



## Program Standard for Rail Safety and Security Oversight

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Georgia Department of Transportation

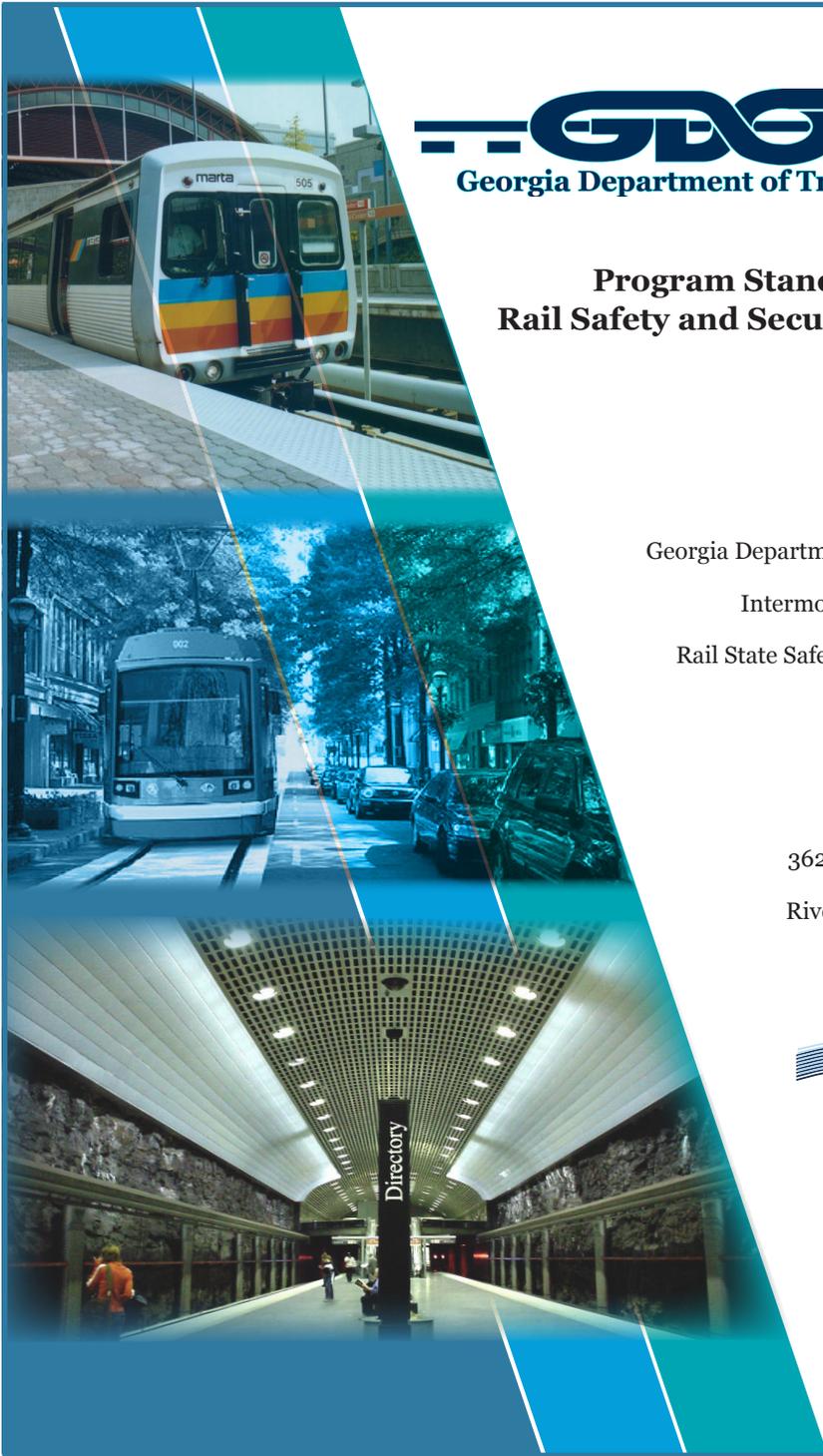
Intermodal Planning Division

Rail State Safety Oversight Program

*Issue Date*

August 2013

FINAL



Georgia Department of Transportation

## Program Standard for Rail Safety and Security Oversight

### *Issued By*

Georgia Department of Transportation  
Intermodal Planning Division  
Rail State Safety Oversight Program

### *Prepared By*

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### *Issue Date*

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## Approvals

The individuals below, submitting and signing this Program Standard for Rail Transit Safety and Security Oversight, verify that it was prepared in accordance with the requirements set forth by the Federal Transit Administration in 49 CFR Part 659, Rail Fixed Guideway Systems, State Safety Oversight, Final Rule (April 2005); that they are authorized representatives of the State of Georgia Department of Transportation, the designated State Safety Oversight Agency; and that their signatures attest that all items and conditions contained in this Program Standard are understood, accepted, and approved.

**APPROVED BY:**

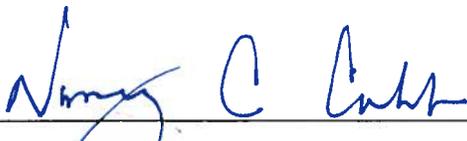


Carol L. Comer, Director, Division of Intermodal

9/6/2013

Date

**RECOMMENDED FOR APPROVAL BY:**



Nancy Cobb, CEcD, Administrator, Division of Intermodal

09/03/13

Date



Crystal Odum Ford, Transit Program Manager, Division of Intermodal

9/3/13

Date



Chet Welch, P.E., Interim Rail Safety Oversight Manager, Division of Intermodal

9/13/13

Date

## Revisions

Revision #	Effective Date	Revised Section (s)	Purpose
Revision 8	August 9, 2013	All	To revise based on the Program Standard update process; and to comply with the requirements of 49 CFR Part 659, State Safety Oversight Rule.
Revision 7	January 15, 2010	All	To address comments received from rail transit agency on Revision 6.
Revision 6	August 31, 2009 (Draft)	All	To address FTA Office of Safety and Security findings of Non-Compliance and Compliance with Recommendations resulting from the State Safety Oversight Audit of the Georgia Department of Transportation (February 11-13, 2008).
Revision 5	January 31, 2009	Sections 1, 2, 3, 4, 7, 9, 10	Annual revision.
Revision 4	December 31, 2007	Section 1, 2, 3, 5, Appendices	Annual revision.
Revision 3	September 18, 2006	Sections 1, 2, 3	Final revisions to the Interim Georgia Program Standard.
Revision 2	April 10, 2006	All	Interim Georgia Program Standard.
Revision 1	January 28, 2002	--	--
Initial Issue	March 17, 1999	--	To comply with the requirements of 49 CFR Part 659, State Safety Oversight Rule and State Law (HB 669).

