

Section 5307 Vendor Expectations – Public Transportation Agency Safety Plan (PTASP)

The following outlines expectations for Section 5307 vendors that are required by the Federal Transit Administration (FTA) to develop an Agency Safety Plan (ASP) that includes the processes and procedures to implement a Safety Management System (SMS) per [49 CFR Part 673](#).

Best practices represent the highest standard in compliance. IndyGo encourages vendors to employ these practices to ensure a strong and effective program that maximizes the benefit to the public. Best practices do not modify or add to the regulatory requirements. Implementing best practices helps demonstrate compliance. [All best practice items are labeled as such.](#)

PTASP

Vendors are required to develop an ASP in conjunction with IndyGo and/or their contracted technical assistance consultant. In addition to developing the ASP, vendors maintain required documents and records. Below you will find a summary of the major expectations of vendors as related to the PTASP requirement.

1. Follow the procedures described in their ASP

- The ASP provides the specifics of the vendor's SMS, consisting of four pillars: safety management policy, safety risk management process elements, safety assurance procedures, and safety promotion activities. The vendor should follow the processes as described in the ASP.
 - If the vendor changes a procedure, or adds or eliminates a procedure, the ASP should be updated accordingly.

2. Maintain the following materials for a minimum of three years after they are created:

- Documents related to implementing the vendor's SMS;
- Results from their SMS processes and activities; and
- Documents included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its ASP.
- Examples of these types of documents include, but are not limited to:
 - Concurrences or other documentation approving ASP revisions;
 - Policies, procedures, or other instructions for implementing any part of the ASP;
 - Documentation of activities performed to investigate and/or address reported safety concerns, and documentation of notifications to employees who submitted reports; and
 - Accident investigation procedures, reports, memoranda, testing records, and briefing materials.

3. Establish and Operate a Compliant Safety Committee as defined in [49 CFR Part 673.19](#) and Assess Safety Performance Annually

- Include an equal number of frontline transit worker representatives and management representatives on the Committee
 - To the extent practicable, include frontline transit worker representatives from major transit service functions, such as operations and maintenance, across the transit system.
- Maintain a list of Committee members as an appendix to the ASP;

- Follow the Committee procedures described in the ASP, including conducting the following activities annually (at a minimum) to oversee safety performance:
 - Review and approve the ASP and any updates;
 - Set annual safety performance targets for the safety risk reduction program;
 - Identify and recommend safety risk mitigations, including mitigations associated with any instance where the vendor did not meet an annual safety performance target in the safety risk reduction program, that:
 - Are necessary to reduce the likelihood and severity of potential consequences identified through the safety risk assessment;
 - May be ineffective, inappropriate, or were not implemented as intended; and
 - Are for purposes of continuous improvement to safety performance against the established targets.
- Maintain records on Committee activities (i.e., meeting notices, agendas, and minutes; records of decisions; annual safety performance assessments) for a minimum of three years.
- **Best Practice** - The FTA does not set a minimum frequency for meetings, but quarterly meetings are advised.

4. Set & Share Safety Performance Targets with IndyGo and the Indianapolis Metropolitan Planning Organization

- Set performance targets for the fourteen required safety risk reduction performance targets. The performance targets are:

• Major events	• Transit Worker Fatality Rate
• Major event rate	• Injuries
• Collision rate	• Injury rate
• Pedestrian collision rate	• Transit worker injury rate
• Vehicular collision rate	• Assaults on transit workers
• Fatalities	• Rate of assaults on transit workers
• Fatality rate	• System reliability
- Establish performance targets using a three-year rolling average of the data your agency submits to the National Transit Database (NTD).
- Share the fourteen performance targets specified in the ASP with IndyGo and the Indianapolis Metropolitan Planning Organization.

5. Annual ASP Review and Updates

- Establish a process and timeline for conducting an annual review and update of the ASP.
 - **Best Practice** – Establish a timeline that aligns with IndyGo’s timeline for annual PTASP reporting, which takes place in March each year.
- Any updates to the ASP must be signed by the Accountable Executive and approved by the Safety Committee, followed by the vendor’s Board of Directors, County Board of Commissioners, or an equivalent entity.
 - This approval process must be followed even if updates are made only to appendices.
- Record and retain information about the annual review for a minimum of three years after review.
 - All updates and/or changes made must be noted in the ASP.
 - If the review did not result in any changes to the ASP, this should be noted.