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| Public Transportation Agency Safety Plan Review Checklist (Bus)(Effective 11/8/2024) |
|  ***NOTE:*** *This checklist is developed by TxDOT’s Public Transportation Division and has not been reviewed, approved, or endorsed by the Federal Transit Administration. The FTA has not issued a checklist as of November 8, 2024.**Transit Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| Safety Plan Version:  |
| Reviewer:  |
| Review Date:  |

Each transit agency must establish a Public Transportation Agency Safety Plan (PTASP) that complies with 49 CFR 673.

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| **Item** | **Fed/State Req** | **Requirements** | **Review Questions** | **Pages** | **Compliant: Y/N** | **Comments/Notes:** |
| **Transit Agency Information** |
| A.1 | FTA PTASP Review Checklist | Transit Agency Information | Does the PTASP contain:* Agency name
* Address
* PTASP version information and date.
* Statement regarding agency service area: large urbanized area?
* Modes of Service (directly operated or contracted service)
* FTA Funding Types Received
* Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).
* An Accountable Executive who meets requirements of 49 CFR 673.
* A Chief Safety Officer or Safety Management System (SMS) Executive who meets requirements of 49 CFR 673.
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| **673.11 General Requirements (Safety Plan Development, Approval, and Updates)** |
| B.1 | 673.11(a) | A transit agency must establish a PTASP that meets the requirements of this part and, at a minimum, consists of the following elements:  | Has the transit agency established a PTASP? |  |  |  |
| B.2 | 673.11(a)(1) | (1) The PTASP, and subsequent updates, must be signed by the Accountable Executive and approved by— | Does the PTASP contain the Accountable Executive signature and date of signature? |  |  |  |
| B.3 | 673.11(a)(1)(i) | (i) For a large urbanized area provider, the Safety Committee established pursuant to § 673.19, followed by the transit agency’s Board of Directors or an equivalent entity; or | Does the PTASP demonstrate Safety Committee approval of the ASP and date of approval? |  |  |  |
| B.4 | 673.11(a)(1)(ii) | (ii) For all other transit agencies, the transit agency’s Board of Directors or an equivalent entity. | Does the PTASP demonstrate Board of Directors or equivalent entity approval and date of approval?  |  |  |  |
| B.5 | 673.11(a)(2) | (2) The PTASP must document the processes and activities related to SMS implementation, as required by 673 subpart D. | Does the PTASP document the processes and activities related to SMS implementation as required by 673 subpart D? |  |  |  |
| B.6 | 673.11(a)(3)National Public Transportation Safety Plan | (3) The PTASP must include annual safety performance targets based on the safety performance measures established under the National Public Transportation Safety Plan. Safety performance targets for the safety risk reduction program are only required for large urbanized area providers. | Does the PTASP include safety performance measures required by the National Public Transportation Safety Plan?Does the PTASP document safety performance targets for the safety risk reduction program?Are the total vehicle revenue miles used to determine performance measure rates clearly stated?**Safety Performance Measures*** Major Events
* Major Events Rate
* Collision Rate\*
* Pedestrian Collision Rate\*
* Vehicular Collision Rate\*
* Fatalities
* Fatality Rate
* Transit Worker Fatality Rate\*
* Injuries
* Injury Rate
* Transit Worker Injury Rate\*
* Assaults on Transit Workers\*
* Assaults on Transit Workers Rate\*
* System Reliability

