

# Transit Asset Management and Public Transportation Agency Safety Plan

With the finalization of the Public Transportation Agency Safety Plan (PTASP) rule, the FTA has completed the rulemaking requirements under the Public Transportation Safety Program, 49 U.S.C. §5329. Although the Transit Asset Management (TAM) rule and the PTASP rule, have different requirements and applicability, they overlap in certain areas. This document clarifies those similarities and differences with respect to applicability, the definition of a Tier II/small transit provider, State DOT requirements, performance measures and targets, plan and reporting elements, and the role of the accountable executive. This document provides more detail about the first nexus point identified in the [“Nexus of Transit Asset Management & Safety Management Systems”](#) fact sheet.

## General Rule Descriptions

The purpose of the [TAM Final Rule](#), published July 2016, is to help achieve and maintain a state of good repair (SGR) for the nation’s public transportation assets. It requires transit agencies to establish a system to monitor and manage public transportation assets to improve safety and increase reliability and performance, and to establish performance targets for four national performance measures.

In July 2018, FTA published the [PTASP Final Rule](#), which requires certain operators of public transportation systems that receive federal funds under FTA’s [Urbanized Area Formula Grants and all rail transit systems](#) to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). Its purpose is to improve public transportation safety by guiding transit agencies to more effectively and proactively manage safety risks in their systems.

### Applicability

*The following chart shows applicability of the TAM and PTASP rules based on type of agency or funding program recipient.*

Agency Type	TAM	PTASP
5307 commuter rail operators	✓	
5307 transit operators	✓	✓
5310 transit operator	✓	(deferred)
5311 transit operator	✓	(deferred)
MPO	✓	
State DOT	✓	✓



## Tier II / Small Provider Definition

### TAM

- Tier II: A recipient that owns, operates, or manages (1) one hundred (100) or fewer vehicles in revenue service during peak regular service across all non-rail fixed route modes or in any one non-fixed route mode, (2) a subrecipient under the 5311 Rural Area Formula Program, (3) or any American Indian tribe. (49 C.F.R. §625.15)

### PTASP

- Small provider: A recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system. (49 C.F.R. §673.5)
- Under the PTASP rule, the definition of small provider is interpreted as the TAM Tier II definition, meaning a recipient or subrecipient of FTA Federal financial assistance that has one hundred (100) or fewer vehicles in revenue service during peak regular service across all non-rail fixed route modes or in any one non-fixed route mode.

## Group Plans / State DOT Requirements

### TAM

- A State DOT, designated recipient, or direct recipient must develop a Group TAM Plan for its Tier II subrecipients, except those that are 5307 direct recipients. Some MPOs may be Group TAM Plan sponsors.
- The “participant” agencies’ Accountable Executives and the Group TAM Plan Sponsor must coordinate to develop the Group TAM Plan. A participant must provide Sponsor with information necessary to develop the plan.
- FTA established a reduced list of required elements for Group TAM Plans: Asset Inventory, Condition Assessment, Analysis and prioritization process description, and investment prioritization.
- A Group TAM Plan must include a list of all recipients participating in the plan.
- A Tier II agency may participate in only one Group TAM Plan.

### PTASP

- A State DOT must draft and certify safety plans on behalf of small public transportation providers within their State that do not operate rail service.
- A State Safety Oversight Agency (SSOA) must review and approve a rail transit agency’s safety plan.
- A State is not required to draft and certify safety plans on behalf of transit operators that only receive 5310 and/or 5311 funds.
- A State can choose whether to draft and certify a single safety plan on behalf of the small providers within the State or whether it will draft and certify multiple individualized safety plans for each of these transit operators.



## Role of the Accountable Executive

**Definition:** a single, identifiable person who has ultimate responsibility for carrying out the PTASP/SMS of a public transportation agency; responsibility for carrying out the TAM Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's PTASP, in accordance with 49 U.S.C. §5329(d), and the agency's TAM Plan, in accordance with 49 U.S.C. §5326. (49 C.F.R. Parts 625.5, 673.5)

### Responsibilities under TAM:

- Develop and carry out TAM Plan
- Approve annual performance targets
- Balance transit asset management, safety, day-to-day operations, and expansion needs
- Coordinate with group TAM Plan Sponsor (if applicable)

### Responsibilities under PTASP:

- Sign PTASP and subsequent updates
- Ensure implementation of PTASP
- Ensure agency's SMS is implemented effectively and that action is taken to address substandard performance
- Designate a Chief Safety Officer or SMS Executive for day-to-day SMS implementation

## Performance Measures and Targets

**TAM:** Transit agencies are required to set performance targets for each of the four performance measures:

**Rolling Stock:** % of vehicles that have met or exceeded their Useful Life Benchmark (ULB).

**Equipment:** % of vehicles that have met or exceeded their ULB.

**Infrastructure:** % of track segments with performance restrictions.

**Facilities:** % of facilities in an asset class, rated < 3 on the Transit Economic Requirements Model (TERM) scale.

**PTASP:** Transit agencies are required to set performance targets for each of the performance measures as identified in the most recent [National Public Transportation Safety Plan \(NSP\)](#):

**System reliability:** mean distance between major mechanical failures by mode.

**Safety events:** number and rate per total vehicle revenue miles by mode.

**Fatalities:** number and rate per total vehicle revenue miles by mode.

**Injuries:** number and rate per total vehicle revenue miles by mode.



## Plan and Reporting Elements

### TAM

### PTASP

#### Tier I and II Plan: (update at least every 4 years) (Update annually)

- Inventory of assets
- Condition assessment of inventoried assets
- Description of a decision support tool
- Prioritized list of investments

- Accountable Executive signature and Board of Directors (or an equivalent authority) approval
- Chief Safety Officer designation
- Documented SMS processes: Safety Management Policy; Safety Risk Management; Safety Assurance; and Safety Promotion
- An employee reporting program description/document
- Performance targets based on the safety performance measures (see above)
- Criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP
- Process and timeline for annual review and update of the safety plan
- Emergency preparedness and response plan or procedures (for rail transit agencies only; can include or incorporate by reference)

#### Tier I only Plan: (update at least every 4 years)

- TAM and SGR Policy
- Implementation Strategy
- List of key annual activities
- Identification of resources
- Evaluation plan

#### Report to National Transit Database (NTD): (update annually)

- Performance Targets
- Asset Inventory
- Condition Assessment
- Narrative Report