



Incorporates the requirements of the PTASP final rule published in April 2024.

AGENCY SAFETY PLAN (ASP) CHECKLIST



Rail Transit Agency
Large Urbanized Area



State Safety
Oversight Agency

The Federal Transit Administration (FTA) is providing this Agency Safety Plan (ASP) checklist to assist Rail Transit Agencies (RTAs) that are [large urbanized area providers](#) with developing or updating their ASPs in accordance with [49 CFR part 673](#), as amended by the Public Transportation Agency Safety Plans (PTASP) final rule published on April 11, 2024. State Safety Oversight Agencies (SSOAs) that must review and approve the ASP per [49 CFR part 674](#), State Safety Oversight, may also choose to use this checklist.

Use of this checklist is voluntary.

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Checklist Key

This checklist distinguishes between PTASP requirements and ASP best practices.

- Checklist items that include PTASP sections (for example, § 673.11(a)(3)) are **requirements**.
 - New PTASP requirements are marked with an orange “**NEW REQUIREMENT**.”
- Checklist items that do not include PTASP sections are ASP best practices.
 - New checklist items that are best practices are marked with a teal “**NEW BEST PRACTICE**.”

Examples:

<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>9-h-1. The process includes reporting assaults on transit workers, near-misses, and unsafe acts and conditions. (<i>§ 673.23(b)</i>)</p>
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>2-f-3. The website address of the ASP on the transit agency website, if the agency publishes it online.</p>



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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. Recipients and subrecipients 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 and address of the transit agency that the ASP applies to.		
<input type="checkbox"/>	1-b. Accountable Executive name and/or title (<i>individual meets §§ 673.5 and 673.23(d)(1) requirements</i>).		
<input type="checkbox"/>	1-c. A Chief Safety Officer/Safety Management System (SMS) Executive name and/or title (<i>individual meets §§ 673.5 and 673.23(d)(2) requirements</i>).		
<input type="checkbox"/>	1-d. Mode(s) of transit service covered by the ASP. (<i>§ 673.11(b)</i>)		
<input type="checkbox"/>	1-e. Mode(s) of service provided by the transit agency (directly operated or contracted).		
<input type="checkbox"/>	1-f. FTA funding types (e.g., §§ 5307, 5337, 5339).		
<input type="checkbox"/>	1-g. Whether the transit agency provides transit service on behalf of another transit agency or entity, including a description of the arrangement(s).		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>1-h. The transit agency serves a large urbanized area.</p>		
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>1-h-1 Which large urbanized area(s) the transit agency serves.</p>		
<input type="checkbox"/>	<p>1-i. The SSOA and authority for the State Safety Oversight (SSO) program.</p>		

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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. Accountable Executive signature on the ASP and date of signature. (<i>§ 673.11(a)(1)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 2-b. Safety Committee approval of the ASP (<i>§ 673.11(a)(1)(i)</i> and <i>673.19(d)(1)</i>), date of approval, and relevant approval documentation (<i>§ 673.31</i>).		
<input type="checkbox"/>	2-c. Transit agency Board of Directors or equivalent entity approval of the ASP (<i>§ 673.11(a)(1)(i)</i>), date of approval, and relevant approval documentation (<i>§ 673.31</i>).		
<input type="checkbox"/>	2-d. Review and approval by the State Safety Oversight Agency. (<i>§ 673.13(a)</i>)		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	2-e. 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. ¹ (§ 673.11(a)(4))		
<input type="checkbox"/>	NEW REQUIREMENT 2-f. Any policies and procedures issued by the RTA regarding rail transit workers on the roadway. (§ 673.11(a)(6)(ii))		
<input type="checkbox"/>	NEW REQUIREMENT 2-g. RTA policies and procedures developed in consultation with the SSOA to provide access and required data for the SSOA’s risk-based inspection program. (§ 673.11(a)(6)(iii))		
<input type="checkbox"/>	2-h. The process and timeline for conducting an annual review and update of the ASP. (§ 673.11(a)(5))		
<input type="checkbox"/>	NEW REQUIREMENT 2-h-1. The process and timeline include the Safety Committee’s activities to review and approve the ASP and any updates. (§ 673.19(d)(1))		

¹ Compliance with the minimum safety performance standards authorized under 49 U.S.C. 5329(b)(2)(C) is not required until standards have been established through the public notice and comment process.



