

# Public Transportation Agency Safety Plans

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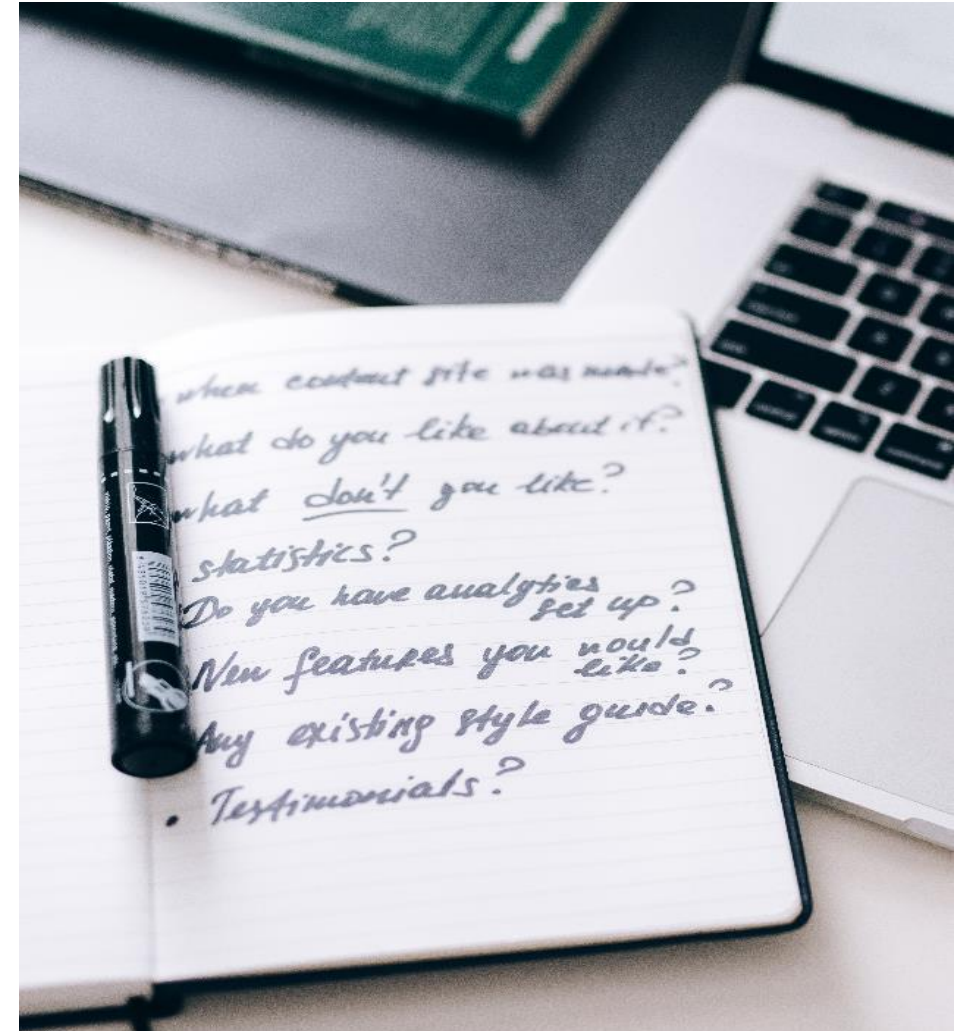
U.S. Department of Transportation  
Federal Transit Administration



# Purpose and Agenda

The purpose of this presentation is to provide an overview of the Public Transportation Agency Safety Plans (PTASP) regulation and noteworthy practices in implementing PTASP.

1. PTASP Overview and Updates
2. Safety Management Systems (SMS) Noteworthy Practices
3. PTASP Documentation Requirements and FAQs
4. SMS in Practice: Assault on Transit Workers  
General Directive



# What is PTASP?

The PTASP regulation ([49 CFR part 673](#)) requires applicable agencies to develop an Agency Safety Plan (ASP) that includes the processes and procedures to implement a **Safety Management System (SMS)**.

