PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Checklist for Rail Transit Agencies and State Safety Oversight Agencies

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Checklist for Rail Transit Agencies (RTAs) and State Safety Oversight Agencies (SSOAs)* to assist with the development of the Public Transportation Agency Safety Plan (ASP) for rail transit modes. Use of this checklist is voluntary.

The checklist is intended for use by RTAs that are required to draft an ASP in accordance with 49 CFR Part 673, Public Transportation Agency Safety Plans (Part 673), and for SSOAs that must review and approve the ASP per 49 CFR Part 674, State Safety Oversight (Part 674).

Version 3 of this checklist includes the current Bipartisan Infrastructure Law PTASP requirements at 49 U.S.C. § 5329(d). For further information on these requirements, see also the PTASP Bipartisan Infrastructure Law Frequently Asked Questions. FTA expects to issue a Notice of Proposed Rulemaking amending Part 673 in the future.

> *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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1. Transit Agency Information

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	1-a. Transit agency name and address.		
☐	1-b. Mode(s) of transit service covered by the ASP.		
☐	1-c. Mode(s) of service provided by the transit agency (directly operated or contracted service).		
☐	1-d. FTA funding types (e.g., 5307, 5337, 5339).		
☐	1-e. Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).		
☐	1-f. State Safety Oversight Agency (SSOA) and authority for State Safety Oversight (SSO) program.		
☐	1-g. An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).		

☒	Checklist Item	ASP Page Number	Comments
☐	1-h. A Chief Safety Officer or Safety Management System (SMS) Executive who meets requirements in § 673.5, § 673.23(d)(2), and § 674.29(b).		

2. Plan Development, Approval, and Updates

The ASP specifies, or references documentation that specifies:

⊠	Checklist Item	ASP Page Number	Comments
☐	**2-a-1. Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):** Safety Committee approval of the ASP and date of approval.		
☐	**2-a-2. Transit agencies that serve a small urbanized area (an urbanized area with a population of fewer than 200,000):** Cooperation with frontline employee representatives in developing and/or updating the ASP.		
☐	2-b. Accountable Executive signature on the ASP and date of signature.		
☐	2-c. Transit agency Board of Directors or Equivalent Authority approval of the ASP and date of approval.		
☐	2-d. The process and timeline for conducting an annual review and update of the ASP, including coordination with the SSOA, the ASP version number, and other relevant information.		

☒	Checklist Item	ASP Page Number	Comments
☐	2-e. The ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.		

3. Emergency Preparedness and Response Plan

The RTA provides or references the following:

☐	Checklist Item	ASP Page Number	Comments
☐	3-a. An emergency preparedness and response plan or procedure that addresses, at a minimum:		
☐	3-a-1. The assignment of employee responsibilities during an emergency; and		
☐	3-a-2. Coordination with Federal, State, regional, and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area.		

4. Safety Performance Targets[1]

The ASP specifies performance targets, as defined in § 673.5, for the following:

☐	Checklist Item	ASP Page Number	Comments
☐	4-a. *Fatalities*: Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.		
☐	4-b. *Injuries*: Total number of reportable injuries and rate per total vehicle revenue miles, by mode.		
☐	4-c. *Safety Events*: Total number of reportable events and rate per total vehicle revenue miles, by mode.		
☐	4-d. *System Reliability*: Mean (or average) distance between major mechanical failures, by mode.		

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[1] Performance targets for a risk reduction program at 49 U.S.C. § 5329(d)(4) are not required until FTA has established these performance measures.

The ASP specifies, or references documentation that specifies:

☐	Checklist Item	ASP Page Number	Comments
☐	4-e. Performance targets are made available to the State to aid in the planning process.		
☐	4-f. Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.		
☐	4-g. Coordination with the State and MPO(s) in the selection of State and MPO Safety Performance Targets, to the maximum extent practicable.		

5. Risk Reduction Program[2]

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	5-a. **Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):** Risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the National Transit Database, including:		
☐	5-a-1. A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments.		
☐	5-a-2. The mitigation of assaults on transit workers, including, if a transit agency operates buses, the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the		

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[2] Performance targets for a risk reduction program at 49 U.S.C. § 5329(d)(4) are not required until FTA has established these performance measures.

☒	Checklist Item	ASP Page Number	Comments
	unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the recipient's Safety Committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.		

6. Public Health

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	6-a. Strategies to minimize exposure to infectious diseases, consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority.[3]		

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[3] FTA encourages each transit agency to consider identifying mitigations or strategies related to exposure to infectious diseases through the Safety Risk Management process described in the transit agency's ASP.

7. Development and Implementation of a Safety Management System (SMS)

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	7-a. The transit agency's establishment and implementation of an SMS.		
☐	7-b. The SMS is appropriately scaled to the size, scope, and complexity of the RTA and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.		

8. Safety Management Policy

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	8-a. Written statement of the Safety Management Policy, including the transit agency's safety objectives.		
☐	8-b. Employee safety reporting program that includes the following: • A process that allows employees to report safety conditions to senior management; • Protections for employees who report safety conditions to senior management; and • A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.		
☐	8-c. Communication of the Safety Management Policy throughout the transit agency's organization.		
☐	8-d. Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's SMS, for the following individuals:		

☒	Checklist Item	ASP Page Number	Comments
	• Accountable Executive; • Chief Safety Officer or SMS Executive; • Transit agency leadership and Executive Management; and • Key staff.		

