

## CHECKLIST FOR REVIEWING the Public Transportation Agency Safety Plan (PTASP)

**Rail Fixed Guideway System:** Regional Transportation District

**Reviewer:** Pam Fischhaber

**Date:** 11/21/2018

CFR Ref.	CHECKLIST ITEM PUC - RULE #	PTASP REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE or SECTION	COMMENTS
			Yes	No		
674.29(a)&(b)	7345 (a) Introduction	The Introduction section of the PTASP shall contain the following:				
659.19(a)674.29(b)	7345 (a) (I)	A safety management policy supporting the PTASP signed by the accountable executive and the chief safety officer or safety management system executive of the RTA and approved by the Board of Directors or equivalent authority.	X		I 1.3	
	7345 (a) (I) (A)	The safety management policy must state how the policy will be communicated throughout the RTA.	X		I 9	
	7345 (a) (I) (B)	The safety management policy must establish a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action.	X		I 1.3	
659.19(a)	7345 (a) (II)	A statement of the legal authority for the PTASP	X		I 1.2	
	7345 (a) (III)	A description of the purpose and scope of the PTASP	X		I	
659.19(b)	7345 (a) (IV)	A clear definition of the SMS safety goals, safety objectives, safety performance criteria, and safety performance targets of the PTASP, and the state of good repair standards established that implement the National Transit Asset Management System, are included in the NPTSP, and will be implemented through the RTA TAMP.	X		I 2 I 2.1 I 2.3	General Goals Objectives
	7345 (a) (V)	A statement of the organizational and safety accountabilities and responsibilities to ensure the goals and objectives of the PTASP are achieved.	X		I 3.2 I 3.3	

674. 29(b)	7345 (a) (VI)	Specifications of policies in place to support implementation of the PTASP and a description of the specific activities required to implement the PTASP including:				
	7345 (a) (VI)(A)	Tasks to be performed by the RTA safety department, by position and management accountability, specified in matrices and narrative format;	X		I 3.3	
	7345 (a) (VI)(B)	Safety-related tasks to be performed by other RTA departments, by position and management accountability, specified in matrices and narrative format; and	X		I 3.3	
	7345 (a) (VI)(C)	The adequate methods that will be used to support the execution of the PTASP by all employees, agents, and contractors for the RTA.	X		I 9	
659. 19(d)	7345 (a) (VII)	Identification of the process and procedures for controlling updates and modifications to the PTASP including specification of an annual assessment of whether the PTASP should be updated and a requirement of coordination with the Commission, including timeframes for submission, revision, and approval	X		I 4	
674. 29(b)	7345 (a) (VIII)	A description of the explicit process used by the RTA to implement its safety risk management, safety assurance, and safety promotion programs, including activities for:	X		II	
	7345 (a) (VIII)(A)	Safety hazard identification and analysis;	X		II 1.1	

	7345 (a) (VIII)(B)	Safety risk evaluation and mitigation;	X		II 1.4	
	7345 (a) (VIII)(C)	Safety performance tracking, monitoring and measurement;	X		II 1.5	
	7345 (a) (VIII)(D)	Safety communication of safety performance information throughout the RTA’s organization that, at a minimum, conveys information on hazards and safety risks relevant to employees’ roles and responsibilities and inform employees of safety actions taken in response to reports submitted through an employee safety reporting program; and	X		I 9	
	7345 (a) (VIII)(E)	Competencies and training.	X		I 9.1	
	7345 (a) (IX)	A description of the safety risk management process used by the RTA to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which have safety impacts including:				
	7345 (a) (IX) (A)(i)	Management of Change – A RTA establish process for identifying and assessing changes that may introduce new hazards or impact the RTA’s safety performance	X		I 8.1	