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	2-h-2. The ASP version number and other relevant information.		
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>2-h-3. The website address of the ASP on the transit agency website, if the agency publishes it online.</p>		



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3. Emergency Preparedness and Response Plan

The ASP includes or references an emergency preparedness and response plan or procedures that address, at a minimum:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	3-a. The assignment of transit worker responsibilities during an emergency. (<i>§ 673.11(a)(6)(i)</i>)		
<input type="checkbox"/>	3-b. Coordination with Federal, State, regional, and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area. (<i>§ 673.11(a)(6)(i)</i>)		

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4. General Annual Safety Performance Targets

For all modes² covered in the ASP, the ASP includes annual safety performance targets based on the safety performance measures established under the [National Public Transportation Safety Plan](#).

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	4-a. <i>Major Events (total)</i> : Based on safety and security major events as defined by the National Transit Database (NTD). ³ (§ 673.11(a)(3))		
<input type="checkbox"/>	4-a-1. <i>Major Event Rate</i> : Based on safety and security major events as defined by the NTD, divided by vehicle revenue miles (VRM) . (§ 673.11(a)(3))		
<input type="checkbox"/>	NEW REQUIREMENT 4-a-2. <i>Collision Rate</i> : Based on collisions reported to the NTD, divided by VRM . (§ 673.11(a)(3))		
<input type="checkbox"/>	NEW REQUIREMENT 4-a-3. <i>Pedestrian Collision Rate</i> : Based on collisions “with a person” as defined by the NTD, divided by VRM . (§ 673.11(a)(3))		

² When setting SPTs based on the safety performance measures in the National Safety Plan, FTA encourages agencies to use the following high-level modal groups: rail, fixed-route bus, and non-fixed-route bus.

³ The NTD reporting manuals are available on the [NTD website](#).



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☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>4-a-4. <i>Vehicular Collision Rate</i>: Based on collisions “with a motor vehicle” as defined by the NTD, divided by VRM. (§ 673.11(a)(3))</p>		
☐	<p>4-b. <i>Fatalities (total)</i>: Based on fatalities as defined by the NTD. (§ 673.11(a)(3))</p>		
☐	<p>4-b-1. <i>Fatality Rate</i>: Based on fatalities as defined by the NTD, divided by VRM. (§ 673.11(a)(3))</p>		
☐	<p>NEW REQUIREMENT</p> <p>4-b-2. <i>Transit Worker Fatality Rate</i>: Based on transit worker fatalities as defined by the NTD, including the categories “Transit Employee/Contractor,” “Transit Vehicle Operator,” and “Other Transit Staff,” divided by VRM. (§ 673.11(a)(3))</p>		
☐	<p>4-c. <i>Injuries (total)</i>: Based on injuries as defined by the NTD. (§ 673.11(a)(3))</p>		
☐	<p>4-c-1. <i>Injury Rate</i>: Based on injuries as defined by the NTD, divided by VRM. (§ 673.11(a)(3))</p>		



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☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>4-c-2. <i>Transit Worker Injury Rate</i>: Based on transit worker injuries as defined by the NTD, including the categories “Transit Employee/Contractor,” “Transit Vehicle Operator,” and “Other Transit Staff,” divided by VRM. (§ 673.11(a)(3))</p>		
☐	<p>NEW REQUIREMENT</p> <p>4-d. <i>Assaults on Transit Workers (total)</i>: Based on assaults on transit workers as defined by the NTD. (§ 673.11(a)(3))</p>		
☐	<p>NEW REQUIREMENT</p> <p>4-d-1. <i>Rate of Assaults on Transit Workers</i>: Based on assaults on transit workers as defined by the NTD, divided by VRM. (§ 673.11(a)(3))</p>		
☐	<p>4-e. <i>System Reliability</i>: The mean distance between major mechanical system failures as defined by the NTD. (§ 673.11(a)(3))</p>		



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5. Annual Safety Performance Targets for the Risk Reduction Program