The rule applies to all:

- Operators of public transportation systems that are recipients or sub-recipients of **Urbanized Area Formula Grant program (Section 5307)** funds
- Operators of a rail transit system subject to FTA's **State Safety Oversight (SSO)** program

## SMS Approach



# New PTASP Requirements

- On 4/21/23, FTA published the PTASP Notice of Proposed Rulemaking (NPRM) in the *Federal Register*.
- FTA received 53 comment submissions and anticipates publishing the updated rule in spring 2024.
- The updated rule will:



Incorporate statutory changes in the Bipartisan Infrastructure Law



Reinforce the use of SMS in transit agencies



Coordinate and align with other FTA programs and forthcoming safety rulemakings

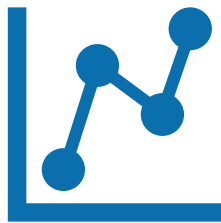
For the latest updates on FTA regulations and other news, sign up for FTA's Gov Delivery notifications – <https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new>

# SMS Noteworthy Practices



Advancing Safety Communication

Utilizing Safety Reporting



Prioritizing Data-Driven Safety  
Decisions

# Safety Communication

- Safety communication sets the tone for the agency and helps **build a robust safety culture**, in turn fostering the communication of actions taken to resolve identified safety concerns.
- Key considerations when communicating are:
  - Flow of communication
  - Considering which mechanisms to use to ensure safety communication
  - Feedback loop to ensure workers understand what was communicated and demonstrate action based on what they have communicated regarding safety



# Safety Communication Examples

A transit agency must communicate safety and safety performance information throughout the agency's organization that, at a minimum, **conveys information on hazards and safety risks relevant to employees' roles and responsibilities** and **informs employees of safety actions** taken in response to reports submitted through an employee safety reporting program. Examples include:



Communication touchpoints, such as safety bulletins or digital billboards



Printed materials and signage related to safety topics



Metro Voices Newsletter and Podcast

# Utilizing Safety Reporting

Formal systems of data collection and reporting provide comprehensive information on the state of safety performance in an organization

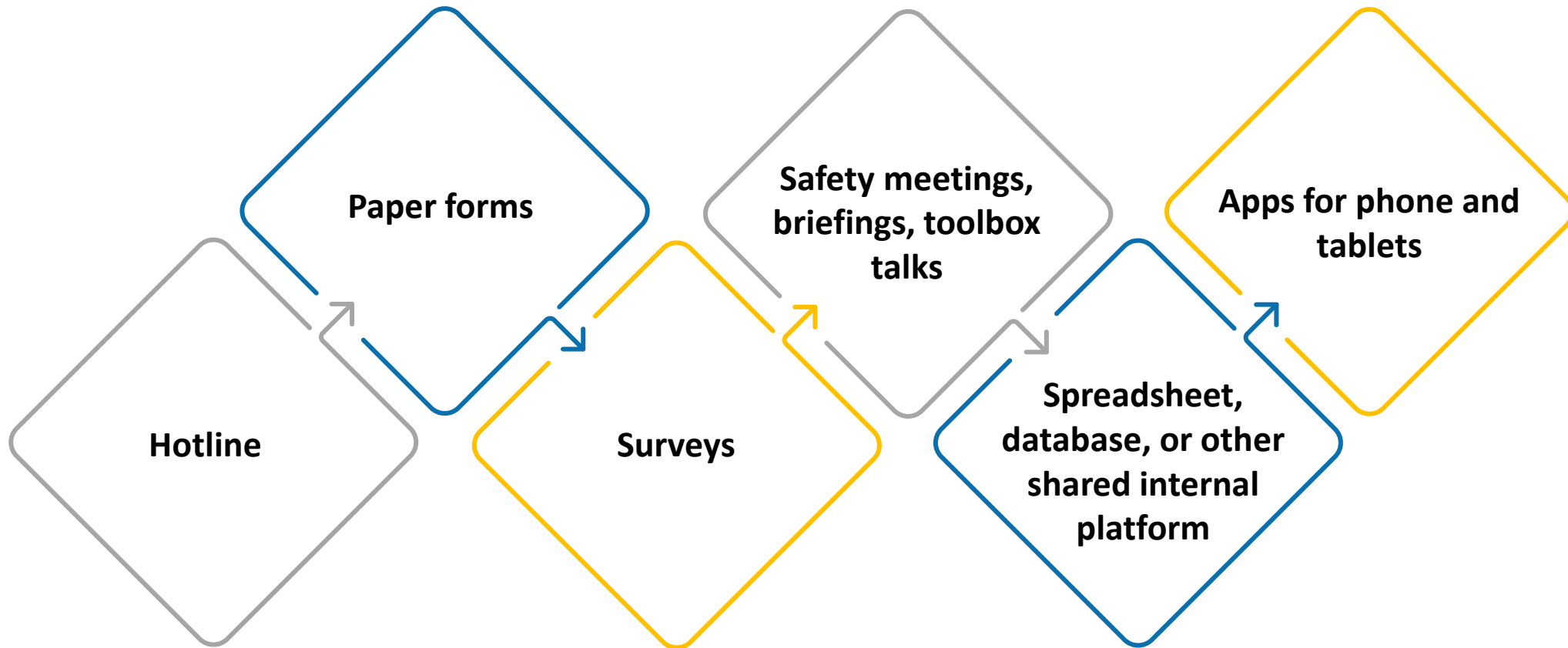
Using **Employee Safety Reporting Programs (ESRPs)** and other data from frontline workers allows agencies to proactively identify the causes of safety events and reduce their frequency





