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Cape Ann Transportation Authority **Public Transportation Agency Safety Plan**

December 2023



Introduction

The following Public Transportation Agency Safety Plan (PTASP) details the safety processes and procedures for the Cape Ann Transit Authority (CATA). This plan utilizes existing agency safety practices and best practices to be implemented to meet the new regulation set in 49 CFR Part 673 of the federal guidelines.

The PTASP includes formal documentation to guide the agency in proactive safety management policy, safety risk management, safety assurance, and safety promotion. The goal is to provide management and labor a comprehensive, collaborative approach to managing safety. The plan includes the process and schedule for an annual review of the plan to review the safety performance measures and update processes that may be needed to improve the organizations safety practices.

Agency Background

The Cape Ann Transportation Authority is a political subdivision of the Commonwealth, created in 1975 by Chapter 161B of the Massachusetts General Laws. The Authority is given general responsibility to develop, finance, and contract for the operation of mass transportation facilities and services within its territory. The five Municipalities comprising the Authority are Gloucester, Rockport, Ipswich, Essex, and Hamilton. Each of these municipalities is represented by their chief executive officer, or designee, and serves as CATA's advisory board. The day-to-day affairs of the Authority are managed by an Administrator who is appointed by the Advisory Board.

CATA oversees operations of fixed route and demand response services in all five communities. In accordance with MGL 161(b), the actual operation of CATA's transit service and maintenance of the vehicles is provided by a private transit management company under contract with CATA. The private transit management company is selected through a competitive procurement process. Year-round fixed route service is provided in Gloucester and Rockport. Additional fixed route service is provided in the summer in Gloucester, Rockport, Ipswich, and Essex. Complementary ADA service is provided as appropriate. Dial-a-Ride services are provided in all five communities year round. All CATA vehicles are wheelchair accessible and comply with the Americans with Disabilities Act (ADA). CATA is an important feeder to several MBTA commuter rail stations. In FY22, CATA provided just over 230,000 trips for both fixed route and demand response customers.

1. Transit Agency Information

Transit Agency Name	Cape Ann Transportation Authority (CATA)		
Transit Agency Address	3 Pond Road Gloucester, MA 01930		
Name and Title of Accountable Executive	Felicia Webb, Administrator		
Name of Chief Safety Officer or SMS Executive	Steve Aiello, Operations Manager		
Mode(s) of Service Covered by This Plan	Fixed Route Demand Response	FTA Funding Types	5307
Mode(s) of Service Provided by the Transit Agency (Directly Operated or Contracted Service)	Fixed Route Demand Response (Contracted Services)		
Does the agency provide transit services on behalf of another transit agency or entity	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Description of Arrangements CATA provides shuttle service for the City of Beverly.
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	City of Beverly, 191 Cabot Street, Beverly, MA 01915		

2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Cape Ann Transportation Authority	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors or an Equivalent Authority	Name of the Individual/Entity That Approved This Plan	Date of Approval
	CATA Advisory Board	XX/XX/XX
	Relevant Documentation (Title and Location)	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Cape Ann Transportation Authority	XX/XX/XX
	Relevant Documentation (Title and Location)	
	3 Pond Road Gloucester, MA 01930	

Version Number and Updates

Record the complete history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
1	All	New Document	9/09/20
2	3	Approvals	10/28/20
3	1,2,4, 5	Agency update, targets	12/31/2021
4	1,2,4,5	Agency update, targets	12/21/2022
5	1, 2, 4, 5, 13	Agency update, targets, safety committee	12/31/2023

Annual Review and Update of the Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the ASP.

This plan shall be reviewed on an annual basis to account for any updates to CATA's safety policies or procedures. The Chief Safety Officer shall direct the update of the ASP, in consultation with the General Manager. Each February the Chief Safety Officer will initiate a review of the ASP, in consultation with the General Manager. By April, an updated draft of the ASP shall be provided to the Accountable Executive for final review. The Board of Directors will vote to approve any changes by July 20th. All changes will ultimately be approved by the Accountable Executive.