\*denotes new performance measures added with the April 2024 National Public Transportation Safety Plan update. |  |  |  |
| B.7 | 673.11(a)(4) | (4) The PTASP must address all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan. 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. | Does the PTASP address all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan? |  |  |  |
| B.8 | 673.11(a)(5) | (5) Each transit agency must establish a process and timeline for conducting an annual review and update of the PTASP. | The process and timeline for conducting an annual review and update of the ASP, the ASP version number, and other relevant information.Does the PTASP update process document the transit agency’s internal process for updating the PTASP? |  |  |  |
| B.9 | 673.11(a)(7) | (7) The PTASP of each large urbanized area provider must include a safety risk reduction program for transit operations to improve safety performance by reducing the number and rates of safety events, injuries, and assaults on transit workers.  | For large urbanized area providers:Does the PTASP document a safety risk reduction program? |  |  |  |
| B.10 | 673.11(a)(7)(i) | Does the safety risk reduction program:(i) Address the reduction and mitigation of vehicular and pedestrian safety events involving transit vehicles that includes safety risk mitigations consistent with § 673.25(d)(3); | Does the safety risk reduction program address the reduction and mitigation of vehicular and pedestrian safety events involving transit vehicles that includes safety risk mitigations consistent with § 673.25(d)(3)? |  |  |  |
| B.11 | 673.11(a)(7)(ii) | (ii) Address the reduction and mitigation of assaults on transit workers that includes safety risk mitigations consistent with § 673.25(d)(4); | Does the safety risk reduction program address the reduction and mitigation of assaults on transit workers that includes safety risk mitigations consistent with § 673.25(d)(4); |  |  |  |
| B.12 | 673.11(a)(7)(iii)National Public Transportation Safety Plan | (iii) Include the safety performance targets set by the Safety Committee pursuant to § 673.19(d)(2) for the safety risk reduction program performance measures established in the National Public Transportation Safety Plan. These targets must be set — | Does the safety risk reduction program include the safety performance measures and targets set by the safety committee for risk reduction program performance measures established in the National Public Transportation Safety Plan?Are the total vehicle revenue miles used to determine performance measure rates clearly stated?Safety Risk Reduction Program Measures:* Major Events: This includes all safety and security major events as defined by the NTD.
* Major Event Rate: This includes all safety and security major events as defined by the NTD, divided by VRM.
* Collisions: Includes all NTD reported collisions.
* Collision Rate: This includes all collisions reported to the NTD, divided by VRM.
* Injuries: Includes all NTD reported injuries.
* Injury Rate: This includes all injuries as defined by the NTD, divided by VRM.
* Assaults on Transit Workers: This includes all assaults on transit workers as defined by NTD.
* Rate of Assaults on Transit Worker: This includes all assaults on transit workers as defined by the NTD divided by VRM

*Total number and rate per total vehicle revenue miles, by mode.* |  |  |  |
| B.13 | 673.11(a)(7)(iii)(A) | (A) Based on a three-year rolling average of the data submitted by the large urbanized area provider to NTD. | For large urbanized area providers:Does the safety risk reduction program demonstrate that performance targets are based on a rolling three-year average of the data submitted to NTD?  |  |  |  |
| B.14 | 673.11(a)(7)(iii)(B) | (B) For all modes of public transportation; and | For large urbanized area providers:Does the safety risk reduction program include safety performance targets for all modes of public transportation? |  |  |  |
| B.15 | 673.11(a)(7)(iii)(C) | (c) Based on the level of detail the large urbanized area provider 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. | For large urbanized area providers:Has the transit agency submitted three years of data to NTD in order to set safety targets? Note: 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. |  |  |  |
| B.16 | 673.11(a)(7)(iv) | (iv) Include or incorporate by reference the safety risk mitigations identified and recommended by the Safety Committee as described in § 673.25(d)(5). | Does the PTASP include or incorporate by reference the safety risk mitigations identified and recommended by the Safety Committee as described in § 673.25(d)(5)?*Reference: 673.25(d)(5)- When a large urbanized area provider’s Safety Committee, as part of the transit agency’s safety risk reduction program, identifies and recommends under § 673.19©(6) safety risk mitigations, including mitigations relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers, based on a safety risk assessment conducted under § 673.25©, the transit agency must include or incorporate by reference these safety risk mitigations in its ASP pursuant to § 673.11(a)(7)(iv).* |  |  |  |
| B.17 | 673.11(b) | (b) A transit agency may develop one PTASP for all modes of service or may develop a PTASP for each mode of service not subject to safety regulation by another Federal entity. | Did the transit agency develop one PTASP for all modes of service or a PTASP for separate modes of service not subject to safety regulation by another federal entity? |  |  |  |
| B.18 | National Public Transportation Safety PlanFTA’s Public Transportation Safety Program | FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan compliance. | Does the PTASP address all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan. |  |  |  |
| B.19 | 673.11(c) | (c) A transit agency must maintain its PTASP in accordance with the recordkeeping requirements in 673 Subpart E. | Does the PTASP state the transit agency will maintain its PTASP in accordance with the recordkeeping requirements in 673 Subpart E?Reference: 49 CFR 673.31 (Subpart E)- *At all times, a transit agency must maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. A transit agency must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the transit agency uses to carry out its PTASP.* *These documents must be made available upon request by FTA or other Federal entity, or a State or SSOA having jurisdiction. A transit agency must maintain these documents for a minimum of three years after they are created.* |  |  |  |
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| **673.15 Coordination with Metropolitan, Statewide, and Non-Metropolitan Planning Processes** |
| C.1 | 673.15(a) | A State or transit agency must make its safety performance targets available to States and Metropolitan Planning Organizations to aid in the planning process. | Does the plan include:1. process to make safety performance targets available to the State and MPO?