NEW REQUIREMENT

For all modes⁴ covered in the ASP, the ASP includes the safety performance targets set by the Safety Committee for the safety risk reduction program based on the safety performance measures established under the National Public Transportation Safety Plan. The Safety Committee sets these targets based on a three-year rolling average of the data submitted by the transit agency to the NTD.⁵

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-a. <i>Major Events (total)</i>: Based on safety and security major events as defined by the NTD. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-a-1. <i>Major Event Rate</i>: Based on safety and security major events as defined by the NTD, divided by VRM. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-b. <i>Collisions (total)</i>: Based on collisions reported to the NTD. (§ 673.11(a)(7)(iii))</p>		

⁴ When setting SPTs based on the safety performance measures in the National Safety Plan, FTA encourages agencies to use the following high-level modal groups: rail, fixed-route bus, and non-fixed-route bus.

⁵ The Safety Committee sets the targets based on the level of detail the transit agency is required to report to 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. (§ 673.11(a)(7)(iii)(C))



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☒	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-b-1. <i>Collision Rate</i>: Based on collisions reported to the NTD, divided by VRM. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-c. <i>Injuries (total)</i>: Based on injuries as defined by the NTD. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-c-1. <i>Injury Rate</i>: Based on injuries as defined by the NTD, divided by VRM. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-d. <i>Assaults on Transit Workers (total)</i>: Based on assaults on transit workers as defined by the NTD. (§ 673.11(a)(7)(iii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>5-d-1. <i>Rate of Assaults on Transit Workers</i>: Based on assaults on transit workers as defined by the NTD, divided by VRM. (§ 673.11(a)(7)(iii))</p>		



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6. Coordination with Metropolitan, Statewide, and Non-metropolitan Planning Processes

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 makes its safety performance targets available to the State to aid in the planning process. <i>(§ 673.15(a))</i>		
<input type="checkbox"/>	6-b. The transit agency makes its safety performance targets available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process. <i>(§ 673.15(a))</i>		
<input type="checkbox"/>	6-c. The transit agency coordinates with the State and MPO(s) in the selection of State and MPO safety performance targets to the maximum extent practicable. <i>(§ 673.15(b))</i>		



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7. Safety Risk Reduction Program

NEW REQUIREMENT

This section identifies items that transit agencies must include in their ASPs. Requirements for carrying out the safety risk reduction program using SMS processes are in § 673.25(d), which addresses safety risk reduction program requirements associated with [safety risk mitigation](#), and § 673.27, which includes safety risk reduction program requirements associated with [continuous improvement](#). FTA confirms that the safety risk reduction program operates within an SMS and not outside of it or in conflict with it.

The ASP specifies or references documentation that specifies the transit agency's approach to improving safety performance by addressing the following, at a minimum:

☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>7-a. The reduction and mitigation of vehicular and pedestrian safety events involving transit vehicles, including mitigations consistent with § 673.25(d)(3). (<i>§ 673.11(a)(7)(i)</i>)</p>		
☐	<p>NEW REQUIREMENT</p> <p>7-b. The reduction and mitigation of assaults on transit workers, including mitigations consistent with § 673.25(d)(4). (<i>§ 673.11(a)(7)(ii)</i>)</p>		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>7-c. The safety risk mitigations identified and recommended by the Safety Committee based on a safety risk assessment for the safety risk reduction program are included or incorporated by reference in the ASP. (§§ 673.11(a)(7)(iv) and 673.25(d)(5))</p>		

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8. Safety Committee Establishment, Membership, and Procedures

NEW REQUIREMENT

(See the [Authorities, Accountabilities, Responsibilities section](#) of this checklist for Safety Committee responsibilities.)