# Program Management

## PM.0 Purpose

This section of the Program Standard introduces the legislative authority for the Georgia Department of Transportation (GDOT) State Safety Oversight (SSO) program to address the requirements of the federal transportation legislation, Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21) and the current implementation rule, 49 CFR Part 659, State Safety Oversight, Final Rule. These regulations establish minimum requirements for safety and security programs at each rail transit agency within the state's jurisdiction.

This section also describes the roles and responsibilities of the Federal Transit Administration, State of Georgia, Georgia Department of Transportation (the designated State Safety Oversight Agency), and the rail transit agencies subject to the requirements of MAP-21 and 49 CFR Part 659.

This section provides a brief description of each program area to which GDOT SSO provides oversight, the contact information for GDOT SSO and the rail transit agencies – Metropolitan Atlanta Rapid Transit Authority (MARTA) and City of Atlanta [hereinafter referred to as MARTA / CITY] – which are subject to the Program Standard. These transit agencies are only referred to jointly within this Program Standard for the purposes of documenting the requirements that are applicable to each rail transit agency. MARTA and the CITY are required to distinctly and independently develop, adopt, and implement the safety and security program requirements described within this document.

This section concludes with a listing of definitions and acronyms that are used throughout the Program Standard.

## PM.1 Authority

### PM.1.1 Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21)

On July 6, 2012, President Obama signed into law P.L. 112-141, the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21). MAP-21 provides funds and transforms the policy and programmatic framework for investments to guide the growth and development of the country's vital transportation infrastructure.

MAP-21 creates a streamlined, performance-based, and multimodal program to address the many challenges facing the U.S. transportation system. These challenges include improving safety, maintaining infrastructure condition, reducing traffic congestion, improving efficiency of the system and freight movement, protecting the environment, and reducing delays in project delivery.

MAP-21 builds on and refines many of the highway, transit, bike, and pedestrian programs and policies established in the Intermodal Surface Transportation Efficiency Act (ISTEA) which was enacted in 1991 and subsequently reauthorized by the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

SAFETEA-LU required states to oversee the safety and security of rail transit agencies as

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defined in Section 5330, State Safety Oversight. SAFETEA-LU, including Section 5330, expired on September 30, 2012. MAP-21, including Section 5326, Transit Asset Management and Section 5329, Public Transportation Safety Program, took effect on October 1, 2012. However, until the rulemaking process for MAP-21 is complete, current transportation programs will be managed under the existing rule, 49 CFR Part 659. To that end, the remaining and affected sections of this Program Standard will be updated with further details accordingly as the implementation guidelines for MAP-21 are provided to GDOT, the State Safety Oversight Agency.

The following is a list of significant highlights from MAP 21:

- **Safety.** In a historic move, FTA has been granted significant new authority to strengthen the safety of public transportation throughout the United States – its highest priority. This is the culmination of a concerted effort that began in December 2009 when Secretary LaHood formally transmitted to Congress President Obama’s legislative proposal to establish and enforce minimum federal safety standards for rail transit systems. MAP-21 includes many of the new authorities included in the Administration’s original proposal and also includes important safety provisions for bus-only operators. FTA looks forward to implementing the new law in consultation with the transit community and its Transit Rail Advisory Committee for Safety (TRACS), which has been working since September of 2010 to help guide this effort.
- **State of Good Repair.** In his proposed budgets, the President called for record state-of-good-repair investments in the nation’s transit systems, sounding the call to reinvest in and modernize our assets. MAP-21 places new emphasis on restoring and replacing aging transportation infrastructure by establishing a new needs-based formula program, with a new tier for high-intensity bus needs. The new program defines eligible recapitalization and restoration activities, with a goal of bringing all systems into a state of good repair. Under the new law, grantees will be required to establish and use an asset management system to develop capital asset inventories and condition assessments, and report on the condition of their system as a whole.
- **Formula Program Consolidation and Elimination.** MAP-21 places new emphasis on cutting red tape to improve the efficiency of grant program operations. The President’s budget set the pace for this important evolution with its commitment to consolidate certain programs and eliminate others. Under MAP-21, the annual formula programs have been amended, including:
  - The new State of Good Repair Program (5337) replaces the Fixed Guideway Modernization Program and includes funding to support high-intensity bus systems.
  - The Urbanized Area (5307) and Rural (5311) programs now allow funding to be used for activities that were eligible under the Job Access and Reverse Commute program.
- **New Starts Streamlining and Core Capacity Project Eligibility.** Based on extensive feedback from project sponsors and other stakeholders, MAP-21 streamlines the New Starts process and accelerates project delivery by eliminating duplicative steps in project development and simplifying the evaluation criteria, which will enable FTA to review project proposals more quickly, without sacrificing effective project oversight. Major capital projects

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focused on improving or restoring the core capacity of fixed-guideway systems will be newly eligible for discretionary capital funds. Additionally, MAP-21 makes changes to the Small Starts program that will speed up the construction of Small Starts projects.

**Appendix A** contains excerpts related to State Safety Oversight of the Federal Public Transportation Act of 2012, also referred to as MAP-21.

**PM.1.2 49 CFR Part 659, State Safety Oversight, Final Rule**

FTA promulgated its regulations through the adoption of a rule in 1995, entitled “Rail Fixed Guideway Systems; State Safety Oversight” (49 CFR Part 659). FTA most recently revised 49 CFR Part 659, publishing its new final rule on April 29, 2005, hereinafter referred to as “the rule” or 49 CFR Part 659. The Federal Transit Administration (FTA) Rail Fixed Guideway Systems, State Safety Oversight, Final Rule, 49 CFR Part 659, requires states to oversee the safety and security of rail fixed guideway systems through a designated oversight agency. Georgia Department of Transportation (GDOT) is the designated state safety oversight agency for the State of Georgia.

The purpose of this rule is to improve the performance of the State Safety Oversight (SSO) Program and to ensure the following outcomes:

1. Enhance program efficiency;
2. Increase responsiveness to recommendations from the National Transportation Safety Board (NTSB) and emerging safety and security issues;
3. Improve consistency in the collection and analysis of accident causal factors through increased coordination with other Federal reporting and investigation programs; and
4. Improve performance of the hazard management process.

