



## PTASP Documentation and Recordkeeping

The [Public Transportation Agency Safety Plan](#) (PTASP) regulation (49 CFR Part 673) establishes requirements for public transportation systems to implement an Agency Safety Plan (ASP). One of these requirements is for transit agencies to maintain ASP documents. This article presents some considerations for transit agencies about PTASP documentation and recordkeeping.<sup>1</sup>

### Related Resources

- [PTASP Bus Workshop Participant Guide](#)
- PTASP Webinar: [Transitioning to Agency Safety Plan Implementation](#)

### Requirement for Documentation and Recordkeeping

The PTASP regulation ([§ 673.31](#)) establishes a few requirements for documentation and recordkeeping. Transit agencies must maintain the following materials for a minimum of three years after they are created:

- Documents that set forth their ASP, including those related to implementing a Safety Management System (SMS);
- Results from their SMS processes and activities; and
- Documents included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its ASP.

Transit agencies must make these documents available upon request by FTA or other Federal entities. For rail transit agencies, they must also make these documents available to their State Safety Oversight Agency.

### Examples of Documents and Records to Maintain

The PTASP Technical Assistance Center (TAC) has received questions about what documents and records FTA requires transit agencies to maintain. In short: if it's an input or output of the ASP or SMS, keep it. Below are a few examples of documents your agency may develop and will need to maintain for at least three years.

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<sup>1</sup> 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.



## ASP and Subsequent Revisions

- ASP revision meeting agendas and minutes; and
- Concurrences or other documentation approving ASP revisions.

### Related Resource

For more information, see FTA's March 2021 webinar, [PTASP Documentation and Recordkeeping](#), available in the PTASP TAC Resource Library.

## Carrying out the ASP

- Meeting agendas, minutes, and sign-in sheets for meetings or trainings on implementing the ASP;
- Policies, procedures, or other instructions for implementing any part of the ASP;
- Work direction forms or other contractor agreements that relate to implementing the ASP; and
- Agreements with organized labor on ASP implementation.

## Results of the SMS

- Reports submitted to the Employee Safety Reporting Program, documentation of the activities the transit agency performed to investigate and/or address reported safety concerns, and documentation of notifications to employees who submitted reports;
- Accident investigation procedures, reports, memoranda, testing records, and briefing materials;
- Hazard logs or safety risk registers, documentation of risk-based prioritization decisions, and approval of safety risk mitigations; and
- Compliance checklists or other records of operations and maintenance procedure compliance monitoring.

This is not an exhaustive list and transit agencies are encouraged to contact the PTASP TAC with specific questions about document and record retention requirements.

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](mailto: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>