























# PTASP Applicability and Requirements

Applicability	Requirements
<p>Would Apply to:</p> <p>‡ Operators of transit systems that receive FTA funds (Section 5307) and all rail transit operators (regardless of funding source).</p>	<p>Public Transportation Agency Safety Plan</p> <ul style="list-style-type: none"> <li>• Approved by Accountable Executive and Board of Directors (and SSOA for rail transit agencies)</li> <li>• Annual Review/Update</li> <li>• Compliance with Public Transportation Safety Program/National Safety Plan</li> <li>• Assignment of Chief Safety Officer</li> </ul> <p>Safety Management System (SMS)</p> <p>Safety Performance Targets</p> <p>Rail Agencies Only: Emergency Preparedness Plan</p> <p>Employee Reporting Program</p>
<p><b>Would Not Apply to:</b></p> <ul style="list-style-type: none"> <li>• FTA recipients that do not operate transit systems.</li> <li>• Commuter rail service regulated by FRA.</li> <li>• Passenger ferry service regulated by USCG.</li> <li>• Deferring applicability for operators that only receive Section 5310 and Section 5311 funds (both recipients and sub-recipients).</li> </ul>	

# Safety Plan Development and Implementation

- Rail transit agencies and large bus operators must develop and implement their own safety plans.
- A State must develop a safety plan for small transit agencies within the State that receive Urbanized Area Formula Program funds (49 U.S.C. § 5307) and operate 100 or fewer vehicles in peak revenue service, unless the transit agency chooses to develop its own safety plan. In either case, small bus operators must implement their own safety plans.

# Multimodal Safety Plan Development and Implementation

- Multimodal transit agencies can decide whether to develop and implement one plan for the entire agency, or separate plans for each mode
- No requirement to draft plans in a particular way
- Things to think about:
  - Staff available to draft and implement the plan(s)
  - Size of system
  - Number of modes

# Rail Safety Plan Development and Implementation

- Rail transit agencies must develop and implement their own safety plans
  - SSOAs **cannot** draft safety plans for the RTAs in their jurisdiction
- Rail modes may use some of their SSPP in their new Safety Plan, such as:
  - Safety Policy Statement with updates to reflect SMS principles
  - Hazard Management processes translating to Safety Risk Assessment and Mitigation
  - Sources for data collection
  - Accident Investigation processes
  - Assessing Modifications and Changes and translating to Management of Change
  - Internal Safety Reviews translating to Continuous Improvement
  - Internal Safety Training Program for employees and contractors
- Rail safety plans must also follow the SSOA's Program Standard
- SSPP stays in effect until July 20, 2020, the compliance date of this rule (one year after effective date)

# Bus Safety Plan Development and Implementation

- Large bus transit agencies must develop and implement their own safety plans
- Large bus transit agencies are defined as having more than 100 vehicles in peak revenue service. Small bus transit agencies receive 5307 funds and operate fewer than 100 vehicles in peak revenue service.
- Some large bus agencies may already have a safety plan, but the **requirement** to have a safety plan is new
- Large bus transit agencies must incorporate all elements of SMS in to their safety plans. Small bus transit agencies do not need to incorporate Management of Change and Continuous Improvement processes.
- Use the Safety Plan Template for Bus Transit on FTA's website

# Use of Grant Funds for Safety Plan Development and Implementation

- No additional funding provided to grantees for compliance with the PTASP Final Rule
- Federal funds may be used to develop and implement a safety plan:

- |        |        |
|--------|--------|
| • 5303 | • 5309 |
| • 5304 | • 5337 |
| • 5307 | • 5339 |

- SSOA funds may **not** be used for any bus activities, only to be used for rail activities



# Safety Plan Approval

- Safety plan must be signed by agency's Accountable Executive.
- Safety plan must be approved by agency's Board of Directors or an equivalent authority (such as a mayor, county executive, or grant manager).
- A State Safety Oversight Agency must review and approve the safety plan for a rail transit agency for which it has responsibility.
  - **For multimodal agencies that choose to draft one plan for the entire agency, SSOAs are only required to review the rail portions of the plan**

# Safety Plan Certification

- Transit agencies, and States that draft plans on behalf of small operators, must initially self-certify through FTA's Certifications and Assurances process that they have established a Safety Plan by one year after the effective date of the rule.
- Annually, transit agencies and States self-certify that they are meeting the requirements of the rule.

