



Certifying Compliance with the Public Transportation Agency Safety Plan Regulation

The [Public Transportation Agency Safety Plan \(PTASP\)](#) regulation (49 CFR Part 673) requires applicable recipients or States to develop Agency Safety Plans that include the processes and procedures to implement Safety Management Systems (SMS). In light of the extraordinary operational challenges presented by the COVID-19 public health emergency, FTA issued a [Notice of Enforcement Discretion](#), effectively extending the PTASP compliance deadline from July 20, 2020, to December 31, 2020. After initial certification, applicable recipients must certify compliance with the regulation annually.¹

Who must certify compliance?

The recipients, States, or agencies that are required to certify compliance with the PTASP regulation include:

- Recipients of [Urbanized Area Formula Grants Program](#) (49 U.S.C. Section 5307).
- States with small public transportation providers that must meet PTASP regulation requirements. Small public transportation providers are providers who do not operate rail transit and have 100 or fewer vehicles in revenue service during peak regular service across all fixed route modes or in any one non-fixed route mode.
- Rail transit agencies in the State Safety Oversight program.

Recipients and States certify compliance with the PTASP regulation through FTA's [Transit Award Management System \(TrAMS\)](#) and the annual Certifications and Assurances process after they have met the applicable PTASP regulation requirements. Recipients and States that are not required to comply with the PTASP regulation should not certify to the PTASP item in TrAMS.

Section 5307 recipients that pass on funds to an applicable transit provider will make this certification on behalf of the subrecipient provider. In some cases, the recipient may be the State.

¹ The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.

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When does initial certification occur?

Applicable recipients and States must certify compliance with PTASP regulation requirements on or before December 31, 2020.

- Recipients and States who are required to complete other Certifications and Assurances may do so before they meet PTASP requirements. These recipients and States **should not** complete the PTASP certification until they meet all applicable PTASP regulation requirements.
- Recipients and States to whom the PTASP regulation **does not apply** should not complete the PTASP certification at any time.

What does certification mean?

When the recipient or State certifies, they are confirming that:

- They, as the recipient or State, fulfilled all applicable PTASP regulation requirements. For example, the State developed Agency Safety Plans for all small public transportation providers in its jurisdiction that did not opt to develop their own plans and notified the State.
- Where applicable, all subrecipients fulfilled all applicable PTASP regulation requirements.

Examples of Initial Certification

<i>I am a...</i>	<i>On or before December 31, 2020...</i>
<ul style="list-style-type: none"> • Bus transit provider. • Recipient of Section 5307 funding with an open Section 5307 grant on July 20, 2020. 	I must certify that my agency meets all applicable PTASP regulation requirements.
<ul style="list-style-type: none"> • Bus transit provider. • <i>Subrecipient</i> of Section 5307 funding with an open Section 5307 grant on July 20, 2020. 	The recipient of my Section 5307 funds must certify that the agency meets all applicable PTASP regulation requirements.
<ul style="list-style-type: none"> • Rail transit agency in the State Safety Oversight program. 	I must certify that my agency meets all applicable PTASP regulation requirements.
<ul style="list-style-type: none"> • State with small public transportation providers under my jurisdiction that did not develop their own Agency Safety Plan. 	I must certify that the State has met all applicable PTASP regulation requirements (I developed Agency Safety Plans for all small public transportation providers in my State that did not opt to develop their own Plan and notified the State).



I am a...

- Recipient (including States) of Section 5307 funding that I pass on to a subrecipient transit provider(s).

On or before December 31, 2020...

I must certify that I and my subrecipient(s) meet applicable PTASP regulation requirements.

The [PTASP Technical Assistance Center \(TAC\)](#) is here to support you. To request an Agency Safety Plan review or other PTASP-related assistance, contact the TAC, at PTASP-TAC@dot.gov, or call 1-87-PTASP-AID (1-877-827-7243). Note, draft Agency Safety Plans must be submitted by **November 13, 2020** in order to complete reviews.

For more resources, including a fact sheet on [Understanding the Agency Safety Plan Review, Approval, and Certification Process](#), visit the [TAC Resource Library](#). You can also ask questions and exchange information with your peers in the PTASP [Community of Practice](#) forums.



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>