# Employee Safety Reporting

Agencies are required to have an Employee Safety Reporting. Here are recommended methods:



# Prioritizing Data-Driven Safety Decisions

The National Transit Database (NTD) is FTA's repository of data about the financial, operating, and asset conditions of American transit systems. Records and statistics from the NTD help decisionmakers compare and analyze safety trends.

The Bipartisan Infrastructure Law (BIL) required updates to safety reporting requirements for the NTD:

Event Data	Historic Requirements	Updated Requirements
Assaults on Transit Workers	<ul style="list-style-type: none"><li>• <b>Full Reporters</b> report assaults against transit workers that meet the <i>major event threshold</i>.</li><li>• <b>Reduced/Rural Reporters</b> only report a total count of events, fatalities, and injuries annually</li></ul>	<ul style="list-style-type: none"><li>• <b>All Reporters</b> (Full, Reduced, Rural) report incidents of assaults on transit workers</li><li>• All assaults on transit workers, regardless of whether they meet major event threshold or not, must be reported</li></ul>
Fatalities Resulting from an Impact with a Bus	<ul style="list-style-type: none"><li>• <b>Full Reporters</b> provide data on fatalities that result from an impact with a bus.</li><li>• <b>Reduced/Rural Reporters</b> only report annual counts of fatalities that do not differentiate bus collisions from other incidents</li></ul>	<ul style="list-style-type: none"><li>• <b>All Reporters</b> (Full, Reduced, Rural) are required to provide fatality data resulting from bus collisions</li></ul>

# PTASP Compliance Certification

- Recipients must certify compliance with ASP requirements through their annual [Certifications and Assurances](#) to FTA
- FTA uses the Comprehensive Oversight Review and Technical Assistance Program (CORTAP) to assess compliance with program and administrative requirements for FTA grant recipients
  - Section 5307 recipients undergo the [Triennial Review](#) process
  - Section 5309 recipients undergo the [State Management Review](#) process



FTA monitors compliance with Federal requirements. Failure to comply with Federal requirements subjects a grantee to a range of FTA enforcement options depending upon the circumstances, including, but not limited to the withholding of Federal funds.

# PTASP Documentation Requirements

## PTASP Certifications in FY23 Contractors Manual

1. Does the recipient have an ASP?
2. Has the recipient established required roles and responsibilities?
3. Does the ASP include the required elements?
4. Does the recipient maintain its PTASP documents for a minimum of three years?
5. Does the recipient monitor subrecipients for compliance with PTASP requirements?
6. Did the State recipient develop and certify ASPs on behalf of small public transportation providers?



