local partners and stakeholders, created the WisDOT Public Transportation Agency Safety Plan template to fulfill its regulatory requirements under 49 CFR Part 673.

Once a provider completes its own plan (based on WisDOT’s template), the provider is responsible to carry out the plan.

**49 CFR 673.11(d)**

A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that agency notifies the State that it will draft its own plan. **In each instance, the transit agency must carry out the plan.** If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.

**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN for**

**TRANSIT AGENCY**

# TRANSIT AGENCY INFORMATION

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Transit Agency** | **Name** | | | | **Address** |
|  | | | |  |
| **Accountable Executive** | **Name** | | | | **Title** |
|  | | | |  |
| **Chief Safety Officer** | **Name** | | | | **Title** |
|  | | | |  |
| **Mode(s) of Service Covered by This Plan:** | | | | **List All FTA Funding Types (e.g., 5307, 5337, 5339):** | |
|  | | | |  | |
|  | | | |  | |
| **Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)** | | | | | |
|  | | | | | |
|  | | | | | |
| **Does the agency provide transit services on behalf of another transit agency or entity?** | **Yes** | **No** | **Description of Arrangement(s)** | | |
|  |  |  | | |
| **Transit Agency(ies) or Entity(ies) for Which Service Is Provided** | **Name** | | | | **Address** |
|  | | | |  |
|  | | | |  |

# PLAN DEVELOPMENT, APPROVAL, AND UPDATES

|  |  |  |
| --- | --- | --- |
| **Signature by the Accountable Executive** | **Name** | **Date of Signature** |
|  |
| **Signature** |
|  |  |
| **Approval by Board of Directors**  **(or Equivalent)** | **Approving Entity** | **Date of Approval** |
|  |
| **Signatures** |
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# ACTIVITY LOG

|  |  |  |  |
| --- | --- | --- | --- |
| **Version Number and Updates**  *Complete history of successive versions of this plan* | | | |
| **Version No.** | **Section/Pages Affected** | **Reason for Change** | **Date Issued** |
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Appendix B – Safety Assessment and System Review

Appendix C – Facility Safety and Security Assessment

Appendix D – Risk Assessment Matrix

Appendix E – Hazard Assessment Log

Appendix F – Prioritized Safety Risk Log

Appendix G – Safety Performance Matrix

Appendix H – Safety Performance Outline

# DEFINITIONS AND ACRONYMS

Note: Revise these definitions and acronyms as necessary for your agency – this is a general list.

The following definitions may be used throughout this document, and correspond to the definitions provided in 49 CFR 673.5.

**Accident** means an “event”, as defined below, that involves any of the following:

1. A loss of life,
2. A report of a serious injury to a person,
3. A collision of public transportation vehicles,
4. A runaway train,
5. An evacuation for life safety reasons, or
6. Any derailment of a rail transit vehicle (any location, any time, any cause).

**Accountable Executive** means a single, identifiable individual who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan (as defined below) of a public transportation agency; responsibility for carrying out the agency’s Transit Asset Management Plan (as defined below), and control or direction over the human and capital resources needed to develop and maintain both the agency’s Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency’s Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

**Chief Safety Officer** means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

**Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

**Event** means an “accident”, as defined above, or “incident” or “occurrence” (each as defined below).

**FTA** means the Federal Transit Administration, an agency within the United States Department of Transportation.

**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 (as defined below).

**Incident** means an “event” (as defined above), that involves any of the following:

1. A personal injury that is not a serious injury,
2. One or more injuries requiring medical transport, or
3. Damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

**Investigation** means the process of determining the causal and contributing factors of an “accident”, “incident”, or “hazard” (each as defined here), for the purpose of preventing recurrence and mitigating risk.

**National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive federal financial assistance under 49 U.S.C. Chapter 53.

**Occurrence** means an “event” (as defined above), without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

**Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302(14).

**Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

**Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

**Public Transportation Agency Safety Plan** means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

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

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

**Safety Assurance** means processes within a transit agency's Safety Management System that functions 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 Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.

**Safety Management System (SMS)** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

**Safety performance target** means a Performance Target related to safety management activities.

**Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

**Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

**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.

**Serious injury** means any injury which:

1. Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received;
2. Results in a fracture of any bone (except simple fractures of fingers, toes, or noses);
3. Causes severe hemorrhages, nerve, muscle, or tendon damage;
4. Involves any internal organ; or
5. Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

**Small public transportation provider** means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

**State** means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

**State of good repair** means the condition in which a capital asset is able to operate at a full level of performance.

**Transit agency** means an operator of a public transportation system.

**Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

CFR - Code of Federal Regulations

CSO - Chief safety officer

FTA - Federal Transit Administration

MAP-21 - Moving Ahead for Progress in the 21st Century

NTD - National Transit Database

PTASP - Public transportation agency safety plan

SGR - State of good repair

SMS - Safety management system

SOP - Standard operating procedure

TAM - Transit asset management

U.S.C. - United States Code

# BACKGROUND

The Moving Ahead for Progress in the 21st Century (MAP-21) Act grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive regulatory framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, MAP-21 requires certain recipients of FTA Chapter 53 funding to develop and implement a Public Transportation Agency Safety Plan (PTASP).