The rule also clarifies FTA’s oversight management objectives and streamlines current reporting requirements. Finally, the rule addresses heightened concerns for rail transit security and emergency preparedness.

Following approximately three years of rulemaking, on October 1, 2015, the final rule under MAP-21, Section 5329 will require that the rail transit agency or State (on behalf of a small public transportation provider) to certify that the rail transit agency has established a comprehensive agency safety plan that complies with MAP-21. The rail transit agency’s System Safety Program Plan developed pursuant to 49 CFR Part 659 will no longer be in effect at that time.

**Appendix B** contains a copy of 49 CFR Part 659, Rail Fixed Guideway Systems; State Safety Oversight.

**PM.1.3 Official Code of Georgia Annotated, Title 32, Section 32-9-10**

**Appendix C** includes a copy of the Official Code of Georgia Annotated, Title 32, Highways, Bridges, and Ferries, Chapter 9, Mass Transportation, Section 32-9-10, Federal Intermodal Surface Transportation Efficiency Act of 1991, Implementation at State Level.

## **PM.1.4 Program Standard**

The purpose of the Program Standard is to provide standards, procedures, and technical direction to assist rail transit agencies in implementing the requirements of the GDOT State Safety Oversight Program. The Program Standard also specifies the safety and security information requirements for on-going communication between GDOT and MARTA / CITY, the affected rail transit agencies, and addresses GDOT's communication with FTA, including Initial, Annual, and Periodic submissions.

As defined in § 659.5 of the rule, a Program Standard is “a written document developed and adopted by the oversight agency, that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.” As specified in § 659.39 (b), the Program Standard is supported by “referenced procedures,” which describe the activities identified in the Program Standard, and provide greater detail regarding how the oversight agency will conduct its program, including such activities as accident investigation; review and approval of rail transit agency annual reports and certifications for the internal safety and security audit process; and the conduct of the oversight agency's three-year review.

This document is the Program Standard for Rail Transit Safety and Security Oversight (Program Standard) adopted by GDOT SSO. Refer to **Section 1** for further details.

The effective date of the Program Standard is **August 9, 2013**. This Program Standard supersedes all previous versions, including any and all guidance issued by GDOT SSO to the affected rail transit agencies related to the provisions described herein.

## **PM.2 Roles and Responsibilities**

### **PM.2.1 Responsibilities of Federal Transit Administration**

FTA must assess whether the State of Georgia has complied with the Rule or has made adequate efforts to comply with the Rule. If FTA determines that Georgia is not in compliance or has not made adequate efforts to comply, it may withhold up to five percent of the amount apportioned for use in the state or affected urbanized areas under FTA's formula program for urbanized areas. FTA carries out this monitoring function, in part, through its SSO Audit Program. Also, FTA receives and evaluates Initial Submissions, Annual Submissions, and Periodic Submissions from GDOT SSO.

MAP-21, Section 5329, (7), Certification Process, indicates that the FTA will determine whether or not each State oversight program meets the requirements of Section 5329 and if the State Safety Oversight program is adequate to promote the purposes of Section 5329. As such, the FTA will issue a certification to each eligible State that the Secretary determines adequately meets the requirements of Section 5329, and may issue a denial of certification to each eligible State that the Secretary determines does not adequately meet the requirements of the section. Refer to **Section 9** for further details.

### **PM.2.2 Responsibilities of the State**

The primary responsibility of the State of Georgia is designating an entity – other than the rail transit agency – to oversee the safety and security of rail fixed guideway systems. If the rail transit agency operates in more than one state, each state may designate an entity as the oversight agency or may agree to designate one agency from one state to provide oversight. In either case, in all circumstances in which a rail transit agency is operating in multiple states, the rail transit agency operating the rail fixed guideway system must be subject to only one Program Standard.

### **PM.2.3 Responsibilities of the State Safety Oversight Agency**

The oversight agency, the Georgia Department of Transportation, is required to prepare a Program Standard, which is a written document developed and adopted by the oversight agency that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight. The Program Standard must address, at a minimum, the nine areas identified by FTA in § 659.15 and described in Section PM.3 of this document.

### **PM.2.4 Responsibilities of the Rail Transit Agency**

A rail transit agency subject to 49 CFR Part 659 must develop and implement a System Safety Program Plan (SSPP) and System Security Plan (SSP) that comply with GDOT's Program Standard. These plans and any supporting or referenced procedures must be submitted to GDOT for review and approval, according to schedules specified in this standard. In addition, the rail transit agency's responsibilities include, but are not limited to:

- Conducting annual reviews to determine if the SSPP and SSP need to be updated and coordinating updates and reviews /approvals with GDOT SSO.
- Performing an internal safety and security audit process to review all elements identified in the SSPP and SSP over a three-year cycle.
- Developing and submitting to GDOT SSO an internal audit schedule, procedures, and checklists, and notifying the oversight agency at least **30 days** prior to the conduct of individual safety and security audits.
- Submitting annual reports to GDOT SSO documenting activity for its internal safety and security audit process, including compliance with the schedule established for the internal audit program, the activities performed, and a listing of findings, corrective actions, and recommendations and the status of their implementation.
- Submitting to GDOT SSO a certification signed by the rail transit agency chief executive regarding the agency's compliance with its SSPP and SSP. In the event that the chief executive cannot submit this certificate, the rail transit agency must submit to GDOT the steps it will take to achieve compliance with the SSPP and / or SSP.
- Implementing the hazard management process specified in the SSPP and supporting on-going coordination with the oversight agency.
- Reporting any accident / incident that meets the thresholds specified in the revised rule or that must be reported to Federal Railroad Administration (FRA).
- Conducting accident / incident investigations on behalf of GDOT SSO when directed to do so.
- Preparing corrective action plans and then implementing the plans so as to minimize, control, correct, or eliminate conditions that have caused an accident / incident, findings from oversight agency three-year reviews, or at the request of GDOT SSO

based on the on-going hazard management process.

### **PM.3 SSO Program Areas**

The remainder of the Program Standard is organized into the following 13 sections which address the requirements identified by FTA in Section 5329 of MAP-21 and § 659.15 of 49 CFR Part 659:

#### **Section 1. Program Standard**

This section includes an explanation of GDOT SSO's authority; policies, and roles and responsibilities for providing safety and security oversight of the rail transit agencies within its jurisdiction. This section also provides an overview of the planned activities to ensure ongoing communication with MARTA / CITY, the affected rail transit agencies, relating to safety and security information.