*This section must include specific information on the process including who is responsible for making the targets available, to whom the targets are provided to, and when the targets are provided.* |  |  |  |
| C.2 | 673.15(b) | To the maximum extent practicable, a State or transit agency must coordinate with States and Metropolitan Planning Organizations in the selection of State and MPO safety performance targets. | Does the plan include:1. process to coordinate with the State and MPO in the selection of safety performance targets?

*This section must include specific information on the coordination process when selecting safety performance targets. This must include how coordination occurs, who is responsible for the coordination, when the coordination occurs, and how the coordination is documented.* |  |  |  |
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| **673.17 Safety Committees and Cooperation with Frontline Transit Worker Representatives** |
| D.1 | 673.17(a) | (a) Each large urbanized area provider must establish a Safety Committee that meets the requirements of § 673.19. | For large urbanized area providers:Does the PTASP document the establishment of a safety committee that meets the requirements of 673.19? |  |  |  |
| D.2 | 673.17(b) | (b) Each transit agency that is not a large urbanized area provider must:(1) Develop its PTASP, and subsequent updates, in cooperation with frontline transit worker representatives; and(2) Include or incorporate by reference in its PTASP a description of how frontline transit worker representatives cooperate in the development and update of the PTASP. | For an agency that is ***not*** a large urbanized area provider:Does the PTASP state that the transit agency will develop its PTASP, and subsequent updates, in cooperation with frontline transit worker representatives?Does the PTASP include or incorporate by reference a description of how frontline transit worker representative cooperate in the development and update of the PTASP? |  |  |  |
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| **673.19 Safety Committees** |
| E.1 | 673.19(a) | **(a) Establishing the Safety Committee.** Each large urbanized area provider must establish and operate a Safety Committee that is:(1) Appropriately scaled to the size, scope, and complexity of the transit agency; and(2) Convened by a joint labor-management process. | For large urbanized area providers:Does the PTASP document that the transit agency has established and operates a safety committee that is appropriately scaled to the size, scope, and complexity of the transit agency?Does the PTASP document that the transit agency has established and operates a safety committee that is convened by a joint-labor management process? |  |  |  |
| E.2 | 673.19(b) | **(b) Safety Committee membership.** The Safety Committee must consist of an equal number of frontline transit worker representatives and management representatives. To the extent practicable, the Safety Committee must include frontline transit worker representatives from major transit service functions, such as operations and maintenance, across the transit system.(1) The labor organization that represents the plurality of the transit agency’s frontline transit workers must select frontline transit worker representatives for the Safety Committee.(2) If the transit agency’s frontline transit workers are not represented by a labor organization, the transit agency must adopt a mechanism for frontline transit workers to select frontline transit worker representatives for the Safety Committee. | Does the Safety Committee consist of an equal number of frontline transit worker representatives and management representatives?To the extent practicable, does the Safety Committee include frontline transit worker representatives from major transit service functions, such as operations and maintenance, across the transit system?Are transit workers represented by a labor organization? If yes, does the labor organization that represents the plurality of the transit agency’s frontline transit workers select frontline transit worker representatives for the Safety Committee?If the transit agency’s frontline transit workers are not represented by a labor organization, has the transit agency adopted a mechanism for frontline transit workers to select frontline transit worker representatives for the Safety Committee? |  |  |  |
| E.3 | 673.19© | **(c) Safety Committee procedures.** Each large urbanized area provider must include or incorporate by reference in its PTASP procedures regarding the composition, responsibilities, and operations of the Safety Committee which, at a minimum, must address: | For large urbanized area providers:How does the transit agency document procedures regarding safety committees’ composition, responsibilities, operations of the safety committee?* Included within PTASP, or