Learn more: [FY23 Contractor's Manual](#)

# Fiscal Year 22 Triennial Review Findings

In the FY22 Triennial Review, there were 5 findings identified under the PTASP review area:

Finding	FY22 TR Findings
PTASP1-3 - ASP not approved by Board of Directors or Equivalent Authority	2
PTASP5-1 - Insufficient oversight of subrecipients for PTASP requirements	2
PTASP2-2 - No direct line of reporting to Accountable Executive	1



Agencies must have a clear delineation of roles and responsibilities to ensure proper compliance with and documentation of the PTASP Triennial Review requirements.

# PTASP FAQ: Bipartisan Infrastructure Law



How do these changes affect the role of the State Safety Oversight Agency (SSOA) in reviewing and approving the ASP?



SSOAs are responsible for reviewing and approving rail transit agency ASPs and ASP updates after the agency Board of Directors' approval. The new Bipartisan Infrastructure Law requirements do not change this responsibility.

# PTASP FAQ: Reference Information



Are the appendices of the ASP exempt from the approval process when the ASP is updated?



FTA has provided guidance that agencies can use appendices or referenced documents in their ASP to address Public Transportation Agency Safety Plans (PTASP) regulation requirements. When your Accountable Executive signs the ASP and your Board of Directors or Equivalent Authority approves the ASP, they are indicating that the ASP meets the requirements of the PTASP regulation.

# PTASP FAQ: Small Public Transportation



If our transit agency is a small public transportation provider that receives Urbanized Area Formula Grant (Section 5307) funds and we have a subrecipient who is also a small public transportation provider, do we have to develop an ASP for our subrecipient even though the State is developing our ASP?



No, the State is required to develop an ASP for all small public transportation providers in the State. This includes a small public transportation provider that may be a subrecipient of another small public transportation provider.



# PTASP FAQ: Small Public Transportation



When can the Accountable Executive and Chief Safety Officer (CSO) be the same individual?



Bus agencies may either identify a CSO/Safety Management System (SMS) Executive or designate the Accountable Executive to serve as the CSO/SMS Executive. Rail transit agencies may allow the Accountable Executive to also serve as the CSO or SMS Executive but should consider whether the Accountable Executive has the capacity to support SMS implementation and operation along with other responsibilities. The rail transit agency's State Safety Oversight Agency (SSOA) may provide further guidance on this topic based on its familiarity with the rail transit agencies under its jurisdiction. For more information, please refer to FTA's CSO SMS Executive Fact Sheet.

# PTASP FAQ: Safety Committee



Our agency is a Section 5307 recipient that oversees several Section 5307 subrecipients who operate service on behalf of our agency. Does our agency need to form a Safety Committee, or does each subrecipient need to form its own Safety Committee?



It depends. If a Section 5307 recipient or subrecipient is required to have an Agency Safety Plan (ASP) under the Public Transportation Agency Safety Plans (PTASP) regulation and serves a large urbanized area (an urbanized area with a population of 200,000 or more), it must establish its own Safety Committee. If, however, a Section 5307 recipient or sub-recipient is not required to have an ASP under the PTASP regulation or does not serve a large urbanized area, it is not required to establish a Safety Committee.

# PTASP Technical Assistance Center

The PTASP Technical Assistance Center (TAC) provides resources on FTA's regulatory and policy requirements, including webinars, SMS workshops, FAQs, monthly newsletter updates, and one-on-one technical assistance.

Federal Transit Administration

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PTASP Overview

FAQs

PTASP Technical Assistance Center and Resource Library

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Metropolitan Planning Organizations

Agency Safety Plan (ASP) Directory

Using SMS to Mitigate Infectious Disease Exposure

Webinars

## PTASP Technical Assistance Center

Welcome to the Public Transportation Agency Safety Plan (PTASP) Technical Assistance Center (TAC). We are here to help you meet PTASP regulation requirements.

For information on Bipartisan Infrastructure Law safety requirements, see [FTA's web page](#) or email [FTA-IJJA@dot.gov](mailto:FTA-IJJA@dot.gov).

The Public Transportation Agency Safety Plans (PTASP) Technical Assistance Center (TAC) provides comprehensive technical assistance to help the transit industry meet [PTASP](#) regulation requirements, as outlined in 49 CFR part 673.