In addition to greater safety oversight responsibilities, MAP-21’s grant of expanded regulatory authority puts FTA in a position to provide guidance to transit agencies that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety that promotes awareness and responsiveness to safety risks. The framework to this approach is called a safety management system (SMS), which moves the transit industry towards a more holistic, performance-based approach to safety. The SMS framework has been adopted by FTA in its National Public Transportation Safety Plan (“national safety plan”).

The PTASP for **TRANSIT AGENCY** supports and is consistent with an SMS approach to safety risk management. SMS is an integrated collection of policies, processes, and behaviors meant to ensure a formalized, proactive, and data-driven approach to safety risk management. The aim of an SMS is to increase the safety performance of transit systems by proactively identifying, assessing, and controlling safety risks. The approach is meant to be flexible and scalable, so that transit agencies of all types and sizes can efficiently meet the basic requirements of MAP-21. The PTASP for **TRANSIT AGENCY** addresses the following elements, outlined in **Table 1** (below):

|  |  |  |
| --- | --- | --- |
|  | **Safety Management Policy Statement:** | A policy statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the agency and the board of directors. |
|  | **Document Control:** | A description of the regular annual process used to review and update the plan including a timeline for implementation of the process. |
|  | **Core Safety Responsibilities:** | A description of the responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team. |
|  | **Safety Training Program:** | A description of the comprehensive safety training program for agency staff that ensures that staff are trained and competent to perform their safety duties. |
|  | **Safety Risk Management:** | A description of the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls. |
|  | **Safety Risks:** | A description the most serious safety risks to the public, personnel and property. |
|  | **Risk Control:** | A description of the risk control strategies and actions that the agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy. |
|  | **Safety Assurance:** | A list of defined safety performance indicators for reach priority risk and associated targets the agency will use to determine if it is achieving the specified safety goals. |
|  | **Desired Safety Outcomes:** | A description of desired safety outcomes for each risk using the measurable safety performance indicators established. |
| ***Table 1: Elements of a Public Transportation Agency Safety Plan (PTASP)*** | | |

# 1 SAFETY POLICIES AND PROCEDURES

## Commitment to Safety

Sample Policy Statement #1

**TRANSIT AGENCY** will maintain an active safety management system (SMS) that encourages the open sharing of information on all safety issues. We expect our employees to report their safety concerns to agency management. No employee will be asked to compromise safety to “get the job done.”

Our overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations.

To that end, we will continuously examine our operations for hazards. We will establish a non­punitive employee safety reporting program, train staff on safety management, document our findings and safety risk mitigations, and strive for continuous improvement of our safety performance.

As required by the Federal Transit Administration (FTA), we have established annual safety performance targets to help us measure the safety of our transit service. In addition, to address our overall safety objective, we will conduct hazard identification workshops with all frontline, supervisory, and management personnel during this calendar year. We also will work to increase the annual number of voluntary reports received from employees by [20 percent] and actively track our safety risk mitigations. To ensure we meet this objective, our safety department will report out each quarter to our entire agency on the number of:

* Hazard identification workshops carried out in the quarter;
* Number and type of hazard reports received per employee in the quarter, versus the same quarter last year; and
* Number and type of safety risk mitigations implementation in the quarter.

Ultimate responsibility for safety at **TRANSIT AGENCY** rests with the Accountable Executive.

Responsibility for making our operations safer for everyone lies with each one of us – from executive management to frontline employees. Each manager is responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure that all reasonable steps are taken to perform activities established as part of the SMS.

Sample Policy Statement #2

Safety is **TRANSIT AGENCY** ’s first priority. **TRANSIT AGENCY** is committed to implementing, developing, and improving strategies, management systems, and processes to ensure that all our activities uphold the highest level of safety performance and meet required safety standards.

We will develop and embed a safety culture in all our activities that recognizes the importance and value of effective safety management and acknowledges at all times that safety is paramount.

We will clearly explain for all staff their accountabilities and responsibilities for the development and operation of our safety management system (SMS).

For passengers and employees, we will minimize the safety risk associated with transit service to as low as reasonably practicable and we will work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards. We also will work to ensure that all employees are provided with adequate and appropriate safety information and training, are competent in safety matters, and are only allocated tasks commensurate with their skills.