# Record Keeping

Transit agencies must keep records related to their safety plan for three years.

- Documents related to the implementation of its Safety Management System (SMS) and results from SMS processes and activities.
- Documents, in whole or by reference, that describe the programs, policies, and procedures for carrying out the Public Transportation Agency Safety Plan (PTASP).

Documents must be made available upon request by FTA, other Federal entity, or a SSOA.

# PTASP Rule Oversight Framework

## FTA Role

- Guidance
- Technical assistance
- Triennial reviews

## Transit Agency Role

- Develop and implement PTASP
- Annual self-certification

## SSO Agency Role

- Review and approve PTASP
- Oversees RTA compliance

# Performance Management Framework and the Planning Process

# FTA's Safety Performance Measures (by Mode)\*

## Injuries

- Total amount and rate per total vehicle revenue miles.

## Fatalities

- Total amount and rate per total vehicle revenue miles.

## Safety Events

- Total amount and rate per total vehicle revenue miles.

## System Reliability

- Mean distance between major mechanical failures.

*\*Established in FTA's National Public Transportation Safety Plan*

# MAP-21 Performance Management Framework

## FTA

- Transit Asset Management
- National Public Transportation
- Safety Plan Public Transportation Agency Safety Plan

## FHWA

- Safety Performance
- Pavement and Bridge Condition
- System Performance & CMAQ
- Highway Safety Improvement Program
- Highway Asset Management Plan

