

CHECKLIST FOR REVIEWING the Public Transportation Agency Safety Plan (PTASP)						
Rail Fixed Guideway System: <u>Regional Transportation District</u>						
Reviewer: Fischhaber, Sava, Terry, Whalen				Date: 11/9/2022		
CFR Ref.	CHECKLIST ITEM PUC - RULE #	PTASP REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE or SECTION	COMMENTS
			Yes	No		
673.21(a) 673.23	7345(a)	Safety Management Policy - the Introduction section of the PTASP shall Contain the following:				
673.11 (a)(1)	7345(a)(I)(A)	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.			1.1	
673.11(a)(3) 673.23(a)	7345(a)(I)(A)(i)	The safety management policy must establish the RTA’s organizational accountabilities and responsibilities and have a written statement of the safety management policy that includes the RTA’s safety objectives and include performance targets based on the safety performance measures established under the NPTSP.			1.2	
673.23(b)	7345(a)(I)(A)(ii)	The safety management policy must establish and implement 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.			1.1	
673.23(c)	7345(a)(I)(A)(iii)	The safety management policy must state how the policy will be communicated throughout the RTA			1.1	
673.23(d)	7345(a)(I)(A)(iv)	The safety management policy must state the legal authority for the PTASP			1.1	

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673.23(d)	7345(a)(I)(A)(v)	The safety management policy must establish necessary authorities, accountabilities, and responsibilities for the management of safety including organizational diagrams of the RTA and the safety unit that identify the lines of authority and communications used by the RTA amongst the following individuals:				
673.23(d)(1)	7345(a)(I)(A)(v)(1)	Accountable Executive			1.3	
673.23(d)(2)	7345(a)(I)(A)(v)(2)	Chief Safety Officer or SMS Executive			1.3	
673.23(d)(3)	7345(a)(I)(A)(v)(3)	RTA Leadership and Executive Management			1.3	
673.23(d)(4)	7345(a)(I)(A)(v)(4)	Key Staff			1.3	
673.11(a)(5)	7345(a)(II)	PTASP Implementation and Maintenance. The PTASP Implementation and maintenance section of the PTASP shall contain the following information:				
673.11(a)(5)	7345(a)(II)(A)	Specific 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.			1.4	
673.11(a)(5)	7345(a)(II)(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			1.4	
673.11(a)(5)	7345(a)(II)(C)	A statement that the Commission will be notified of all changes to the PTASP and supplied with copy of all revised pages.			1.4	
673.11(a)(6)	7345(a)(III)	Emergency preparedness and response plans and procedures. The PTASP must include or incorporate by reference and emergency preparedness and response plan or procedures that address at minimum:				
673.11(a)(6)	7345(a)(III)(A)	The assignment of employee’s responsibilities during an emergency			1.7	
673.11(a)(6)	7345(a)(III)(B)	Coordination with federal, state, regional and local officials with roles and responsibilities for emergency preparedness and response in the RTA’s service area			1.7	

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673.15	7345(a)(IV)	Coordination with metropolitan, statewide, and non-metropolitan planning processes.			1.7	
673.15(a)	7345(a)(IV)(A)	The RTA must make its safety performance targets available to states and Metropolitan Planning Organizations to aid in the planning process			3.1	
673.15(b)	7345(a)(IV)(B)	To the maximum extent practicable, the RTA must coordinate with states and Metropolitan Planning Organizations in the selection of state and Metropolitan Planning Organization safety performance targets.			3.1	
673.21(b) 673.25(a)	7345(b)	Safety Risk Management – The safety risk management section of the PTASP shall develop and implement a safety risk management process that will be comprised of the following activities:				
673.25(b)	7345(b)(I)	<i>Safety Hazard Identification</i>				
673.11(a)(4) 673.25(b)(1)	7345(b)(I)(A)	Pursuant to 49 U.S.C. Section 5329(d)(1)(c), the RTA must establish methods for identifying and evaluating safety risks throughout all FTA regulated elements of its public transportation system. For purpose of the requirements of this State Safety Program Standard, the RTA must establish methods for identifying and evaluating safety risks for its RFGPTS. The methods and processes applicable to the RFGPTS must include a description of:				
673.25(b)(1)	7345(b)(I)(A)(i)	how hazards will be analyzed, evaluated, and ranked for elimination or control including hazards associated with operations, maintenance, and engineering			2.1	Appendix Exhibit E.5
673.25(b)(1)	7345(b)(I)(A)(ii)	the process and mechanism used to track identified hazard(s) through resolution to the extent practical			2.1	
673.25(b)(1)	7345(b)(I)(A)(iii)	How the RTA will provide on-going reporting of hazard resolution activities to the commission			2.1	
673.25(b)(2)	7345(b)(I)(B)	The RTA must consider as a source of hazard identification, data, and information provided by the SSOA and the FTA			2.1	
673.25(c)	7345(b)(II)	<i>Safety Risk Assessment</i>				

