

(B) For all modes of public transportation; and

(C) Based on the level of detail the large urbanized area provider is required to report to the NTD. The Safety Committee is not required to set a target for a performance measure until the large urbanized area provider has been required to report three years of data to the NTD corresponding to such performance measure.

(iv) Include or incorporate by reference the safety risk mitigations identified and recommended by the Safety Committee as described in § 673.25(d)(5)

(b) A transit agency may develop one Public Transportation Agency Safety Plan for all modes of service or may develop a Public Transportation Agency Safety Plan for each mode of service not subject to safety regulation by another Federal entity.

(c) A transit agency must maintain its Public Transportation Agency Safety Plan in accordance with the recordkeeping requirements in subpart E of this part.

(d) A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that transit agency notifies the State that it will draft its own plan. In each instance, the transit agency must carry out the plan. If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.

(e) Agencies that operate passenger ferries regulated by the United States Coast Guard (USCG) or rail fixed guideway public transportation service regulated by the Federal Railroad Administration (FRA) are not required to develop Public Transportation Agency safety plans for those modes of service.

**49 CFR § 673.13 Certification of Compliance**

(a) Each direct recipient, or State as authorized in § 673.11(d), must certify that it has established a Public Transportation Agency Safety Plan meeting the requirements of this part by the start of operations. A direct recipient must certify that it and all applicable subrecipients are in compliance with the requirements of this part. A State Safety Oversight Agency must review and approve a Public Transportation Agency Safety Plan developed by a rail fixed guideway public transportation system, as authorized in 49 U.S.C. 5329(e) and its implementing regulations at 49 CFR part 674.

(b) On an annual basis, a direct recipient or State must certify its compliance with this part. A direct recipient must certify that it and all applicable subrecipients are in compliance with the requirements of this part.

**49 CFR § 673.15 Coordination with Metropolitan, Statewide, and Non-Metropolitan Planning Processes**

(a) A State or transit agency must make its safety performance targets available to States and Metropolitan Planning Organizations to aid in the planning process.

(b) To the maximum extent practicable, a State or transit agency must coordinate with States and Metropolitan Planning Organizations in the selection of State and MPO safety performance targets.

**49 CFR § 673.21 General Requirements**

Each transit agency must establish and implement a Safety Management System under this part. A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements:

- (a) Safety Management Policy as described in § 673.23;
- (b) Safety Risk Management as described in § 673.25;
- (c) Safety Assurance as described in § 673.27; and
- (d) Safety Promotion as described in § 673.29.

**49 CFR § 673.23 Safety Management Policy**

- (a) A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of Safety Management Policy that includes the agency's safety objectives and a description of the transit agency's Safety Committee or approach to cooperation with frontline transit worker representatives.
- (b) A transit agency must establish and implement a process that allows transit workers to report safety concerns, including assaults on transit workers, near-misses, and unsafe acts and conditions to senior management, includes protections for transit workers who report, and includes a description of transit worker behaviors that may result in disciplinary action.
- (c) The Safety Management Policy must be communicated throughout the transit agency's organization.
- (d) The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety amongst the following individuals or groups within its organization, as they relate to the development and management of the transit agency's SMS:
  - (1) *Accountable Executive*. The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the transit agency's SMS is effectively implemented throughout the transit agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the transit agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the Accountable Executive.
    - (i) The Accountable Executive of a large urbanized area provider must implement safety risk mitigations for the safety risk reduction program that are included in the Agency Safety Plan under § 673.11(a)(7)(iv).
    - (ii) The Accountable Executive of a large urbanized area provider receives and must consider all other safety risk mitigations recommended by the Safety Committee, consistent with requirements in §§ 673.19(d) and 673.25(d)(6).
  - (2) *Chief Safety Officer or Safety Management System (SMS) Executive*. The Accountable Executive must designate a Chief Safety Officer or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of a transit agency's SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive.