We have established safety performance targets to help us measure the overall effectiveness of our processes and ensure we meet our safety objectives. We will issue quarterly reports to the entire organization documenting how well we met our safety performance targets and describing the safety risk mitigations we implemented to reduce safety risk.

Sample Policy Statement #3

Safety is a core value of **TRANSIT AGENCY**, and managing safety is a core business function of the authority/agency. **TRANSIT AGENCY** is committed to developing, implementing, maintaining, and continuously improving processes to ensure the safety of its customers, employees, and the public. **TRANSIT AGENCY** will use safety management processes to direct the prioritization of safety and allocate its organizational resources-people, processes, and technology-in balance with its other core business functions. **TRANSIT AGENCY** aims to support a robust safety culture, and achieve the highest level of safety performance, meeting all established safety standards.

All levels of management and all frontline employees are accountable for the delivery of the highest level of safety performance, starting with the [General Manager] of **TRANSIT AGENCY**.

**TRANSIT AGENCY** is committed to:

**Executive Commitment to Safety:** Executive Management will lead the development of an organizational culture that promotes safe operations and provides appropriate resources to supporting this core management function through fostering and ensuring safe practices, improving safety when needed, and encouraging effective employee safety reporting and communication. **TRANSIT AGENCY** will hold executives, managers, and employees accountable for safety performance.

**Communication & Training:** Employee engagement is crucial to a functioning safety management system (SMS). Communication systems will be put in place to enable greater awareness of **TRANSIT AGENCY** safety objectives and safety performance targets as well as to provide on­ going safety communication up, down, and across the organization. All levels of management must proactively engage employees and work to keep the lines of safety communication honest and open. All employees will be made aware of the importance of **TRANSIT AGENCY**’s SMS and trained in safety reporting procedures.

**Responsibility & Accountability:** All levels of management will be responsible for delivering safe and quality transit services that represent **TRANSIT AGENCY**’s performance of its SMS. Managers will take an active role in the Safety Risk Management (SRM) process and ensure that Safety Assurance (SA) functions are supported. Managers are responsible for ensuring that SRM is being performed in their operational areas of control to assure that the safety risk associated with safety hazards is assessed and mitigated. Safety performance will be an important part of performance evaluations for **TRANSIT AGENCY** managers and employees.

**Responsibility of Employees & Contractors:** All employees and contractors will support safety management by ensuring that hazards are identified and reported.

**Employee Reporting:** Executive management will establish a safety reporting program as a viable tool for employees to voice their safety concerns. All frontline employees will be responsible for utilizing this program as part of the SMS. No action will be taken against any employee who communicates a safety condition through the **TRANSIT AGENCY** safety reporting program unless such disclosure indicates the following: an illegal act, gross misconduct or negligence, or a deliberate or willful disregard of **TRANSIT AGENCY** rules, policies, and procedures.

**Performance Monitoring & Measuring:** **TRANSIT AGENCY** will establish realistic measures of safety performance and establish safety performance targets to ensure continual improvement in safety performance. Managers will verify that the safety risk mitigations put in place are appropriate and effective.

**Review & Evaluation:** **TRANSIT AGENCY** will measure SMS performance by analyzing key safety performance indicators, reviewing inspections, investigations and corrective action reports, and auditing the processes that support the SMS. These activities will become the basis for revising or developing safety objectives, safety performance targets and plans with the goal of continuous safety improvement.

Sample Policy Statement #4

**TRANSIT AGENCY** recognizes that the management of safety is a core value of our business. The management team at **TRANSIT AGENCY** will embrace the Safety Management System (SMS) and is committed to developing, implementing, maintaining, and constantly improving processes to ensure the safety of our employees, customers, and the general public. All levels of management and frontline employees are committed to safety and understand that safety is the primary responsibility of all employees.

**TRANSIT AGENCY** is committed to:

* Communicating the purpose and benefits of the SMS to all staff, managers, supervisors, and employees. This communication will specifically define the duties and responsibilities of each employee throughout the organization and all employees will receive appropriate information and SMS training.
* Providing appropriate management involvement and the necessary resources to establish an effective reporting system that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
* Identifying hazardous and unsafe work conditions and analyzing data from the employee reporting system. After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.
* Ensuring that no action will be taken against employees who disclose safety concerns through the reporting system, unless disclosure indicates an illegal act, gross negligence, or deliberate or willful disregard of regulations or procedures.
* Establishing safety performance targets that are realistic, measurable, and data driven.
* Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Sample Policy Statement #5

The management of safety is one of our core business functions. **TRANSIT AGENCY** is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Accountable Executive.

