



## Learn. Share. Engage.

This issue of the *PTASP TAC Update* focuses on the Agency Safety Plan (ASP) annual review and update requirement of the [Public Transportation Agency Safety Plan](#) (PTASP) regulation (49 CFR Part 673).

## Featured Resources

**New!** [The Agency Safety Plan Review Process](#) offers an example of how an agency might choose to review their ASP. (This article originally appeared in the April issue of the [TSO Spotlight](#).)

The [Sample ASP for Bus Transit Providers](#) gives an example of an agency's annual review and update process on pages 2-3.

The [Certification Fact Sheet](#) goes over the process you must complete annually to certify that your agency complies with the PTASP regulation.

Implementing an ASP during the COVID-19 Public Health Emergency Webinar (January 27, 2021):

[Webinar Presentation](#) | [Webinar Recording](#)

Transitioning to Agency Safety Plan Implementation Webinar (December 17, 2020):

[Webinar Presentation](#) | [Webinar Recording](#)

Access the entire resource library by visiting FTA's [PTASP Technical Assistance Center website](#).

## Q & A Highlights

### Question 1:

What is the deadline to complete an ASP annual review?

### FTA Response:

Per [49 CFR § 673.11\(a\)\(5\)](#), a transit agency must establish a process and timeline for conducting an annual review and update of its ASP. Given the diversity of transit systems

### Need Assistance?

Contact the PTASP Technical Assistance Center (TAC) to speak with a specialist today!



[PTASP-TAC@dot.gov](mailto:PTASP-TAC@dot.gov)



1-87 PTASP-AID  
1 (877) 827-7243

9 a.m. to 8 p.m. EST, M-F



Contact the TAC for **one-on-one technical sessions** for ASP support.



**Submit** your ASP to the TAC by **May 28, 2021** to guarantee review.

### Coronavirus Disease 2019 (COVID-19)

FTA encourages transit agencies to stay informed and prepared to protect personnel and passengers against COVID-19. For more information, visit [FTA's COVID-19 web page](#).



across the country, FTA is deferring to transit agencies to determine the process and frequency of ASP reviews and updates each year.

If a transit agency adjusts their Safety Performance Targets during the annual review process, agencies should inform their Metropolitan Planning Organization about the changes.

Rail and multimodal agencies will also need to ensure that they are consistent with State Safety Oversight Agency (SSOA) requirements for the annual review and update process. The SSOA may establish additional requirements beyond the minimum requirements of the PTASP regulation.

## Question 2:

After we complete the annual review process, does the ASP need to be signed by the Accountable Executive and approved by the Board of Directors again?

## FTA Response:

Yes. Per [49 CFR § 673.11\(a\)\(1\)](#), the ASP and subsequent updates must be signed by the Accountable Executive and approved by the agency's Board of Directors or Equivalent Authority.

Agencies are required to review the ASP at least annually ([§ 673.11\(a\)\(5\)](#)) but are not required to update it unless necessary. If an agency does update the ASP, the Accountable Executive must sign it, and the Board of Directors or Equivalent Authority must approve it.

When you update the ASP, it may be beneficial to save it as a new version and record this version number within the ASP, along with notes on what was updated. You may also choose to record the new date of approval within the updated ASP.

If an agency does not update the ASP, the ASP will not need to be signed and approved again. However, FTA recommends recording information about the annual review, noting that the ASP did not require any changes, to maintain necessary documentation.

## Upcoming Events

### Virtual ASP Implementation Workshops

Registration is open for:

**Small Bus Agencies:** Wednesday, May 12, 2021 and Wednesday, May 26, 2021

**Large Bus Agencies:** Thursday, June 10, 2021 and Wednesday, June 23, 2021

*The first three workshops are full. To be added to the waitlist, please email [PTASP-TAC@dot.gov](mailto:PTASP-TAC@dot.gov).*

[More Info Here](#)

### Carrying Out the Annual ASP Review Webinar

**When:** Thursday, April 29, 2:00 p.m. EST

[Register Here](#)

### SMS Authorities, Accountabilities, and Responsibilities Implementation Webinar

**When:** Thursday, May 27, 2:30 p.m. EST

[Register Here](#)



Rail and multimodal agencies will also need to include their SSOA in the annual review and update process. The SSOA, consistent with its authority under State law, may establish additional requirements beyond the minimum requirements of the PTASP regulation.

### Question 3:

Is the State supposed to review the small public transportation providers' ASPs each year?

#### FTA Response:

No, the State is not responsible for annually reviewing or updating each small transportation provider's ASP. It is the small provider's responsibility to establish a process and timeline for conducting their own annual review and then updating the ASP, if necessary ([49 CFR §673.11\(a\)\(5\)](#)).

### Question 4:

Does the annual review of the ASP need to be conducted by an outside agency?

#### FTA Response:

No. The PTASP regulation does not require that an outside agency conduct the annual review of a transportation provider's ASP. If you choose to have an outside agency review your ASP, be sure they follow your agency's annual review process and timeline, as outlined in your ASP.

### Question 5:

Will the steps for certifying compliance with the PTASP regulation in TrAMS be the same for 2021?

#### FTA Response:

Yes. The steps required to complete the Certifications and Assurances will remain the same as in Fiscal Year 2020. As shown in the [Certification Fact Sheet](#), the Authorized User will navigate to the Certifications and Assurances page in TrAMS and complete the applicable certifications. Contact the TrAMS Help Desk ([FTA.TrAMS.help@dot.gov](mailto:FTA.TrAMS.help@dot.gov)) for additional guidance on completing the Certifications and Assurances.

*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.*