* Incorporate by reference?
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| E.4 | 673.19(c)(1) | (1) The organizational structure, size, and composition of the Safety Committee and how it will be chaired; | Do the safety committee procedures include within the PTASP or incorporate by reference the following information:* organizational structure,
* size,
* safety committee composition and
* how the safety committee will be chaired?
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| E.5 | 673.19(c)(2) | (2) How meeting agendas and notices will be developed and shared, and how meeting minutes will be recorded and maintained; | Do the safety committee procedures include within the PTASP or incorporate by reference the following information:* How meeting agendas and notices will be developed and shared
* How meeting minutes will be recorded and maintained?
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| E.6 | 673.19©(3) | (3) Any required training for Safety Committee members related to the transit agency’s PTASP and the processes, activities, and tools used to support the transit agency’s SMS; | Do the safety committee procedures include within the PTASP or incorporated by reference the following information:* Any required training for Safety Committee members related to the transit agency’s PTASP
* The processes, activities, and tools used to support the transit agency’s SMS.
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| E.7 | 673.19(c)(4) | (4) The compensation policy established by the agency for participation in Safety Committee meetings; | Do the safety committee procedures include within the PTASP or incorporated by reference the following information:* The compensation policy established by the agency for participation in Safety Committee meetings.
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| E.8 | 673.19(c)(5) | (5) How the Safety Committee will access technical experts, including other transit workers, to serve in an advisory capacity as needed; transit agency information, resources, and tools; and submissions to the transit worker safety reporting program to support its deliberations; | Do the safety committee procedures include within the PTASP or incorporated by reference how the Safety Committee will access:* technical experts, including other transit workers, to serve in an advisory capacity as needed,
* transit agency information, resources, and tools
* submissions to the transit worker safety reporting program to support its deliberations
 |  |  |  |
| E.9 | 673.19(c)(6) | (6) How the Safety Committee will reach and record decisions; | Do the safety committee procedures include within the PTASP or incorporated by reference:* How the Safety Committee will reach and record decisions.
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| E.10 | 673.19(c)(7) | (7) How the Safety Committee will coordinate and communicate with the transit agency’s Board of Directors, or equivalent entity, and the Accountable Executive; | Do the safety committee procedures include within the PTASP or incorporated by reference:* How the Safety Committee will coordinate and communicate with the transit agency’s Board of Directors, or equivalent entity, and
* The Accountable Executive.
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| E.11 | 673.19(c)(8) | (8) How the Safety Committee will manage disputes to ensure it carries out its operations. 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; and | Do the safety committee procedures include within the PTASP or incorporated by reference:* How will the Safety Committee manage disputes to ensure it carries out its operations?
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| E.12 | 673.19(c)(9) | (9) How the Safety Committee will carry out its responsibilities identified in paragraph (d) of this section. | Does the transit agency’s Safety Committee procedures describe how the transit agency will carry out its responsibilities identified in 673.19(d). |  |  |  |
| E.13 | 673.19(d)(1) | **(d) Safety Committee responsibilities.** The Safety Committee must conduct the following activities to oversee the transit agency’s safety performance:(1) Review and approve the agency’s PTASP and any updates as required at § 673.11(a)(1)(i); | Does the safety committee responsibilities, included within the PTASP or incorporated by reference, state that the safety committee with do the following:* Review and approve the agency’s PTASP and any updates as required at § 673.11(a)(1)(i);