3. Safety Performance Targets

Historical Safety Performance Data (Fixed Route)

This table displays the past five years of available data for all applicable required safety performance categories, based on the FTA's National Transit Database (NTD).

All rates are per one hundred thousand (100,000) vehicle revenue miles.

Year	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability (Miles between Major Failure)
2019	0	0	1	0.5	1	0.5	27,259
2020	0	0	0	0	0	0	55,813
2021	0	0	0	0	10	2.7	181,066
2022	0	0	0	0	1	0.5	209,090
2023	0	0	0	0	0	0	124,884
Average	0	0	0.2	0.1	2.4	0.2	119,622

Historical Safety Performance Data (Demand Response)

This table displays the past five years of available data for all applicable required safety performance categories, based on the FTA's National Transit Database (NTD).

All rates are per one hundred thousand (100,000) vehicle revenue miles.

Year	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability (Miles between Major Failure)
2019	0	0	1	0.75	1	0.75	131,633
2020	0	0	0	0	0	0	125,454
2021	0	0	0	0	4	2.4	166,735
2022	0	0	0	0	1	0.5	97,676
2023	0	0	0	0	0	0	250,264
Average	0	0	0.2	0.2	1.2	0.8	154,352

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

All rates are per one hundred thousand (100,000) vehicle revenue miles.

The targets below are based on the review of the previous five years of CATA's safety performance data.

Mode of Transit Service	Fatalities (Total)	Fatalities (Rate)*	Injuries (Total)	Injuries (Rate)*	Safety Events (Total)	Safety Events (Rate)*	System Reliability (Miles between Major Failure)
Fixed Route	0	0	1.0	0.5	2.5	1.5	115,000
Demand Response	0	0	1.0	0.5	1.5	1	135,000

Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

The Accountable Executive shares our ASP, including safety performance targets, with the Metropolitan Planning Organization (MPO) in our service area each year after its formal adoption by the Advisory Board. CATA's Accountable Executive also provides a copy of our formally adopted plan to the Massachusetts Department of Transportation (MassDOT). CATA staff are available to coordinate with MassDOT and the MPO in the selection of MassDOT and MPO safety performance targets upon request.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	MassDOT	XX/XX/XX
Targets Transmitted to the MPOs	MPO Name	Date Targets Transmitted
	Boston Region Metropolitan Planning Organization	XX/XX/XX

4. Safety Management Policy

Safety Management Policy Statement

Use the written statement of safety management policy, including safety objectives.

The purpose of the Agency Safety Plan is to set forth the “safety philosophy” of Cape Ann Transportation Authority. To maximize this effort, this document defines the specific safety responsibilities, activities and capabilities identified by the Authority to promote and improve safety for its transit services.

Cape Ann Transportation Authority is committed to ensuring its facilities are safe and its employees and contractors engage in safe work practices. Moreover, the Authority considers customer, employee, and passenger safety to be paramount consideration in all decisions. The goal of the Agency Safety Plan is to achieve the highest level of safety for our customers, employees, and general public. It is our objective to protect our employees by establishing the following policy:

- a) The company is dedicated to maintaining safe and healthy working conditions and creating safe operating practices to eliminate or minimize the risk of injury or illness.
- b) The company will provide the proper equipment and devices necessary for employees to work safely and reduce exposures to harmful substances.
- c) Every employee is responsible for maintaining safe and healthful working conditions.
- d) Management is responsible for establishing and monitoring safety and health standards and rules.
- e) Employees will be held responsible for performing their work in a safe manner, following all practices and procedures established for their protection and utilizing the prescribed safety equipment and devices.
- f) The company welcomes and encourages input from employees that will further reduce the potential for injury or illness.

Our safety goals include:

- Eliminating all injuries and fatalities from taking place during transit operations
- Continuously reducing the frequency of accidents and safety incidents on an annual basis

Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency. Include dates where applicable.