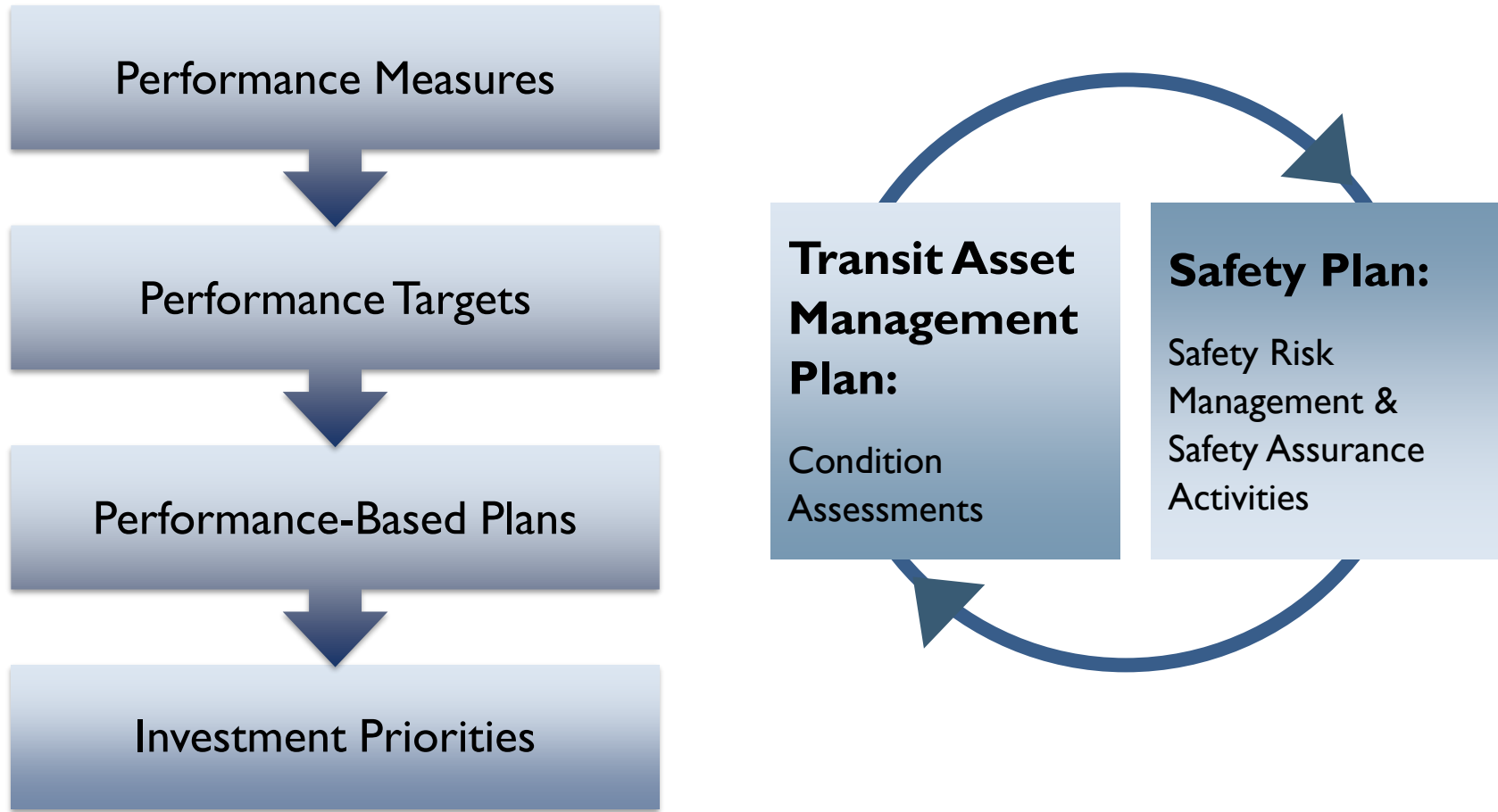
Statewide and Metropolitan Planning

# Coordination with the Planning Process

- Transit agencies are required to make their safety performance targets available to States and Metropolitan Planning Organizations (MPO).
- This will assist with the selection of safety performance targets at the State and MPO levels.
- The safety performance targets will help States and MPOs develop their investment priorities for upcoming transit projects within their jurisdictions for at least the following four years.
- The FTA/FHWA Joint Rule on Planning (23 C.F.R. Part 450) provides more information on planning and coordination requirements.



# Linking Safety, Transit Asset Management, and Project Planning



# Safety Management Systems (SMS)

# Safety Management System (SMS)



# Safety Management Policy

Establish A  
Written  
Statement of  
Safety Policy,  
Communicated  
Throughout the  
Agency, that  
Includes:

Safety objectives for the agency

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A employee reporting program

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Organizational  
accountabilities  
and safety  
responsibilities  
for:

1. Accountable Executive

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2. Chief Safety Officer

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3. Agency Leadership

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4. Key Staff Responsible for Safety

# Safety Risk Management

Establish A  
Process For:

**Identify** safety hazards.

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**Assess** the safety risks associated with the identified safety hazards.

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**Prioritize** safety hazards based on the level of risk.

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**Implement** safety risk mitigations.

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# Safety Assurance (All Transit Agencies)

Establish  
Activities  
For:

Safety  
Performance  
Monitoring and  
Measurement

Monitor compliance with/sufficiency of operations and maintenance procedures.

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Identify mitigation(s) that may be ineffective, inappropriate, or not implemented as intended.

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Conduct investigations of safety events to identify causal factors.

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Monitor safety-related information.

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# Safety Assurance (Rail/Large Bus Systems Only)

Establish Activities  
For:

Management of  
Change

Identify and assess changes that may introduce new hazards or impact safety performance.

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Continuous  
Improvement

Assess safety performance and correct safety deficiencies.

# Safety Promotion

Elements:

Comprehensive safety training program for agency employees/contractors directly responsible for safety.

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Communicate an agency's safety performance throughout the organization.



# How is PTASP Different from SSPP?

SSPP	PTASP
21 fixed program elements	<p>SMS components are scalable and flexible.</p> <p>Performance-based regulation.</p>
Integrates risk management into the overall system design and engineering process	<p>Focuses on management of safety risk through all aspects of a transit agency's operations by addressing hazards as a day-to-day operational consideration.</p> <p>Encourages a more integrated and multi-disciplinary approach to identifying hazards and assessing safety risk.</p> <p>Specifies management accountability for resource decisions to resolve safety risk at all lifecycle stages.</p>
Assumes that technical compliance with engineered solutions will result in safe operations	<p>Promotes the collection and analysis of information from the frontline, supervisors, automated systems, customers, audits of normal operations, and other activities to help the rail transit agency:</p> <ol style="list-style-type: none"> <li>1) identify changes from the safety baseline,</li> <li>2) evaluate and mitigate associated safety risks, and</li> <li>3) regularly monitor the effectiveness of safety risk mitigations.</li> </ol>

# PTASP Effective Date

The rule is effective on **July 19, 2019**. Transit agencies must develop, certify, and implement an agency safety plan by **July 20, 2020**.