(3) *Safety Committee*. A large urbanized area provider must establish a joint labor-management Safety Committee that meets the requirements of § 673.19.

(4) *Transit agency leadership and executive management*. A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Chief Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of a transit agency's SMS.

(5) *Key staff*. A transit agency may designate key staff, groups of staff, or committees to support the Accountable Executive, Chief Safety Officer, Safety Committee, or SMS Executive in developing, implementing, and operating the transit agency's SMS.

49 CFR § 673.25 Safety risk management

(a) *Safety Risk Management process*. A transit agency must develop and implement a Safety Risk Management process for all elements of its public transportation system. The Safety Risk Management process must be comprised of the following activities: hazard identification, safety risk assessment, and safety risk mitigation.

(b) *Hazard identification*.

(1) A transit agency must establish methods or processes to identify hazards and potential consequences of the hazards.

(2) A transit agency must consider, as a source for hazard identification:

(i) Data and information provided by an oversight authority, including but not limited to FTA, the State, or as applicable, the State Safety Oversight Agency having jurisdiction;

(ii) Data and information regarding exposure to infectious disease provided by the CDC or a State health authority; and

(iii) Safety concerns identified through Safety Assurance activities carried out under § 673.27

(c) *Safety risk assessment*.

(1) A transit agency must establish methods or processes to assess the safety risks associated with identified hazards.

(2) A safety risk assessment includes an assessment of the likelihood and severity of the potential consequences of identified hazards, taking into account existing safety risk mitigations, to determine if safety risk mitigation is necessary and to inform prioritization of safety risk mitigations.

(d) *Safety risk mitigation*.

(1) A transit agency must establish methods or processes to identify safety risk 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. For large urbanized area providers, these methods or processes must address the role of the transit agency's Safety Committee.

(2) A transit agency must consider, as a source for safety risk mitigation:

- (i) Guidance provided by an oversight authority, if applicable, and FTA; and
  - (ii) Guidelines to prevent or control exposure to infectious diseases provided by the CDC or a State health authority.
- (3) When identifying safety risk mitigations for the safety risk reduction program related to vehicular and pedestrian safety events involving transit vehicles, including to address a missed safety performance target set by the Safety Committee under § 673.19(d)(2), each large urbanized area provider and its Safety Committee must consider mitigations to reduce visibility impairments for transit vehicle operators that contribute to accidents, including retrofits to vehicles in revenue service and specifications for future procurements that reduce visibility impairments.
- (4) When identifying safety risk mitigations for the safety risk reduction program related to assaults on transit workers, including to address a missed safety performance target set by the Safety Committee under § 673.19(d)(2), each large urbanized area provider and its Safety Committee must consider deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities. Assault mitigation infrastructure and technology includes barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators.
- (5) When a large urbanized area provider's Safety Committee, as part of the transit agency's safety risk reduction program, identifies and recommends under § 673.19(c)(6) safety risk mitigations, including mitigations relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers, based on a safety risk assessment conducted under § 673.25(c), the transit agency must include or incorporate by reference these safety risk mitigations in its ASP pursuant to § 673.11(a)(7)(iv).
- (6) When a large urbanized area provider's Safety Committee recommends a safety risk mitigation unrelated to the safety risk reduction program, and the Accountable Executive decides not to implement the safety risk mitigation, the Accountable Executive must prepare a written statement explaining their decision, pursuant to recordkeeping requirements at § 673.31. The Accountable Executive must submit and present this explanation to the transit agency's Safety Committee and Board of Directors or equivalent entity

#### 49 CFR § 673.27 Safety Assurance

- (a) *Safety Assurance process.* A transit agency must develop and implement a safety assurance process, consistent with this subpart. A rail fixed guideway public transportation system, and a recipient or subrecipient of Federal financial assistance under 49 U.S.C. Chapter 53 that operates more than one hundred vehicles in peak revenue service, must include in its safety assurance process each of the requirements in paragraphs (b), (c), and (d) of this section. A small public transportation provider only must include in its safety assurance process the requirements in paragraph (b) and (d) of this section.
- (b) *Safety performance monitoring and measurement.* A transit agency must establish activities to:
  - (1) Monitor its system for compliance with, and sufficiency of, the transit agency's procedures for operations and maintenance;
  - (2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. For large urbanized area providers, these activities must address the role of the transit agency's Safety Committee;
  - (3) Conduct investigations of safety events to identify causal factors; and

(4) Monitor information reported through any internal safety reporting programs.

