



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN
ANNUAL REVIEW**

JUNE 2021

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1.0 Scope

The Federal Transit Administration published the Public Transportation Agency Safety Plan (PTASP) regulation, 49 CFR Part 673, on July 19, 2019. Within this regulation, it is required that every agency receiving funds under the Urbanized Area Formula Program are required to develop and implement a Public Transportation Agency Safety Plan (PTASP), based on Safety Management Systems (SMS) principles and methods. The Board of Directors adopted the Orange County Transportation Authority's (OCTA) PTASP on May 11, 2020 as required. As part of the regulation, agencies are to conduct an annual review and Board of Directors update through the Safety Management System (SMS) risk-based approach.

2.0 Purpose

Due to the implementation of 49 CFR Part 673, OCTA is required to annually submit the current PTASP to the Board of Directors for review and approval, along with an annual safety report. The annual review of the PTASP will be conducted by the Accountable Executive, the Chief Safety Officer, and the SMS Program Manager each fiscal year, no later than June 30. OCTA has completed its first year of program implementation and assessed our overall safety program results against our initial safety performance targets and the action items identified. In addition, some of the processes and tools described in the initial PTASP have changed, which need reflected in a revised 2021 PTASP document.

3.0 PTASP Review Checklist

The PTASP Review Checklist is intended to verify compliance with the written PTASP components and an item that is checked has been verified as compliant. Any item that is not verified as compliant must have a comment that describes the action necessary to achieve compliance.

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Name(s) and address(es) of the transit agency(ies) that the Agency Safety Plan applies to.	13	
<input checked="" type="checkbox"/>	Mode(s) of transit service covered by the Agency Safety Plan.	13	
<input checked="" type="checkbox"/>	Mode(s) of service provided by the transit agency (directly operated or contracted service).	13	
<input checked="" type="checkbox"/>	FTA funding types. (e.g., 5307, 5337, 5339)	13	
<input checked="" type="checkbox"/>	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).	13	

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<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).	7, 13	
<input checked="" type="checkbox"/>	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).	7, 13	

Plan Development, Approval, and Updates

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Name of the entity that drafted the Agency Safety Plan (e.g., State Department of Transportation).	15	
<input checked="" type="checkbox"/>	The Accountable Executive's signature on the Agency Safety Plan and date of signature.	15	
<input checked="" type="checkbox"/>	The Board of Directors' or Equivalent Authority's approval of the Agency Safety Plan and date of approval.	15	
<input type="checkbox"/>	Certification of compliance with Part 673, including the name of the individual or entity that certifies the Agency Safety Plan and date of certification.	15	<i>Blank – Look at including in next revision</i>
<input checked="" type="checkbox"/>	Process and timeline for conducting an annual review and update of the Agency Safety Plan, including the Agency Safety Plan version number and other relevant information.	15	
<input checked="" type="checkbox"/>	The Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.	6	

Safety Performance Targets

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	<i>Fatalities:</i> Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.	19	
<input checked="" type="checkbox"/>	<i>Injuries:</i> Total number of reportable injuries and rate per total vehicle revenue miles, by mode.	19	
<input checked="" type="checkbox"/>	<i>Safety Events:</i> Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)	19	
<input checked="" type="checkbox"/>	<i>System Reliability:</i> Mean (or average) distance between major mechanical failures, by mode.	19	
<input type="checkbox"/>	Performance targets are made available to the State to aid in the planning process.	19	<i>Missing Date Targets</i>
<input type="checkbox"/>	Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process.	19	<i>Metropolitan Planning Organization Name has CPUC as well as SCAG. A place holder is provided for date transmitted to the MPO. Transmittal occurred on ...</i>
<input checked="" type="checkbox"/>	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.	19	

Safety Management Policy

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.	19 - 20	
<input checked="" type="checkbox"/>	Employee safety reporting program, that includes: <ul style="list-style-type: none"> • 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, and therefore are excluded from protection. 	20 - 23	
<input checked="" type="checkbox"/>	Communication of the safety management policy throughout the agency's organization.	23	
<input checked="" type="checkbox"/>	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals: <ul style="list-style-type: none"> • The Accountable Executive • The Chief Safety Officer or SMS Executive • Agency leadership and executive management • Key staff 	23 - 28	

Safety Risk Management

☒	Checklist Item	PTASP Page Number	Comments
☒	<i>Safety hazard identification:</i> Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.	29 - 30	
☒	<i>Safety risk assessment:</i> Methods or processes to assess the safety risks associated with identified safety hazards. This must include 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.	49 Appendix B	
☒	<i>Safety risk mitigation:</i> Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.	31 – 33, 37 - 38	