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673.25(c)(1)	7345(b)(II)(A)	The RTA must establish methods or processes to assess the safety risks associated with identified safety hazards			2.1	
673.25(c)(2)	7345(b)(II)(B)	A safety risk assessment includes an assessment of the likelihood (probability) and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk			2.1	
673.25(d)	7345(b)(III)	<i>Safety Risk Mitigation</i>				
673.25(d)	7345(b)(III)(A)	The RTA must establish methods or processes to identify mitigations or strategies necessary as a result of the RTA’s safety risk assessment to reduce the likelihood (probability) and severity of the consequences.			2.1	
673.25(d)	7345(b)(III)(A)(i)	The methods and processes must include 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 assessment			2.1	
673.25(d)	734 (b)(III)(A)(ii)	The methods and processes must take into account safety risk mitigation efforts already in place to reduce the probability or severity of the potential consequences analyzed			2.1	
673.25(d)	7345(b)(III)(A)(iii)	The methods and processes must identify mitigations or strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions and consistent with the guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious disease.			1.7	
673.21(c) 673.27	7345(c)	Safety Assurance – The safety assurance section of the PTASP shall develop and implement a safety assurance process that will be comprised of the following activities:				
673.27(b)	7345(c)(I)	<i>Safety Performance Monitoring and Measurement</i>				

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673.27(b)(1)	734 (c)(I)(A)	The RTA shall monitor its system for compliance with, and sufficiently of, the RTA’s procedures for operations and maintenance			3.1	
673.27(b)(2)	7345(c)(I)(B)	The RTA shall monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.			4.1	
673.27(b)(3)	7345(c)(I)(C)	The RTA shall conduct investigations of safety events to identify causal factors and contributing factors			3.1	
673.27(b)(4)	7345(c)(I)(D)	The RTA shall monitor information reported through any internal safety reporting programs			1.3	
673.27(c)	7345(c)(II)	<i>Management of Change</i>				
673.27(c)(1)	7345(c)(II)(A)	The RTA must establish a configuration management control process for identifying and assessing changes that may introduce new hazards or impact the RTA’s safety performance.			3.1	
673.27(c)(1)	734 (c)(II)(A)(i)	The management of change process shall include the identification of the unit(s) or groups of the RTA responsible for ensuring that the hazards associated with the system expansion of 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.			3.2	
673.27(c)(1)	7345(c)(II)(A)(ii)	The management of change process shall include participation of operating and safety department personnel in the design review process for new equipment, new or replacement vehicles, new starts projects, subsequent major projects to extend, rehabilitate, modify, or expand the existing system to ensure that safety concerns and hazards are adequately addressed			3.2	
673.27(c)(1)	7345(c)(II)(A)(iii)	The management of change process shall include a safety certification and sign off process for verification of operational readiness of new equipment and system expansions of modifications prior to entering revenue service			3.2	

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673.27(c)(1)	734 (c)(II)(A)(iv)	The management of change process shall include documentation of responsibility and authority for approval of modification exceptions to established design criteria for new equipment and system expansions			3.2	
673.27(c)(1)	7345(c)(II)(A)(v)	The management of change process shall include procurement procedures the preclude the introduction into the RFGPTS of unauthorized hazardous materials and supplies, as well as defective or deficient equipment.			3.1	
673.27(c)(2)	7345(c)(II)(B)	If the RTA determines that a change may impact its safety performance, then the RTA must evaluate the proposed change through its safety risk management process.			1.3	
673.27(d)	7345(c)(III)	<i>Continuous Improvement</i>				
673.27(d)(1)	7345(c)(III)(A)	The RTA must establish a process to assess its safety performance				
673.27(d)(1)	7345(c)(III)(A)(i)	Assessment of Safety Performance must include a 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 the results.			1.5	
673.27(d)(1)	7345(c)(III)(A)(i)(1)	Assessment of Safety Performance process and procedure shall include identification of the RTA departments and functions subject to review			1.5	
673.27(d)(1)	7345(c)(III)(A)(i)(2)	Assessment of Safety Performance process and procedure shall include identification of the RTA’s schedule for conducting internal safety reviews and the responsibility for scheduling such reviews			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(3)	Assessment of Safety Performance process and procedure shall include a description of the process for conducting internal safety reviews, including the development of written checklists and procedures and the issuance of findings			3.1	

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673.27(d)(1)	7345(c)(III)(A)(i)(4)	Assessment of Safety Performance process and procedure shall include written documentation of the process and procedures for issuing internal safety review findings including an evaluation of the adequacy and effectiveness of the PTASP			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(5)	Assessment of Safety Performance process and procedure shall include a description of the process to assess the RTA’s safety performance			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(6)	Assessment of Safety Performance process and procedure shall include 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 carryout, under the direction of the accountable executive and chief safety officer plan to address the identified safety deficiencies			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(7)	Assessment of Safety Performance process and procedure shall include a description of the process for tracking the status of implemented recommendations			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(8)	Assessment of Safety Performance process and procedure shall include a requirement for an annual internal safety review and audit report, a copy of which must be submitted to the commission by February 15 th each year, which summarizes the results of the internal safety reviews 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			3.1	
673.27(d)(1)	7345(c)(III)(A)(i)(9)	Assessment of Safety Performance process and procedure shall include coordination with the Commission			3.1	