(c) *Management of change.*

(1) A transit agency must establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance.

(2) If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process.

(d) *Continuous improvement.*

(1) A transit agency must establish a process to assess its safety performance.

(i) This process must include the identification of deficiencies in the transit agency's SMS and deficiencies in the transit agency's performance against safety performance targets required in § 673.11(a)(3).

(ii) For large urbanized area providers, this process must also address the role of the transit agency's Safety Committee, and include the identification of deficiencies in the transit agency's performance against annual safety performance targets set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program required in § 673.11(a)(7).

(iii) Rail transit agencies must also address any specific internal safety review requirements established by their State Safety Oversight Agency.

(2) A large urbanized area provider must monitor safety performance against annual safety performance targets set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program in § 673.11(a)(7).

(3) A large urbanized area provider that does not meet an established annual safety performance target set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program in § 673.11(a)(7) must:

(i) Assess associated safety risk, using the methods or processes established under § 673.25(c);

(ii) Mitigate associated safety risk based on the results of a safety risk assessment using the methods or processes established under § 673.25(d). The transit agency must include these mitigations in the plan described at § 673.27(d)(4) and in the Agency Safety Plan as described in § 673.25(d)(5); and

(iii) Allocate its safety set-aside in the following fiscal year to safety-related projects eligible under 49 U.S.C. 5307 that are reasonably likely to assist the transit agency in meeting the safety performance target in the future.

(4) A transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address any deficiencies identified through the safety performance assessment as described in this section.

49 CFR 673.29 Safety promotion

(a) *Competencies and training.*

- (1) A transit agency must establish and implement a comprehensive safety training program that includes de-escalation training, safety concern identification and reporting training, and refresher training for all operations transit workers and transit workers directly responsible for safety in the transit agency's public transportation system. The training program must include refresher training, as necessary.
- (2) Large urbanized area providers must include maintenance transit workers in the safety training program.

(b) *Safety communication.* A transit agency must communicate safety and safety performance information throughout the transit agency's organization that, at a minimum, conveys information on hazards and safety risk relevant to transit workers' roles and responsibilities and informs transit workers of safety actions taken in response to reports submitted through a transit worker safety reporting program. A transit agency must also communicate the results of cooperation with frontline transit worker representatives as described at § 673.17(b) or the Safety Committee activities described in § 673.19

**49 CFR 673.5 Definitions**

**Equivalent entity** means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

**Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

**Safety Assurance** means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

**Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities for the management of safety.

**Safety performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, related to safety management activities, to be achieved within a specified time period.

**Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

**Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

**Safety Risk Management** means a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating the safety risk of their potential consequences.

**Safety risk mitigation** means a method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.

**Small public transportation provider** means 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 across all

non-rail fixed route modes or in any one non-fixed route mode and does not operate a rail fixed guideway public transportation system.

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#### **PTASP4. Does the recipient maintain its PTASP documents for a minimum of three years?**

##### **BASIC REQUIREMENT**

A recipient who is subject to the PTASP regulation must maintain documents that set forth its ASP for a minimum of three years after they are created.

