



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

## AGENCY SAFETY PLAN (ASP) CHECKLIST



**Rail Transit Agency**  
**Small 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 provide service in a small urbanized area (an urbanized area with a population of less than 200,000) and that do **not** provide service in a large urbanized area. This checklist is designed to help agencies develop or update 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><b>NEW REQUIREMENT</b></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><b>NEW BEST PRACTICE</b></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. 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><b>NEW BEST PRACTICE</b></p> <p>1-h. The transit agency only serves a small urbanized area (and does not also provide service in a large urbanized area).</p>		
<input type="checkbox"/>	<p><b>NEW BEST PRACTICE</b></p> <p>1-h-1. Which small 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"/>	2-b. Transit agency Board of Directors or equivalent entity approval of the ASP ( <i>§ 673.11(a)(1)(ii)</i> ), date of approval, and relevant approval documentation ( <i>§ 673.31</i> ).		
<input type="checkbox"/>	2-c. Review and approval by the State Safety Oversight Agency. ( <i>§ 673.13(a)</i> )		
<input type="checkbox"/>	2-d. 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. <sup>1</sup> ( <i>§ 673.11(a)(4)</i> )		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 2-e. Any policies and procedures issued by the RTA regarding rail transit workers on the roadway. ( <i>§ 673.11(a)(6)(ii)</i> )		

<sup>1</sup> 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"/>	<p><b>NEW REQUIREMENT</b></p> <p>2-f. RTA policies and procedures developed in consultation with the SSOA to provide access and required data for the SSOA's risk-based inspection program. (<i>§ 673.11(a)(6)(iii)</i>)</p>		
<input type="checkbox"/>	<p>2-g. The process and timeline for conducting an annual review and update of the ASP. (<i>§ 673.11(a)(5)</i>)</p>		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>2-g-1. The ASP or ASP update was developed in cooperation with frontline transit worker representatives. (<i>§§ 673.17(b)(1)</i>)</p>		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>2-g-2. The process and timeline include a description of how frontline transit worker representatives cooperate in the development and update of the ASP. (<i>§§ 673.17(b)(2)</i>)</p>		
<input type="checkbox"/>	<p>2-g-3. The ASP version number and other relevant information.</p>		
<input type="checkbox"/>	<p><b>NEW BEST PRACTICE</b></p> <p>2-g-4. 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. Annual Safety Performance Targets

For all modes<sup>2</sup> 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). <sup>3</sup> (§ 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 <b>vehicle revenue miles (VRM)</b> . (§ 673.11(a)(3))		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 4-a-2. <i>Collision Rate</i> : Based on collisions reported to the NTD, <b>divided by VRM</b> . (§ 673.11(a)(3))		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 4-a-3. <i>Pedestrian Collision Rate</i> : Based on collisions “with a person” as defined by the NTD, <b>divided by VRM</b> . (§ 673.11(a)(3))		

<sup>2</sup> 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.

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



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>4-a-4. <i>Vehicular Collision Rate</i>: Based on collisions “with a motor vehicle” as defined by the NTD, <b>divided by VRM</b>. (§ 673.11(a)(3))</p>		
<input type="checkbox"/>	<p>4-b. <i>Fatalities (total)</i>: Based on fatalities as defined by the NTD. (§ 673.11(a)(3))</p>		
<input type="checkbox"/>	<p>4-b-1. <i>Fatality Rate</i>: Based on fatalities as defined by the NTD, <b>divided by VRM</b>. (§ 673.11(a)(3))</p>		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></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,” <b>divided by VRM</b>. (§ 673.11(a)(3))</p>		
<input type="checkbox"/>	<p>4-c. <i>Injuries (total)</i>: Based on injuries as defined by the NTD. (§ 673.11(a)(3))</p>		
<input type="checkbox"/>	<p>4-c-1. <i>Injury Rate</i>: Based on injuries as defined by the NTD, <b>divided by VRM</b>. (§ 673.11(a)(3))</p>		



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☒	Checklist Item	ASP Page Number	Comments
☐	<p><b>NEW REQUIREMENT</b></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,” <b>divided by VRM.</b> (§ 673.11(a)(3))</p>		
☐	<p><b>NEW REQUIREMENT</b></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><b>NEW REQUIREMENT</b></p> <p>4-d-1. <i>Rate of Assaults on Transit Workers</i>: Based on assaults on transit workers as defined by the NTD, <b>divided by VRM.</b> (§ 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. 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"/>	5-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"/>	5-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"/>	5-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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## 6. Safety Management System

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. ( <i>§ 673.21</i> )		
<input type="checkbox"/>	6-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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## 7. 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"/>	7-a. A written statement of the Safety Management Policy (SMP), including the transit agency’s safety objectives. ( <i>§ 673.23(a)</i> )		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 7-a-1. The SMP statement includes a description of the transit agency’s approach to cooperation with frontline transit worker representatives. ( <i>§ 673.23(a)</i> )		
<input type="checkbox"/>	7-b. How the 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"/>	7-c. Accountable Executive  7-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"/>	7-c-2. Has ultimate responsibility for carrying out the ASP and the Transit Asset Management (TAM) Plan. (§ 673.5)		
<input type="checkbox"/>	7-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"/>	7-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"/>	7-d. Chief Safety Officer or SMS Executive  7-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> )		
<input type="checkbox"/>	7-d-2. Holds a direct line of reporting to the Accountable Executive. <sup>4</sup> ( <i>§ 673.23(d)(2)</i> )		
<input type="checkbox"/>	7-d-3. Is an adequately trained individual who has responsibility for safety. ( <i>§ 673.5</i> )		
<input type="checkbox"/>	7-d-4. Does not serve in other operational or maintenance capacities. ( <i>§ 673.5</i> )		