The TAC:

- Provides one-on-one technical assistance
- Facilitates training and peer-sharing via live webinars and roundtables
- Conducts voluntary technical reviews of draft Agency Safety Plans
- Maintains a resource library with technical assistance tools.

## PTASP Resource Library

Choose your agency type to begin

Small Bus Transit Provider Bus Transit Provider Rail Transit Provider



Learn more at:

- [PTASP-TAC@dot.gov](mailto:PTASP-TAC@dot.gov)
- [PTASP FAQs](#)
- [PTASP Webinars](#)
- [PTASP Updates](#)

# Assaults on Transit Workers

## Industry Analysis and FTA Response

- FTA has determined that there is a national-level hazard that transit workers must interact with the public, and, at times, must clarify or enforce agency policies, which presents a **risk of transit workers being assaulted on transit vehicles and in revenue facilities.**
- FTA is addressing this risk demonstrated through the Transit Worker Assault data using the PTASP framework to **systematically address the concerns and identify mitigating actions,** such as issuing the Transit Worker Special Directive.



# Protecting Transit Workers from Assault

## Federal Register Notice: [Protecting Public Transportation Operators From the Risk of Assault](#)

- Address safety risk related to operator assault as determined by Safety Management System (SMS)
- Identify hazards associated with operator assault
- Use Safety Risk Management processes to assess safety risk related to operator assault
- Develop mitigations or strategies to address the safety risk



# FTA's 2021 Request for Information

In response to FTA's Request for Information on transit worker safety, transit agencies shared a range of mitigations to protect transit workers from assault. These include:



Reducing bus operator involvement in fare and other policy enforcement



Increasing frontline worker training on customer service, policy enforcement, and de-escalation