The ASP specifies or references documentation that specifies the establishment of the Safety Committee and Safety Committee membership that includes:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-a. The establishment and operation of a Safety Committee that is appropriately scaled to the size, scope, and complexity of the transit agency. (<i>§ 673.19(a)(1)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-a-1. The Safety Committee was convened by a joint labor-management process. (<i>§ 673.19(a)(2)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-a-2. The Safety Committee consists of an equal number of frontline transit worker representatives and management representatives. (<i>§ 673.19(b)</i>)</p>		



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☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>8-a-3. To the extent possible, the Safety Committee includes frontline transit worker representatives from major transit service functions across the transit system, such as operations and maintenance. (<i>§ 673.19(b)</i>)</p>		
☐	<p>NEW REQUIREMENT</p> <p>8-a-4. The labor organization that represents the plurality of the transit agency’s frontline transit workers (includes employees, contractors, or volunteers working on behalf of the transit agency) selected frontline transit worker representatives for the Safety Committee. (<i>§ 673.19(b)(1)</i>)</p>		
☐	<p>NEW REQUIREMENT</p> <p>8-a-5. If a labor organization does not represent the transit agency’s frontline transit workers: The mechanism the transit agency adopted for frontline transit workers to select frontline transit worker representatives for the Safety Committee. (<i>§ 673.19(b)(2)</i>)</p>		



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The ASP specifies or references documentation that specifies Safety Committee procedures for:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b. The organizational structure, size, and composition of the Safety Committee and how it will be chaired. (<i>§ 673.19(c)(1)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-1. How Safety Committee meeting agendas and notices will be developed and shared, and how meeting minutes will be recorded and maintained. (<i>§ 673.19(c)(2)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-2. Any required training for Safety Committee members related to the ASP and the processes, activities, and tools used to support the transit agency's SMS. (<i>§ 673.19(c)(3)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-3. The compensation policy established by the agency for participation in Safety Committee meetings. (<i>§ 673.19(c)(4)</i>)</p>		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-4. How the Safety Committee will access technical experts, including other transit workers, to serve in an advisory capacity, as needed, to support its deliberations. (<i>§ 673.19(c)(5)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-5. How the Safety Committee will access transit agency information, resources, and tools to support its deliberations. (<i>§ 673.19(c)(5)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-6. How the Safety Committee will access submissions to the transit worker safety reporting program to support its deliberations. (<i>§ 673.19(c)(5)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-7. How the Safety Committee will reach and record decisions. (<i>§ 673.19(c)(6)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-8. How the Safety Committee will coordinate and communicate with the transit agency’s Board of Directors, or equivalent entity, and the Accountable Executive. (<i>§ 673.19(c)(7)</i>)</p>		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-9. How the Safety Committee will manage disputes to ensure it carries out its operations.⁶ (§ 673.19(c)(8))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>8-b-10. How the Safety Committee will carry out its responsibilities. (§ 673.19(c)(9))</p>		

⁶ The Safety Committee may use the dispute resolution or arbitration process from the transit agency's Collective Bargaining Agreement, or a different process that the Safety Committee develops and agrees upon, but the Accountable Executive may not be designated to resolve any disputes within the Safety Committee. (§ 673.19(c)(8))



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9. Safety Management System

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	9-a. The transit agency’s establishment and implementation of an SMS. (<i>§ 673.21</i>)		
<input type="checkbox"/>	9-b. The SMS is appropriately scaled to the size, scope, and complexity of the transit agency and includes the following SMS components: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. (<i>§ 673.21</i>)		

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10. Safety Management Policy

Safety Management Policy Statement

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-a. Written statement of the Safety Management Policy (SMP), including the transit agency's safety objectives. (<i>§ 673.23(a)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 10-a-1. The SMP statement includes a description of the Safety Committee. (<i>§ 673.23(a)</i>)		
<input type="checkbox"/>	10-b. How the transit agency communicates the SMP throughout the organization. (<i>§ 673.23(c)</i>)		

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Authorities, Accountabilities, and Responsibilities for Management of Safety

The ASP specifies or references documentation that specifies the necessary authorities, accountabilities, and responsibilities for the management of safety related to the development and management of the transit agency’s SMS for the following individuals or groups (§ 673.23(d)):

