

Public Transportation Agency Safety Plan Final Rule

Fact Sheet



U.S. Department of Transportation
Federal Transit Administration



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 FTA grant funds to develop safety plans that 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.
- Operators of rail systems subject to FTA's State Safety Oversight Program.

The rule **does not apply** to:

- Commuter rail service that is regulated by the Federal Railroad Administration.
- Passenger ferry service that is regulated by the U.S. Coast Guard.
- An operator of a public transportation system that only receives financial assistance under the Formula Grants for Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310) and/or Formula Grants for Rural Areas Program (49 U.S.C. § 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;
- An 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.
- Small public transportation providers* that do not operate rail transit systems and to whom the PTASP rule applies may have their states draft safety plans on their behalf, or they may opt to draft their own safety plans. In either case, the small bus operator must implement the safety plan.
- Large bus operators (operating more than 100 vehicles in peak revenue service) to whom the PTASP rule applies must draft and implement their own safety plans.

*A small public transportation provider operates 100 or fewer vehicles in peak revenue service across all non-rail fixed route modes, or in any one non-fixed route mode.

PTASP Fact Sheet (Continued)



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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

For more information, please email PTASP_QA@dot.gov.

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Public Transportation Agency Safety Plan (PTASP) Notice of Enforcement Discretion

[PTASP-Notice-of-Enforcement-Discretion-Final-With-Signature.pdf](#)

The PTASP regulation requires transit agencies to incorporate Safety Management System (SMS) policies and procedures as they develop safety plans to manage safety risks. The regulation set July 20, 2020 as the deadline for transit agencies to certify that they have established a compliant agency safety plan. However, this FTA notice alerts transit agencies that they will have until December 31, 2020 to comply with the regulation.

Last updated: Thursday, April 23, 2020

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U.S. DEPARTMENT OF TRANSPORTATION

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