	7345 (a) (IX) (A)(ii)	Management of Change – If a RTA determines that a change may impact its safety performance, then the RTA must evaluate the proposed change through its Safety Risk Management process.	X		III 2	
	7345 (a) (IX) (B)(i)	Continuous Improvement – A RTA must establish process to assess its safety performance	X		I 8.2	
	7345 (a) (IX) (B)(ii)	Continuous Improvement – If a RTA identifies deficiencies as part of its safety performance assessment, then the RTA must develop and carry out, under the direction of the accountable executive, a plan to address the identified safety deficiencies.	X		I 8.2	
	7345 (b) System Description	The system description section of the PTASP shall include the following:				
659. 19(e) 1	7345 (b) (I)	A brief history of the system(s) operated by the RTA.	X		I 5	
	7345 (b) (II)	The scope of service the RTA provides.	X		I 5.1.1	
659. 19(c) 1&3 and(e) 2 674. 29(b)	7345 (b) (III)	A description of the organizational structure of the RTA, including organizational diagrams of the RTA and the safety unit that identify the lines of authority and communications used by the agency to manage safety issues and define responsibilities within the RTA as they relate to the development and management of the RTA SMS including:				
	7345 (b) (III)(A)	Accountable Executive	X		I 3.3	
	7345 (b) (III)(B)	Chief Safety Officer or SMS Executive,	X		I 3.3	
	7345 (b) (III)(C)	RTA leadership and executive management	X		I 3.3	
	7345 (b) (III)(D)	Key staff	X		I 3.3	
659. 19(c) 2	7345 (b) (IV)	A description of how the safety function of the agency is integrated into the rest of the rail transit organization.	X		I 3.3	

	7345 (b) (V)	A description of the physical plant including track, signal and communication system, vehicle type and operating characteristics, station facilities and maintenance facilities.	X		I 5	
659. 19(g)	7345 (b) (VI)	A description of the management of change process (as outlined in rule 7345(a)(IX)(A)) to modify the system. The management of change system modification review and approval process shall include the following:				
	7345 (b) (VI)(A)	The identification of the unit or group of the RTA responsible for ensuring that the hazards associated with system expansions or modifications are included in the RTA's hazard resolution process and are assessed for the introduction of new hazards or impacts to the RTA safety performance;	X		III 2.1	
	7345 (b) (VI)(B)	Participation of operating and safety department personnel in the design review process for new equipment and system expansions or modifications;	X		III 1.4 III 1.5	
	7345 (b) (VI)(C)	A sign-off and certification process for verification of operational readiness of new equipment and system expansions or modifications prior to entering revenue service;	X		III 1.5.3	
	7345 (b) (VI)(D)	Documentation of responsibility and authority for approval of modification exceptions to established design criteria for new equipment and system expansions; and	X		III 1.5.4 III 1.5.6	
	7345 (b) (VI)(E)	Procurement procedures that preclude the introduction into the RFGPTS of unauthorized hazardous materials and supplies, as well as defective or deficient equipment.	X		III 1.5.5	

659.19(h)	7345 (b) (VII)	A description of the safety assurance process that discusses the safety certification process required by the RTA to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for new starts projects, and subsequent major projects to extend, rehabilitate or modify an existing system, or to replace vehicles and equipment.	X		III 1.5.4 III 1.5.3	
	7345 (c) Safety Department Activities of the RTA	The safety department activities of the RTA section of the PTASP shall contain the following information:				
659.19(e)1	7345 (c) (I)	A description of the safety responsibilities and accountabilities of those in charge of managing the safety process within the RTA.	X		IV 1.2.11	
	7345 (c) (II)	A description of the hazard identification and safety risk management process used to identify and resolve hazards during operation including any hazards resulting from subsequent system extensions or modifications, operational changes or other changes within the RFGPTS environment.	X		III 1.5	
659.19(f)	7345 (c) (III)	The hazard identification and safety risk management process shall include the following:				
	7345 (c) (III)(A)	A description of the RTA’s approach to hazard identification and safety risk management and the implementation of an integrated system-wide hazard resolution process;	X		II 1.1	
659.19(f)2&3	7345 (c) (III)(B)	Specification of the sources of, and the mechanisms to support, the on-going identification of hazards including data and information provided by the SSOA and the FTA;	X		II 1.1.5	

