

# Public Transportation Agency Safety Plan Final Rule

## Fact Sheet



### Overview

The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673) requires certain operators of public transportation systems that are recipients or sub-recipients of financial assistance under 49 U.S.C. § 5307 to develop Public Transportation Agency Safety Plans, which include the processes and procedures necessary for implementing Safety Management Systems (SMS).

### Effective Date

The final rule becomes effective on July 19, 2019. Each transit operator is required to certify that it has a safety plan meeting the requirements of the rule by July 20, 2020.

### To Whom Does the PTASP Rule Apply?

The rule **applies** to:

- Recipients or sub-recipients of financial assistance under 49 U.S.C. § 5307 that operate a public transportation system.

The rule **does not apply** to:

- Commuter rail service that is regulated by the Federal Railroad Administration.
- A passenger ferry operator that is regulated by the U.S. Coast Guard.
- An operator of a public transportation system that only receives financial assistance under Formula Grants for Enhanced Mobility of Seniors and Individuals with Disabilities (5310) and/or Formula Grants for Rural Areas (5311).

### General Requirements for PTASPs

Each safety plan must include, at a minimum:

- An approval by the agency's Accountable Executive and Board of Directors (or an equivalent authority);
- The designation of a Chief Safety Officer;
- The documented processes of the agency's SMS, including the agency's Safety Management Policy and processes for Safety Risk Management, Safety Assurance, and Safety Promotion;
- A employee reporting program;
- Performance targets based on the safety performance measures established in FTA's National Public Transportation Safety Plan (NSP);
- Criteria to address all applicable requirements and standards set forth in FTA's Public Transportation Safety Program and the NSP; and
- A process and timeline for conducting an annual review and update of the safety plan.

A rail transit agency's safety plan also must include or incorporate by reference an emergency preparedness and response plan or procedures.

### Who Develops and Implements a Safety Plan?

- Rail transit agencies to whom the PTASP rule applies must develop and implement their own safety plans.
- Large bus operators (operating more than 100 vehicles in peak revenue service) to whom the PTASP rule applies must develop and implement their own safety plans.
- Small bus operators (operating 100 or fewer vehicles in peak revenue service) that do not operate rail transit systems and to whom the PTASP rule applies may have their states develop safety plans on their behalf, or they may opt to develop their own safety plans. In either case, the small bus operator must implement the safety plan.



## Who Approves a Safety Plan?

- Each safety plan must be signed by an operator's Accountable Executive.
- Each safety plan must be approved by its Board of Directors or an equivalent authority (such as a mayor, county executive, or grant manager).
- State Safety Oversight Agencies (SSOAs) must approve the safety plans of the rail transit agencies they oversee.

## Certification of Compliance

- Each transit agency must annually certify via FTA's [Certifications and Assurances](#) process that its safety plan meets the requirements of the final rule.
- States must certify safety plans on behalf of small public transportation providers that operate 100 or fewer vehicles in peak revenue service within their states, unless providers opt to certify their own safety plans upon notification to the state.

## Documentation and Recordkeeping

- A transit agency must maintain documents that set forth its safety plan, including those related to SMS implementation.
- These documents must be made available upon request by FTA and other agencies with safety jurisdiction, such as the National Transportation Safety Board (NTSB) and SSOAs.
- A transit agency must maintain these documents for a minimum of three years after they are created.

## PTASP and the National Public Transportation Safety Plan (NSP)

Under the PTASP rule, an operator is required to set safety performance targets based on the safety performance measures in the [NSP](#).

The NSP safety performance measures are:

- Fatalities
- Injuries
- Safety Events
- System Reliability (State of Good Repair)

## SMS Components of a Safety Plan

### **Safety Management Policy**

- Safety objectives
- Confidential employee reporting program
- Organizational accountabilities and safety responsibilities
- Designation of a Chief Safety Officer

### **Safety Risk Management**

- Processes for hazard identification
- Risk assessment
- Mitigation development

### **Safety Assurance**

All operators develop processes for:

- Safety performance monitoring and measurement

Rail and large bus operators develop processes for:

- Management of change
- Continuous improvement

### **Safety Promotion**

- Comprehensive safety training program
- Safety communication

## Relationship to [Transit Asset Management](#)

- A transit agency should consider the results of its asset condition assessments while performing safety risk management and safety assurance activities.
- The results of the condition assessments and subsequent SMS analysis should inform an operator's investment priorities.

## Contact

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