

The Agency Safety Plan Review Process

The Public Transportation Agency Safety Plan (PTASP) regulation requires applicable transit agencies to establish a process and timeline for conducting an annual review and update of their Agency Safety Plan (ASP) ([§ 673.11\(a\)\(5\)](#)).¹

Agencies may design an annual review and update process that reflects their unique administrative setup. The graphic below shows one way an agency could organize their ASP review process. In the example, the Chief Safety Officer (CSO) initiates the annual ASP review. The ASP then goes to the ASP Review Team, which creates a review checklist to guide their review (identifying and revising out-of-date references, vetting proposed changes with relevant departments, etc.), completes the checklist, and makes necessary updates to the ASP.

FLOWCHART KEY

- ◇ **Diamond shape: PTASP requirement**
- **Rectangle shape: Voluntary process**
- **Teal color: All transit modes**
- **Purple color: Rail transit modes only**
- - - **Dotted line: Applicable to rail transit agencies only (not to bus agencies)**

Figure 1

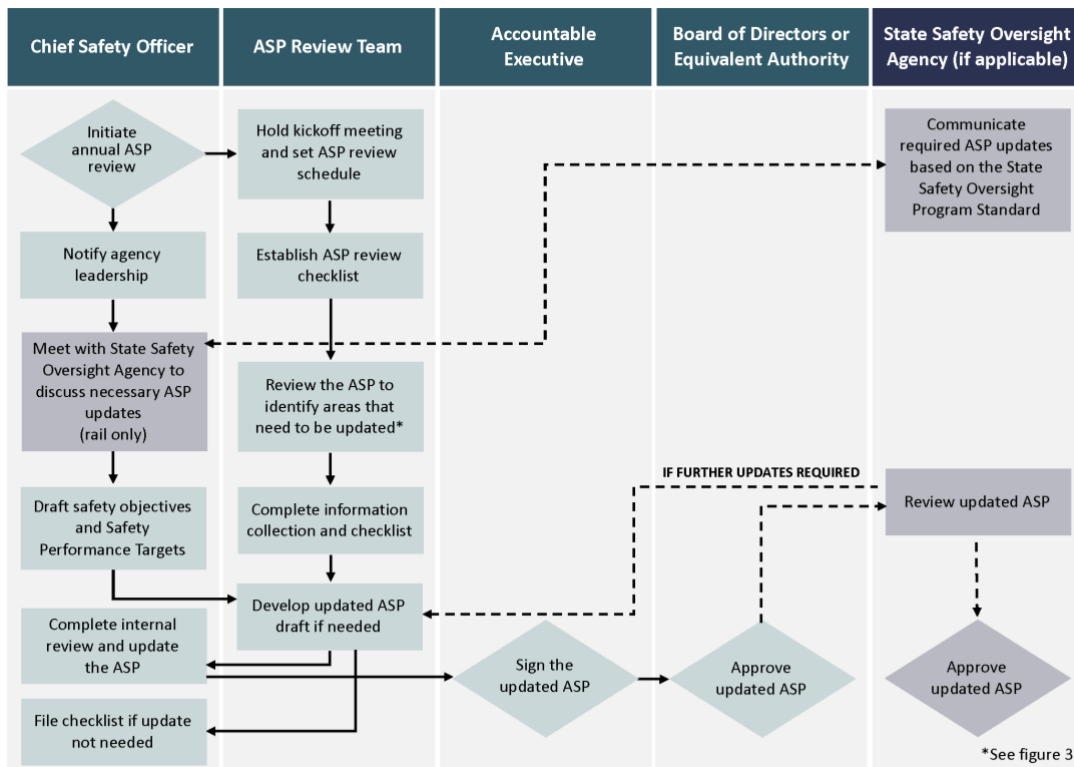


Figure 2: Sample ASP Review Process

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.

This article was originally published in the [April 2021 issue of the Transit Safety & Oversight Spotlight](#) newsletter.



When to Update the ASP

There are many reasons your agency might update your ASP, such as significant changes to your agency’s management structure, processes, policies, or procedures (see figure 3). During the review process, however, your agency may find that there are no significant changes and that updates to the ASP are unnecessary. In this case, FTA recommends you file a record of the review. Since your agency did not change the ASP, your agency does not have to go through the signature and approval process.

Areas that may prompt updates to the ASP:

- Significant changes to the transit agency’s management organization structure and/or system characteristics.
- Changes to processes, policies, or procedures that affect Safety Management Systems (SMS) or safety in general.
- Compliance with new or revised FTA regulations relating to the ASP or SMS.
- Compliance with SSO Program Standard or Corrective Action Plans.
- Updated transit agency safety objectives and safety performance targets.
- Changes to the Employee Safety Reporting Program.
- New training or safety promotion initiatives.

Figure 3

If your agency operates a rail fixed guideway system, make sure your process aligns with the requirements laid out in your State Safety Oversight Agency (SSOA) Program Standard. For example, your CSO may be required to meet with the SSOA to discuss any necessary updates.

When your agency has finished making updates to the ASP, the Accountable Executive must sign the ASP, and the agency's Board of Directors or Equivalent Authority must approve the ASP ([§ 673.11\(a\)\(1\)](#)). In addition, for rail fixed guideway systems, the SSOA must review and approve the ASP ([§ 673.13\(a\)](#)).

Visit the [PTASP TAC Resource Library](#) for guides, fact sheets, and webinars on the PTASP regulation. Contact the PTASP TAC at 1-877-827-7243 or PTASP-TAC@dot.gov for assistance with any PTASP-related topic.



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>