Reference: 673.11(a)(1)(i):1. *A transit agency or State must establish a Public Transportation Agency Safety Plan that meets the requirements of this part and, at a minimum, consists of the following elements:*

*(1) The Public Transportation Agency Safety Plan, and subsequent updates, must be signed by the Accountable Executive and approved by—*1. *For a large urbanized area provider, the Safety Committee established pursuant to § 673.19, followed by the transit agency's Board of Directors or an equivalent entity; or*
2. *For all other transit agencies, the transit agency’s Board of Director or an Equivalent entity.*
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| E.14 | 673.19(d)(2) | The Safety Committee must conduct the following activities to oversee the transit agency’s safety performance:(2) Set annual safety performance targets for the safety risk reduction program as required at § 673.11(a)(7)(iii); and | Does the safety committee responsibilities, included within the PTASP or incorporated by reference, state that the safety committee will set annual safety performance targets for the safety risk reduction program as required at § 673.11(a)(7)(iii)?Reference: 673.11(a)(7)(iii):1. *A transit agency or State must establish a PTASP that meets the requirements of this part and, at a minimum, consists of the following elements:*
2. *The PTASP of each large urbanized area provider must include a safety risk reduction program for transit operations to improve safety performance by reducing the number and rates of safety events, injuries, and assaults on transit workers. The safety risk reduction program must, at a minimum:*
3. *Include the safety performance targets set by the Safety Committee pursuant to § 673.19(d)(2) for the safety risk reduction program performance measures established in the National Public Transportation Safety Plan. These targets must be set—*
4. *Based on a three-year rolling average of the data submitted by the large urbanized area provider to the National Transit Database (NTD);*
5. *For all modes of public transportation; and*
6. *Based on the level of detail the large urbanized area provider is required to report to the NTD. The Safety Committee isn’t required to set a performance measure targets until the large urbanized area provider has been required to report three years of data to the NTD corresponding to such performance measure.*
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| E.15 | 673.19(d)(3)(i) | The Safety Committee must conduct the following activities to oversee the transit agency’s safety performance:(3) Support operation of the transit agency’s SMS by:(i) Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the 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; | Does the safety committee activities, included within the PTASP or incorporated by reference, state that the safety committee will:* Identify and recommend safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the 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
 |  |  |  |
| E.16 | 673.19(d)(3)(ii) | (ii) Identifying 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; and | Does the safety committee activities, included within the PTASP or incorporated by reference, state that the safety committee will:* Identify 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
 |  |  |  |
| E.17 | 673.19(d)(3)(iii) | (iii) Identifying safety deficiencies for purposes of continuous improvement as required at § 673.27(d), including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program. | Does the safety committee activities, included within the PTASP or incorporated by reference, state that the safety committee will:* Identify safety deficiencies for purposes of continuous improvement as required at § 673.27(d), including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.
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| **673.21 Safety Management Systems** |
| F.1 | 673.21 | **General Requirements**Each transit agency must establish and implement a Safety Management System under this part. A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements: (a) Safety Management Policy(b) Safety Risk Management (c) Safety Assurance, and (d) Safety Promotion. | Does the PTASP document the agency’s establishment and implementation of safety management system?Does the PTASP document a safety management system (SMS) that is appropriately scaled to the size, scope, and complexity of the transit agency?Does the PTASP document the agency’s Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. |  |  |  |
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| **673.23 Safety Management Policy** |
| G.1 | 673.23(a) | **Safety Management Policy**(a) A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of Safety Management Policy that includes the transit agency's safety objectives and adescription of the transit agency’s Safety Committee or approach to cooperation with frontline transit worker representatives. | Has the transit agency established and documented within the PTASP: * organizational accountabilities and responsibilities?
* Written statement of Safety Management Policy, which includes:
	+ the transit agency's safety objectives,
	+ description of the transit agency’s Safety Committee or approach to cooperation with frontline transit worker representatives.
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| G.2 | 673.23(b) | (b) A transit agency must establish and implement a process that allows transit workers to report safety concerns, including assaults on transit workers, near-misses, and unsafe acts and conditions to senior management, includes protections for transit workers who report, and includes a description of transit worker behaviors that may result in disciplinary action. | Has the transit agency established and documented within the PTASP: * a process that allows transit workers to report safety concerns, including assaults on transit workers, near-misses, and unsafe acts and conditions to senior management,
* Does the process include protections for transit workers who report, and includes a description of transit worker behaviors that may result in disciplinary action?
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| G.3 | 673.23(c) | (c) The Safety Management Policy must be communicated throughout the transit agency's organization. | Does the PTASP describe how the Safety Management Policy is communicated throughout the transit agency? |  |   |  |
| G.4 | 673.23(d) | (d) The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety amongst the following individuals or groups within its organization, as they relate to the development and management of the transit agency's SMS: | Does the PTASP document that the transit agency has established the necessary authorities, accountabilities, and responsibilities for the management of safety amongst the following individuals or groups within its organization, as they relate to the development and management of the transit agency's SMS? |  |  |  |
| G.5 | 673.23(d)(1) | 1. **Accountable Executive.**

The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the transit agency's SMS is effectively implemented throughout the transit agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the transit agency's SMS. The Accountable Executive 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.(i) The Accountable Executive of a large urbanized area provider must implement safety risk mitigations for the safety risk reduction program that are included in the Agency Safety Plan under § 673.11(a)(7)(iv).(ii) The Accountable Executive of a large urbanized area provider receives and must consider all other safety risk mitigations recommended by the Safety Committee, consistent with requirements in §§ 673.19(d) and 673.25(d)(6). | Does the PTASP identify the Accountable Executive by position and name?Does the description of the Accountable Executive authorities, accountabilities, and responsibilities align with the requirements of 673, including:* Accountable Executive 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.
* The Accountable Executive of a large urbanized area provider must implement safety risk mitigations for the safety risk reduction program that are included in the Agency Safety Plan under § 673.11(a)(7)(iv).
* The Accountable Executive of a large urbanized area provider receives and must consider all other safety risk mitigations recommended by the Safety Committee, consistent with requirements in §§ 673.19(d) and 673.25(d)(6).
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| G.6 | 673.23(d)(2) | **(2) Chief Safety Officer or SMS Executive.** The Accountable Executive must designate a Chief Safety Officer or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of a transit agency's SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive. | Does the PTASP identify the Chief Safety Officer or SMS Executive by position and name?Does the description of the Chief Safety Officer or SMS Executive authorities, accountabilities, and responsibilities align with the requirements of 673? |  |  |  |
| G.7 | 673.23(d)(3) | 1. **Safety Committee.**