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-c. Accountable Executive 10-c-1. Accountable for ensuring the SMS is effectively implemented throughout the system and action is taken, as necessary, to address substandard performance in the SMS. (§ 673.23(d)(1))		
<input type="checkbox"/>	10-c-2. Has ultimate responsibility for carrying out the ASP and the Transit Asset Management (TAM) Plan. (§ 673.5)		
<input type="checkbox"/>	10-c-3. Has control or direction over the human and capital resources needed to develop and maintain the ASP and the TAM Plan. (§ 673.5)		
<input type="checkbox"/>	10-c-4. 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. (§ 673.23(d)(1))		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>10-c-5. Implements safety risk mitigations for the safety risk reduction program that are included in the ASP under § 673.11(a)(7)(iv). (<i>§ 673.23(d)(1)(i)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>10-c-6. Receives and considers all other safety risk mitigations recommended by the Safety Committee. (<i>§§ 673.23(d)(1)(ii) and 673.25(d)(6)</i>)</p>		
<input type="checkbox"/>	<p>10-d. Chief Safety Officer or SMS Executive</p> <p>10-d-1. Designated by the Accountable Executive and has the authority and responsibility for day-to-day implementation and operation of the SMS. (<i>§ 673.23(d)(2)</i>)</p>		
<input type="checkbox"/>	<p>10-d-2. Holds a direct line of reporting to the Accountable Executive.⁷ (<i>§ 673.23(d)(2)</i>)</p>		

⁷ A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive. (*§ 673.23(d)(2)*)

The CSO must be able to communicate directly with the Accountable Executive about safety issues without interruption or intermediaries. Agencies may use a “dotted line” report on an organizational chart to indicate that the CSO has the authority to speak with the Accountable Executive at any time regarding a safety issue, even if another employee supervises the CSO.



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-d-3. Is an adequately trained individual who has responsibility for safety. (<i>§ 673.5</i>)		
<input type="checkbox"/>	10-d-4. Does not serve in other operational or maintenance capacities. (<i>§ 673.5</i>)		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>10-e. Safety Committee</p> <p>10-e-1. Reviews and approves the ASP and any updates (before approval by the Board of Directors/equivalent entity). (<i>§§ 673.11(a)(1)(i) and 673.19(d)(1)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>10-e-2. Sets annual safety performance targets for the safety risk reduction program. (<i>§§ 673.11(a)(7)(iii) and 673.19(d)(2)</i>)</p>		



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☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>10-e-3. Identifies and recommends safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the transit agency’s safety risk assessment, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program. (<i>§§ 673.19(d)(3)(i) and 673.25(d)(1)</i>)</p>		
☐	<p>NEW REQUIREMENT</p> <p>10-e-4. Identifies safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program. (<i>§§ 673.19(d)(3)(ii) and 673.27(b)(2)</i>)</p>		
☐	<p>NEW REQUIREMENT</p> <p>10-e-5. Identifies safety deficiencies for purposes of continuous improvement, including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program. (<i>§§ 673.19(d)(3)(iii) and 673.27(d)</i>)</p>		



Incorporates the requirements of the PTASP final rule published in April 2024.

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>10-f. Transit agency leadership and executive management (<i>§ 673.23(d)(4)</i>)</p> <p>Those leadership or executive management members, other than the Accountable Executive and Chief Safety Officer/SMS Executive, who have authorities or responsibilities for the day-to-day implementation and operation of the SMS.</p>		
<input type="checkbox"/>	<p>10-g. Key staff (<i>§ 673.23(d)(5)</i>)</p> <p>Key staff, groups of staff, or committees that support the Accountable Executive, Chief Safety Officer/SMS Executive, and Safety Committee in developing, implementing, and operating the SMS.</p>		

Incorporates the requirements of the PTASP final rule published in April 2024.

Transit Worker Safety Reporting Program

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-h. A process that allows transit workers to report safety concerns to senior management. (<i>§ 673.23(b)</i>)		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>10-h-1. The process includes reporting assaults on transit workers, near-misses, and unsafe acts and conditions. (<i>§ 673.23(b)</i>)</p>		
<input type="checkbox"/>	10-h-2. The process includes protections for transit workers who report. (<i>§ 673.23(b)</i>)		
<input type="checkbox"/>	10-h-3. The process includes a description of transit worker behaviors that may result in disciplinary action and, therefore, are excluded from protection. (<i>§ 673.23(b)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

11. Safety Risk Management

A transit agency must develop and implement a Safety Risk Management process for all elements of its system. (*§ 673.25(a)*)