**TRANSIT AGENCY** commits to:

* Support the management of safety through the provision of appropriate resources, that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the attention to the results of the other management systems of the organization;
* Integrate the management of safety among the primary responsibilities of all managers and employees;
* Clearly define for all staff, managers, and employees, their accountabilities and responsibilities for the delivery of the organization’s safety performance and the performance of our Safety Management System (SMS);
* Establish and operate hazard identification and analysis, and safety risk assessment activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risk of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
* Ensure that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
* Comply with, and wherever possible exceed, legislative and regulatory requirements and standards;
* Ensure that sufficient skilled and trained human resources are available to implement safety management processes;
* Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
* Establish and measure our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
* Continually improve our safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and
* Ensure externally supplied systems and services to support our operations are delivered meeting our safety performance standards.

Sample Policy Statement #6

**TRANSIT AGENCY** is committed to safety management as a systematic and comprehensive approach to identifying safety hazards and risks associated with transit system operations and related maintenance activities. **TRANSIT AGENCY** has adopted a safety management system (SMS) framework as an explicit element of the agency’s responsibility by establishing safety policy; identifying hazards and controlling risks; and goal-setting, planning, and measuring performance. Furthermore, **TRANSIT AGENCY** has adopted an SMS as means by which to foster agency-wide support for transit safety by establishing a culture where executive management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

To ensure transit system safety, and in order to comply with Federal Transit Administration (FTA) requirements, **TRANSIT AGENCY** has developed and adopted this Public Transportation Agency Safety Plan (PTASP) to comply with 49 CFR Part 673, the FTA regulation established by Section 5329(d) of the Moving Ahead for Progress in the 21st Century (MAP-21) Act, which was signed into law by President Barack Obama on July 6, 2012.

The **Management Executive and Board of Directors/City Council** for **TRANSIT AGENCY**, in cooperation with the Wisconsin Department of Transportation (WisDOT), has reviewed the **TRANSIT AGENCY**’s PTASP and assures that its content meets the requirements of Part 673 and Section 5329(d) of MAP-21 through the establishment of a comprehensive SMS framework.

Fundamental safety beliefs guiding our approach include:

1. Safety is a core business value
2. Safety excellence is a key component of our mission
3. Safety is a source of our competitive advantage –

Our business will be strengthened by making safety excellence an integral part of all our public transportation activities

1. Safety events (accidents and incidents) are preventable and do not occur out of the blue – they are preceded by precursors (events, behaviors, and conditions) that can be identified, assessed, and mitigated through physical, administrative, and behavioral defense strategies

Basic elements of our safety approach include:

* Top executive management commitment to safe operations
* Responsibility and accountability of all employees
* Clearly communicated safety goals
* Safety assurance and performance measurement for improvement

## Annual PTASP Review and Update

**TRANSIT AGENCY** management will review the PTASP annually, update the document as necessary, and implement the changes within a timeframe that will allow the agency to timely submit to any annual or other periodic reviews, including its annual self-certification of compliance. At minimum, annual self-certification will consist of both the Accountable Executive and Board of Directors (or equivalent) signing and dating this document.

Annual review of the PTASP will be conducted by **TRANSIT AGENCY** on **INSERT DATE** of each calendar year. Necessary updates outside the annual update window may be handled as PTASP addenda. Reviews of the PTASP and any subsequent updates, addenda, adoption, and distribution activities will be documented in the Activity Log at the beginning of this document.