Safety Assurance

☒	Checklist Item	PTASP Page Number	Comments
☒	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (<i>safety performance monitoring and measurement</i>)	35	
☒	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. (<i>safety performance monitoring and measurement</i>)	37 - 38	
☒	Activities to conduct investigations of safety events, including the identification of causal factors. (<i>safety performance monitoring and measurement</i>)	38 - 39	
☒	Activities to monitor information reported through any internal safety reporting programs. (<i>safety performance monitoring and measurement</i>)	39 - 40	
☒	<i>Management of change:</i> A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's Safety Risk Management process.	40	<i>Notes OCTA's Configuration management Policy Change Control</i>
☒	<i>Continuous improvement:</i> A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.	41 - 42	

Safety Promotion

<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency’s public transportation system. This program must include refresher training, as necessary.	43 - 44	
<input checked="" type="checkbox"/>	Communication of safety and safety performance information throughout the transit agency’s organization that conveys, at a minimum: <ul style="list-style-type: none"> • Information on hazards and safety risks relevant to employees’ roles and responsibilities; and • Safety actions taken in response to reports submitted through an employee safety reporting program. 	44 - 46	
<input checked="" type="checkbox"/>	Checklist Item	PTASP Page Number	Comments
<input checked="" type="checkbox"/>	Documentation not included or referenced elsewhere in the Agency Safety Plan, related to: <ul style="list-style-type: none"> • The implementation of the transit agency’s Safety Management System; • The programs, policies, and procedures that the agency uses to carry out its Agency Safety Plan; and • Results from Safety Management System processes and activities. <p><i>The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction.</i></p>	45 - 46 Appendix D	
<input checked="" type="checkbox"/>	Definitions of terms used in the Agency Safety Plan.	7 - 9	
<input checked="" type="checkbox"/>	List of acronyms used in the Agency Safety Plan.	10	

4.0 Safety Performance Targets

Bus

	Goal	Actual	Status	Detail
Fatalities	0	1	Not Achieved	*See Note
Injuries	81	33	Achieved	
Safety Events	133	116	Achieved	
Miles Between Riad Calls	14,827	14,463	Achieved	

*Fatality due to suicide – not a result of system or operator activity

	Objective	Metric	Target	Actuals
Bus	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.007
	Reduce Injuries	Injuries per 100K VRM	0.59	0.22
	Reduce Safety Events	Safety Events per 100K VRM	1.03	0.80
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	15,746

Paratransit

	Goal	Actual	Status	Detail
Fatalities	0	0	Achieved	
Injuries	0	0	Achieved	
Safety Events	0	0	Achieved	
Miles Between Riad Calls	14,827	28,822	Achieved	

	Objective	Metric	Target	Actuals
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	0.00
	Reduce Injuries	Injuries per 100K VRM	0.00	0.00
	Reduce Safety Events	Safety Events per 100K VRM	0.00	0.00
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	28,822

5.0 Implementation Actions

Appendix A

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group	Status
673.23	Establish and implement PTASP/SMS Committee	Q1	HSEC/Planning	Achieved
673.23	Establish safety performance targets and objectives	Q1	PTASP/SMS Committee	Achieved
673.23	Engage the Contracted Services Management in PTASP expectations/requirements	Q1	HSEC / Operations	Achieved
673.31	Establish a Documentation Control/Management System (Records Management)	Q1	Information Systems / HSEC	Achieved
673.23	Implement PTASP through the Board of Directors	Q2 (May)	CEO/Planning/HSEC/Operations	Achieved
5323	Submit Certification of Assurance to the FTA	Q2 (July)	Finance and Administration / Government Affairs / HSEC	Achieved
673.23	Safety Management Policy Communication –	Q2	HSEC / HR / Operations	Achieved
673.29	Establish SMS communication tools and strategy	Q3	HSEC / External and Internal Communications	Achieved
	Expand on existing hazard reporting systems to include anonymous reporting	Q3	IS / HSEC / Operations	Achieved
673.25	Identify and implement a Risk Assessment process (All new hazards)	Q4	PTASP/SMS Committee / Operations / HSEC	Achieved
673.27	Establish a hazard/risk mitigation monitoring process	Q4	PTASP/SMS Committee / Operations / HSEC	Not Achieved – Pending Origami electronic tool development.
673.27	Establish a single data depository for safety and SMS data - Create dashboard for summary and real time analysis	Q4	Information Systems / HSEC / Operations	Not Achieved – Pending Origami electronic tool development