Hazard Identification

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	11-a. Methods or processes to identify hazards and potential consequences of the hazards. (<i>§ 673.25(b)(1)</i>)		
<input type="checkbox"/>	11-a-1. As a source for hazard identification, the transit agency considers data and information provided by an oversight authority, including but not limited to FTA, the State, or as applicable, the SSOA having jurisdiction. (<i>§ 673.25(b)(2)(i)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 11-a-2. As a source for hazard identification, the transit agency considers data and information regarding exposure to infectious diseases provided by the Centers for Disease Control and Prevention (CDC) or a State health authority. (<i>§ 673.25(b)(2)(ii)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>11-a-3. As a source for hazard identification, the transit agency considers safety concerns identified through its Safety Assurance activities. (<i>§ 673.25(b)(2)(iii)</i>)</p>		



Incorporates the requirements of the PTASP final rule published in April 2024.

Safety Risk Assessment

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	11-b. Methods or processes to assess the safety risk associated with identified hazards. (<i>§ 673.25(c)(1)</i>)		
<input type="checkbox"/>	11-b-1. An assessment includes assessing the likelihood and severity of the potential consequences of identified hazards. (<i>§ 673.25(c)(2)</i>)		
<input type="checkbox"/>	11-b-2. Assessment determines if safety risk mitigation is necessary and informs prioritization of safety risk mitigations. (<i>§ 673.25(c)(2)</i>)		
<input type="checkbox"/>	11-b-3. Assessment takes into account existing safety risk mitigations. (<i>§ 673.25(c)(2)</i>)		

Incorporates the requirements of the PTASP final rule published in April 2024.

Safety Risk Mitigation

Note: Where indicated, this section addresses elements of the safety risk reduction program.

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	11-c. 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 potential consequences. (<i>§ 673.25(d)(1)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 11-c-1. The methods/processes address the role of the Safety Committee in identifying safety risk mitigations. (<i>§§ 673.19(d)(3)(i) and 673.25(d)(1)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 11-c-2. As a source for safety risk mitigation, the agency considers guidance provided by an oversight authority, if applicable, and FTA. (<i>§ 673.25(d)(2)(i)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 11-c-3. As a source for safety risk mitigation, the agency considers guidelines to prevent or control exposure to infectious diseases provided by the CDC or a State health authority. (<i>§ 673.25(d)(2)(ii)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT</p> <p>11-d. When the 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 prepares a written statement explaining their decision and submits and presents it to the transit agency’s Safety Committee and Board of Directors or equivalent entity. (<i>§ 673.25(d)(6)</i>)</p>		
☐	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>11-e. 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 for the safety risk reduction program, the transit agency and its Safety Committee 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. (<i>§§ 673.11(a)(7)(i) and 673.25(d)(3)</i>)</p>		



Incorporates the requirements of the PTASP final rule published in April 2024.

☒	Checklist Item	ASP Page Number	Comments
☐	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>11-f. 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 for the safety risk reduction program, the transit agency and Safety Committee consider the deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators. (<i>§§ 673.11(a)(7)(ii) and 673.25(d)(4)</i>)</p>		
☐	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>11-g. The transit agency includes or incorporates by reference in the ASP the safety risk mitigations the Safety Committee identifies and recommends based on a safety risk assessment as a part of the safety risk reduction program, including mitigations relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers. (<i>§§ 673.11(a)(7)(iv) and 673.25(d)(5)</i>)</p>		

Incorporates the requirements of the PTASP final rule published in April 2024.

12. Safety Assurance

Safety Performance Monitoring and Measurement

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	12-a. Activities to monitor the system for compliance with and sufficiency of the transit agency’s procedures for operations and maintenance. (<i>§ 673.27(b)(1)</i>)		
<input type="checkbox"/>	12-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>§ 673.27(b)(2)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 12-b-1. The Safety Committee’s role in safety risk mitigation monitoring. (<i>§§ 673.19(d)(3)(ii) and 673.27(b)(2)</i>)		
<input type="checkbox"/>	12-c. Activities to conduct investigations of safety events to identify causal factors. (<i>§ 673.27(b)(3)</i>)		
<input type="checkbox"/>	12-d. Activities to monitor information reported through any internal safety reporting programs. (<i>§ 673.27(b)(4)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

Management of Change

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	12-e. A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. (<i>§ 673.27(c)(1)</i>)		
<input type="checkbox"/>	12-e-1. Proposed changes that may impact the transit agency's safety performance are evaluated through its Safety Risk Management process. (<i>§ 673.27(c)(2)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

Continuous Improvement

Note: Where indicated, this section also addresses elements of the safety risk reduction program.