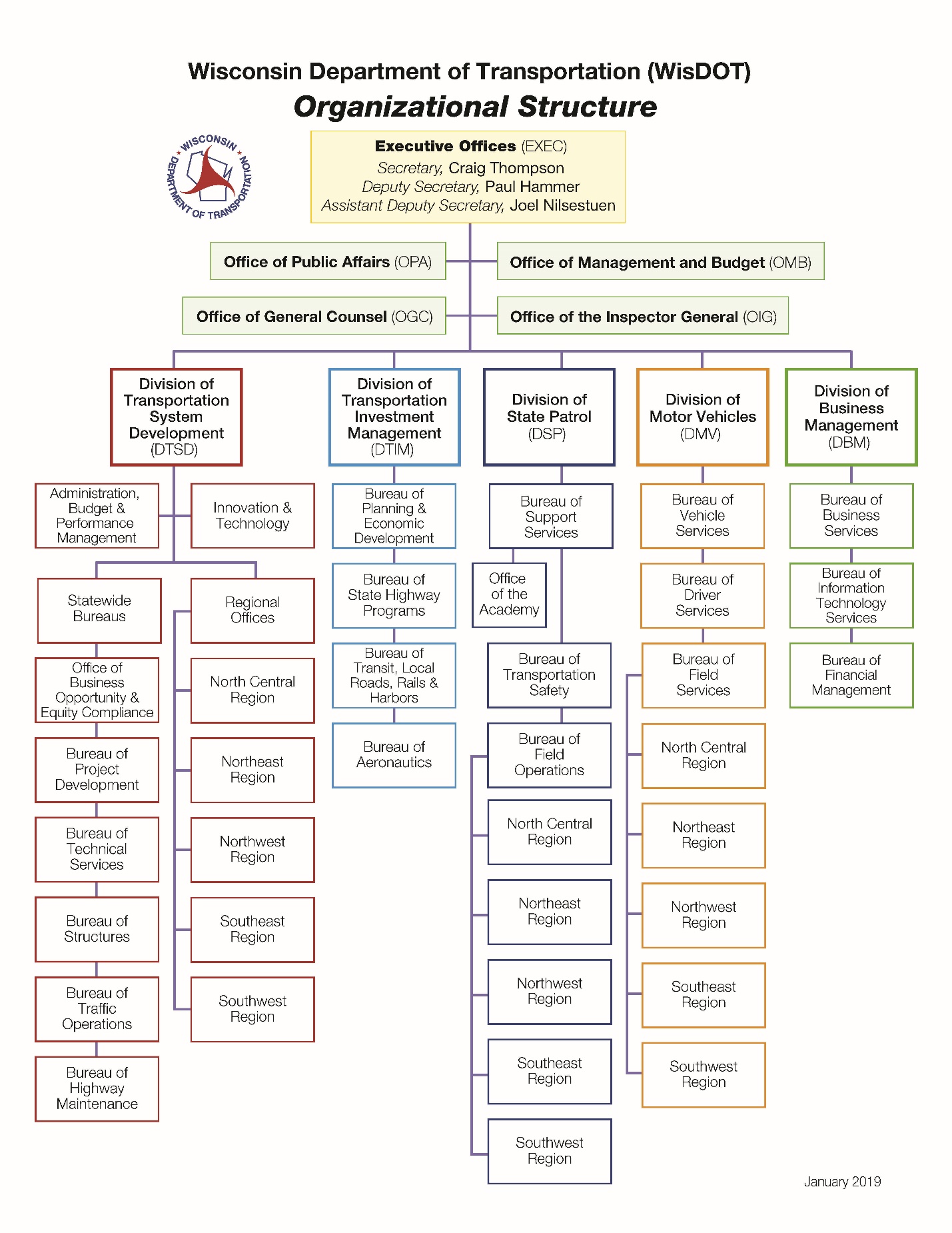
## Organization Structure and System Safety Responsibilities

While the Accountable Executive has the ultimate responsibility for **TRANSIT AGENCY**’s implementation of its PTASP, **TRANSIT AGENCY**’s executive management has the overall responsibility of safe and secure operations of **TRANSIT AGENCY** and contract service operators. Each employee is required to carry out specific system safety responsibilities, depending on the employee’s position, in compliance with the PTASP.

The information provided in the Staff Safety Roles and Responsibilities table (Appendix A) describes each position and general system safety responsibilities, and the agency’s reporting structure.

**ACTION REQUIRED:**

1. **Complete the Staff Safety Roles and Responsibilities table (Appendix A). Include a detailed summary of your agency, showing the title of each position and their specific roles/responsibilities related to transit safety. Include an organizational chart (WisDOT org chart provided below, as example) in PTASP main body or appendix.**

****

# 2 SAFETY RISK MANAGEMENT



## Hazard Identification

Establishing an effective hazard identification program is fundamental to safety management at **TRANSIT AGENCY**. Hazard identification can be reactive or proactive in nature: safety event reporting, incident investigation, and trend monitoring are essentially reactive; other hazard identification methods proactively seek feedback through data collection, observation, and day-to-day operations analysis. Common hazard identification activities include:

* Safety assessments
* Trend monitoring
* Hazard and safety event reporting (with causal factor analysis)
* Safety surveys
* Safety audits
* Evaluating customer suggestions and complaints

The number of near-misses, known as accident precursor data, is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursor data is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. **TRANSIT AGENCY** employs systematic safety improvements by discovering and learning of potential weaknesses in the system’s safety.

**ACTION REQUIRED:**

1. **Review and follow the instructions in the SRM Checklist document, included with this template.**
2. **Complete the sample Safety Assessment and System Review (Appendix B). Describe how hazards are reported and customer complaints are addressed.**
3. **Complete the Facility Safety and Security Assessment (Appendix C) if your transit agency owns and operates a vehicle facility.**

### Non-Punitive Reporting Policy

**TRANSIT AGENCY** is committed to the safest transit operating standards practicable. To achieve this, it is imperative that **TRANSIT AGENCY** have uninhibited reporting of all safety events that may compromise safe operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

**TRANSIT AGENCY** will not take disciplinary action against any employee who discloses a safety event. This policy shall not apply to information received by **TRANSIT AGENCY** from a source other than the employee, or that involves an illegal act, or a deliberate or willful disregard of rules, regulations, or agency policies or procedures.