A large urbanized area provider must establish a joint labor-management Safety Committee that meets the requirements of § 673.19. | Does the PTASP document that the transit agency has established a joint labor-management Safety Committee that meets the requirements of 673.19?Reference: 673.11(a)(7)(iii): |  |  |  |
| G.8 | 673.23(d)(4) | **(4) Transit agency leadership and executive management.** A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Chief Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of a transit agency's SMS. | Does the PTASP identify transit agency leadership and executive management by position and name for positions that have authorities or responsibilities for day-to-day implementation and operation of a transit agency's SMS? |  |  |  |
| G.9 | 673.23(d)(5) | **(5) Key staff.** A transit agency may designate key staff, groups of staff, or committees to support the Accountable Executive, Chief Safety Officer, Safety Committee, or SMS Executive in developing, implementing, and operating the transit agency's SMS. | Does the PTASP identify key staff, groups of staff, or committees, which may include by position or name, to support the Accountable Executive, Chief Safety Officer, Safety Committee, or SMS Executive in developing, implementing, and operating the transit agency's SMS? |  |  |  |
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| **673.25 Safety Risk Management** |
| H.1 | 673.25(a) | 1. **Safety Risk Management process.**

A transit agency must develop and implement a Safety Risk Management process for all elements of its public transportation system. The Safety Risk Management process must be comprised of the following activities: hazard identification, safety risk assessment, and safety risk mitigation | Does the PTASP document that the transit agency has developed and implemented a Safety Risk Management process for all elements of its public transportation system?Is the Safety Risk Management process comprised of the following activities: hazard identification, safety risk assessment, and safety risk mitigation? |  |  |  |
| H.2 | 673.25(b) | **(b) Hazard identification.** (1) A transit agency must establish methods or processes to identify hazards and potential consequences of the hazards.(2) A transit agency must consider, as a source for hazard identification:(i) Data and information provided by an oversight authority, including but not limited to FTA, the State, or as applicable, the State Safety Oversight Agency having jurisdiction;(ii) Data and information regarding exposure to infectious disease provided by the CDC or a State health authority; and(iii) Safety concerns identified through Safety Assurance activities carried out under [§ 673.27](https://www.ecfr.gov/current/title-49/section-673.27). | Does the PTASP document that the transit agency has establish methods or processes to identify hazards and potential consequences of the hazards?Does the transit agency consider, as a source for hazard identification:* Data and information provided by an oversight authority, including but not limited to FTA, the State, or as applicable, the State Safety Oversight Agency having jurisdiction,
* Data and information regarding exposure to infectious disease provided by the CDC or a State health authority,
* Safety concerns identified through Safety Assurance activities carried out under [673.27](https://www.ecfr.gov/current/title-49/section-673.27).
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| H.3 | 673.25(c)(1)-(2) | **(c) Safety risk assessment.** (1) A transit agency must establish methods or processes to assess the safety risk associated with identified hazards.(2) A safety risk assessment includes an assessment of the likelihood and severity of the potential consequences of identified hazards, taking into account existing safety risk mitigations, to determine if safety risk mitigation is necessary and to inform prioritization of safety risk mitigations. | Does the PTASP document that the transit agency has establish methods or processes to assess the safety risk associated with identified hazards?Does the safety risk assessment include an assessment of the likelihood and severity of the potential consequences of identified hazards, taking into account existing safety risk mitigations, to determine if safety risk mitigation is necessary and to inform prioritization of safety risk mitigations? |  |  |  |
| H.4 | 673.25(d)(1) | **(d) Safety risk mitigation.**1. A transit agency must establish 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 the potential consequences.

For large urbanized area providers, these methods or processes must address the role of the transit agency's Safety Committee. | Does the PTASP document that the transit agency has establish 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 the potential consequences?For large urbanized area providers, do these methods or processes address the role of the safety committee? |  |  |  |
| H.5 | 673.25(d)(2) | 1. A transit agency must consider, as a source for safety risk mitigation:

(i) Guidance provided by an oversight authority, if applicable, and FTA; and(ii) Guidelines to prevent or control exposure to infectious diseases provided by the CDC or a State health authority. | Does the PTASP document that the transit agency considers, as a source for safety risk mitigations:* Guidance provided by an oversight authority, if applicable,
* FTA, and
* Guidelines/strategies to prevent or control exposure to infectious diseases provided by the CDC or a State health authority
 |  |  |  |
| H.6 | 673.25(d)(3) | 1. 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 under [§ 673.19(d)(2)](https://www.ecfr.gov/current/title-49/section-673.19#p-673.19(d)(2)), each large urbanized area provider and its Safety Committee must 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.
 | For large urbanized area providers: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 under [§ 673.19(d)(2)](https://www.ecfr.gov/current/title-49/section-673.19#p-673.19(d)(2)), does the transit agency:* Does the PTASP document that the transit agency considers 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?
 |  |  |  |
| H.7 | 673.25(d)(4) | 1. 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 under § 673.19(d)(2), each large urbanized area provider and its Safety Committee must consider deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities.