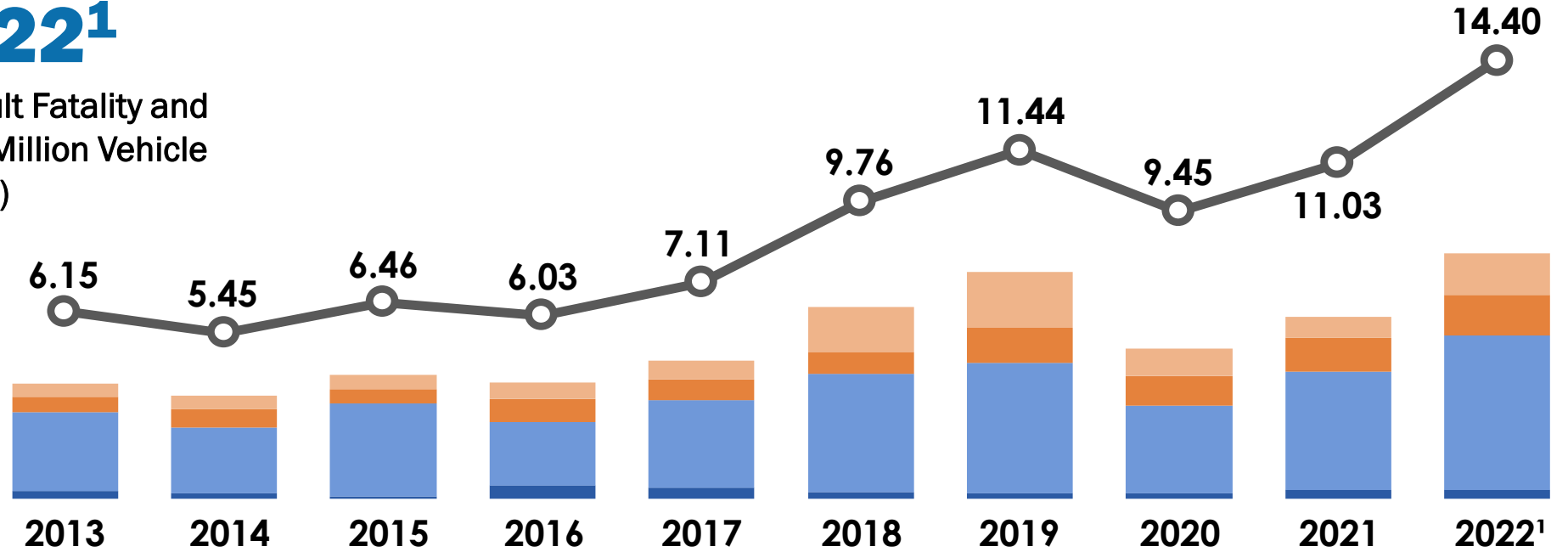


Changing bus designs to use barriers

Respondents also suggested that any new requirements for safety risk mitigations should be broad and flexible enough to work for transit agencies of varying sizes, and across all modes.

# Transit Worker Assault Fatalities and Injuries, 2013 - 2022<sup>1</sup>

○ Transit Worker Assault Fatality and Injury Rate per 100 Million Vehicle Revenue Miles (VRM)



Transit Worker Assault Fatalities and Injuries	222	199	239	226	268	370	439	290	352	474
On Rail Vehicles	24	24	26	32	36	85	108	53	40	80
In Rail Stations	31	36	29	46	40	44	67	56	66	77
On Bus Vehicles	151	127	179	123	171	227	252	169	228	300
In Bus Stations	16	12	5	25	21	14	12	12	18	17

Source: National Transit Database (NTD) submissions through 5/2/2023

<sup>1</sup>2022 data are preliminary

# Transit Worker Assault Special Directive

## Special Directive Overview

- On October 4, 2022, FTA issued a Special Directive to nine transit agencies to collect information on whether and how the transit agencies have assessed, are mitigating, and are monitoring transit worker assault safety risk.

## Special Directive Questions

The Special Directive asks agencies:

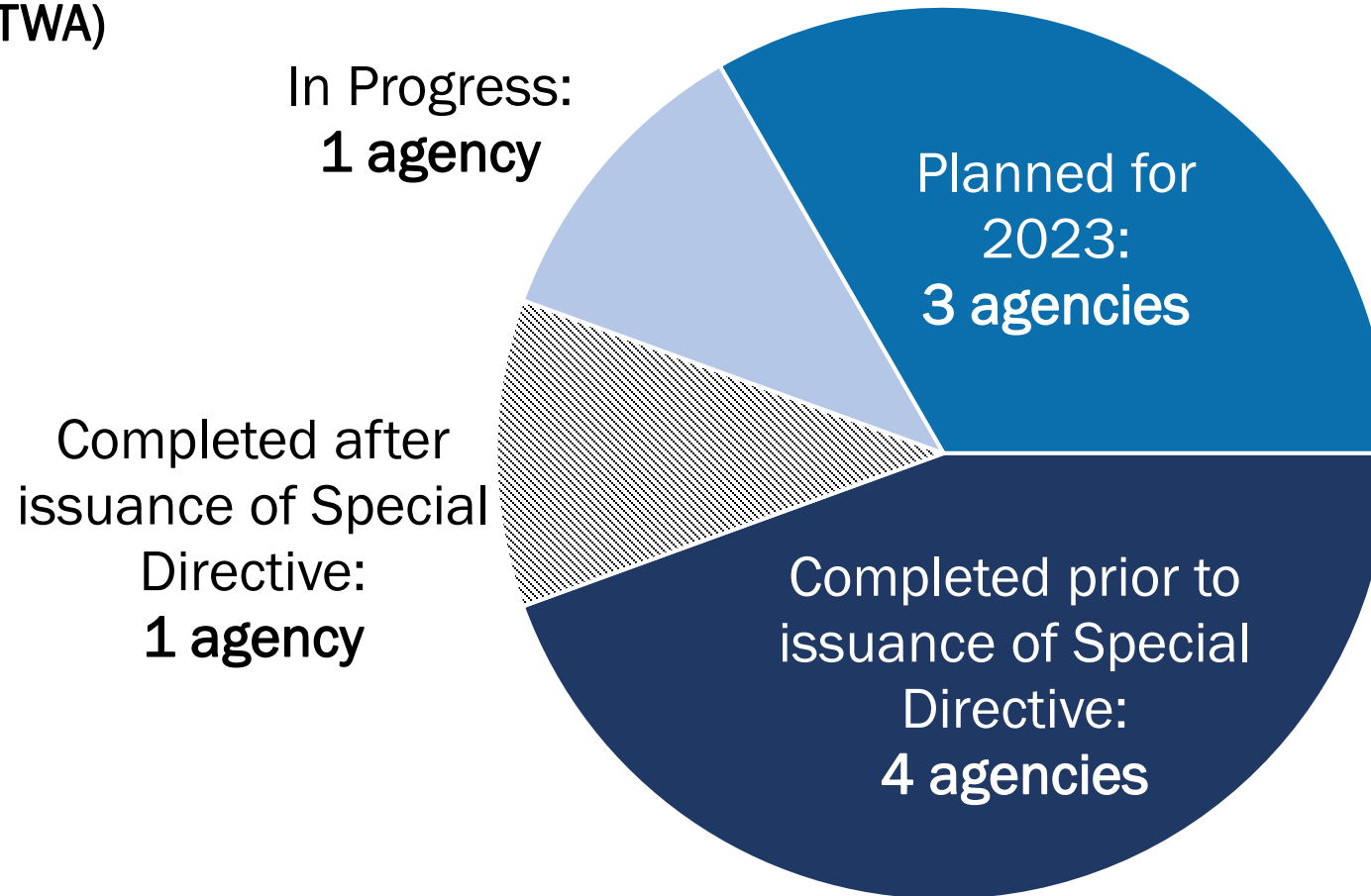
- Whether they've performed a safety risk assessment related to transit worker assault
- Whether they've implemented protective barriers in operator areas
- Whether they've implemented any other transit worker assault risk mitigations
- The current progress of any implemented mitigations
- Data on the effectiveness of implemented mitigations