659.19(f)2&	7345 (c) (III)(C)	A description of the process by which identified hazards will be analyzed, evaluated and prioritized for elimination or control including hazards associated with operations, maintenance, and engineering. Such process shall require that safety risk assessments be evaluated in terms of probability and severity, take in to account mitigation efforts already in place to reduce the probability or severity of the consequence(s) analyzed, and include data and information provided by SSOA and FTA;	X		II 1.2 II 1.3	
659.19(f)4	7345 (c) (III)(D)	A description of the process and mechanism used to track through resolution the identified hazard(s);	X		II 1.3	Exhibit VIII
	7345 (c) (III)(E)	A description of the established criteria for the development of safety risk mitigations that are necessary based on the result of the RTA’s safety risk evaluation; and	X		II 1.4 II 1.43	
659.19(f)5	7345 (c) (III)(F)	A description of the process by which the RTA will provide on-going reporting of hazard resolution activities to the Commission.	X		II 1.5	
659.19(j)	7345 (c) (IV)	A procedure for accident, incident, occurrence and hazard notification, reporting and investigation. This procedure shall comply with rules 7348,7349 and 7350 and shall include the following:				
659.19(j)1	7345 (c) (IV)(A)	Notification thresholds for internal and external organizations;	X		II 1.4.1 II 1.4.2	
659.19(j)2	7345 (c) (IV)(B)	The criteria for determining which accidents require investigation and who is going to conduct the investigation;	X		II 1.4.2	

659. 19(j) 3&4	7345 (c) (IV)(C)	A description of the safety risk management process and safety assurance process and procedures used for conducting accident investigations which include the reporting of findings to internal and external organizations, conclusions, development, implementation and tracking of corrective actions that address investigation findings, and follow up to verify corrective action implementation;	X		III 1.2	
659. 19(j) 5	7345 (c) (IV)(D)	Coordination with the Commission.	X		III 1.2	
659. 19(p) 674. 29(b)	7345 (c) (V)	A comprehensive employee and contractor training and certification safety program including training and certification, drug and alcohol testing, as well as information about drug and alcohol abuse. The employee and contractor certification and training program shall include a description of the training material and documentation of training test scores and dates and must maintain such training record. The comprehensive staff training program shall apply to personnel directly responsible for safety of the RFGPTS and shall comply with the requirements of the public transportation safety certification training program. The employee and contractor training and certification shall also include:	X		III 6.1 III 6.3  IV 2	Drug and Alcohol Employee Training and Certification  Contractor
659. 19(p) 1	7345 (c) (V)(A)	Categories of safety-related work requiring training and certification;	X		IV 2.1	
659. 19(p) 2	7345 (c) (V)(B)	A description of the training and certification program for employees and contractors in safety-related positions including a description of the training material used;	X		IV 2.3	

659.19(p)3	7345 (c) (V)(C)	A process used to maintain and access employee and contractor records including documentation of training test scores and dates, when applicable; and	X		IV 2.6	
659.19(p)4	7345 (c) (V)(D)	A process used to assess compliance with training and certification requirements.	X		IV 2.6	
659.19(n)	7345 (c) (VI)	A safety risk management process and safety assurance process for internal safety inspection of operation and maintenance facilities and equipment including audits and review of procedures that complies with rule 7351 and an investigation of events to identify casual factors that includes:				
659.19(n)1	7345 (c) (VI)(A)	Identification of the facilities and equipment subject to regular safety-related inspection and testing;	X		III 4.1	
659.19(n)2	7345 (c) (VI)(B)	Techniques used to conduct inspections and testing;	X		III 4.2	
659.19(n)3	7345 (c) (VI)(C)	Inspection schedules and procedures;	X		III 4.2	
659.19(n)4	7345 (c) (VI)(D)	Description of how results are entered into the hazard management process.	X		III 4.3	
659.19(k)674.29(b)	7345 (c) (VII)	A description of the process used by the RTA to develop an approved coordinated schedule for all emergency management program activities including:				
659.19(k)1	7345 (c) (VII)(A)	Meetings with external agencies;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed

