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This issue focuses on safety event investigations in Safety Management Systems (SMS), as laid out in the Agency Safety Plan (ASP) Safety Assurance section, to meet the requirements of the Public Transportation Agency Safety Plan (PTASP) regulation ([49 CFR § 673.27\(b\)\(3\)](#)).

Featured Resources

New! ASP Implementation Workshop (July 1, 2021):
[Participant Workbook](#) | [Recording](#)

New! Implementing Safety Risk Assessment Approaches Webinar (June 30, 2021):
[Webinar Presentation](#) | [Webinar Recording](#)

New! Version 2 of the [Safety Performance Targets \(SPTs\) Guide](#) includes clarifications on the seven required SPTs, additional information about modal categories and Reduced Reporters, and new examples.

The [Sample List of Documented Safety Risk Management and Safety Assurance Process Elements](#) includes a checklist of key processes that may be helpful during safety event investigations.

[Causal Factor of Accidents](#), from the 2018 State Safety Oversight Workshop, helps agencies develop processes to effectively identify and manage safety risk.

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

Access the entire TAC Resource Library by visiting FTA's [PTASP Technical Assistance Center website](#).

Need Assistance?

Contact the PTASP Technical Assistance Center (TAC) to speak with a specialist today!



PTASP-TAC@dot.gov



1-87 PTASP-AID
1 (877) 827-7243

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



Contact the TAC for **one-on-one technical sessions** for ASP support.

Upcoming Events

Safety Event Investigation in an SMS Webinar

When: Wednesday, July 28,
2 p.m. EDT

[Register Here](#)



Q & A Highlights

Question 1:

What is the definition of Occurrence, and does the PTASP regulation require that we investigate Occurrences?

FTA Response:

Transit agencies must develop procedures for investigating Occurrences, as well as Accidents and Incidents. The PTASP regulation ([49 CFR § 673.27\(b\)\(3\)](#)) requires transit agencies to conduct investigations of safety events to identify causal factors. The regulation defines an event ([§ 673.5](#)) as any [Accident](#), [Incident](#), or [Occurrence](#). It defines Occurrence as an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the agency's operations.

Question 2:

A part of Safety Performance Monitoring and Measurement, the Safety Assurance section of the PTASP regulation requires a transit agency to establish activities to conduct investigations of safety events to identify causal factors. FTA guidance includes identifying “latent organizational factors” that may have contributed to a safety event. What are some examples of latent organizational factors?

FTA Response:

Organizational factors would include any shortcomings in transit agency processes, such as planning, financing, budgeting, communication, supervision, training, and so forth. The shortcomings in these processes, and how they are implemented, may impact the safety performance of a transit agency. For example, deficiencies in maintenance training for mechanics leads to the dispatch of buses with ineffective brakes. Other examples could include lack of qualified personnel in key operational positions, incomplete training on current procedures and requirements, or lack of audit and work observation procedures.

Question 3:

Does FTA require transit agencies to have a contract with a law enforcement agency?

FTA Response:

The PTASP regulation does not address contracts with law enforcement, nor does FTA require transit agencies to have contracts with law enforcement agencies. The PTASP regulation requires transit agencies to establish SMS processes and procedures and describe these in their ASP. Transit agencies may choose to reference contracts with local law enforcement in their ASPs as a part of their SMS processes, as appropriate.

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.