##### **APPLICABILITY**

Recipients of Section 5307 funding and rail transit agencies subject to the SSOP that operate a public transportation system

##### **DETAILED EXPLANATION FOR REVIEWER**

A recipient who is subject to the PTASP regulation must maintain documents that set forth its ASP, including those related to the implementation of its SMS, and results from SMS processes and activities. A recipient must maintain documents that are included in whole, or by reference, in the ASP that describe the programs, policies, and procedures for carrying out its ASP (i.e. training records, written safety policies, employee bulletins, etc.). The recipient must maintain these documents for a minimum of three years after they are created.

##### **INDICATORS OF COMPLIANCE**

a. *Explain the recipient's record retention policy for its ASP.*

- 1) *What types of documents are maintained?*
- 2) *How long are documents maintained?*
- 3) *Where and how is the policy documented?*

b. *Does the recipient follow its record retention policy?*

- 1) *Identify records requested to confirm the recipient is following its policy.*

##### **INSTRUCTIONS FOR REVIEWER**

Discuss with the recipient its process for maintaining documents that set forth its ASP and results from SMS processes and activities, and documents included in whole or by reference that describe the programs, policies, and procedures for carrying out its ASP. Confirm that these documents are maintained for a minimum of three years.

##### **POTENTIAL DEFICIENCY INFORMATION**

The recipient is deficient if it does not maintain documents that set forth its ASP and results from SMS processes and activities, and documents included in whole or by reference that describe the programs, policies, and procedures for carrying out its ASP for a minimum of three years.

DEFICIENCY CODE PTASP4-1: No process to maintain ASP documents.

SUGGESTED CORRECTIVE ACTION 1: The recipient must develop a plan for submitting a process to ensure it maintains documents that set forth its ASP and results from SMS processes and activities, and documents included in whole or by reference that describe the programs, policies, and procedures for carrying out its ASP for a minimum of three years.

SUGGESTED CORRECTIVE ACTION 2: The recipient must submit a process to ensure it maintains documents that set forth its ASP and results from SMS processes and activities, and

documents included in whole or by reference that describe the programs, policies, and procedures for carrying out its ASP for a minimum of three years.

**NOTE TO REVIEWER:** Suggested Corrective Action 1 must be dated within 14 days after the final report issuance date. Suggested Corrective Action 2 must be dated within 90 days after the final report issuance date.

## **GOVERNING DIRECTIVE**

### 49 CFR § 673.31 Safety Plan Documentation

At all times, a transit agency must maintain documents that set forth its Public Transportation Agency Safety Plan, including those related to the implementation of its SMS, and results from SMS processes and activities. A transit agency must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the transit agency uses to carry out its Public Transportation Agency Safety Plan. These documents must be made available upon request by FTA or other Federal entity, or a State or State Safety Oversight Agency having jurisdiction. A transit agency must maintain these documents for a minimum of three years after they are created.

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## **PTASP5: Does the recipient monitor subrecipients for compliance with PTASP requirements?**

### **BASIC REQUIREMENT**

Recipients must ensure that subrecipients with ASPs comply with FTA requirements.

### **APPLICABILITY**

Recipients with subrecipients of Section 5307 funds that operate public transportation service and are **not** direct recipients of FTA.

### **DETAILED EXPLANATION FOR REVIEWER**

Recipients with subrecipients that are required to have their own ASP must ensure that the subrecipients comply with FTA PTASP requirements. At a minimum, the recipient should review the subrecipient's ASP to ensure that they address the requirements.

### **INDICATORS OF COMPLIANCE**

- a. *Does the recipient have subrecipients subject to ASP requirements?*
- b. *Does the recipient monitor subrecipients for compliance with PTASP requirements? (Use Table 22-1: Indicators of PTASP Compliance, on page 22-22 for reference)*

### **INSTRUCTIONS FOR REVIEWER**

Review oversight materials, including checklists and other evidence that the recipient is monitoring subrecipients who are required to develop an ASP. During the site visit, review the file for one such subrecipient to ensure that the recipient has reviewed for compliance with the PTASP requirements. Complete the table on page 22-22 by indicating:

- (1) Yes or no if the recipient monitors for the requirement;
- (2) Where evidence of the monitoring is documented; and
- (3) Any comments or notes to support the results of the review of the oversight process.