659.19(k)2	7345 (c) (VII)(B)	Emergency planning responsibilities and requirements;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(k)3	7345 (c) (VII)(C)	Process used to evaluate emergency preparedness, such as annual emergency field exercises;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(k)4	7345 (c) (VII)(D)	After action reports and implementation of findings;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(k)5	7345 (c) (VII)(E)	Revision and distribution of emergency response procedures;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(k)6	7345 (c) (VII)(F)	Familiarization training for public safety organizations;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(k)7	7345 (c) (VII)(G)	Employee training; and	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
	7345 (c) (VII)(H)	An emergency preparedness and response plan or procedure that includes planning updates and addresses, at a minimum:	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
	7345 (c) (VII)(H)(i)	Assignment of employee responsibilities during an emergency;	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
	7345 (c) (VII)(H)(ii)	Coordination with federal, state, regional and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area.	X		I 6.2	Emergency Preparedness Plans are being revised, developed and reviewed
659.19(s)	7345 (c) (VIII)	A description of the hazardous materials program including the process to ensure knowledge of and compliance with program requirements.	X		II 2	Environmental Management System and Policy Manual being developed
	7345 (c) (IX)	A contractor safety coordination program.	X		IV 2.4	

659.19(i)	7345 (c) (X)	A description of the process used to collect, maintain, analyze, and distribute safety data, including data and information provided by SSOA and FTA, to ensure that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program.	X		III 1.3	
659.19(m)	7345 (c) (XI)	A description of the safety assurance process used by the RTA to develop, maintain, monitor and ensure compliance with rules and procedures having a safety impact including:				
659.19(m)1	7345 (c) (XI)(A)	Identification of operating and maintenance rules and procedures subject to review;	X		III 3	
659.19(m)2	7345 (c) (XI)(B)	Techniques to assess implementation of operating and maintenance rules and procedures by employees, such as performance testing;	X		III 6.3	
659.19(m)3	7345 (c) (XI)(C)	Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules;	X		III 3.1.2	
659.19(m)4	7345 (c) (XI)(D)	Processes for documenting results and incorporating them into the hazard management program.	X		I 3.3	
659.19(o)	7345 (c) (XII)	A description of the maintenance audits and inspections program, including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.	X		III 1 III 5.2	
659.19(q)	7345 (c) (XIII)	A description of the configuration management control process including:				
659.19(q)1	7345 (c) (XIII)(A)	The authority and authorized RTA personnel to make configuration changes;	X		III 1.5	SOP 101.11

659.19(q)2	7345 (c) (XIII)(B)	The process for making changes that includes how a change may impact an RTA’s safety performance and how the RTA will evaluate the proposed change through its safety risk management, safety assurance and safety documentation processes; and	X		III 1.5 III 2	
659.19(q)3	7345 (c) (XIII)(C)	Assurances necessary for formally notifying all involved departments.	X		III 2	
659.19(r)	7345 (c) (XIV)	A description of the safety program for employees and contractors that incorporates the applicable local, state and federal requirements including:	X		IV 2	
659.19(r)1	7345 (c) (XIV)(A)	Safety requirements that employees and contractors must follow when working on, or in close proximity to RTA property; and	X		IV 2.1	
659.19(r)2	7345 (c) (XIV)(B)	Processes for ensuring the employees and contractors know and follow the requirements including required competencies and training, and the RTA’s safety communication process.	X		IV 2.3	
659.19(t)	7345 (c) (XV)	A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.	X		III 6	
659.19(u)	7345 (c) (XVI)	A description of the safety promotion, measures, control, and safety assurances in place to ensure that safety principles, requirements and representatives are included in the RTA’s procurement process.	X		III 6.4	Procurement Standards Manual
	7345 (d) Safety-related Activities of Other Departments of the RTA	The safety-related activities of other departments of the RTA section of the PTASP shall contain the following:				
	7345 (d) (I)	A process of coordination of safety related tasks with other departments; and	X		IV 1	
	7345 (d) (II)	A matrix of safety related tasks that show department responsibility.	X		I 3.3 IV 1.2.11	Table Page 30 Table Page 104