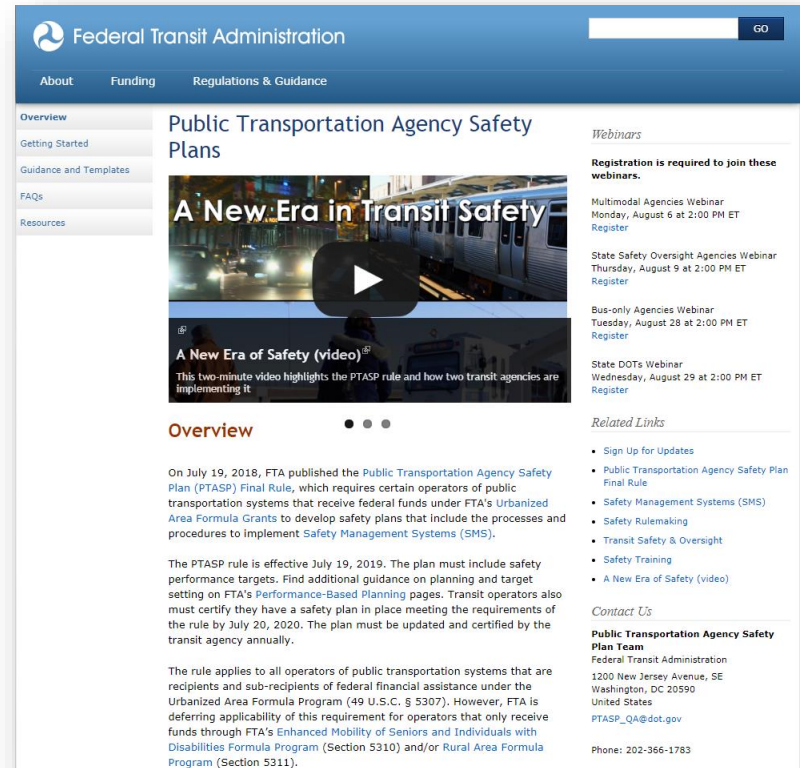
**Please do not wait to begin development of your agency safety plan. FTA cannot waive or extend the compliance deadline.**

# Outreach and Technical Assistance

# FTA Technical Assistance

To assist with the implementation of these final rules and to reduce administrative and financial burdens, FTA is publishing templates, guidance and technical assistance, including:

- Rail (forthcoming)
  - SSPP to PTASP Roadmap
  - Rail Guidance
- Bus
  - [PTASP Template](#)
  - [Bus Guidance](#)



The screenshot shows the Federal Transit Administration website page for "Public Transportation Agency Safety Plans". The page features a navigation menu with "About", "Funding", and "Regulations & Guidance". A sidebar on the left contains links for "Overview", "Getting Started", "Guidance and Templates", "FAQs", and "Resources". The main content area includes a video player titled "A New Era in Transit Safety" with a play button. Below the video is an "Overview" section with text explaining the PTASP rule, its effective date (July 19, 2019), and the requirements for transit operators. A "Webinars" section on the right lists several upcoming webinars with dates and registration links. A "Related Links" section provides additional resources like "Sign Up for Updates" and "Public Transportation Agency Safety Plan Final Rule". A "Contact Us" section at the bottom right provides the FTA Plan Team contact information, including the address (1200 New Jersey Avenue, SE, Washington, DC 20590), phone number (202-366-1783), and email (PTASP\_QA@dot.gov).