## **POTENTIAL DEFICIENCY DETERMINATION**

The recipient is deficient if it does not ensure that subrecipients that are required to have an ASP and are not direct recipients of FTA funds comply with PTASP requirements.

DEFICIENCY CODE PTASP5-1: Insufficient oversight of subrecipients for PTASP requirements

SUGGESTED CORRECTIVE ACTION 1: The recipient must develop a plan for submitting procedures for ensuring that subrecipients comply with PTASP requirements.

SUGGESTED CORRECTIVE ACTION 2: The recipient must submit procedures for ensuring that subrecipients comply with PTASP requirements.

NOTE TO REVIEWER: Suggested Corrective Action 1 must be dated within 14 days after the final report issuance date. Suggested Corrective Action 2 must be dated within 90 days after the final report issuance date.

## **GOVERNING DIRECTIVE**

2 CFR 200.332 Requirements for pass-through entities

All pass-through entities must:

(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:

- (1) Reviewing financial and performance reports required by the pass-through entity.
- (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and written confirmation from the subrecipient, highlighting the status of actions planned or taken to address Single Audit findings related to the particular subaward.
- (3) Issuing a management decision for applicable audit findings pertaining only to the Federal award provided to the subrecipient from the pass-through entity as required by §200.521.

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## **PTASP6: Did the recipient develop ASPs on behalf of small public transportation provider?**

### **BASIC REQUIREMENT**

States must develop an ASP on behalf of any small public transportation provider that is located in that State, unless the small public transportation provider opts to develop its own ASP and notifies the State of its decision to do so.

### **APPLICABILITY**

States

### **DETAILED EXPLANATION FOR REVIEWER**

States must draft and certify ASPs on behalf of small public transportation providers that are located in that State, unless a small provider opts to draft and certify its own safety plan and notifies the State that it will do so. A small public transportation provider is an operator who meets all of the following requirements:

- Is a recipient or sub-recipient of FTA's Urbanized Area Formula Program,
- Has 100 or fewer vehicles in peak revenue service across all non-rail fixed route modes or in any one non-fixed route mode, and
- Does not operate a rail fixed guideway public transportation system.

Regardless of who drafts and certifies a safety plan, each transit operator is required to carry out and implement its own safety plan, including all SMS-related activities.

#### **INDICATORS OF COMPLIANCE**

- a. *For what small public transportation providers are the State responsible for drafting and certifying ASPs?*
- b. *Which small public transportation providers opted out of the State-developed ASP? How and when was the State notified?*
- c. *Did the State develop an ASP on behalf of all small public transportation providers in the State that did not opt out?*
- d. *What evidence was reviewed to substantiate the response?*

#### **INSTRUCTIONS FOR REVIEWER**

Request from the recipient and review a listing of all small public transportation providers in the State. Discuss with the recipient how it worked with those providers to develop the ASPs. Obtain evidence from the recipient that it developed an ASP for these providers.

#### **POTENTIAL DEFICIENCY DETERMINATION**

The recipient is deficient if it did not develop an ASP for small public transportation providers located in its State that did not opt out and notify the State of the decision to do so.

DEFICIENCY CODE PTASP6-1: State did not develop ASP for small public transportation providers.

SUGGESTED CORRECTIVE ACTION 1: The recipient must develop a plan for submitting documentation that it developed an ASP for all small public transportation providers in the State that have not opted out.

SUGGESTED CORRECTIVE ACTION 2: The recipient must submit documentation that it developed an ASP for all small public transportation providers in the State that have not opted out.

NOTE TO REVIEWER: Suggested Corrective Action 1 must be dated within 14 days after the final report issuance date. Suggested Corrective Action 2 must be dated within 90 days after the final report issuance date.

