

# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

## *Checklist for Bus Transit*

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The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan (PTASP) Checklist for Bus Transit* to assist with the development of Agency Safety Plans (ASP) for bus transit modes. Use of this checklist is voluntary. The checklist is intended for use by States and operators of public transportation systems that are required to draft an ASP in accordance with [49 CFR Part 673](#) (Part 673).

Version 3 of this checklist includes the current Bipartisan Infrastructure Law PTASP requirements at [49 U.S.C. § 5329\(d\)](#). For further information on these requirements, see also the [PTASP Bipartisan Infrastructure Law Frequently Asked Questions](#). FTA expects to issue a Notice of Proposed Rulemaking amending Part 673 in the future.

*The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA's statutes and regulations for applicable requirements.*



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## 1. Transit Agency Information

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	1-a. Name(s) and address(es) of the transit agency(ies) that the ASP applies to.		
<input type="checkbox"/>	1-b. Mode(s) of transit service covered by the ASP.		
<input type="checkbox"/>	1-c. Mode(s) of service provided by the transit agency (directly operated or contracted service).		
<input type="checkbox"/>	1-d. FTA funding types. (e.g., 5307, 5337, 5339).		
<input type="checkbox"/>	1-e. Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).		
<input type="checkbox"/>	1-f. An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).		
<input type="checkbox"/>	1-g. A Chief Safety Officer or Safety Management System (SMS) Executive who meets requirements in § 673.5 and § 673.23(d)(2).		



## 2. Plan Development, Approval, and Updates

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	2-a. Name of the entity that drafted the ASP (e.g., State Department of Transportation).		
<input type="checkbox"/>	<b>2-b-1. Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):</b> Safety Committee approval of the ASP and date of approval.		
<input type="checkbox"/>	<b>2-b-2. Transit agencies that serve a small urbanized area (an urbanized area with a population of fewer than 200,000):</b> Cooperation with frontline employee representatives in developing and/or updating the ASP.		
<input type="checkbox"/>	2-c. Accountable Executive signature on the ASP and date of signature.		
<input type="checkbox"/>	2-d. Transit agency Board of Directors or Equivalent Authority approval of the ASP and date of approval.		
<input type="checkbox"/>	2-e. Process and timeline for conducting an annual review and update of the ASP, including the ASP version number and other relevant information.		



<input checked="" type="checkbox"/>	<b>Checklist Item</b>	<b>ASP Page Number</b>	<b>Comments</b>
<input type="checkbox"/>	2-f. The ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.		



### 3. Safety Performance Targets<sup>1</sup>

The ASP specifies performance targets, as defined in § 673.5, for the following:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	3-a. <i>Fatalities</i> : Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.		
<input type="checkbox"/>	3-b. <i>Injuries</i> : Total number of reportable injuries and rate per total vehicle revenue miles, by mode.		
<input type="checkbox"/>	3-c. <i>Safety Events</i> : Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)		
<input type="checkbox"/>	3-d. <i>System Reliability</i> : Mean (or average) distance between major mechanical failures, by mode.		

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	3-e. Performance targets are made available to the State to aid in the planning process.		

<sup>1</sup> Performance targets for a risk reduction program at 49 U.S.C. § 5329(d)(4) are not required until FTA has established these performance measures.



FEDERAL TRANSIT ADMINISTRATION

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	3-f. Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.		
<input type="checkbox"/>	3-g. Coordination with the State and MPO(s) in the selection of State and MPO Safety Performance Targets, to the maximum extent practicable.		

#### 4. Risk Reduction Program<sup>2</sup>

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>4-a. <b>Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):</b> Risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the National Transit Database, including:</p>		
<input type="checkbox"/>	<p>4-a-1. A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments.</p>		
<input type="checkbox"/>	<p>4-a-2. The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the recipient’s Safety</p>		

<sup>2</sup> Performance targets for a risk reduction program at 49 U.S.C. § 5329(d)(4) are not required until FTA has established these performance measures.





FEDERAL TRANSIT ADMINISTRATION

<input type="checkbox"/>	Checklist Item	ASP Page Number	Comments
	Committee determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.		

## 5. Public Health

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	5-a. Strategies to minimize exposure to infectious diseases, consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority. <sup>3</sup>		

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<sup>3</sup> FTA encourages each transit agency to consider identifying mitigations or strategies related to exposure to infectious diseases through the Safety Risk Management process described in the transit agency's ASP.