**TRANSIT AGENCY**’smethod of collection, recording, and disseminating information obtained from transit safety reports has been developed to protect, to the extent permissible by law, the identity of any employee who provides transit safety information.

## Safety Risk Assessment

Once a hazard has been identified, **TRANSIT AGENCY** will conduct an assessment to determine the potential consequences. Factors to be considered are the likelihood of occurrence, the severity of the consequences (should there be an occurrence), and the level of exposure to the hazard. **TRANSIT AGENCY** will assess risks subjectively by experienced personnel using a risk assessment matrix. Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will continue to be monitored. If the risks are unacceptable, steps will be taken by **TRANSIT AGENCY** to lower the risk to an acceptable or tolerable level, or to remove, avoid, or otherwise eliminate the hazard.

**ACTION REQUIRED:**

1. **Review and follow the instructions in the SRM Checklist document, included with this template.**
2. **Review and complete the Risk Assessment Matrix (Appendix D).**

## Safety Risk Mitigation

The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. **TRANSIT AGENCY** will further manage risk by completing a **Hazard Assessment Log (Appendix E)** that can help prioritize safety risks. The level of risk can be lowered by reducing the severity of the potential consequences, likelihood of occurrence, exposure to that risk, or by some combination.

In general, **TRANSIT AGENCY** will take the following safety actions to mitigate risk – these actions can be categorized into three broad categories, including:

1. **Physical Defenses:**

These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)

1. **Administrative Defenses:**

These include procedures and practices that mitigate the likelihood of accident/incident (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.)

1. **Behavioral Defenses:**

These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of the agency (e.g. the *Zero in Wisconsin* campaign)

## Safety Risk Prioritization

Once a hazard has been identified and the risk level assessed, **TRANSIT AGENCY** will prioritize safety risks.

A **Prioritized Safety Risk Log (Appendix F)** can be used to organize your system’s safety risks. Your Prioritized Safety Risk Log should identify:

* The priority level for safety risks
* A description of the risk
* Planned mitigation strategies to address the risk
* The outcome of the planned mitigation strategies
* Responsible staff
* A timeline of the planned mitigation strategies
* The status of the prioritized safety risk

Update your Prioritized Safety Risk Log frequently to ensure continual progress towards risk reduction.

**ACTION REQUIRED:**

1. **Complete the Hazard Identification and Risk Assessment Log (Appendix E). Begin to analyze your transit system. Identify specific staff responsible for any necessary corrective action and develop a mitigation strategy for each identified hazard.**
2. **Complete the Prioritized Safety Risk Log (Appendix F), and identify a timeline for corrective action and the status of said action.**

# 3 SAFETY ASSURANCE

Note: Section 3 may be a good place to locate your current accident investigation procedures (or include reference to them as an attached appendix). Among other requirements (generally included in this template), 49 CFR 673.27(b)(3) requires that a transit agency must establish activities to “conduct investigations of safety events to identify causal factors.”

Safety assurance provides the necessary feedback to ensure that the SMS is functioning effectively and that **TRANSIT AGENCY** is meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated, or in other words, what metrics will be used to assess system safety and determine whether the SMS is working properly. Having decided on the metrics by which success will be measured, safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.



## Defining Safety Goals and Objectives/Outcomes

Setting safety goals and objectives is part of strategic planning and establishing safety policy for **TRANSIT AGENCY**. Clearly defining safety goals is the first part in creating a safety performance measurement system.

**Safety goals** are general descriptions of desirable long-term impacts. For example, a general safety goal might be:

|  |
| --- |
| *“Foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.”* |

**Safety objectives or outcomes** are more specific statements that define measurable results. For example, a specific safety objective for the goal stated above might be:

|  |
| --- |
| *“Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel.”* |

The safety objective/outcome will then be measured by defining specific performance metrics, including a baseline and target, that **TRANSIT AGENCY** will determine is reasonable.

## Defining Safety Performance Measures

Performance measurement is the regular systematic collection, analysis, and reporting of data that track resources used, work produced, and whether specific outcomes were achieved. In other words, it is a tool to quantify and improve performance, and engage and communicate with **TRANSIT AGENCY** staff and external stakeholders.

The two core functions of performance measurement include monitoring and evaluating progress. Performance can be measured in terms of inputs, outputs, outcomes, and efficiency, among many other criteria.