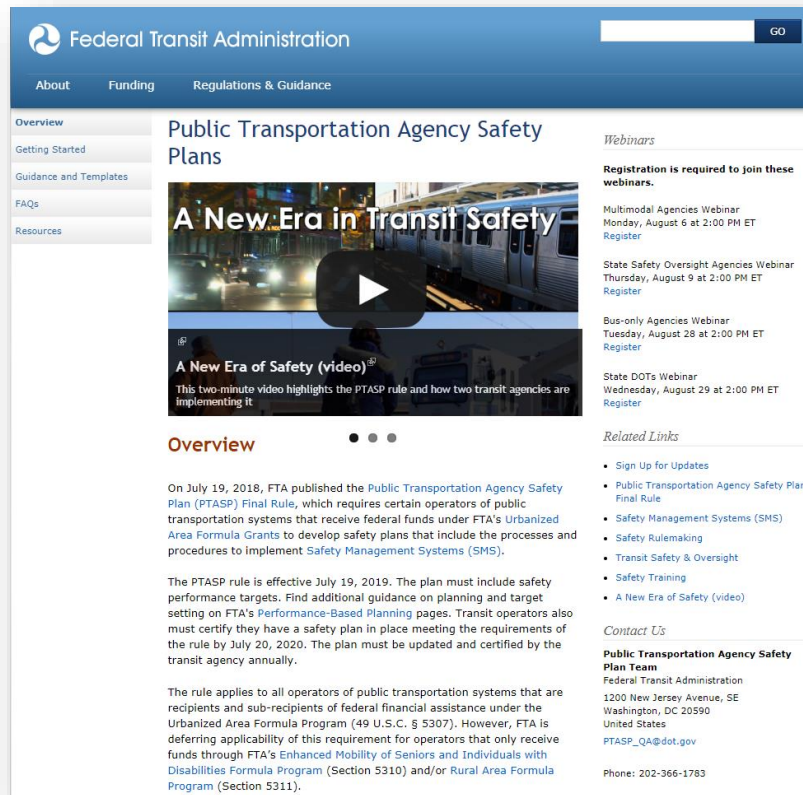
<https://www.transit.dot.gov/PTASP>

# Upcoming Webinars

Webinars	Dates
<p><b>Public Transportation Agency Safety Plan Final Rule</b></p>	<p>SSO Agencies   <a href="#">Register</a> Thursday, August 9 at 2:00 PM ET</p>
	<p>Bus-only Agencies   <a href="#">Register</a> Tuesday, August 28 at 2:00 PM ET</p>
	<p>State DOTs   <a href="#">Register</a> Wednesday, August 29 at 2:00 PM ET</p>
	<p>Multimodal Agencies   <a href="#">Register</a> Thursday, August 30 at 2:00 PM ET</p>
	<p>SSO Agencies   <a href="#">Register</a> Wednesday, September 5 at 2:00 PM ET</p>
	<p>Rail-Only Agencies   <a href="#">Register</a> Thursday, September 6 at 2:00 PM ET</p>
	<p>State DOTs   <a href="#">Register</a> Wednesday, September 12 at 2:00 PM ET</p>
<p><b>Public Transportation Safety Certification Training Program Final Rule</b></p>	<p>Thursday, August 16 at 2:00 PM ET   <a href="#">Register</a></p>

# More Information and Follow-up Questions

- Questions: [PTASP\\_QA@dot.gov](mailto:PTASP_QA@dot.gov)
- Other questions? Call the TSO Main Number at 202-366-1783



The screenshot shows the Federal Transit Administration website page for "Public Transportation Agency Safety Plans". The page features a navigation menu with "About", "Funding", and "Regulations & Guidance". A sidebar on the left lists "Overview", "Getting Started", "Guidance and Templates", "FAQs", and "Resources". The main content area includes a video player titled "A New Era in Transit Safety" with a play button. Below the video is a section titled "Overview" with three bullet points. The text describes the PTASP Final Rule, effective July 19, 2019, which requires certain operators of public transportation systems to develop safety plans. It also mentions that the rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (Section 5310) and/or Rural Area Formula Program (Section 5311).

**Public Transportation Agency Safety Plans**

**A New Era in Transit Safety**

**A New Era of Safety (video)**  
This two-minute video highlights the PTASP rule and how two transit agencies are implementing it

**Overview**

- On July 19, 2018, FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).
- The PTASP rule is effective July 19, 2019. The plan must include safety performance targets. Find additional guidance on planning and target setting on FTA's Performance-Based Planning pages. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by July 20, 2020. The plan must be updated and certified by the transit agency annually.
- The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (Section 5310) and/or Rural Area Formula Program (Section 5311).

**Webinars**

**Registration is required to join these webinars.**

- Multimodal Agencies Webinar  
Monday, August 6 at 2:00 PM ET  
[Register](#)
- State Safety Oversight Agencies Webinar  
Thursday, August 9 at 2:00 PM ET  
[Register](#)
- Bus-only Agencies Webinar  
Tuesday, August 28 at 2:00 PM ET  
[Register](#)
- State DOTs Webinar  
Wednesday, August 29 at 2:00 PM ET  
[Register](#)

**Related Links**

- [Sign Up for Updates](#)
- [Public Transportation Agency Safety Plan Final Rule](#)
- [Safety Management Systems \(SMS\)](#)
- [Safety Rulemaking](#)
- [Transit Safety & Oversight](#)
- [Safety Training](#)
- [A New Era of Safety \(video\)](#)

**Contact Us**

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