**Public Transportation Agency Safety Plan (PTASP)**

**FTA Template Guidance Document w/Chapter 14-90, FAC**

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Florida Department of Transportation

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# Introduction

This document provides guidance to Florida’s public transportation agencies on how to utilize the Federal Transit Administration’s Public Transportation Agency Safety Plan (PTASP) Template for Bus Transit systems. The template is intended for use by States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>. All FTA Section 5307 recipients in Florida are required to develop a PTASP that also incorporates the minimum required System Safety Program Plan elements delineated in Section 14-90.004(1). This guidance focuses on the PTASP sections presented in the FTA template. Additional guidance is also provided based on subject matter expert input and agency model plans. Sections that are specific to Chapter 14-90 requirements are also included.

# PTASP Template Elements

1. Transit Agency Information
2. Plan Development, Approval, and Updates
3. Definitions and acronyms
4. Safety Performance Targets
5. Safety Management Policy
6. Safety Risk Management
7. Safety Assurance
8. Safety Promotion
9. Additional Information

## Transit Agency Information

In this section (can be provided in tabular form), you will identify the name of your agency and primary address. You will specifically identify the name and title of your Chief Executive Officer and the Chief Safety Officer (or SMS Executive).

You will identify all sources of FTA capital and operating assistance that your agency utilizes (Section 5307, 5310, and 5311). Identify the types of services covered by your PTASP, which may include public transit bus, complementary paratransit, demand response/social service contracted trips, transit rail, as applicable). Indicate whether your services are directly operated or if you have any contracted transportation services. If you provide any transit services for other or on behalf of another transit provider or entity, please discuss these services and the contractual arrangements (or other form of agreement) that delineates these service requirements.

## Plan Development, Approval, and Updates

If you contracted the development of this plan to a third party, you will provide the name of that third party.

It is suggested that the information required in this section be presented in tabular form. Content must include:

* Accountable Executive Signature and date
* Identification of board of directors or Equivalent Authority, name of individual approving the plan and date of approval. You will also provide any relevant documentation. It is recommended that you reference these documents in the table and then include the documents in an appendix. Relevant documents may include board agenda where the PTASP was reviewed and approved, meeting package content related to the PTASP, listing of board members (or equivalent authority) present when the approval was granted, and minutes from the meeting. The identification of the certifying body and the name and signature of the certifying body representative should be included. Any associated documentation should be listed and presented in an appendix.
* It is important that you maintain a record of actions taken and other historical information related to the PTASP. A table should be included that identifies the revisions that have occurred (and current version number), pages or sections that were modified, reasons for any change(s), and the date of revision.
* The PTASP must be updated no less than annually. The PTASP should specifically describe the process used and timeline for the annual review and update of the document.
* Include a certification or re-certification page that describes your SMS certification and PTASP process with signatures of those who may officially adopt the plan and certify its compliance with your SMS framework.
* Describe your “information management” process – how will the agency manage all SMS and PTASP-related documentation

## Definitions and Acronyms

It is important to include these at the beginning of the PTASP. This could include your agency’s definitions of hazard, close call, near miss, preventable event, etc. In addition, all acronyms utilized in the document should be included in this section. One the acronyms have been

## Safety Performance Targets

***At a minimum,*** you must identify the specific safety performance measures that your agency has established associated with those prescribed by the National Public Transportation Safety Plan. This includes targets for:

* Total fatalities and fatality rates
* Total injuries and injury rates
* Total number of safety events and event rates
* System reliability

Rates can be of your choosing, based on your local situation. Commonly used rates include fatalities/injuries/events per vehicle revenue mile, passenger mile, total vehicle miles, etc.

You must coordinate with the Florida Department of Transportation and your local Metropolitan Planning Organization (MPO) in the selection of and targets established for your agency’s various performance measures. If FDOT request specific targets be transmitted, you must identify such and include the transmission date. You must present progress associated with established targets to your local MPO. Indicate the name of your local MPO and the date of transmission.

In both these cases, document the processes used to determine the targets and the method of communicating progress to these entities.

## Safety Management Policy

This begins with the presentation of your agency’s safety policy that describes your agency’s commitment to SMS implementation and the execution of this PTASP; demonstrates the organizational support for SMS, including the commitment to assign personnel and agency resources to SMS and the elements defined in the PTASP. You will discuss the integration of SMS components and clearly define your agency’s objectives using words like, commitment, ensure, comply with, and establish, as examples. Add a signature page at the end of this section if desired.