Copies of the Agency Safety Plan are made available to all staff and contractors, and key safety policies are posted in common areas for both operations and maintenance staff. CATA has incorporated review and distribution of the Safety Management Policy Statement into new-hire training. Furthermore, CATA’s safety policy statement and

major safety objectives are already incorporated into the Operating Company employee rulebook, which is distributed to all employees during new-hire training.

Authorities, Accountabilities, and Responsibilities

Describe the role of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

Accountable Executive

As CATA's Administrator, the Accountable Executive has the authority to control and direct the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

The responsibilities of the Accountable Executive include:

- Controlling and directing human and capital resources needed to develop and maintain the ASP and SMS
- Designating and overseeing an adequately trained Chief Safety Officer who is a direct report
- Ensuring that the SMS is effectively implemented

Chief Safety Officer or SMS Executive

As Operations Manager for CATA's operating company, the Chief Safety Officer has direct responsibility for day-to-day implementation of the Safety Management System and has the authority to make modifications to operating procedures to optimize system safety. The CSO reports directly to the Accountable Executive and communicates critical safety-related information to the AE on at least a weekly basis. The Chief Safety Officer is responsible for:

- Developing and managing ASP and SMS policies and procedures, and keeping all policies and procedures up-to-date
- Ensuring and overseeing implementation and operation of the Safety Management System (SMS)
- Overseeing the Employee Safety Reporting Program and ensuring that a robust line of safety-related communication is consistently maintained

Agency Leadership and Executive Management

Aside from CATA's Accountable Executive and Chief Safety Officer, other executive managers with key safety-related

responsibilities include the General Manager and the Maintenance Supervisor.
 The responsibilities of this group include:

- Oversight of day-to-day operations and procedures related to the Safety Management System within each of their departments
- Modification of policies in their departments to be consistent with SMS implementation, as necessary
- Oversight of employee reporting program and ensuring a consistent line of communication between front line employees and management concerning safety

Key Staff

Key safety-related staff below the executive level include CATA’s operators, maintenance staff, office managers and dispatchers. While this group of employees has a diverse range of day-to-day duties, they all share the following common safety responsibilities:

- Reporting any identified safety concerns to management in a timely fashion to the Supervisor or Transit Supervisor
- Following and abiding by all CATA safety policies and acting in accordance with the principles of the SMS
- Compliance with all known Federal, State, and Local safety laws
- Operators must report injuries immediately to the Dispatcher. Maintenance employees must report immediately to the Maintenance Supervisor, if unavailable, the employee will report to the Transit Supervisor

Employee Safety Reporting Program
Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

CATA’s operating company has adopted an open-door policy that allows front line staff to report any potential safety concerns verbally to senior management (either to the General Manager or the Operations Manager) at any time. In the event that a concern reported by an employee is identified as a safety hazard, management will notify the Chief Safety Officer and the Accountable Executive. A dedicated box for suggestions and safety reports in the drivers’ room to provide an anonymous outlet for reporting has also been set up.

When action is taken to address a concern identified by an employee report that results in changes in policies or procedures, employees will be notified by either:

- Bulletins posted in common areas
- A written announcement on the dry-erase board in dispatch

Employees that report safety concerns in good faith are protected from any retaliatory measures. However, disciplinary actions may be taken if the report contains any of the following employee activities:

- Willful participation in illegal activity, such as assault or theft;
- Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk; or,
- Deliberate or willful disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.

