



# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

## *Checklist for Bus Transit*

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan (PTASP) Checklist for Bus Transit* to assist with the development of Agency Safety Plans (ASP) for bus transit modes. Use of this checklist is voluntary. The checklist is intended for use by States and operators of public transportation systems that are required to draft an ASP in accordance with 49 CFR Part 673 (Part 673).

The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>.

The guidance in this document is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect rights and obligations under existing statutes and regulations.



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## 1. Transit Agency Information

The Agency Safety Plan specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	Name(s) and address(es) of the transit agency(ies) that the Agency Safety Plan applies to.		
<input type="checkbox"/>	Mode(s) of transit service covered by the Agency Safety Plan.		
<input type="checkbox"/>	Mode(s) of service provided by the transit agency (directly operated or contracted service).		
<input type="checkbox"/>	FTA funding types. (e.g., 5307, 5337, 5339)		
<input type="checkbox"/>	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).		
<input type="checkbox"/>	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).		
<input type="checkbox"/>	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).		



## 2. Plan Development, Approval, and Updates

The Agency Safety Plan specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	Name of the entity that drafted the Agency Safety Plan (e.g., State Department of Transportation).		
<input type="checkbox"/>	The Accountable Executive’s signature on the Agency Safety Plan and date of signature.		
<input type="checkbox"/>	The Board of Directors’ or Equivalent Authority’s approval of the Agency Safety Plan and date of approval.		
<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.		
<input 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.		
<input 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.		



### 3. Safety Performance Targets

The Agency Safety Plan specifies performance targets, as defined in § 673.5, for:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<i>Fatalities</i> : Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.		
<input type="checkbox"/>	<i>Injuries</i> : Total number of reportable injuries and rate per total vehicle revenue miles, by mode.		
<input 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)		
<input type="checkbox"/>	<i>System Reliability</i> : Mean (or average) distance between major mechanical failures, by mode.		

The Agency Safety Plan specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	Performance targets are made available to the State to aid in the planning process.		
<input type="checkbox"/>	Performance targets are made available to the Metropolitan Planning Organization(s) (MPOs) to aid in the planning process.		
<input type="checkbox"/>	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.		



## 4. Safety Management Policy

The Agency Safety Plan describes or references documentation that describes:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.		
<input type="checkbox"/>	Employee safety reporting program, that includes: <ul style="list-style-type: none"> <li>• A process that allows employees to report safety conditions to senior management;</li> <li>• Protections for employees who report safety conditions to senior management; and</li> <li>• A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.</li> </ul>		
<input type="checkbox"/>	Communication of the safety management policy throughout the agency's organization.		
<input 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"> <li>• The Accountable Executive</li> <li>• The Chief Safety Officer or SMS Executive</li> <li>• Agency leadership and executive management</li> <li>• Key staff</li> </ul>		



## 5. Safety Risk Management

The Agency Safety Plan describes or references documentation that describes a Safety Risk Management process for all elements of the transit agency’s public transportation system, to include:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<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.		
<input type="checkbox"/>	<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.		
<input type="checkbox"/>	<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.		



## 6. Safety Assurance

The Agency Safety Plan describes or references documentation that describes:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	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>		
<input type="checkbox"/>	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>		
<input type="checkbox"/>	Activities to conduct investigations of safety events, including the identification of causal factors. <i>(safety performance monitoring and measurement)</i>		
<input type="checkbox"/>	Activities to monitor information reported through any internal safety reporting programs. <i>(safety performance monitoring and measurement)</i>		
<input type="checkbox"/>	<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. <b>[Not Required for Small Public Transportation Providers]</b>		
<input type="checkbox"/>	<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. <b>[Not Required for Small Public Transportation Providers]</b>		





## 7. Safety Promotion

The Agency Safety Plan describes or references documentation that describes:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input 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.		
<input 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"> <li>• Information on hazards and safety risks relevant to employees' roles and responsibilities; and</li> <li>• Safety actions taken in response to reports submitted through an employee safety reporting program.</li> </ul>		



## Additional Information

The Agency Safety Plan specifies or references:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>Documentation not included or referenced elsewhere in the Agency Safety Plan, related to:</p> <ul style="list-style-type: none"> <li>• The implementation of the transit agency’s Safety Management System;</li> <li>• The programs, policies, and procedures that the agency uses to carry out its Agency Safety Plan; and</li> <li>• Results from Safety Management System processes and activities.</li> </ul> <p>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.</p>		
<input type="checkbox"/>	Definitions of terms used in the Agency Safety Plan.		
<input type="checkbox"/>	List of acronyms used in the Agency Safety Plan.		



### PTASP Technical Assistance Available Now

- Access one-on-one Agency Safety Plan support
- Learn and share through the PTASP Community of Practice
- Explore the PTASP Resource Library

<https://www.transit.dot.gov/PTASP-TAC>