9. Safety Risk Management

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	9-a. *Safety Hazard Identification*: Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	9-b. *Safety Risk Assessment*: Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the potential consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	9-c. *Safety Risk Mitigation*: Methods or processes to identify mitigations or strategies necessary as a result of the transit agency's Safety Risk Assessment to reduce the likelihood and severity of the potential consequences of hazards.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*

10.   Safety Assurance

Safety Performance Monitoring and Measurement

The ASP specifies, or references documentation that specifies, the RTA's methods or processes to:

☒	Checklist Item	ASP Page Number	Comments
☐	10-a. Monitor system for compliance with, and sufficiency of, the transit agency's procedures for operations and maintenance.		
☐	10-b. Monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.		
☐	10-c. Conduct investigations of safety events to identify causal factors.		
☐	10-d. Monitor information reported through any internal safety reporting programs.		

Management of Change

The ASP specifies, or references documentation that specifies, the RTA's methods or processes to:

⊠	Checklist Item	ASP Page Number	Comments
☐	10-e. Identify and assess changes that may introduce new hazards or impact the RTA's safety performance.		
☐	10-f. Evaluate any changes that may impact the transit agency's safety performance through the RTA's Safety Risk Management process.		

Continuous Improvement

The ASP specifies, or references documentation that specifies, the RTA's methods or processes to:

⊠	Checklist Item	ASP Page Number	Comments
☐	10-g. Assess the RTA's safety performance.		
☐	10-h. If the transit agency identifies safety deficiencies as part of its safety performance assessment, develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.		

11. Safety Promotion

The ASP specifies, or references documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	11-a. A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the transit agency's public transportation system. This program must include refresher training, as necessary.		
☐	11-a-1. **Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):** The comprehensive safety training program includes maintenance personnel and de-escalation training.		
☐	11-b. Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: • Information on hazards and safety risks relevant to employees' roles and responsibilities; and • Safety actions taken in response to reports submitted through an employee safety reporting program.		

12.   State Safety Oversight Agency (SSOA) Requirements

Some SSOA program standards may require ASPs to include additional elements. **This section is intended only to illustrate examples of these elements. Please refer to the applicable SSOA program standard for any specific requirements.**

Internal Safety Reviews

The ASP addresses any applicable SSOA requirements related to internal safety reviews, such as:

☐	Checklist Item	ASP Page Number	Comments
☐	12-a. Notifying the SSOA before conducting any internal safety review, following the process specified in the SSOA program standard.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-b. Submitting materials regarding the conduct and results of internal safety reviews to the SSOA under the Accountable Executive's signature.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*

Accident Investigations

The ASP addresses any applicable SSOA requirements related to accident investigations, such as:

☐	Checklist Item	ASP Page Number	Comments
☐	12-c. SSOA requirements for notifying the SSOA of accidents including time limits for and methods of notification and what information the RTA must submit to the SSOA.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-d. FTA requirements to notify the SSOA and FTA within two hours of any accident occurring on the RTA system.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-e. What must be included in any investigation report developed on behalf of the SSOA, including identification of factors that caused or contributed to the accident and setting forth a Corrective Action Plan (CAP) as appropriate.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-f. How the RTA will work with the SSOA when conducting its own internal investigation of a safety event.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-g. The process through which the RTA will review investigation reports developed by the SSOA, and submit written dissent, as appropriate.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review*

☐	Checklist Item	ASP Page Number	Comments
☐	12-h. Training requirements for all personnel and contractors that conduct investigations on behalf of an SSOA in accordance with the Public Transportation Safety Certification Program.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review*

Corrective Action Plans

The ASP addresses applicable SSOA requirements regarding Corrective Action Plans, such as:

☒	Checklist Item	ASP Page Number	Comments
☐	12-i. When the RTA must develop and carry out a Corrective Action Plan (CAP).		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-j. How the RTA will submit CAPs to the SSOA for review and approval.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-k. How the RTA will manage immediate or emergency corrective actions.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*

☒	Checklist Item	ASP Page Number	Comments
☐	12-l. The required contents of a CAP, including describing the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*
☐	12-m. How the RTA must periodically report to the SSOA on its progress in carrying out CAPs.		*Due to differences in SSOA program standards, this element is outside the scope of the TAC's review.*

13. Additional Information

The ASP is not required by Part 673 to include the following information. However, a transit agency could specify, or reference documentation that specifies:

☒	Checklist Item	ASP Page Number	Comments
☐	13-a. Definitions of terms used in the ASP.		
☐	13-b. List of acronyms used in the ASP.		
☐	13-c. Certification of compliance with Part 673 in the Transit Award Management System (TrAMS), including: • Name of the individual or entity that certifies compliance; and • Date of certification.		

PTASP Technical Assistance Available Now

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https://www.transit.dot.gov/PTASP-TAC