Learn. Share. Engage.

This issue of the *Biweekly Message* focuses on the Safety Assurance Continuous Improvement section of Agency Safety Plans (ASPs). *Please note that the ASP Continuous Improvement section is recommended but not required for small public transit providers.*

Featured Resources

New! The Sample ASP for Bus Transit Providers offers an example of an ASP for large bus agencies.

New! Check out the Guide to Developing the Safety Assurance Component of a Public Transportation ASP for details about Safety Performance Monitoring and Measurement, Management of Change, and Continuous Improvement.

Safety Assurance Webinar (July 11, 2019): Webinar Presentation | Webinar Recording

Safety Assurance ASP Section Lessons Learned Webinar (March 26, 2020): Webinar Presentation | Webinar Recording

The Sample List of Documented Safety Risk Management and Safety Assurance Process Elements is a fillable Safety Risk Management (SRM) and Safety Assurance checklist that helps with ASP development.

Module 6 of the Roadmap to Drafting an ASP for Bus Agencies Job Aid includes a section on the Continuous Improvement process.

Section 3.2.3 of the PTASP Bus Workshop Participant Guide reviews the requirements for the Continuous Improvement section of the ASP.

Access the entire resource library by visiting FTA's PTASP Technical Assistance Center website.

Need Assistance?

Contact a PTASP Specialist today!

✉ PTASP-TAC@dot.gov

☎ 1-87 PTASP-AID
1 (877) 827-7243

9 a.m. to 8 p.m. EDT, M-F

Did you know that FTA's Technical Assistance Center (TAC) offers voluntary reviews of draft ASPs?

Submit your ASP by November 13, 2020 to guarantee review by TAC.

For more information, see the Agency Safety Plan Review: What to Expect.

Upcoming Events

Management of Change Lessons Learned Webinar

When: August 27, 2-3:30 p.m. EDT

Register Here

Virtual PTASP Workshop

When: August 19-20, 11:30-4:30 EDT

The virtual workshop is now full.

If you are interested future workshops, please send an email with your name and agency name to PTASP-TAC@dot.gov.

Q & A Highlights

Question 1:

How much detail should an ASP include in the Continuous Improvement section?

FTA Response:

The Continuous Improvement process section of your ASP should describe how the agency identifies deficiencies in its safety performance and how those deficiencies will be addressed under the direction of the Accountable Executive. These descriptions should include details on the scope of the activities used to address safety deficiencies.

Question 2:

Can you give some examples of safety performance assessment strategies that we could implement in order to meet the requirements of Continuous Improvement?

FTA Response:

The PTASP regulation does not specify exactly how to meet the requirements, so agencies have the flexibility to choose activities that will fit their particular safety needs. Your agency could consider activities that monitor the achievement of its safety objectives and safety performance indicators and targets, and that review the effectiveness of its processes for the following:

- Safety Hazard Identification,
- Safety Risk Assessment,
- Safety Risk Mitigation development,
- Management of Change,
- Monitoring operations and maintenance procedures,
- Investigating safety events and identifying causal factors,
- Safety communication, and
- Monitoring the employee safety reporting program.

Question 3:

If there is content overlap between the Safety Assurance and SRM sections, is it okay to reference one in the other, instead of repeating material? For example, could we mention how hazards are put through the risk assessment process and mitigations are revised?

Coronavirus Disease 2019 (COVID-19)

FTA encourages transit agencies to be informed and prepared for protecting personnel and passengers against COVID-19. For more info, visit FTA's COVID-19 web page.

Consider reviewing:

- FAQs from FTA Grantees Regarding COVID-19

- FTA's COVID-19 Resource Tool for Public Transportation (a one-stop-shop for Federal COVID-19 guidance and recommendations)

FTA Response:

Yes, you may reference your SRM process within the Safety Assurance section of your ASP and vice versa. However, keep in mind that the PTASP regulation clearly defines the SRM and Safety Assurance components, and you must meet the regulation's requirements for each specific section. You may choose to describe, for example, how a safety hazard is processed through SRM as a result of a Safety Assurance activity.

ASP Lessons Learned: Continuous Improvement

(The following content is an excerpt from the ASP Lessons Learned document.)

- Describe the agency's Continuous Improvement process, including the steps the agency will take to assess its safety performance.

- Explain how safety deficiencies will be identified during safety performance assessment, and how plans will be developed under the direction of the Accountable Executive to address the deficiencies.

> **Note:**
>
> Agencies designated as "small public transportation providers" are not required to implement Management of Change or Continuous Improvement processes.

- Consider describing the metrics the agency uses to define improvement in its safety performance assessment.

- Consider that the safety performance assessment can address both the performance of the Safety Management System (SMS), and the safety performance of the agency, relative to the agency's safety objectives and safety performance targets.

Get Involved with the PTASP Community of Practice

We want to hear from you! Below are two of many topics for discussion. Start the conversation today to support your ASP development and learn from your peers.

- **What criteria do you use to determine whether identified changes need to be evaluated through your Safety Risk Management process?**

- **What methods will you use to assess your safety performance and the effectiveness of your SMS?**