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	12-f. A process to assess the transit agency's safety performance annually . (<i>§ 673.27(d)(1)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 12-f-1. The process includes identifying deficiencies in the SMS and the agency's performance against its (general) safety performance targets. (<i>§ 673.27(d)(1)(i)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT (safety risk reduction program) 12-f-2. The process includes identifying deficiencies in the agency's performance against annual safety performance targets set by the Safety Committee for the safety risk reduction program. (<i>§ 673.27(d)(1)(ii)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 12-f-3. The process includes the Safety Committee's role in continuous improvement. (<i>§§ 673.19(d)(3)(iii) and 673.27(d)(1)(ii)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

☒	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>12-f-4. The process addresses any specific internal safety review requirements established by the SSOA. (<i>§ 673.27(d)(1)(iii)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-g. Activities to monitor safety performance against annual safety performance targets set by the Safety Committee for the safety risk reduction program. (<i>§ 673.27(d)(2)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-h. If the agency does not meet an established annual safety performance target set by the Safety Committee for the safety risk reduction program:</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-h-1. The agency assesses the associated safety risk through its safety risk assessment process. (<i>§ 673.27(d)(3)(i)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-h-2. The agency mitigates the associated safety risk based on the results of a safety risk assessment using its safety risk mitigation process. (<i>§ 673.27(d)(3)(ii)</i>)</p>		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-h-3. The mitigations developed when an agency does not meet a safety risk reduction program safety performance target are included or incorporated by reference in the ASP. (§§ 673.11(a)(7)(iv), 673.25(d)(5), and 673.27(d)(3)(ii))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-h-4. The agency allocates 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 help it meet missed safety performance target(s) for the safety risk reduction program in the future. (§ 673.27(d)(3)(iii))</p>		
<input type="checkbox"/>	<p>12-i. How the transit agency develops and carries out a plan(s) under the direction of the Accountable Executive to address any deficiencies identified through the safety performance assessment process. (§ 673.27(d)(4))</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT (safety risk reduction program)</p> <p>12-i-1. The plan also includes the mitigations developed when an agency does not meet a safety risk reduction program safety performance target. (§§ 673.27(d)(3)(ii) and (d)(4))</p>		

Incorporates the requirements of the PTASP final rule published in April 2024.

13. Safety Promotion Competencies and Training

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	13-a. The transit agency established and implemented a comprehensive safety training program. (<i>§ 673.29(a)(1)</i>)		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>13-a-1. The safety training program is for all operations transit workers, maintenance transit workers, and transit workers directly responsible for safety. (<i>§§ 673.29(a)(1)–(2)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>13-a-2. The safety training program includes de-escalation training. (<i>§ 673.29(a)(1)</i>)</p>		
<input type="checkbox"/>	<p>NEW REQUIREMENT</p> <p>13-a-3. The safety training program includes safety concern identification and reporting training. (<i>§ 673.29(a)(1)</i>)</p>		
<input type="checkbox"/>	13-a-4. The safety training program includes refresher training, as necessary. (<i>§ 673.29(a)(1)</i>)		



Incorporates the requirements of the PTASP final rule published in April 2024.

Safety Communication

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	13-b. How the transit agency communicates safety and safety performance information throughout its organization. (<i>§ 673.29(b)</i>)		
<input type="checkbox"/>	13-b-1. How the transit agency conveys information on hazards and safety risk relevant to transit workers' roles and responsibilities. (<i>§ 673.29(b)</i>)		
<input type="checkbox"/>	13-b-2. How the transit agency conveys the safety actions taken in response to reports submitted through the transit worker safety reporting program. (<i>§ 673.29(b)</i>)		
<input type="checkbox"/>	NEW REQUIREMENT 13-b-3. How the transit agency conveys the results of Safety Committee activities. (<i>§ 673.29(b)</i>)		

Incorporates the requirements of the PTASP final rule published in April 2024.