You must present your agency’s formal approach to ensure you communicate the safety management policy throughout the agency. If you have specific outreach, publication, or promotion dates, please include them in this section.

You will also address the specific roles and responsibilities assigned to specific agency personnel for the development and management of the agency’s SMS. At a minimum, this section must include the following personnel:

* **Accountable Executive** – provides strategic direction for safety policy, risk mitigation, safety assurance, and promotion
* **Chief Safety Officer or SMS Executive** – Provides leadership in the operation and performance of SMS, develops and implements innovative strategies that foster continuous SMS improvement in a manner that supports departmental, customer and corporate business plans, goals and objectives.
* **Agency Leadership and Executive Management –** this may include your directors of operation, maintenance, and facilities as examples. They will be charged with communicating and enabling safety policies and process in accordance with the agency’s SMS. They are charged with promoting operational safety, environmental responsibility, and employee health and safety on and off the job. This will also include your SMS manager – the central point of contact for SMS activities, and your safety manager – the central point of contact for operational safety
* **Other Key Staff –** those individuals or positions that are central to your agency’s SMS.This may include SMS teams or councils that are the driving force for ensuring that reported safety items are appropriately addressed within the agency’s SMS framework and associated policies and procedures, concluded, tested, and that the originator of any employee safety report is notified of the actions taken to mitigate or abate areas of safety risk.

One of the most critical elements in SMS is the development and implementation of a non-punitive employee safety reporting system. In this section on Safety Management Policy, you will discuss the agency’s policy and procedures for reporting safety conditions to senior management (or a third party). You must address how you will ensure certain protections for your employees and identify those specific behaviors that may result in disciplinary action.

* Safety culture must also be included in this section. Discuss how the agency will ensure fair and equitable treatment of all staff, being pro-active with safety, establishing processes that will ultimately guide the agency to a predictive safety culture.
* Include employee involvement and employee safety reporting

## Safety Risk Management

In this section, you will present a comprehensive description of your Safety Risk Management Process and include agency practices, policies, and procedures that drive this process. You must clearly identify the processes used to:

* Identify safety hazards – methods or processes established and used by your agency to identify hazards and the consequences of those hazards
* Assess safety risks – methods or processes established to assess the risks associated with the hazards identified through the process above
* Mitigate safety risks – methods or processes established to identify mitigations or strategies used to address those risks identified through the process above

FTA has resources and tools available to assist public transportation agencies with this safety hazard and risk identification that transit agency personnel can access [here.](https://www.transit.dot.gov/regulations-and-guidance/safety/public-transportation-agency-safety-program/guidance-and-templates)

Other important points:

* Ensure employees have the ability to report hazards to management in person or through the use of a hazard identification form;
* Ensure hazards are placed on a hazard log for tracking and documentation
* Represent management or select designee to represent management on the safety committee
* Ensure each hazard has been assigned to a specific individual
* Ensure employees receive appropriate hazard management training

## Safety Assurance

In this section, you will specifically identify and discuss the methods you have established to perform safety performance monitoring and measurement. You must have a formalize process for these activities, including:

* Monitoring system for operations and maintenance procedure compliance
* Monitoring operations to identify any safety risk mitigations that you have instituted that may be ineffective, inappropriate, were not implemented as intended, or resulted in unforeseen negative consequences.
* Investigating safety event investigations, including the identification of causal or contributing factors in those events.
* Monitoring and processes information obtained through internal safety reporting programs or systems.

### Developing Corrective Action Plans

As part of your Safety Assurance Process, you must identify how you will develop and close corrective action plans.

* Use a risk management process
* Use a hazard resolution process or matrix
* Include this process or matrix in this section
* Describe how this works at your agency
* Use all elements from the Mil standard 882 here and describe all of these terms
* Develop a CAP tracking system that will guide the agency to identifying latent factors that may cause accidents.

### Accident/Incident Investigation and Reporting

This is one of the most critical elements in your SMS process, as defined and described in your PTASP. Suggestions:

* Add your investigation and reporting process here, making certain that is emulates the SMS process, fundamentals and is pro-active and ultimately predicative by design.
* Make certain to add root causes, definitions, descriptions of your investigative process that uses SMS framework.
* Make certain this program has corrective action plans or CAPS.