#### **Section 2. System Safety Program Plan**

This section specifies the minimum requirements to be contained in MARTA / CITY's System Safety Program Plans as defined in § 659.19. This section will also describe the process and timeframe through which GDOT SSO must receive, review, and approve MARTA / CITY's System Safety Program Plans.

#### **Section 3. System Security Program Plan**

This section specifies the minimum requirements to be included in MARTA / CITY's System Security Plans as defined in § 659.21 and § 659.23. This section also describes the process by which GDOT SSO will review and approve MARTA / CITY's System Security Plans. This section identifies how GDOT SSO will prevent the Security Plans from public disclosure. In addition, **Section 3** describes the minimum requirements and GDOT SSO review and approval process in the event MARTA / CITY develop Security and Emergency Preparedness Plans.

#### **Section 4. Internal Safety and Security Audit Program**

This section specifies the role of GDOT SSO in requiring and overseeing MARTA / CITY's internal safety and security audit processes as defined in § 659.27. This section includes a description of the process used by GDOT SSO to receive MARTA / CITY's checklists and procedures and approve MARTA / CITY's annual reports on findings, which must be submitted under the signature of MARTA / CITY's top management. This section also addresses all other requirements specified for the internal safety and security audit process.

#### **Section 5. Hazard Management Process**

This section specifies the process by which MARTA / CITY will provide on-going reporting of hazard resolution activities to GDOT SSO. This section also specifies information to be included in MARTA / CITY's System Safety Program Plans relating to the hazard management process, including requirements for ongoing communication and coordination relating to the identification, categorization, resolution, and reporting of hazards to GDOT SSO. This section also addresses all other requirements specified for the hazard

management process contained in § 659.31.

**Section 6. Accident Notification, Investigation, and Reporting**

This section includes the specific requirements for MARTA / CITY to notify GDOT SSO of accidents and incidents. This section also includes required timeframes, methods of notification, and the information to be submitted by MARTA / CITY with notification. This section addresses all other requirements specified for accident notification as defined in § 659.33. In addition, this section contains GDOT SSO's identification of the thresholds for incidents that require GDOT investigation or cause to be investigated. The section also describes the roles and responsibilities for conducting investigations. This section addresses all other requirements specified for accident investigation and reporting included in § 659.35.

**Section 7. Three-Year On-Site Safety and Security Review**

This section explains the process and criteria used by GDOT SSO, every three years, in conducting a complete review of MARTA / CITY's implementation of their System Safety Program Plans and System Security Plans as specified in § 659.29. This section includes the process used by MARTA / CITY and the oversight agency to manage findings and recommendations from these reviews. This section also includes applicable procedures that support integration of MARTA / CITY's internal safety and security audit processes into the state oversight agency's three-year safety and security review process.

**Section 8. Corrective Action Plans**

This section specifies the criteria for the development of MARTA / CITY's corrective action plan(s) and the process for GDOT SSO's review and approval of these plans. This section also identifies GDOT SSO's policies for the verification and tracking of corrective action implementation. This section also specifies GDOT SSO's process for managing conflicts with MARTA / CITY relating to investigation findings and corrective action plan development. Finally, this section addresses all additional requirements for correction action plans included in § 659.37.

**Section 9. Federal Transit Administration Reporting and Certification**

This section addresses FTA reporting requirements for the SSO, including Initial, Annual and Periodic Submissions. This section also describes the FTA's program to determine whether or not each SSO program meets the requirements of MAP-21, Section 5329, Public Transportation Safety Program.

**Section 10. Safety and Security Certification Plan**

This section of the Program Standard addresses GDOT SSO's requirements to ensure that a project-specific Safety and Security Certification Plan (SSCP) is developed and implemented. Each SSCP must ensure that when revenue service begins, the project is safe and secure for passengers, employees, public safety personnel, and the general public through a formal program of safety and security certification and hazard and security threat / vulnerabilities management.

**Section 11. Safety Training Program**

This section describes the public transportation safety certification training program to be developed by FTA that applies to transit grantees regardless of mode. The program is for federal and state employees or other personnel who conduct audits as well as employees of rail transit agencies responsible for safety oversight.

**Section 12. Transit Asset Management Plan**

The purpose of this section is to describe the Transit Asset Management System to be developed by FTA in accordance with the Federal Public Transportation Act of 2012 (MAP-21), Section 5326.

**Section 13. Engineering and Construction Phase**

The purpose of this section is to describe GDOT's oversight activities of MARTA / CITY during the design, construction, testing and start-up, and project turn-over phases for New Starts, Small Starts, or other federally funded grant projects subject to the state safety and security oversight program.

**PM.4 GDOT SSO Contacts**

GDOT has designated **Chet Welch, P.E.**, for the Georgia Department of Transportation as the Interim Rail Safety Oversight Manager (SSO Program Manager).

The SSO Program Manager administers the state safety and security oversight program and reports to **Crystal Odum Ford**, Transit Program Manager, Division of Intermodal, Georgia Department of Transportation. The Transit Program Manager, Division of Intermodal, Georgia Department of Transportation reports to **Nancy Cobb**, Administrator, Division of Intermodal, Georgia Department of Transportation. The Administrator, Division of Intermodal, Georgia Department of Transportation reports to **Carol Comer**, Director, Division of Intermodal, Georgia Department of Transportation.

The Director, Division of Intermodal is authorized to dedicate personnel, technical or staff support resources to the SSO program. GDOT SSO retains the authority to use contractors as required to support the performance of safety or security oversight activities.

The SSO Program Manager and Transit Program Manager are authorized to arrange meetings with the General Manager / Chief Executive Officer, Chief Safety and Security Officer, and Chief Operations Officer or equivalent positions on issues related to the rail transit agency's compliance with 49 CFR Part 659 and the Program Standard.