14. State Safety Oversight Agency Requirements

Some SSOA program standards may require ASPs to include additional elements. **This section is intended only to illustrate possible examples of these elements (or best practices). Please refer to the applicable SSOA program standard for any specific requirements.**

Internal Safety Reviews

The ASP addresses any applicable SSOA requirements related to internal safety reviews, such as:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	14-a. Notifying the SSOA before conducting any internal safety review, following the process specified in the SSOA program standard.		
<input type="checkbox"/>	14-b. Submitting materials regarding the conduct and results of internal safety reviews to the SSOA under the Accountable Executive’s signature.		



Incorporates the requirements of the PTASP final rule published in April 2024.

Safety Event Investigations

The ASP addresses any applicable SSOA requirements related to safety event investigations, such as:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	14-c. SSOA requirements for notifying the SSOA of safety events including time limits for and methods of notification and what information the RTA must submit to the SSOA.		
<input type="checkbox"/>	14-d. FTA requirements to notify the SSOA and FTA within two hours of any safety events occurring on the RTA system.		
<input type="checkbox"/>	14-e. What must be included in any investigation report developed on behalf of the SSOA, including identification of factors that caused or contributed to the safety event and setting forth a Corrective Action Plan (CAP) as appropriate.		
<input type="checkbox"/>	14-f. How the RTA will work with the SSOA when conducting its own internal investigation of a safety event.		
<input type="checkbox"/>	14-g. The process through which the RTA will review investigation reports developed by the SSOA and submit written dissent, as appropriate.		



Incorporates the requirements of the PTASP final rule published in April 2024.

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	14-h. Training requirements for all personnel and contractors that conduct investigations on behalf of an SSOA in accordance with the Public Transportation Safety Certification Training Program.		

Corrective Action Plans

The ASP addresses applicable SSOA requirements regarding CAPs, such as:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	14-i. When the RTA must develop and carry out a CAP.		
<input type="checkbox"/>	14-j. How the RTA will submit CAPs to the SSOA for review and approval.		
<input type="checkbox"/>	14-k. How the RTA will manage immediate or emergency corrective actions.		



Incorporates the requirements of the PTASP final rule published in April 2024.

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	14-l. The required contents of a CAP, including describing the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions.		
<input type="checkbox"/>	14-m. How the RTA must periodically report to the SSOA on its progress in carrying out CAPs.		



Incorporates the requirements of the PTASP final rule published in April 2024.

15. Additional Information

Part 673 does not require transit agencies to include the following information in their ASPs. However, a transit agency could specify or reference documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	15-a. Definitions of terms used in the ASP.		
<input type="checkbox"/>	15-b. List of acronyms used in the ASP.		
<input type="checkbox"/>	15-c. Certification of compliance with part 673 in the Transit Award Management System (TrAMS), including: 15-c-1. Name of the individual or entity that certifies compliance; and		
<input type="checkbox"/>	15-c-2. Date of certification.		
<input type="checkbox"/>	NEW BEST PRACTICE 15-d. Description of recordkeeping process for documents that set forth the ASP, including those related to the implementation of SMS; results from SMS processes and activities; and those included in whole, or by reference, that describe the programs, policies, and procedures that the transit agency uses to carry out its ASP.		



Incorporates the requirements of the PTASP final rule published in April 2024.

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>15-d-1. Includes how documents will be made available upon request by FTA or other Federal entity, a State, or a State Safety Oversight Agency having jurisdiction.</p>		
<input type="checkbox"/>	<p>NEW BEST PRACTICE</p> <p>15-d-2. Includes that the transit agency will maintain these documents for a minimum of three years after they are created.</p>		



PTASP Technical Assistance Available

- Access one-on-one Agency Safety Plan support
- View the Agency Safety Plan Directory
- Explore the PTASP Resource Library

transit.dot.gov/PTASP