Assault mitigation infrastructure and technology includes barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators. | For large urbanized area providers:When identifying safety risk mitigations for the safety risk reduction program related to assaults on transit workers, including to address missed safety performance targets, does the transit agency and its Safety Committee consider deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities? |  |  |  |
| H.8 | 673.25(d)(5) | 1. When a large urbanized area provider's Safety Committee, as part of the transit agency's safety risk reduction program, identifies and recommends under § 673.19(c)(6) safety risk mitigations, including mitigations relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers, based on a safety risk assessment conducted under § 673.25(c), the transit agency must include or incorporate by reference these safety risk mitigations in its ASP pursuant to § 673.11(a)(7)(iv).
 | For large urbanized area providers:Has the transit agency included within the PTASP or incorporated by reference, safety risk mitigations identified and recommended by the safety committee, including mitigations relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers, based on a safety risk assessment conducted under § 673.25(c)? |  |  |  |
| H.9 | 673.25(d)(6) | 1. When a large urbanized area provider's 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 must prepare a written statement explaining their decision, pursuant to recordkeeping requirements at § 673.31.

The Accountable Executive must submit and present this explanation to the transit agency's Safety Committee and Board of Directors or equivalent entity. | For large urbanized area providers:Does the PTASP include the requirement that the AE must prepare a written statement explaining their decision when the AE decides not to implement a safety risk mitigation, unrelated to the safety risk reduction program, recommended by the safety committee?Does the PTASP state the AE must submit and present the explanation to the safety committee and Board of Directors or equivalent entity? |  |  |  |
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| **673.27 Safety Assurance** |
| I.1 | 673.27(a)  | 1. **Safety Assurance process.**

A transit agency must develop and implement a Safety Assurance process, consistent with this subpart. A rail fixed guideway public transportation system, and a recipient or subrecipient of Federal financial assistance under 49 U.S.C. chapter 53 that operates more than one hundred vehicles in peak revenue service, must include in its Safety Assurance process each of the requirements in paragraphs (b), (c), and (d) of this section. A small public transportation provider only must include in its Safety Assurance process the requirements in paragraphs (b) and (d) of this section. | Does the PTASP document that the transit agency has developed and implemented a safety assurance process?Does the transit agency operate more than one hundred vehicles in peak revenue service?* If yes, the transit agency must comply with (b), (c), and (d) below.
* If no, then the transit agency is a small public transportation provider and must only comply with (b) and (d) below.
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| I.2 | 673.27(b) | 1. **Safety performance monitoring and measurement.**

A transit agency must establish activities to:(1) Monitor its system for compliance with, and sufficiency of, the transit agency's procedures for operations and maintenance;(2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. For large urbanized area providers, these activities must address the role of the transit agency's Safety Committee;(3) Conduct investigations of safety events to identify causal factors; and(4) Monitor information reported through any internal safety reporting programs. | Does the PTASP document that the transit agency has developed and established activities to:1. Monitor its system for compliance with, and sufficiency of, the transit agency's procedures for operations and maintenance?
2. Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.
	1. For large urbanized area providers, these activities must address the role of the transit agency's Safety Committee;
3. Conduct investigations of safety events to identify causal factors?
4. Monitor information reported through any internal safety reporting programs?
 |  |  |  |
| I.3 | 673.27(c) | 1. **Management of change.**

(1) A transit agency must establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance.(2) If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process. | Does the PTASP document that the transit agency: Has developed and established a process to identify and assess changes that may introduce new hazards or impact the transit agency's safety performance?If the transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process? |  |  |  |
| I.4 | 673.27(d)(1)(i-iii)Program Standard Section 4.7 | 1. **Continuous improvement.**