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**Table PM.4 GDOT SSO Contacts**

Role	Contact Information
<b>Director Division of Intermodal</b>	Carol L. Comer Aviation - Rail - Transit - Waterways Georgia Department of Transportation 600 W. Peachtree St., NW Atlanta, GA 30308 ccomer@dot.ga.gov www.dot.ga.gov T: 404.347.0573 F: 404.631.1937 M: 770.639.0331
<b>Administrator Division of Intermodal</b>	Nancy C. Cobb, CEcD Aviation - Rail - Transit - Waterways Georgia Department of Transportation 600 W. Peachtree St., NW One Georgia Center Atlanta, GA 30308 ncobb@dot.ga.gov www.dot.ga.gov T: 404.631.1242 F: 404.631.1937 M: 404.673.9114
<b>Transit Program Manager Division of Intermodal</b>	Crystal Odum Ford Aviation - Rail - Transit - Waterways Georgia Department of Transportation 600 W. Peachtree St., N.W. Atlanta, GA 30308 codumford@dot.ga.gov www.dot.ga.gov T: 404. 631.1237 F: 404.631.1935 M: 404.673.9115
<b>Interim Rail Safety Oversight Manager (SSO Program Manager) Division of Intermodal</b>	Chet Welch, P.E. Aviation - Rail - Transit - Waterways Georgia Department of Transportation 600 W. Peachtree St., NW Atlanta, GA 30308 cwelch@dot.ga.gov www.dot.ga.gov T: 404.631.1230 M: 478.803.2523

The organization chart for the GDOT Division of Intermodal is provided in **Appendix D**.

**PM.5 Affected Rail Transit Agency(s)**

Rail transit agencies affected by the GDOT SSO program include any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, or automated guideway operating within the state's jurisdiction that is:

- not subject to regulation by the Federal Railroad Administration; or
- a rail fixed guideway public transportation system in the engineering or construction

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phase of development within the jurisdiction of the State that will not be subject to regulation by the Federal Railroad Administration.

As of the effective date of this document, the rail transit agencies subject to the provisions of the GDOT SSO Program are listed in the table below:

**Table PM.5.1 Affected Rail Transit Agencies**

Agency	Address	System Description	Revenue Operations Date
MARTA	2424 Piedmont Road, NE Atlanta, GA 30324	MARTA is the ninth largest transit system in the U.S. MARTA operates 338 rail cars in 38 stations on 48.1 miles of rail. MARTA's service population is 1.7 million in the City of Atlanta, Fulton and DeKalb Counties.	1979 (rail)
City of Atlanta	55 Trinity Avenue, SW Suite 4700 Atlanta, GA 30303	Atlanta Streetcar Project is 2.9 miles, runs at-grade on existing streets, and has 12 stops on an east-west loop from Martin Luther King, Jr. National Historic Site to Centennial Olympic Park.	Mid 2014

MARTA / CITY, the affected rail transit agencies, will supply and update as necessary the points-of-contact for their safety and security programs to the GDOT SSO Program Manager.

The MARTA / CITY point-of-contact information is listed in the table below:

**Table PM.5.2 MARTA / CITY Safety and Security Contacts**

Agency	Point-of-Contact	
MARTA	Rod Hembree (Safety – Primary) Acting AGM of Safety and Quality Assurance MARTA 2400 Piedmont Road, NE Atlanta, Georgia 30324-3330 T: (404) 848-4870 M: (404) 427-6399 rohembree@itsmarta.com	Chief Wanda Dunham (Security - Primary) Chief of Police & Emergency Management MARTA 2424 Piedmont Road, NE Atlanta, Georgia 30324 T: (404) 848-4917 F: (404) 848-5005 wdunham@itsmarta.com
City of Atlanta	Timothy Borchers (Primary) Deputy Commissioner Public Works Executive Director Atlanta Streetcar 55 Trinity Avenue SW, Suite 4900 Atlanta, GA 30303-0324 T: (404) 330-6240 M: (404) 801-6561 F: (404) 739-4712 trorchers@atlantaga.gov	Shelley Peart (Alternate) Atlanta Streetcar Project Manager City of Atlanta 55 Trinity Avenue, SW, Suite 4700 Atlanta, GA 30303 T: (404) 330-6781 M: (404) 576-6778 speart@atlantaga.gov

## **PM.6 Conflict of Interest**

No individual or entity may provide services to both the GDOT SSO program and MARTA / CITY when there is a conflict of interest or an appearance of a conflict. A conflict of interest occurs when an individual or entity performing work for MARTA / CITY or the GDOT SSO program is unable to render impartial assistance or advice on the development or implementation of the standards and provisions of this SSO manual, or to objectively perform such work without bias. A third party contractor to the GDOT SSO program or MARTA / CITY may not have an unfair competitive advantage over other contractors. Each contractor is subject to full disclosure on all present and potential conflicts of interest in its activities or relationships prior to being awarded a contract with the GDOT SSO program or MARTA / CITY.

## **PM.7 Definitions**

Definitions used in this document include the following:

**AIP** means Accident / Incident Investigation Plan.

**APTA** means American Public Transportation Association.

**City** means the City of Atlanta.

**Collision (non-Rail Grade Crossing)** includes train to train, train to vehicle, train to object, and train to individual collisions that DO NOT OCCUR at rail grade crossings. Suicides or trespassing-related collisions not occurring at a rail grade crossing are defined as "Collision (non-Rail Grade Crossing)" with a probable cause of "suicide" or "trespasser" as applicable.

**Contractor** means an entity that performs tasks required on behalf of the oversight or rail transit agency. The rail transit agency may not be a contractor for the oversight agency.

**Corrective Action Plan (CAP)** means a plan developed by the rail transit agency that describes the actions the rail transit agency will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions. These plans also refer to actions taken to address deficiencies identified through internal and external audit findings or to prevent reoccurrence of the causal factors identified from accident / incident investigations.

**CSSP** means Construction Safety and Security Plan.

**Derailment** means all derailments, including derailments of both revenue and maintenance vehicles. Yard derailments are included in this definition if a GDOT-reportable incident meets another reporting threshold (injury, property damage, etc.).

**Eligible State** means a State that has a rail fixed guideway public transportation system within the jurisdiction of the State that is not subject to regulation by the Federal Railroad Administration; or a rail fixed guideway public transportation system in the engineering or construction phase of development within the jurisdiction of the State that will not be subject to regulation by the Federal Railroad Administration.

**Evacuation due to life safety reasons** means all evacuations of rail transit controlled property for life safety events. A life safety event is one that presents an imminent danger to ALL people in or on rail transit controlled property. This includes evacuations of rail transit vehicles and rail transit property, such as stations. The evacuation may be due to the presence of smoke, fuel fumes,

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suspicious package, bomb threat, etc.

**Fire** means uncontrolled combustion made evident by flame and / or smoke that requires suppression by equipment or personnel.