#### **GOVERNING DIRECTIVE**

49 CFR § 673.5 Definitions

Small public transportation provider means 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 across all non-rail fixed route modes or in any one non-fixed route mode and does not operate a rail fixed guideway public transportation system.

49 CFR § 673.11 General Requirements

(d) A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that transit agency notifies the State that it will draft its own plan. In each instance, the transit agency must carry out the plan. If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.

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#### **ISSUES/AREAS OF CONCERN FOR FTA'S AWARENESS**

Did background research and/or onsite observations support any of the concerns below:

- If the recipient operates more than one mode of transit, does the ASP(s) address all modes not subject to safety oversight by the FRA or the USCG?
- Does the recipient's ASP contain affirmative evidence of Safety Committee approval (large urbanized area providers) or affirmative evidence the ASP annual review and update was conducted in cooperation with frontline employee representatives (all other providers)?
- (Large urbanized area providers only) Was the Safety Committee formed properly? Does the Safety Committee have all required roles, responsibilities, policies, and procedures?
- If the recipient contracts out part or all its service, does the ASP include the contractors providing this service?
- (Large urbanized area providers only) Does the agency have a safety risk reduction program that contains all required elements? Does the ASP include safety risk reduction program mitigations recommended by the Safety Committee based on a safety risk assessment? Does the Accountable Executive implement these mitigations?
- (Large urbanized area providers only) Does the Accountable Executive receive and consider safety risk mitigations recommended by the Safety Committee that are unrelated to the safety risk reduction program? If the Accountable Executive decides not to implement these mitigations, does the Accountable Executive prepare a written statement explaining their decision, and submit and present this explanation to the transit agency's Safety Committee and Board of Directors or equivalent entity?
- Is the recipient's Safety Management Policy communicated throughout the agency?
- Does the recipient implement a Safety Risk Management process for all elements of its transit system? Does the process include safety hazard identification, safety risk assessment, and safety risk mitigation?
- Does the recipient have a Safety Assurance process that includes safety performance monitoring and measurement activities, including mitigation monitoring, and continuous improvement?
- If the recipient is not a small public transportation provider, does the recipient's Safety Assurance process include activities for management of change?
- Does the recipient implement its documented Safety Promotion process? Does the process include safety training, including de-escalation training, safety concern identification and reporting training and refresher training? Does the process include safety communication?

- For large urbanized area providers, does the recipient's comprehensive safety training program include maintenance transit workers?
- Does the recipient have documented safety performance targets based on the safety performance measures established in FTA's National Public Transportation Safety Plan?
- Does the recipient make its safety performance targets available to States and MPOs to aid in the planning process?
- **(Rail transit modes only)** Does the Emergency Preparedness Response Plan or procedures, at a minimum, address assigning employee responsibilities during an emergency and procedures for coordinating with Federal, State, regional, and local officials for emergency preparedness and response in the recipient's service area?
- **(Rail transit modes only)** Does the ASP include or incorporate by reference any policies and procedures regarding rail transit workers on the roadway the rail transit agency has issued?
- **(Rail transit modes only)** Does the ASP include or incorporate by reference the transit agency's policies and procedures developed in consultation with the SSOA to provide access and required data for the SSOA's risk-based inspection program?
- Does the recipient implement a Transit Worker Safety Reporting Program including:
  - A mechanism for transit workers to report safety conditions to senior management?
  - Protections for transit workers who report safety concerns to senior management?
  - A description of behaviors that may result in disciplinary action?
  - A process for notifying employees and contractors of safety actions taken in response to reports submitted through the program?

## REFERENCES

1. [49 CFR Part 673, Public Transportation Agency Safety Plans \(PTASP\)](#)

## USEFUL WEBLINKS

1. [Public Transportation Agency Safety Plans | FTA \(dot.gov\)](#)
2. [PTASP Frequently Asked Questions | FTA \(dot.gov\)](#)
3. [Agency Safety Plan \(ASP\) Directory | FTA \(dot.gov\)](#)