<sup>4</sup> 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"/>	<p>7-e. 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>7-f. Key staff (<i>§ 673.23(d)(5)</i>)</p> <p>Key staff, groups of staff, or committees that support the Accountable Executive and Chief Safety Officer/SMS Executive in developing, implementing, and operating the SMS.</p>		



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## 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"/>	7-g. A process that allows transit workers to report safety concerns to senior management. ( <i>§ 673.23(b)</i> )		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>7-g-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"/>	7-g-2. The process includes protections for transit workers who report. ( <i>§ 673.23(b)</i> )		
<input type="checkbox"/>	7-g-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> )		

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## 8. 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"/>	8-a. Methods or processes to identify hazards and potential consequences of the hazards. ( <i>§ 673.25(b)(1)</i> )		
<input type="checkbox"/>	8-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"/>	<b>NEW REQUIREMENT</b> 8-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> )		



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<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>8-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>		



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## Safety Risk Assessment

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	8-b. Methods or processes to assess the safety risk associated with identified hazards. ( <i>§ 673.25(c)(1)</i> )		
<input type="checkbox"/>	8-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"/>	8-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"/>	8-b-3. Assessment takes into account existing safety risk mitigations. ( <i>§ 673.25(c)(2)</i> )		



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## Safety Risk Mitigation

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	8-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"/>	<b>NEW REQUIREMENT</b> 8-c-1. 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"/>	<b>NEW REQUIREMENT</b> 8-c-2. 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> )		

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## 9. 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"/>	9-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"/>	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>§ 673.27(b)(2)</i> )		
<input type="checkbox"/>	9-c. Activities to conduct investigations of safety events to identify causal factors. ( <i>§ 673.27(b)(3)</i> )		
<input type="checkbox"/>	9-d. Activities to monitor information reported through any internal safety reporting programs. ( <i>§ 673.27(b)(4)</i> )		





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## Management of Change

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	9-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"/>	9-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> )		



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## Continuous Improvement

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	9-f. A process to assess the transit agency's safety performance <b>annually</b> . ( <i>§ 673.27(d)(1)</i> )		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>9-f-1. The process includes identifying deficiencies in the SMS and the agency's performance against its safety performance targets. (<i>§ 673.27(d)(1)(i)</i>)</p>		
<input type="checkbox"/>	<p><b>NEW REQUIREMENT</b></p> <p>9-f-2. The process addresses any specific internal safety review requirements established by the SSOA. (<i>§ 673.27(d)(1)(iii)</i>)</p>		
<input type="checkbox"/>	9-g. 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. ( <i>§ 673.27(d)(4)</i> )		

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## 10. 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"/>	10-a. The transit agency established and implemented a comprehensive safety training program. ( <i>§ 673.29(a)(1)</i> )		
<input type="checkbox"/>	10-a-1. The safety training program is for all operations transit workers and transit workers directly responsible for safety. ( <i>§ 673.29(a)(1)</i> )		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 10-a-2. The safety training program includes de-escalation training. ( <i>§ 673.29(a)(1)</i> )		
<input type="checkbox"/>	<b>NEW REQUIREMENT</b> 10-a-3. The safety training program includes safety concern identification and reporting training. ( <i>§ 673.29(a)(1)</i> )		
<input type="checkbox"/>	10-a-4. The safety training program includes refresher training, as necessary. ( <i>§ 673.29(a)(1)</i> )		



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## Safety Communication

The ASP specifies or references documentation that specifies:

<input checked="" type="checkbox"/>	Checklist Item	ASP Page Number	Comments
<input type="checkbox"/>	10-b. How the transit agency communicates safety and safety performance information throughout its organization. ( <i>§ 673.29(b)</i> )		
<input type="checkbox"/>	10-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"/>	10-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"/>	<b>NEW REQUIREMENT</b> 10-b-3. How the transit agency conveys the results of cooperation with frontline transit worker representatives in developing and updating the ASP. ( <i>§ 673.29(b)</i> )		

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## 11. State Safety Oversight Agency Requirements

Some SSOA program standards may require ASPs to include additional elements. **This section is intended only to illustrate examples of these elements. 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"/>	11-a. Notifying the SSOA before conducting any internal safety review, following the process specified in the SSOA program standard.		
<input type="checkbox"/>	11-b. Submitting materials regarding the conduct and results of internal safety reviews to the SSOA under the Accountable Executive’s signature.		



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## 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"/>	11-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"/>	11-d. FTA requirements to notify the SSOA and FTA within two hours of any safety event occurring on the RTA system.		
<input type="checkbox"/>	11-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"/>	11-f. How the RTA will work with the SSOA when conducting its own internal investigation of a safety event.		
<input type="checkbox"/>	11-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"/>	11-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"/>	11-i. When the RTA must develop and carry out a CAP.		
<input type="checkbox"/>	11-j. How the RTA will submit CAPs to the SSOA for review and approval.		
<input type="checkbox"/>	11-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"/>	11-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"/>	11-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.

## 12. 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"/>	12-a. Definitions of terms used in the ASP.		
<input type="checkbox"/>	12-b. List of acronyms used in the ASP.		
<input type="checkbox"/>	12-c. Certification of compliance with Part 673 in the Transit Award Management System (TrAMS), including: 12-c-1. Name of the individual or entity that certifies compliance; and		
<input type="checkbox"/>	12-c-2. Date of certification.		
<input type="checkbox"/>	<b>NEW BEST PRACTICE</b> 12-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.

☒	Checklist Item	ASP Page Number	Comments
☐	<p><b>NEW BEST PRACTICE</b></p> <p>12-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>		
☐	<p><b>NEW BEST PRACTICE</b></p> <p>12-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](https://transit.dot.gov/PTASP)