**FRA** means the Federal Railroad Administration, an agency within the U.S. Department of Transportation.

**FTA** means the Federal Transit Administration, an agency within the U.S. Department of Transportation.

**GDOT** means the Georgia Department of Transportation.

**Hazard** means any real or potential condition (as defined in the rail transit agency's hazard management process) that can cause injury, illness, or death; damage to, or loss of, a system, equipment, or property; or damage to the environment. Examples of hazards include, but are not limited to, exposed energized electrical conductors or equipment that can be contacted by passengers or employees, fire or smoke conditions on rail transit controlled property, or improper door opening of a rail transit vehicle while moving.

**HMP** means Hazard Management Plan.

**IAPP** means Internal Audit Program Plan.

**Individual** means a passenger, employee, contractor, rail transit facility worker, pedestrian, trespasser, or any person on rail transit-controlled property.

**Initial Submission** means any standard, plan, procedure, or other SSO-related document to be submitted by a rail transit agency to GDOT for review and approval that has not been previously reviewed and approved in accordance with the requirements of the Program Standard.

**ISAP** means Internal Safety Audit Program.

**Investigation** means the process used to determine the causal and contributing factors of an accident or hazard, so that actions can be identified to prevent recurrence.

**ISTEA** means the Intermodal Surface Transportation Efficiency Act.

**MAP-21** means Moving Ahead for Progress in the 21<sup>st</sup> Century Act.

**MARTA** means the Metropolitan Atlanta Rapid Transit Authority.

**Near Miss / Face-Up** means an undesired event (as defined in the rail transit agency's Accident / Incident Investigation Plan) that under slightly different circumstances could have resulted in injuries to people, damage to property or the environment, and / or loss or disruption of service.

**New Start Project** means any rail fixed guideway system funded under FTA's 49 U.S.C. 5309 discretionary construction program.

**NTSB** means the National Transportation Safety Board.

**OCC** means Operations Control Center.

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**Oversight Agency** means the entity, other than the rail transit agency, designated by the state or several states to implement the State Safety Oversight Program.

**Passenger** means a person who is on board, boarding, or alighting from a rail transit vehicle for the purpose of travel.

**Passenger Operations** means the period of time when any aspect of the rail transit agency operations are initiated with the intent to carry passengers.

**Program Standard** means a written document developed and adopted by the oversight agency that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.

**PMP** means Project Management Plan.

**Rail Fixed Guideway System** means any light, heavy, or rapid system, monorail, inclined plane, funicular, trolley, or automated guideway that: (1) is not regulated by the Federal Railroad Administration; and (2) is included in FTA's calculation of fixed guideway route miles or receives funding under FTA's formula program for urbanized areas (49 U.S.C. 5336); or (3) has submitted documentation to FTA indicating its intent to be included in FTA's calculation of fixed guideway route miles to receive funding under FTA's formula program for urbanized areas (49 U.S.C. 5336).

**Rail Grade Crossing** (as defined in the National Transit Database glossary) means an intersection of roadways, railroad tracks, or dedicated transit rail tracks that run across mixed traffic situations with motor vehicles, light rail (LR), commuter rail (CR), heavy rail (HR) or pedestrian traffic; either in mixed traffic or semi-exclusive situations.

**Rail Grade Crossing Collision** includes train to train, train to vehicle, train to object, and train to individual collisions that OCCUR at rail grade crossings. For mixed traffic environments, rail grade crossing collisions are defined ONLY as collisions that occur at street intersections. Suicides or trespassing-related collisions occurring at a rail grade crossing are defined as "Rail Grade Crossing Collision" with a probable cause of "suicide" or "trespasser" as applicable.

**Rail Transit Agency** means any entity that operates a rail fixed guideway system.

**Rail Transit-Controlled Property** means property that is used by the rail transit agency and may be owned, leased, or maintained by the rail transit agency.

**Rail Transit Vehicle** means the rail transit agency's rolling stock, including, but not limited to, passenger and maintenance vehicles.

**Right-of-way (ROW)** means the area through which a rail transit vehicle travels (the vehicle's dynamic envelope).

**SAFETEA-LU** means the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users.

**Safety** means freedom from harm resulting from unintentional acts or circumstances.

**Safety and Security Certification** means the process applied to project development to ensure that all practical steps have been taken to optimize the operational safety and security of the project during engineering, design, construction, and testing before the start of passenger

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operation.

**SSCP** means Safety and Security Certification Plan.

**SSCVR** means Safety and Security Certification Verification Report.

**SSMP** means Safety and Security Management Plan.

**Security** means freedom from harm resulting from intentional acts or circumstances.

**Security and Emergency Preparedness Plan (SEPP)** means a document developed and adopted by the rail transit agency describing the application of operating, technical, and management techniques and principles to the security aspects of the system throughout its life to reduce threats and vulnerabilities and describing the emergency preparedness policies and procedures for mobilizing the system and other public safety resources to assure rapid, controlled, and predictable responses to various types of transportation and community emergencies.

**Small Starts Program** is a Federal Transit Administration grant program for capital costs associated with new fixed guideway systems, extensions, and bus corridor improvements. Grants must be for under \$75 million in New Starts funds and total project costs must be under \$250 million.

**SSO Program Manager** means the State Safety Oversight Agency representative. For GDOT the title for this position is Rail Safety Oversight Manager.

**State** means a state of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

**SSO** means State Safety Oversight.

**System Safety Program Plan (SSPP)** means a document developed and adopted by the rail transit agency describing its safety policies, objectives, responsibilities, and procedures.

**System Security Plan (SSP)** means a document developed and adopted by the rail transit agency describing its security policies, objectives, responsibilities, and procedures.

**Threat** means any real or potential condition that can cause injury or death to passengers or employees, or damage to / loss of transit equipment, property, and / or facilities.

**TRACS** means the Transit Rail Advisory Committee for Safety.

**Transit Asset Management Plan** is a document developed and adopted by the rail transit agency describing, at a minimum, capital asset inventories and condition assessments; and investment prioritization. The plan also includes a description of the reporting process for condition of the system, changes in the system, performance measures and targets, and progress for meeting targets.

**Vulnerability** means a characteristic of passengers, employees, vehicles, and / or facilities that increases the probability of a security breach.

# Section 1

## Program Standard

### 1.0 Purpose

As defined in § 659.5 of the rule, a Program Standard is “a written document developed and adopted by the oversight agency, that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.”