**TRANSIT AGENCY** will utilize these basic principles of performance measurement, including:

* Stakeholder involvement and acceptance
* Focus on agency goals and activities
* Clarity and precision
* Creditability and robustness
* Variety of measures
* Number of measures
* Hierarchy of measures
* Forward-looking measures
* Integration into agency decision-making
* Timely reporting
* Understand agency specifics, including context and scale of operations
* Realism of goals and targets

### Metrics

System safety data can be collected through a variety of sources, including:

* Near miss information
* Accident investigation reports (with causal factor analysis)
* Internal safety audits (or reviews)
* Safety committee meetings
* Injury reports (including occupational injury)
* Safety event reports (including accidents, incidents, and occurrences)
* System monitoring (including testing and inspection records)
* Hazard management program

Note: your agency should evaluate this list and add to/change any sources according to your actual processes and procedures.

This safety data will be analyzed and used for development of key safety performance indicators and targets.

**TRANSIT AGENCY** will initially focus on areas based on data delivered to the National Transit Database (NTD), as the following:

* **Fatalities**

1. Total number of reportable fatalities
2. Rate of reportable fatalities per total vehicle revenue miles

* **Injuries**

1. Total number of reportable injuries
2. Rate of reportable injuries per total vehicle revenue miles

* **Safety** **Events**

1. Total number of reportable safety events
2. Rate of reportable safety events per total vehicle revenue miles

* **System** **Reliability**

1. Mean distance between major mechanical failures

These safety performance measures are used to select improvement targets for these four measures and for each mode of transit, in order to encourage improvements and monitor the safety performance of delivering transit services. In addition, **TRANSIT AGENCY** will select additional performance measures and targets, both leading and lagging, to insure continual improvement of our SMS.

**TRANSIT AGENCY** will make its safety performance measures improvement targets available to applicable state agencies and metropolitan planning organizations (MPOs), and, to the maximum extent practicable, will coordinate with both in the selection of safety performance targets. Targets will be adopted into local Transportation Improvement Plans (TIP) or TIP amendment.

Note: Include more detailed description of your agency’s interaction with MPO and local planning processes.

The safety data collected from the above sources will be analyzed for potential safety impacts. Identified areas of concern are reported to appropriate personnel in the form of specific project reports, memos, and recommendations from the safety committee.

Records of system safety data are maintained for a minimum of three years. Certain information, such as safety certification backup documentation is maintained by **TRANSIT AGENCY**’s document control process. In addition to safety data, **TRANSIT AGENCY** maintains other data and documentation of activities required by the PTASP. Distribution of safety-related reports and data is accomplished through the **TRANSIT AGENCY** safety committee.

## Monitoring Performance and Evaluating Results

Once safety goals, objectives/outcomes, and measures have been defined, they can be organized into a **Safety Performance Matrix (Appendix G)** or **Safety Performance Outline (Appendix F)**. Organizing information, particularly in a matrix, will allow **TRANSIT AGENCY** to continuously monitor safety performance and evaluate results. **TRANSIT AGENCY** will evaluate safety performance and update documentation at least semi-annually.

**ACTION REQUIRED:**

1. **Provide additional details in this section to describe how (specifically) your agency will monitor its system for compliance with operations and maintenance procedures (and how your agency will determine whether those procedures are sufficient). Some examples might be:**
   1. **Announced compliance reviews**
   2. **Unannounced compliance reviews**
   3. **Ride-along evaluations**
   4. **Internal audits**
   5. **Peer reviews**
2. **Specify within the section (and/or Appendix A) who is responsible for identifying, tracking, and monitoring safety risk mitigations.**
3. **Include timeframe on how frequently the hazard log(s) is reviewed to identify safety risk mitigations and assess their effectiveness.**
4. **Complete the Safety Performance Matrix (Appendix G).**
5. **The Safety Performance Outline (Appendix H) can also be completed.**

## Integrating Results into Agency Decision-Making Processes

**TRANSIT AGENCY**is committed to using the data collected and information learned to inform decision-making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, **TRANSIT AGENCY**will work to identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Uses of performance results include:

* Focus attention on performance gaps and trigger in-depth investigations of what performance problems exist
* Help make informed resource allocation decisions
* Identify needs for staff training or technical assistance
* Help motivate employees to continue making program improvements
* Support strategic planning efforts by providing baseline information for tracking progress
* Identify best practices through benchmarking
* Respond to elected officials and the public’s demand for accountability

## Sustaining a Safety Management System

In order to sustain the SMS, **TRANSIT AGENCY** will ensure that particular processes are employed to instill an organizational foundation. Examples of actions taken to sustain the SMS include:

* **Create measurement-friendly culture:**

All staff, including senior managers, should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. Senior managers will also lead by example and utilize performance metrics in decision making processes.

* **Build organization capacity:**

Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis, and setting goals. Managing staff and the governing board will commit the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.

* **Reliability and transparency of performance results:**

The SMS will be able to produce and report its results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.