## 6. Development and Implementation of a Safety Management System (SMS)

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	6-a. The transit agency's establishment and implementation of an SMS.		
<input type="checkbox"/>	6-b. The SMS is appropriately scaled to the size, scope, and complexity of the transit agency and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.		



## 7. Safety Management Policy

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	7-a. Written statement of the Safety Management Policy, including the transit agency's safety objectives.		
<input type="checkbox"/>	7-b. Employee safety reporting program, that includes: <ul style="list-style-type: none"> <li>• A process that allows employees to report safety conditions to senior management;</li> <li>• Protections for employees who report safety conditions to senior management; and</li> <li>• A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.</li> </ul>		
<input type="checkbox"/>	7-c. Communication of the Safety Management Policy throughout the transit agency's organization.		



<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>7-d. Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's SMS, for the following:</p> <ul style="list-style-type: none"> <li>• Accountable Executive;</li> <li>• Chief Safety Officer or SMS Executive;</li> <li>• Transit agency leadership and executive management; and</li> <li>• Key staff.</li> </ul>		



## 8. Safety Risk Management

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	8-a. <i>Safety Hazard Identification</i> : Methods or processes to identify hazards and potential consequences of hazards, which includes data and information provided by an oversight authority and the FTA as sources for hazard identification.		
<input type="checkbox"/>	8-b. <i>Safety Risk Assessment</i> : Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the potential consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.		
<input type="checkbox"/>	8-c. <i>Safety Risk Mitigation</i> : Methods or processes to identify 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 of hazards.		



## 9. Safety Assurance

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	9-a. Activities to monitor the transit agency's system for compliance with, and sufficiency of, the transit agency's procedures for operations and maintenance ( <i>Safety Performance Monitoring and Measurement</i> ).		
<input type="checkbox"/>	9-b. Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended ( <i>Safety Performance Monitoring and Measurement</i> ).		
<input type="checkbox"/>	9-c. Activities to conduct investigations of safety events to identify causal factors ( <i>Safety Performance Monitoring and Measurement</i> ).		
<input type="checkbox"/>	9-d. Activities to monitor information reported through any internal safety reporting programs. ( <i>Safety Performance Monitoring and Measurement</i> )		



☒	Checklist Item	ASP Page Number	Comments
☐	<p>9-e. <i>Management of Change</i>: A process for identifying and assessing changes that may introduce new hazards or impact the transit agency’s safety performance. Proposed changes that may impact the transit agency’s safety performance must be evaluated through the transit agency’s Safety Risk Management process. <b>[Not Required for Small Public Transportation Providers]</b></p>		
☐	<p>9-f. <i>Continuous Improvement</i>: A process to assess the transit agency’s safety performance. If the transit agency identifies safety deficiencies as part of its safety performance assessment, the transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies. <b>[Not Required for Small Public Transportation Providers]</b></p>		





## 10. Safety Promotion

The ASP specifies, or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-a. A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the transit agency's public transportation system. This program must include refresher training, as necessary.		
<input type="checkbox"/>	10-a-1. <b>Transit agencies that receive Section 5307 funding and serve a large urbanized area (an urbanized area with a population of 200,000 or more):</b> The comprehensive safety training program includes maintenance personnel and de-escalation training.		
<input type="checkbox"/>	10-b. Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: <ul style="list-style-type: none"> <li>• Information on hazards and safety risks relevant to employees' roles and responsibilities; and</li> <li>• Safety actions taken in response to reports submitted through an employee safety reporting program.</li> </ul>		



## 11. Additional Information

The ASP is not required by Part 673 to include the following information. However, a transit agency could specify, or reference documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	11-a. Definitions of terms used in the ASP.		
<input type="checkbox"/>	11-b. List of acronyms used in the ASP.		
<input type="checkbox"/>	11-c. Certification of compliance with Part 673 in the Transit Award Management System (TrAMS), including: <ul style="list-style-type: none"> <li>• Name of the individual or entity that certifies compliance; and</li> <li>• Date of certification.</li> </ul>		



### PTASP Technical Assistance Available Now

- Access one-on-one Agency Safety Plan support
- Learn and share through the PTASP Community of Practice
- Explore the PTASP Resource Library

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