Additionally, the following rules for reporting vehicle-related defects apply to CATA employees and contractors:

- a) All defects and/or unusual sounds or indications of fire noticed on or in operating vehicles must be promptly reported to the Dispatcher.
- b) After reporting to the Dispatcher and upon being relieved thereafter, the Operator must advise the relieving Operator of any defects and/or unusual sounds noticed.
- c) The Operator finding or being made aware of a defect on a particular vehicle must make note on the Vehicle Inspection Report Form. The yellow copy must be placed in the maintenance mail slot. The Dispatcher will be notified, and the white copy will be given to them.
- d) All Operators must report any unusual occurrences affecting the movement of CATA vehicles to the Dispatcher as soon as possible.
- e) A written report on the proper form must follow the original oral report.
- f) Upon taking charge of a CATA vehicle, all employees are responsible to perform a visual cosmetic inspection. The Vehicle Inspection Report Form must be filled out indicating any damage to the body of the vehicle.
- g) Operators must report any incident to the Dispatcher, where the bus bottoms out, hits a significant pothole, hits a curb or if the vehicle begins to shimmy while in motion.
- h) On all vehicles, when the "Check Engine" light is illuminated, the Operator must shut down the vehicle. The Operator shall try to restart the engine. If the "Check Engine" stays on, the Operator must call the Dispatcher to report the problem along with the vehicle number, location, trip time and route.
- i) The shop Supervisor or Mechanic on duty will determine the safest course of action to be taken in order to retrieve the vehicle back to the garage area.

5. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management Process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associate with identified safety hazards.*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.*

The management of safety risks is a critical element of CATA's overall safety policy. While Safety Risk Management is a multifaceted process, primary responsibility for the identification, assessment, and resolution/mitigation of hazards rests with the Chief Safety Officer. While conducting the SRM process, the Chief Safety Officer shall collaborate with the General Manager, Maintenance Manager, and Accountable Executive, as necessary.

Safety Hazard Identification

The Chief Safety Officer and other managers rely on a variety of sources to identify potential hazards that pose safety risk to the agency. These sources include:

- Accident and incident reports
- Driver records
- Customer complaints and service requests
- Review of safety performance data
- Tire cut reports
- Vehicle camera footage after accidents or incidents
- Employee reporting
- Maintenance reports
- Observations from supervisors
- Assessments of safety conditions conducted by CATA's insurance providers
- External information, including reports from FTA and other oversight authorities, which provide information based on Federal, State or local findings, research, considerations, or assessments

Safety Risk Assessment

Following the identification of safety hazards, assessment of risk for potential consequences of each hazard is conducted on an ongoing basis by the Chief Safety Officer in consultation with the General Manager, and any other relevant executive staff. The likelihood and severity of the potential consequences of the hazard are assessed based on the type of hazard presented and the potential consequences the hazard could pose if not properly mitigated. The following matrices are used to guide discussions of risk assessment.

A. Categorize Level of Severity

1. Catastrophic - may cause death
2. Critical -may cause severe illness, severe injury or major system loss

3. Marginal - may cause minor injury
4. Negligible - will not result in injury, illness or property damage

B. Categorize the Likelihood of Occurrence

1. Highly likely - frequent reoccurrence
2. Likely - expected occurrence
3. Unlikely- occurrence not expected

Once the risk of a safety hazard is assessed based on the suggested categorizations above, mitigation strategies that align with the severity and likelihood of the safety problem are determined.

Safety Risk Mitigation

When safety and security problems arise, there are three possible alternatives that are considered:

- **Eliminate:** redesign or change procedure
- **Mitigate:** mitigate the hazard by strengthening or changing policies and procedures
- **Accept:** risk is accepted, the threat is remote, or resources are not in place

In the case that a safety risk is assessed to contain an unacceptable level of risk, the Chief Safety Officer or General Manager shall draft a memo detailing the strategy to take corrective action to eliminate or mitigate the risk at hand.