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	- Safety performance monitoring and measuring			
673.29	Identify and establish SMS training requirements for OCTA staff and contractors	Q4	HSEC / Learning & Development / Operations	Achieved
673.27	Conduct a safety culture survey to assess existing status	Q4	HSEC / HR	Not Achieved – Delayed due to COVID-19 pandemic and prioritization of other related surveys. Completed: April 2020

PTASP/FTA Code	Action Item	Timeline	Responsible Person / Group	Status
673.27	Annual PTASP review and updates	Q2 2021 (June)	CEO / Chief Safety Officer / SMS/PTASP Committee	Achieved
673.23	Incorporate OC Streetcar into the PTASP and submit draft to the CPUC for review/approval	Q2 2021 (April)	HSEC / Operations	Not Achieved – Delayed due to construction schedule challenged /delays. Propose incorporating Streetcar into 2022 revision
673.23	Submit updated PTASP through the Board of Directors to OC Streetcar detail	Q2 2021 (July)	CEO / HSEC / Operations	Pending – On Target
673.27	Independent PTASP/SMS audit utilizing contractor, consultant, or other organization	Q2 2022 (June)	HSEC / Internal Audit	Pending – On Target

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673.25	Complete a formal risk analysis for existing operational hazards	Q4 2022	HSEC / Operations	Pending – On Target
673.27	FTA Triennial Review to include PTASP/SMS	Q4 2022	Government Relations / HSEC / Operations	Pending – On Target

In review of the action items list, all items that required action and the allocation of resources were either completed on-time or delayed due to unforeseen circumstances caused by the COVID-19 pandemic. In total, out of the fourteen established action items, eleven were completed on time, one was delayed by four months, and two are still pending completion.

6.0 Areas of Improvement

Other areas of Review

1. Roles and Responsibilities – Opportunity for improvement
 - a. Action item(S)
 - i. Ownership and communication of safety performance targets and status on responsible party (Operations Management, Maintenance Management)
 - b. PTASP communications
 - i. Launch Safety Survey Results Communications

PTASP Edits or Proposed Changes:

Section	Proposed Edit/Change
4.0	Adopt new Paratransit miles between roadcalls safety performance target to 25,000 miles.
Acronyms, 6.3, 7.1, 7.3	Change OTS references to Origami
Appendix B	Update risk assessment process to reflect changes in risk ranking/rating criteria and designed features within Origami.
Appendix A	Adopt a new timeline date for incorporation of OC Streetcar into PTASP - 2022 PTASP update
Appendix A	Adopt new timeline for Establishment of a hazard/risk mitigation monitoring process – Q4 2021 (December)
Appendix A	Adopt new timetable for the establishment a single data depository for safety and SMS data / dashboard – Q4 2021 (December)

7.0 Summary

OCTA met all the established safety performance targets except for fatalities. OCTA experienced one fatality. This was a non-preventable event and did not occur due to any action or failure of the system or the Coach Operator.

OCTA fixed route bus performance actuals were 0.007 fatalities per 100,000 VRM, 0.22 injuries per 100 VRM, and 0.80 safety events per 100,000 VRM. For system reliability, the fixed route bus actuals for directly operated service was one road call per 17,080 VRM and for contracted fixed route was one road call per 14,412 VRM.

OCTA paratransit service actuals were 0.00 fatalities per 100,000 VRM, 0.00 injuries per 100 VRM, and 0.00 safety events per 100,000 VRM for system reliability, the paratransit actuals were one road call per 28,822.

Communications have been sent out to capture employee engagement which include the PTASP / SMS acknowledgement form, safety performance goals and the safety culture survey.

8.0 2021 Proposed Performance Targets

Bus

	Objective	Metric	Baseline	Target
Bus	Reduce Fatalities	Fatalities per 100K VRM	0.00	Maintain
	Reduce Injuries	Injuries per 100K VRM	0.59	Maintain
	Reduce Safety Events	Safety Events per 100K VRM	1.03	Maintain
	Maintain System Reliability	Miles between Road Calls	1 per 14K VRM	Maintain

Paratransit


	Objective	Metric	Baseline	Target
Paratransit	Reduce Fatalities	Fatalities per 100K VRM	0.00	Maintain
	Reduce Injuries	Injuries per 100K VRM	0.00	Maintain
	Reduce Safety Events	Safety Events per 100K VRM	0.00	Maintain
	Maintain System Reliability	Miles between Road Calls	1 per 25K VRM	Maintain

9.0 Annual Review Certification

By signing below, you certify that the annual review has been completed and the information captured is accurate.


_____ 6/9/21

Valerie Steinbeck, PTASP Program Manager


_____ 6/9/21

Matthew DesRosier, Chief Safety Officer