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673.27(d)(1)	7345 (c)(III)(A)(ii)	Assessment of safety performance must include a procedure for accident, incident, occurrence, and hazard notification, reporting and investigation. This procedure shall comply with rules 7348, 7349, and 7350.			3.1	
673.27(d)(1)	7345(c)(III)(A)(ii)(1)	The procedure for Assessment of safety performance shall include notification thresholds for internal and external organizations			3.1	
673.27(d)(1)	7345(c)(III)(A)(ii)(2)	The procedure for Assessment of safety performance shall include the criteria for determining which accidents require investigation and who is responsible for conducting the investigation			3.1	
673.27(d)(1)	7345(c)(III)(A)(ii)(3)	The procedure for Assessment of safety performance shall include 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 action implementation			3.1	
673.27(d)(1)	7345(c)(III)(A)(ii)(4)	The procedure for Assessment of safety performance shall include coordination with the Commission			3.1	
673.27(d)(1)	7345(c)(III)(A)(iii)	A description of the process used to monitor, collect, maintain, analyze, and distribute safety data, including data and information provided to the RTA by the SSOA, the FTA, and any internal safety reporting programs to ensure that the safety function within the RTA receives the necessary information to support implementation of the PTASP			3.1	
673.27(d)(2)	7345(c)(III)(B)	If a RTA identifies any deficiencies as part of its safety performance assessment then the transit agency must develop and carry out, under the direction of the accountable executive, a plan to address the identified safety deficiencies.			4.1	

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673.21(d) 673.29	7345(d)	Safety Promotion – The safety promotion section of the PTASP shall develop and implement a safety promotion process for the RTA that will include the following activities:				
673.29(a)	7345(d)(I)	<i>Competencies and Training</i>				
673.29(a)	7345(d)(I)(A)	The RTA must establish and implement a comprehensive training program for all agency employees and contractors directly responsible for safety in the agency’s public transportation system. The training program must include refresher training as necessary. The program must include training and certification, drug and alcohol testing, as well as information about drug and alcohol abuse, and a hazardous materials program. 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 training records. The comprehensive employee and contractor 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.			3.6 4.2 4.3	
673.29(a)	7345(d)(I)(A)(i)	The employee and contractor training and certification shall also include categories of safety-related work requiring training and certification			4.3	
673.29(a)	7345(d)(I)(A)(ii)	The employee and contractor training and certification shall also include a description of the training and certification program for employees and contractors in safety-related positions including a description of the training material used			4.3	
673.29(a)	7345(d)(I)(A)(iii)	The employee and contractor training and certification shall also include a process used to maintain and access employee and contractor records including documentation of training test scores and dates, when applicable			4.3	

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673.29(a)	7345(d)(I)(A)(iv)	The employee and contractor training and certification shall also include a process used to access compliance with training and certification requirements			4.2 4.3 4.4	
673.29(b)	7345(d)(II)(A)	<i>Safety Communication.</i> The RTA must communicate safety and safety performance information throughout the RTA’s organization that, at minimum, conveys information on hazards and safety risks relevant to employees roles and responsibilities and informs employees of safety actions taken in response to reports submitted through an employee safety reporting program			1.2	
673.11(2) 673.31	7345(e)	<i>Safety Plan Documentation.</i> The RTA must maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. The RTA must maintain 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. These documents must be made available upon request by the FRA (FTA) or other Federal entity, or the SSOA. The RTA must maintain these documents for a minimum of three years after they are created.			1.6	
	7345(f)	<i>Safety Committee</i>				
49 U.S.C. §5329(d)(5) (A)	7345(f)(I)	The RTA is required to form a safety committee that is convened by a joint labor-management process.			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(II)	The RTA is required to form a safety committee that consists of an equal number of:				

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49 U.S.C. §5329(d)(5) (A)	7345(f)(II)(A)	Frontline employee representatives, selected of a labor organization representing the plurality of the frontline workforce employed by the RTA or, if applicable, a contractor of the RTA, to the extent frontline employees are represented by labor organizations			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(II)(B)	Management representatives			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(III)	Safety Committee minimum responsibilities				
49 U.S.C. §5329(d)(5) (A)	7345(f)(III)(A)	The Safety Committee is responsible for identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency’s safety risk assessment			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(III)(B)	The Safety Committee is responsible for identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(III)(C)	The Safety Committee is responsible for identifying safety deficiencies for purposes of continuous improvement			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(III)(D)	The Safety Committee is responsible for establishing risk reduction performance targets using a three-year rolling average of the data submitted by the RTA to the National Transit Database under 49 U.S.C. Section 5335. Risk reduction performance targets are not required to be in place until after FTA updates the NPTSP to include applicable performance measures.			1.3	
49 U.S.C. §5329(d)(5) (A)	7345(f)(IV)	Safety Committee PTASP approval. The Safety Committee is required to approve the PTASP prior to providing the PTASP to the RTA Board of Directors for approval.			1.3	