6. Safety Assurance

Safety Performance Monitoring and Measurement

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

Monitoring and oversight to ensure compliance with internal procedures for operations and maintenance is the responsibility of the Chief Safety Officer. The Chief Safety Officer will periodically audit training protocols, pre-trip inspections, and post-trip operations and maintenance safety procedures. CATA and its contractors use the following procedures for ongoing monitoring of safety procedures to ensure compliance with organizational policies include:

- Ongoing informal inspections of vehicles and facilities
- Daily logs of operations and maintenance reviewed by Chief Safety Officer
- Monthly reports on safety performance, including incidents and accidents, are filed and reviewed by the Chief Safety Officer
- Assessments of safety and facility conditions conducted by the authority's insurance providers
- Monthly staff meetings where operations and maintenance performance are thoroughly reviewed

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implement as intended.

CATA monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The Chief Safety Officer and General Manager share responsibility for ensuring that mitigation strategies are effective and appropriate on a continuous basis.

Implemented safety risk mitigations are frequently reviewed at scheduled safety and managerial meetings. If a mitigation is not working as intended, the Chief Safety Officer or General Manager will propose improvements to the identified mitigation or propose an alternative mitigation strategy altogether. The Chief Safety Officer will approve or modify this proposed course of action and ensure its execution.

Monitoring methods for safety risk mitigations include:

- Reviewing results from accident, incident, and occurrence investigations, and utilizing the accident/incident database to monitor trends over time
- Monitoring employee safety reporting to determine if complaints persist after implementation of a mitigation strategy
- Reviewing results of internal safety audits and inspections
- Analyzing operational and safety data to identify emerging safety concerns.
- Job performance observations

Describe activities to conduct investigations of safety events, including the identification of casual factors.

CATA and its contractors investigate all accidents, incidents, and occurrences that occur involving CATA revenue vehicles or on CATA property. The Chief Safety Officer or designee, upon receiving notification of an accident/incident, will be responsible for investigating the accident/incident and evaluating the facts and determine the classification level (i.e. serious/non-serious/minor) of the accident/incident. They must

investigate their employee's incident/accident in sufficient detail to assure that all causes are determined and documented on the Occupational injury/illness investigation report section of the AIM Insurance form.

All accidents and incidents are tracked in a comprehensive spreadsheet, detailing the date, time, location, cause, and preventability determination of each incident or accident, dating back over ten years. This database allows CATA managers to monitor their operations for any trends in crash or incident types. Vehicle camera footage is frequently used to confirm information recorded in incident reports.

Additional details on the accident/incident investigation policy are provided in the operator handbook.

Describe activities to monitor information reported through internal safety reporting programs.

The Chief Safety Officer and General Manager routinely review safety concerns captured in employee safety reports, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Department ensure that the concerns are investigated or analyzed through SRM process.

The Chief Safety Officer is primarily responsible for management and oversight of all employee reporting, and particularly for monitoring of any written employee safety reports, with oversight and assistance provided by the General Manager, and when necessary, the Accountable Executive. All other managers and supervisors have the responsibility to communicate safety-related employee reports to either the Chief Safety Officer or General Manager so any hazards can be properly documented.

The Chief Safety Officer also participates in CATA's Safety Solution Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

The CATA Safety Solution Team consist of an equal number of frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce to the extent frontline employees are represented by a labor organization and management representatives dedicated to making safety "top-of-mind" by identifying and resolving safety issues.

- Review the safety concerns they have worked on and improvements that have been implemented
- identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the location's safety risk assessment process
- identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- identifying safety deficiencies for purposes of continuous improvement.
- Record and distribute SST meeting minutes

7. Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

CATA and its contractors employ a comprehensive training program for all safety-sensitive staff and contractors. The Accountable Executive reviews the safety training program on at least an annual basis with the Chief Safety Officer to ensure that relevant staff are up-to-date on all trainings and that all contractor staff are receiving the training and guidance necessary to excel in their duties. This review is part of the annual ASP update process.

Refresher trainings for staff are provided on an ongoing basis, with the frequency of re-training depending on the specific training module. The frequency of re-training is noted alongside each training described below.

In addition to the required trainings below, all safety-related staff, including executive staff, are briefed on the components of the Safety Management System through completion of the Transit Safety Institute's SMS Awareness Course.