As mentioned previously, FTA has resources and tools available to assist public transportation agencies with this safety hazard and risk identification that transit agency personnel can access [here.](https://www.transit.dot.gov/regulations-and-guidance/safety/public-transportation-agency-safety-program/guidance-and-templates)

### SMS Assessment Section

As part of the Safety Assurance process, you must evaluate your SMS on a regular basis. You should identify the process you will use to ensure continuous improvement. Elements to consider:

* Overall effective SMS integration
* Assignment of roles and responsibilities for SMS
* Staff performance and accountability for safety
* Management commitment and employee involvement
* Compliance with SMS hazard/risk assessment process
* Effectiveness of safety performance targets and indicators
* Evidence of SMS continuous
* Adequacy of employee training for SMS roles
* Human and organization factors are addressed

## Safety Promotion

In this section of the plan, you will delineate all safety-related training content that you provide to your employees. You should also include the frequency of the training, duration, content outline, and specific competencies that have been established for the courses.

At a minimum, it is recommended that your training include the following elements:

* The SMS Safety Policy
* The SMS Safety Culture Policy
* The SMS manual
* The importance of conformance with SMS
* Individual roles and responsibilities specific to the SMS (Safety Accountabilities)
* General hazard reporting requirements of the SMS
* General risk assessment procedure of the SMS
* General accident/incident or near-miss reporting and investigation requirements
* General responsibilities with respect to the SMS emergency preparedness and response plan

It is also recommended that you specifically address the types of training that will be provided, by position. You should include a detailed description of what is required by position (a matrix may be helpful to communicate this information in your PTASP).

* What type of training will senior leaders receive?
* What type of training will front-line employees receive?
* What type of training will general employees receive?
* What type of training will unit managers receive?

You will also discuss the communication and dissemination plan you have for the PTASP, safety and security performance information, hazards reported through an employee reporting system, and any corrected hazards.

## Additional Information

FTA indicates that this would be where you would identify or reference documentation used to implement or carry out the PTASP that you did not address in earlier sections.

# Chapter 14-90, FAC Requirements

## Emergency Response Planning and Emergency Management Section

Describe your agency’s Emergency Management Program and describe how it meets all elements required to be included within the PTASP. Emergency Management must be included within the structure of the agencies SMS and PTASP, as it represents an area of potential risk.Some items to consider for this section are as follows:

* Preparation
* Response
* During the event
* Post event
* Recovery
* Planning
* Coordination with Emergency Operations Center (EOC)
* Memorandum of Understanding (MOU) or an Inter-Local Agreement (ILA)
* Your Continuity of Operations Plan (COOP)
* Emergency management partners
* Table top, drills, etc…

## Security Program Plan (SPP)

* Indicate that the agency maintains a separate SPP and include the dissemination restrictions clause here in this section. You may provide a brief description of the program elements but no specific security details.

## Operator Selection, Qualification, Training and Testing

In this section, you would include what you currently have in your SSPP that is compliant with Chapter 14-90, FAC. Some examples are:

* Initial operator training curriculum
* Any testing that is conducted for operators
* Driver’s license, Background and DMV checks.
* Medical card certification process
* All training requirements listed in 14.90
* Operator driving requirements as listed in the 14.90 rule

## Maintenance Plan

Present information related to your Maintenance Plan here. You may incorporate the Plan by reference.

### Pre/Post Trip Section

Discuss Pre/Post-Trip process in detail here based on current 14.90 requirements

### Vehicle Preventative Maintenance Section or page

Describe in detail your preventative maintenance program, level A, B and C etc… just as you have done in the SSPP here.

## Bus Safety Inspections and Safety/Security Inspections and Reviews Section

Include all details of the inspection process that you currently include in your SSPP as outlined in the 14.90 rule. For example:

*Inspections are completed by maintenance personnel (or an ASE Master Certified Mechanic), who is knowledgeable of and has mastered the methods, procedures, tools, and equipment used when performing an inspection. In addition, the inspectors used by subcontractors have had a least one year of training and/or experience as a mechanic or inspector in a vehicle maintenance program.*

# Appendix A

# Appendix B