# Special Directives

## Required Actions Regarding Assaults on Transit Workers

Special Directives: Sample of Transit Agency Safety Risk Assessments for Transit Worker Assault (TWA)



# Assaults on Transit Workers General Directive

On 12/20/23, FTA published **Proposed General Directive 24-1: Required Actions Regarding Assaults on Transit Workers** in the *Federal Register* for notice and comment in response to the ongoing incidents of assaults on transit workers. The General Directive would:



Advance the use of SMS processes by transit agencies to address the safety risk associated with assaults on transit workers



Reinforce the role of the Safety Committee in using results of SMS activities to identify and recommend safety risk mitigations



Identify common safety risk mitigations in place or in implementation throughout the industry



Potentially inform further FTA action to protect transit workers from the risk of assaults on vehicles and in stations

# General Directive 24-1: Required Actions

## Conduct Safety Risk Assessment (SRA) for assaults on transit workers

- All PTASP-applicable transit agencies
- Within 60 days of issuance of General Directive, unless agency has conducted within past 12 months

## Identify safety risk mitigations

- Each transit agency serving a large urbanized area must involve the joint labor-management Safety Committee when identifying safety risk mitigations

## Submit information to FTA

- Each transit agency must submit information on how they are assessing, mitigating, and monitoring the safety risk associated with assaults on transit workers

# General Directive Public Review and Comment

Review the General Directive and submit comments:

- <https://www.federalregister.gov/d/2023-28002>
- Or visit [federalregister.gov](https://www.federalregister.gov) and search for Docket ID FTA-2023-0032
- [Tips For Submitting Effective Comments](#), published by Regulations.gov, offers tips to help the public submit comments that have an impact and help agency policy makers improve federal regulations.
- After the comment period is closed, FTA will analyze the results to potentially inform further federal action.



# Using SMS to Protect Transit Workers from Assaults

For technical assistance resources to support safety risk assessment for assaults on transit workers, FTA is publishing a new page on [Using SMS to Protect Transit Workers from Assaults](#)

- [Addressing Assaults on Transit Workers through Your Agency's SMS](#)
- [An SMS Approach to Operator Assault](#)
- [Safety Risk Assessment in Practice](#)
- [Developing and Monitoring Safety Risk Mitigations in Response to a Safety Risk Assessment](#)

# Thank you!

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