Additionally, a more detailed version of CATA and its contractors training and substance abuse policies can be found in **Appendix A.1, Operating Company Rulebook.**

OPERATOR TRAINING

During the ninety (90) day probationary period, new operators may receive one on one training from the Transit Supervisor in the operation of the vehicles, operation of the wheelchair lifts and Company policies.

Occasionally they might be upwards of two (2) or more trainees learning the routes at the same time. During this time, their performance is closely monitored.

Training in routes and schedules is accomplished by sending a new driver to observe a senior operator, then by reversing roles, letting the senior operator observe the new driver.

All operators are trained in cardio-pulmonary resuscitation, first aid and sensitivity training.

Operators will attend mandatory meetings in emergency and accident handling procedures, bus maneuvering, defensive driving and passenger relations. All operators are trained in the safe operation of wheelchair lifts. Those missing a mandatory class will lose their bonus day or if no bonus day is available the employee will be suspended one (1) day.

Specific required trainings include:

- Defensive Driving (annually)
- Wheelchair Securement (annually)

- Transport of ADA Passengers (annually)
- CPR/First Aid (every two years)
- Sensitivity Training (annually)

MAINTENANCE PERSONNEL TRAINING

New Maintenance employees, during their first ninety (90) days are given supervised on the job training by the Shop Supervisor or his/her designee. The new employee is expected to progress on his/her own and to continue to take on more advanced tasks.

Maintenance personnel also receive annual training in working with hazard materials and the Right to Know Laws.

Monthly safety meetings are conducted by the Maintenance Supervisor on a variety of safety related topics.

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

CATA is committed to thoroughly communicating its safety policies, procedures, and performance, as well as ensuring that contractors are consistently conveying information related to hazards and safety risks relevant to employees' roles and responsibilities to its staff. Safety-related information is communicated to CATA staff and contractors through a variety of channels, including:

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- Bulletin boards and dry erase boards in the depot and operators' room
- Memos are distributed frequently to all operations and maintenance staff and frequently cover important safety policies and procedures
- Quarterly staff safety meetings, in which minutes are recorded and made available to participants

Safety policies and responsibilities are also clearly delineated in the operating company's Rulebook, which contains over 20 pages solely dedicated to safety procedures for operations and maintenance. The rulebook also contains CATA's overarching safety policy and objectives, which are also well covered through the operating company's training program. A copy of the rulebook has been attached to this plan as an appendix.

Additional Information

Supporting Documentation

Include or reference documentation used to implement and carry out the ASP that are not included elsewhere in this plan.

Appendix A.1 Operating Company Rulebook
Appendix A.2 CATA System Security Program Plan

Definitions of Special Terms Used in the ASP

Term	Definition
Accident	Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
Accountable Executive	Single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
Equivalent Authority	Entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
Event	Any Accident, Incident, or Occurrence.
Hazard	Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
Incident	Event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
Investigation	Process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
National Public Transportation Safety Plan	Plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53
Occurrence	Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
Operator of public transportation system	Provider of public transportation as defined under 49 U.S.C. 5302.

Performance measure	Expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
Performance target	Quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
Public Transportation Agency Safety Plan (or Agency Safety Plan)	Documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.
Risk	Composite of predicted severity and likelihood of the potential effect of a hazard.
Risk Mitigation	Method or methods to eliminate or reduce the effects of hazards.
Safety Assurance	Processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Management Policy	Transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
Safety Management System	Formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
Safety Performance Target	Performance target related to safety management activities.
Safety Promotion	Combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
Safety risk assessment	Formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
Safety risk management	Process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
Serious injury	Any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
Transit Agency	Operator of a public transportation system
Transit Asset Management Plan	Strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

List of Acronyms Used in the ASP

Acronym	Word or Phrase
ADA	American’s with Disabilities Act of 1990
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MPO	Metropolitan Planning Organization
MassDOT	Massachusetts Department of Transportation
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management