



DRPT Checklist for Reviewing Public Transportation Agency Safety Plans

#	CHECKLIST ITEM	PLAN REQUIREMENTS Is the plan/does the plan:	COMPLIANT Yes — No	PAGE REF.	COMMENTS
1.0	General Requirements	<ul style="list-style-type: none"> ○ Signed by the accountable executive and approved by the agency's Board of Directors or an equivalent authority ○ Document the processes and activities related to SMS implementation ○ Include performance targets based on the safety performance measures established under the National Public Transportation Safety Plan ○ Establish a process and timeline for conducting an annual review and update of the PTASP ○ Include or incorporate by reference an emergency preparedness and response plan or procedures that addresses, at a minimum, the assignment of employee responsibilities during an emergency and coordination with federal, state, regional, and local officials with roles and responsibilities for emergency preparedness and response in the transit agency's service area 			
1.1	Safety Management Policy	<ul style="list-style-type: none"> ○ Establish organization accountabilities and responsibilities ○ Include a statement of safety management policy including safety objectives ○ State that the policy must be communicated throughout the organization ○ Establish the necessary authorities, accountabilities, and responsibilities for the management of safety among the key safety roles within the organization 			

Appendix D: DRPT SSO PTASP Review Checklist
Last Revised: March 2020



#	CHECKLIST ITEM	PLAN REQUIREMENTS Is the plan/does the plan:	COMPLIANT Yes — No	PAGE REF.	COMMENTS
1.2	Employee Safety Reporting	<ul style="list-style-type: none"> Establish and implement a process that allows employees to report safety conditions to senior management Include protections for employees who report safety conditions to senior management Include a description of employee behaviors that may result in disciplinary action 			
1.3	Accountable Executive	<ul style="list-style-type: none"> Identify an accountable executive that is: <ul style="list-style-type: none"> accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's public transportation system accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS 			
1.4	Chief Safety Officer (CSO) or SMS Executive	<ul style="list-style-type: none"> Identify a CSO or SMS Executive who: <ul style="list-style-type: none"> is designated by the accountable executive has the authority and responsibility for day-to-day implementation and operations of an agency's SMS holds a direct line of reporting to the accountable executive, and may be the same individual is solely dedicated to this function and may not serve in other operational or maintenance capacities 			
1.5	Agency Leadership and Executive Management	<ul style="list-style-type: none"> Identify those members of the leadership or executive management, other than the Accountable Executive, CSO, or SMS Executive, who have the authority or responsibility for day-to-day implementation and operation of an agency's SMS 			
1.6	Key Staff	<ul style="list-style-type: none"> Designate, as necessary, key staff, groups of staff, or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating the agency's SMS 			
2.1	Safety Risk Management	<ul style="list-style-type: none"> Develop and implement a Safety Risk Management Process for all elements of the public transportation system 			

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2.2	Safety Hazard Identification	<ul style="list-style-type: none"> Establish methods and process to identify hazards and consequences of the hazards Include the SSOA and FTA as possible sources for hazard information 			
2.3	Safety Risk Assessment	<ul style="list-style-type: none"> Establish methods or processes to assess the safety risks associated with identified safety hazards Include an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk 			
2.4	Safety Risk Mitigation	<ul style="list-style-type: none"> Establish methods or processes to identify mitigations or strategies necessary as a result of the safety risk assessment to reduce the likelihood and severity of the consequences 			
3.1	Safety Assurance: Performance Monitoring and Measurement	<ul style="list-style-type: none"> Develop and implement a safety assurance process including safety performance monitoring and measurement of the following: <ul style="list-style-type: none"> compliance with and sufficiency of the agency's procedures for operations and maintenance operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended information reported through any internal safety reporting programs Establish methods or processes to conduct investigations of safety events to identify causal factors 			

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3.2	Management of Change	<ul style="list-style-type: none"> Establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's performance Require that, if the agency determines that a change may impact its safety performance, then it must evaluate the proposed change through the Safety Risk Management Process 			
3.3	Continuous Improvement	<ul style="list-style-type: none"> Establish a process to assess safety performance Require that, if the agency 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	Safety Promotion: Training Program	<ul style="list-style-type: none"> Establish and implement a comprehensive safety training program for all agency employees and contractors directly responsible for safety in the agency's public transportation system and include refresher training as necessary 			
4.2	Safety Communication	<ul style="list-style-type: none"> Account for the communication of safety and safety performance information throughout the agency's organization that, at a minimum: <ul style="list-style-type: none"> conveys information on hazards and safety risks relevant to employees' roles and responsibilities informs employees of safety actions taken in response to reports submitted through an employee safety reporting program 			