As specified in § 659.15 (b), the Program Standard is supported by “referenced procedures,” which describe the activities identified in the Program Standard, and provide greater detail regarding how the oversight agency will conduct its program, including such activities as accident investigation; review and approval of rail transit agency annual reports and certifications for the internal safety and security audit process; and the conduct of the oversight agency’s three-year review.

This section of the Program Standard identifies the minimum requirements for the Program Standard to be developed, reviewed by MARTA / CITY, approved by the Federal Transit Administration, and adopted by GDOT SSO. This section also describes the review process for the Initial, Annual, and Periodic Submissions of the Program Standard and the distribution methods for this document. This section concludes with a listing of the routine program activities necessary to implement the requirements of the Program Standard by GDOT and MARTA / CITY.

### 1.1 Minimum Standard Requirements

As specified in § 659.15, the Program Standard must address nine (9) areas, at a minimum:

#### (1) Program Management

- This section includes an explanation of the oversight agency’s authority, policies, and roles and responsibilities for providing safety and security oversight of the rail transit agencies within its jurisdiction.
- This section also provides an overview of planned activities to ensure on-going communication with each affected rail transit agency relating to safety and security information.
- This section addresses FTA reporting requirements, including Initial, Annual and Periodic Submissions.

#### (2) Program Standard Development

- This section includes a description of the oversight agency’s process for the development, review, and adoption of the program standard;
- This section also discusses the process used by the oversight agency to modify and / or update the Program Standard.
- This section also describes the process by which the Program Standard and any subsequent revisions are distributed to each affected rail transit agency.

### **(3) Oversight of Rail Transit Agency Internal Safety and Security Audits**

- This section specifies the role of the oversight agency in requiring and overseeing the rail transit agency internal safety and security audit process.
- This section includes a description of the process used by the oversight agency to receive rail transit agency checklists and procedures and approve the rail transit agency's annual reports on findings, which must be submitted under the signature of the rail transit agency's top management.
- This section must also address all other requirements specified for the internal safety and security audit process (§ 659.27).

### **(4) Oversight Agency Safety and Security Review**

- This section lays out the process and criteria to be used by the state oversight agency, at least every three years, in conducting a complete review of each affected rail transit agency's implementation of its System Safety Program Plan and System Security Plan.
- This section must also include the process to be used by the affected rail transit agency and the oversight agency to manage findings and recommendations from this review. In implementing this process, the state oversight agency must reference its activities to address corrective action plans, specified in § 659.37.
- Finally, this section must include any applicable procedures that support integration of the rail transit agency's internal safety and security audit process into the state oversight agency's three-year safety and security review process.
- Additional requirements for this activity are included in § 659.29.

### **(5) Accident Notification**

- This section includes the specific requirements for the rail transit agency to notify the oversight agency of accidents.
- This section also includes required timeframes, methods of notification, and the information to be submitted by the rail transit agency with notification.
- Additional detail on requirements applicable to this section is included in § 659.33.

### **(6) Investigations**

- This section contains the oversight agency's identification of the thresholds for incidents that require an oversight agency investigation. The roles and responsibilities for conducting investigations include:
  - coordination with the rail transit agency investigation process;
  - the role of the oversight agency in supporting investigations and findings conducted by the NTSB;
  - review and concurrence of investigation report findings; and
  - procedures for protecting the confidentiality of investigation reports.
- In preparing this section, the state oversight agency must ensure that, if it authorizes the rail transit agency to conduct investigations on its behalf, it does so formally (in writing) and also that the oversight agency formally reviews and adopts the rail transit agency's accident investigation procedures. If the state oversight agency retains the authority to conduct independent investigations, it must also adopt procedures to guide this process. The state oversight agency may adopt and use the rail transit agency's procedures, the accident investigation rail transit standard developed by APTA, FRA accident investigation procedures, or procedures developed by the agency expressly for the purpose of rail transit accident investigation.
- Additional requirements for this section are located in § 659.35.

### **(7) Corrective Action Plans**

- This section specifies the criteria for the development of rail transit agency corrective action plan(s) and the process for the review and approval of these plans.
- This section also identifies the oversight agency's policies for the verification and tracking of corrective action implementation.
- Finally, this section must specify the state oversight agency's process for managing conflicts with the rail transit agency relating to investigation findings and corrective action plan development.
- Additional requirements for this section are located in § 659.37.

### **(8) System Safety Program Plan**

- This section specifies the minimum requirements to be contained in the rail transit agency's System Safety Program Plan. The required minimum contents are discussed in more detail in § 659.19.
- This section also specifies information to be included in the affected rail transit agency's System Safety Program Plan relating to the hazard management process, including requirements for ongoing communication and coordination relating to the identification, categorization, resolution, and reporting of hazards to the oversight agency. More details on the hazard management process are contained in § 659.31.
- This section also describes the process and timeframe through which the oversight agency must receive, review, and approve the rail transit agency's System Safety Program Plan and require annual updates.

### **(9) Security Plan**

- This section specifies the minimum requirements to be included in the rail transit agency's System Security Plan. More details about the System Security Plan are contained in § 659.21 and § 659.23.
- This section also describes the process by which the oversight agency will review and approve the rail transit agency's System Security Plan and require annual updates.
- Finally, this section identifies how the state will prevent the System Security Plan from public disclosure.

## **1.2 Review of Initial Submission**

The purpose of FTA's Initial Submission Review Process is to determine State compliance with 49 CFR Part 659 and for FTA to provide technical assistance and recommended improvements to the SSO for its newly developed program documentation.

An Initial Submission must include the following:

1. GDOT SSO's Program Standard and referenced procedures; and
2. GDOT SSO's certification that MARTA / CITY's System Safety Program Plan and the System Security Plan have been developed, reviewed, and approved by GDOT.

In the State of Georgia (a state with a rail fixed guideway system initiating passenger operations after May 1, 2006) the designated oversight agency, GDOT, must make its Initial Submission within the time frame specified by the state in its designation submission, but not later than at least **sixty (60) days** prior to initiation of passenger operations.

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GDOT SSO will work closely with MARTA and the CITY to develop specific schedules for the submittal of the Initial Submissions for New Starts Project that allow for a staggering of the plans, ample time for preparation by the rail transit agencies, and sufficient time for the review and approval process by GDOT.

For New Starts Projects, Initial Submissions are due **365 days** prior to revenue service.