(1) A transit agency must establish a ***process*** to assess its safety performance annually.(i) This process must include the identification of deficiencies in the transit agency's SMS and deficiencies in the transit agency's performance against safety performance targets required in § 673.11(a)(3).(ii) For large urbanized area providers, this process must also address the role of the transit agency's Safety Committee, and include the identification of deficiencies in the transit agency's performance against annual safety performance targets set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program required in § 673.11(a)(7).(iii) Rail transit agencies must also address any specific internal safety review requirements established by their SSOA. | Does the PTASP document a ***process*** to assess its safety performance annually?Does the process include the identification of deficiencies in the agency’s SMS and performance against safety performance targets required by 673.11(a)(3)?For large urbanized area providers, does the process address the role of the transit agency's Safety Committee, and include the identification of deficiencies in the transit agency's performance against annual safety performance targets set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program required in § 673.11(a)(7)?Does the Annual Internal Safety Review Process include the following key details:* Transit agency shall submit the ISR package at least 60 days prior to conducting ISR.
* Does the ISR process state the items required to be submitted as part of the ISR package?
* Does the ISR process state the package approval milestones and associated dates?
* Does the ISR process state required ISR report submission requirements, including required report contents, required submission items, and associated deadlines?
 |  |  |  |
| I.5 | 673.27(d)(2) | 1. A large urbanized area provider must monitor safety performance against annual safety performance targets set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program in § 673.11(a)(7).
 | For large urbanized area providers:Does the PTASP document a ***process*** to monitor safety performance against annual safety performance targets for the safety risk reduction program? |  |  |  |
| I.6 | 673.27(d)(3) | 1. A large urbanized area provider that does not meet an established annual safety performance target set by the Safety Committee under § 673.19(d)(2) for the safety risk reduction program in § 673.11(a)(7) must:

(i) Assess associated safety risk, using the methods or processes established under § 673.25(c);(ii) Mitigate associated safety risk based on the results of a safety risk assessment using the methods or processes established under § 673.25(d). The transit agency must include these mitigations in the plan described at § 673.27(d)(4) and in the Agency Safety Plan as described in § 673.25(d)(5); and(iii) Allocate 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 assist the transit agency in meeting the safety performance target in the future. | For large urbanized area providers:Does the PTASP document the following, if the transit agency doesn’t meet a risk reduction program annual safety performance target:* Transit agency must assess associated risk using methods or processes established by 673.25(c)?
* Transit agency must mitigate associated safety risk based on the results of a safety risk assessment using the methods or processes established under § 673.25(d)?
	+ Mitigations must be included within the AE directed plan to address deficiencies as required by 673.27(d)(4), and
	+ Included within the PTASP.

Does the PTASP document that the transit agency with allocate 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 assist the transit agency in meeting the safety performance target in the future? |  |  |  |
| I.7 | 673.27(d)(4) | 1. A transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address any deficiencies identified through the safety performance assessment as described in this section.
 | Does the PTASP document that the transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address any deficiencies identified through the safety performance assessment? |  |  |  |
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| **673.29 Safety Promotion** |
| J.1 | 673.29(a) | 1. **Competencies and training.**

(1) A transit agency must establish and implement a comprehensive safety training program that includes de-escalation training, safety concern identification and reporting training, and refresher training for all operations transit workers and transit workers directly responsible for safety in the transit agency's public transportation system. The training program must include refresher training, as necessary.(2) Large urbanized area providers must include maintenance transit workers in the safety training program. | Does the PTASP document or incorporate by reference a comprehensive safety training program?Does the safety training program include:* De-escalation training?
* Safety concern identification and reporting training?
* Refresher training for all operations and transit workers directly responsible for safety?
* Refresher training, as necessary?

For large urbanized area providers, are maintenance transit workers included in the safety training program? |  |  |  |
| J.2 | 673.29(b) | 1. **Safety communication.**

A transit agency must communicate safety and safety performance information throughout the transit agency's organization that, at a minimum, conveys information on hazards and safety risk relevant to transit workers' roles and responsibilities and informs transit workers of safety actions taken in response to reports submitted through a transit worker safety reporting program. A transit agency must also communicate the results of cooperation with frontline transit worker representatives as described at § 673.17(b) or the Safety Committee activities described in § 673.19. | Does the PTASP document safety communication requirements include the following items?Information on hazards and safety risks relevant to transit workers’ roles and responsibilities?Transit workers informed of safety actions taken in response to reports submitted through a transit worker safety reporting program?Communicate of the results of cooperation with frontline transit worker representatives as described at § 673.17(b) or the Safety Committee activities described in § 673.19. |  |  |  |
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| **673.31 Safety Plan Documentation and Recordkeeping.**  |
| K.1 | 673.31 | **Safety plan documentation.**At all times, a transit agency must maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS processes and activities. A transit agency must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the transit agency uses to carry out its PTASP. These documents must be made available upon request by FTA or other Federal entity, or a State or State Safety Oversight Agency having jurisdiction. A transit agency must maintain these documents for a minimum of three years after they are created. | Does the PTASP state the PTASP and SMS related documents are retained for a minimum of three years after the documents are created? |  |  |  |
|  |  |  |  |  |  |  |
| **673.5 Definitions** |
| L.1 | 673.5 | 49 CFR 673.5 Definitions*Definitions used in the PTASP and associated documentation must be consistent with 49 CFR 673.* | Are the definitions of terms used in the PTASP consistent with 673? |  |  |  |
|  |  |  |  |  |  |  |