* **Demonstrate continuous commitment to measurement:**

Visible commitment to using metrics is a long-term initiative. **TRANSIT AGENCY**will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including transit safety and performance measurement as a standing agenda item at city council and county board meetings.

# SAFETY PROMOTION

## Safety Promotion, Culture, and Training

**TRANSIT AGENCY** believes safety promotion is critical to the success of an SMS by ensuring that the entire organization fully understands and trusts its safety policies, procedures, and structure. Further, safety promotion involves establishing an organizational and workplace culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

### Safety Culture

Positive safety culture must be generated from the top. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee, with the ultimate responsibility for safety resting with the Accountable Executive. Employees must trust that they will have management support for decisions made in the interest of safety, while also recognizing that intentional breaches of safety will not be tolerated.

The primary goal of safety promotion at **TRANSIT AGENCY** is to develop a positive safety culture that allows the SMS to succeed. A positive safety culture is defined as one which is:

1. **An Informed Culture**
   * Employees understand the hazards and risks involved in their areas of operation
   * Employees are provided with the necessary knowledge, training and resources
   * Employees work continuously to identify and overcome threats to safety
2. **A Just Culture**
   * Employees know and agree on what is acceptable and unacceptable behavior
   * Human errors must be understood, but negligence and willful violations cannot be tolerated
3. **A Reporting Culture**
   * Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action
   * When safety concerns are reported, they are analyzed, and appropriate action is taken
4. **A Learning Culture**
   * Learning is valued as a lifetime process beyond basic-skills training
   * Employees are encouraged to develop and apply their own skills and knowledge to enhance safety
   * Employees are updated on safety issues by management, and safety reports are fed back to staff so that everyone learns the pertinent lessons

**ACTION REQUIRED:**

1. **Describe your agency’s specific safety promotion activities and processes.**

### Training

During the initial implementation of an SMS, specific training will be required for all employees and contract staff, to explain the agency’s safety culture and describe how **TRANSIT AGENCY**’s SMS works. The Chief Safety Officer is the resource person for providing a corporate perspective on **TRANSIT AGENCY**’s approach to safety management.

Note: Once the SMS is implemented, safety training needs will depend on the safety responsibilities of the individual staff members and the nature of tasks performed.

**ACTION REQUIRED:**

1. **Using the outline below, describe how your agency will implement its safety training program and what staff are involved. Your description can take a narrative form or be outlined using bullets and numbers. Either way, provide examples of specific courses, conferences or training seminars staff will attended. Elements might include:**
   1. **Defensive driver training**
   2. **Behind-the-wheel training**
   3. **On-the-job training for maintenance functions**
   4. **Occupational safety training**
   5. **Informal staff meetings**
   6. **Webinars**
   7. **Formal certification from accredited institutions**
   8. **Other forms of training required for employees and contractors designated as “directly responsible for safety”**

Safety Management training topics may include:

1. **Initial Safety Training for All Staff**
   1. Basic principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.
   2. Corporate safety philosophy, safety goals and objectives, safety policy, and safety standards
   3. Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues
   4. Organizational structure, roles and responsibilities of staff in relation to safety
   5. Transit agency’s safety record, including areas of systemic weakness
   6. Requirement for ongoing internal assessment of organization safety performance (e.g. employee surveys, safety audits, and assessments)
   7. Reporting accidents, incidents, and perceived hazards
   8. Lines of communication for safety managers
   9. Feedback and communication methods for the dissemination of safety information
   10. Safety promotion and information dissemination
2. **Safety Training for Operations Personnel**
   1. Unique hazards facing operational personnel
   2. Seasonal safety hazards and procedures (e.g. winter operations)
   3. Procedures for hazard reporting
   4. Procedures for reporting safety events (accidents and incidents)
   5. Emergency procedures
3. **Safety Training for Management**
   1. Principles of the SMS
   2. Management responsibilities and accountabilities for safety
   3. Legal issues (e.g. liability)
4. **Training for the Safety Officer**
   1. Familiarization with different transit modes, types of operation, routes, etc.
   2. Understanding the role of human performance in safety event causation and prevention
   3. Operation of the SMS
   4. Investigating safety events
   5. Crisis management and emergency response planning
   6. Safety promotion
   7. Communication skills
   8. Performing safety audits and assessments
   9. Monitoring safety performance
   10. National Transit Database (NTD) safety event reporting requirements

# APPENDICES

Appendix A – Staff Safety Roles and Responsibilities

Appendix B – Safety Assessment and System Review

Appendix C – Facility Safety and Security Assessment

Appendix D – Risk Assessment Matrix

Appendix E – Hazard Identification and Risk Assessment Log

Appendix F – Prioritized Safety Risk Log

Appendix G – Safety Performance Matrix

Appendix H – Safety Performance Outline