



How to Assess Risk Using a Safety Risk Register

Transit agencies must develop and implement a process to assess safety risk, determine whether mitigation is needed, and monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended (49 CFR [§ 673.25](#) and [§ 673.27\(b\)\(2\)](#)). Transit agencies are also required to document the results of their Safety Management System (SMS) processes and activities, including the outputs of Safety Risk Management and Safety Assurance ([§ 673.31](#)).¹

Resources

- Bus Transit [Sample Safety Risk Register](#) and [Guide](#)
- Rail Transit [Sample Safety Risk Register](#) and [Guide](#)

A safety risk register is an information management tool an agency may choose to use to document Safety Risk Management and Safety Assurance activities. In general, a safety risk register will capture the following types of information:

- Hazard information and potential consequence(s) associated with a hazard
- Existing mitigation(s) that could impact the potential consequence(s)
- Initial safety risk rating
- Further mitigation(s) to eliminate or minimize the risk associated with the hazard, as necessary
- Revised safety risk rating
- Mitigation monitoring measures and activities

Example: Safety Risk Register for an Open Platform Edge

In the [June](#) and [July Spotlights](#), we featured how to develop and monitor mitigations for a rail transit agency not willing to accept the safety risk associated with falls on or from one of its open platforms. Below is an example of a safety risk register that tracks this hazard. Since each section of a register has many columns, the register entry example below is grouped by section.

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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Hazard Identification				
Hazard	Date Identified	Identification Source	Potential Consequence	Existing Mitigation(s)
Passengers could fall on or from an open platform into the right-of-way	June 7, 2022	Employee safety reporting program	Passenger injuries and fatalities resulting from either the fall, making contact with the energized third rail, or a collision between a fallen passenger and an oncoming train	Yellow warning strip along platform edge

Initial Safety Risk Rating	Further Mitigation(s)		Revised Safety Risk Rating
Safety Risk Rating	Further Mitigation(s) for Implementation	Target Implementation Date	After Mitigation(s)
2C (Critical and Probable)	Increase platform monitoring to warn individuals to stay clear of the platform edge	August 1, 2022	1D (Acceptable based upon mitigations)

Mitigation Monitoring			
Safety Performance Indicators	Safety Performance Target	Monitoring Means	Responsible Party
Number of platform agents trained and deployed	All platform agents trained and deployed within three weeks of the mitigation start date	Weekly training report	Training Department: Tim Smith
Number of platform agent reports of interventions to prevent or mitigate falls, including time of day, prevailing weather conditions, and crowding conditions	Zero falls from the platform over the next three months	Monthly incident report	Safety Department: Prepares monthly incident report



This documentation demonstrates and captures the flow of information and activity through the SMS process. While FTA does not require agencies to develop a safety risk register, using a tool like a safety risk register can help an agency track relevant information about a hazard, from identification through monitoring mitigations, if appropriate.

Visit the [PTASP Technical Assistance Center \(TAC\) Resource Library](#) for guides, fact sheets, and webinars on the PTASP regulation. Contact the PTASP TAC at PTASP-TAC@dot.gov for assistance with any PTASP-related topic. See also the July TAC webinar, the Safety Risk Register in Action ([presentation](#) and [recording](#)).