	7345 (e) PTASP Implementation and Maintenance	The PTASP implementation and maintenance section of the PTASP shall contain the following:				
	7345 (e) (I)	Program schedule for implementation and maintenance of the PTASP which shall contain the following:	X		I 4.1	
	7345 (e) (I)(A)	Specified time intervals between PTASP reviews to determine whether or not the PTASP needs to be revised because of changed operating conditions and/or system modifications;	X		I 4.1	
	7345 (e) (I)(B)	A detailed description of the PTASP revision process including the identification of the persons responsible for initiating, developing, and approving changes to the PTASP;	X		I 4.1	
	7345 (e) (I)(C)	A statement that the Commission will be notified of all changes to the PTASP and supplied with a copy of all revised pages.	X		I 4.1	
659. 19(l)	7345 (e) (II)	A description of the process and procedure for conducting, at a minimum annually, planned and scheduled internal safety reviews and safety assessments to evaluate compliance with the PTASP and comply with rule 7351 including the review and modification of the PTASP based upon audit results. This procedure shall include the following:	X		III 1	
659. 19(l) 1	7345 (e) (II)(A)	Identification of departments and functions subject to review;	X		III 1	
659. 19(l) 2	7345 (e) (II)(B)	The RTA's schedule for conducting internal reviews and the responsibility for scheduling such reviews;	X		III 1	
659. 19(l) 3	7345 (e) (II)(C)	A description of the process for conducting reviews, including the development of written checklists and procedures and the issuing of findings;	X		III 1	

659.19(l)3	7345 (e) (II)(D)	Written documentation of the process and procedures of issuing audit findings including an evaluation of the adequacy and effectiveness of the PTASP;	X		III 1	
	7345 (e) (II)(E)	A process to assess the RTA's safety performance;	X		III 1	
659.19(l)4	7345 (e) (II)(F)	A process for the review of reporting requirements, identification of any deficiencies as part of the safety performance assessment, and how the RTA will develop and carry out, under the direction of the accountable executive and chief safety officer a plan to address the identified safety deficiencies;	X		III 1	
659.19(l)5	7345 (e) (II)(G)	A process for tracking the status of implemented recommendations;	X		III 1	
	7345 (e) (II)(H)	A requirement for an annual audit report, a copy of which must be submitted to the Commission by February 15 each year, which summarizes the results of the internal audits performed during the previous year, including a summary of required corrective actions taken, if any, and provision for follow up to ensure timely implementation and to determine effectiveness; and	X		III 1	
659.19(l)6	7345 (e) (II)(I)	Coordination with the Commission.	X		III 1	
	7345 (f) PTASP Verification.	The PTASP verification section of the PTASP shall contain the following:				

7345 (f) (I)	A process to ensure that the design and construction of new systems and/or extensions follow the safety assurance process and comply with the PTASP;	X		III 1.4 III 1.5 III 1.5.6 IV 1.1 IV 1.2	ESSC, MOC Teams, FLSC, CCC, RAC, SSWG
7345 (f) (II)	A process to ensure compliance of existing operating systems with the PTASP; and	X		IV 1.2	ESSC, MOC Teams, RSC, CCC
7345 (f) (III)	A process to ensure that safety audits and review of the PTASP are conducted including consideration of occupational safety and health, fire protection, safety training, and safety information and reporting.	X		III 1 III 5	
7345 (g) PTASP Documentation	The RTA must maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from the SMS processes and activities.				
7345 (g) (I)	Documents that are included in whole, or by reference, that describe the programs, policies and procedures that the RTA uses to carry out its PTASP must be maintained for a minimum of three years and must be available upon request to the FTA, other Federal entity or the SSOA	X		I 10 III 1.3	
7345 (g) (II)	A RTA must maintain records of safety risk mitigations developed in accordance with rule 7345(c)(III)(E)	X		II 1.5 II 1.6	
7345 (g) (III)	A RTA must maintain results from the RTA's safety performance assessments as required under rule 7345(c)(III)(C and D)	X		II 1.5 II 1.6	

	7345 (g) (IV)	A RTA must maintain employee safety training records taken for purpose of compliance with rule 7345(c)(V) and the public transportation safety certification training program	X		IV 2	
	7345 (h) Planning Coordination	Coordination with metropolitan, statewide and non-metropolitan planning processes				
	7345 (h) (I)	The RTA must make safety performance targets available to states and metropolitan planning organizations to aid in planning processes	X		III 1.3	
	7345 (h) (II)	To the maximum extent practicable, a RTA must coordinate with states and metropolitan planning organizations in the selection of state and metropolitan planning organization safety performance targets.	X		III 1.3	