**Table 1.2 Initial Submission & Project Specific Plan Requirements**

Document	Type	GDOT	CITY	MARTA	FTA Safety & Security
<b>Program Standard</b>	Initial Submission	Develops / Adopts / Implements	Reviews / Comments	Reviews / Comments	Reviews / Approves
<b>System Safety Program Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	N / A	Ensures SSO certifies its review and approval of plan
<b>System Security Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	N / A	Ensures SSO certifies its review and approval of plan
<b>Internal Audit Program Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	Develops / Adopts / Implements	Reviews, upon request
<b>Hazard Management Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	Develops / Adopts / Implements	Reviews, upon request
<b>Accident/Incident Investigation Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	N / A	Reviews, upon request
<b>Corrective Action Program Plan</b>	Initial Submission	Reviews / Approves	Develops / Adopts / Implements	Develops / Adopts / Implements	Reviews, upon request
<b>Safety and Security Certification Plan</b>	Project Specific	Reviews / Approves	Develops / Adopts / Implements	Develops / Adopts / Implements	Reviews, upon request
<b>Safety and Security Certification Verification Report</b>	Project Specific	Reviews	Develops / Adopts / Implements	Develops / Adopts / Implements	Reviews, upon request

*N / A = Initial Submission requirements have been met; however, annual and periodic submission requirements still apply.*

**1.3 Review of Annual Submission**

To ensure that the Program Standard is current and compliant with the FTA Rule, this document will be reviewed upon revision of 49 CFR Part 659, development of the implementation rule for MAP-21, and at a minimum on an annual schedule to determine if revision is necessary.

The annual review of the Program Standard will occur the third quarter (**July 1 – September 30**) of each year. During this period, GDOT SSO will develop its proposed revisions to the Program Standard. Following this period, GDOT will circulate the revised document for review in draft form to the affected rail transit agencies. At least **30 days** will be provided for MARTA / CITY to submit comments to the GDOT SSO Program Manager. GDOT SSO, MARTA / CITY, and other reviewers will review the Program Standard following the minimum requirements described in **Section 1.1** of the Program Standard. Following this review and comment period, GDOT will respond to comments, incorporate the changes as required into the final version of the document, and adopt the Program Standard by **January 1**.

After every revision, final versions of the revised document will be submitted to FTA’s Office of Safety and Security as part of the SSO’s Annual Submission. Final versions of this document will also be available for distribution in the manner described in **Section 1.5**.

**Figure 1.3** at the end of this section illustrates the Program Standard review and approval process for the annual update.

**Table 1.3** below lists the integrated schedules for the development of MARTA / CITY’s SSPP, SSP, SEPP and the GDOT Program Standard.

**Table 1.3 Integrated Schedules for Program Standard / SSPP / SSP / SEPP**

Task	Responsible Agency	Target Date
<b>Program Standard</b>		
Complete annual review process for Program Standard and distribute it to affected agencies.	GDOT	Jan 1
<b>System Safety Program Plan (SSPP)</b>		
Complete annual review process for SSPP and submit it to SSO for review and approval.	MARTA / CITY	Jan 31
<b>System Security Plan (SSP) / Security and Emergency Preparedness Plan (SEPP)</b>		
Complete annual review process for SSP / SEPP and submit it to SSO for review and approval.	MARTA / CITY	Jan 31

**1.4 Review of Periodic Submission**

At any given time, changes may be requested to the Program Standard based on reviews or audits from internal or external sources, such as FTA, or based on policy changes, state-wide meetings, and / or organizational changes. Each request for change will be reviewed by appropriate GDOT SSO staff in a timely manner. Proposed changes to the Program Standard will be circulated for review in draft form to MARTA / CITY, the affected rail transit agencies, in a manner described for the annual reviews.

As with the annual reviews, final copies of the revised version of the Program Standard will be submitted to the MARTA / CITY safety and security points-of-contact and the FTA as part of the

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SSO’s Annual Submission. Final versions of the Program Standard will also be available for distribution in the manner described in **Section 1.5**.

**1.5 Distribution of the Program Standard**

The Program Standard is an official and controlled document that is distributed only by the GDOT SSO Program Manager to the various internal and external SSO program stakeholders affected by the program. The Program Standard may also be requested in writing by contacting the GDOT SSO Program Manager at:

Georgia Department of Transportation  
 Division of Intermodal Programs  
 One Georgia Center, Plaza Level  
 600 West Peachtree Street, NE  
 Atlanta, Georgia 30308-2214

In addition, copies of this document have been distributed directly to the designated safety and security points-of-contact established by MARTA / CITY and to the FTA.

**1.6 Program Activities**

This section lists the primary SSO program activities that ensure ongoing communication between GDOT SSO and MARTA / CITY related to the safety and security program during both the pre-revenue operations phase and the revenue operations phase.

**Table 1.6.1 SSO Program Activities for Revenue Operations Phase**

Program Area	Plan / Document	GDOT	MARTA / CITY
<b>Program Standard</b>	Program Standard	Prepares / Adopts	Comments within 30 days
<b>System Safety Program Plan</b>	System Safety Program Plan	Reviews / Approves	Submits annually
<b>System Security Plan</b>	System Security Program Plan	Reviews / Approves	Submits annually
	Security and Emergency Preparedness Plan	Reviews / Approves	Submits annually
<b>Internal Safety and Security Audits</b>	Internal Audit Schedule	Reviews / Approves	Submits annually
	Internal Audit Notification	Reviews	Submits 30 days prior to audit date
	Internal Audit Procedures	Review / Approves	Annually, as part of SSPP, SSP (or SEPP) annual review process
	Internal Audit Checklists	Reviews	At time of audit notification
	Internal Safety and Security Audit Findings Log	Reviews / Approves	No less than quarterly
	Internal Safety and Security Audit Annual	Reviews / Approves by	Annually,

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Program Area	Plan / Document	GDOT	MARTA / CITY
	Reports	March 1	by February 1
	Internal Safety and Security Audit Letter of Certification	Reviews / Approves by March 1	Annually, by February 1
	Internal Safety and Security Audit Corrective Action Plans	Reviews / Approves	No less than quarterly
<b>Hazard Management Process</b>	Hazard Tracking Log (Initial)	Reviews / Approves	With Initial SSPP
	Hazard Tracking Log	Reviews / Approves	No less than quarterly
	Hazard Management Meetings	Attends	No less than quarterly
	Unacceptable Hazard Notification	Reviews	Within 24 hours or by 5:00 p.m. the next working day
	Hazard Initial Investigation Report	Reviews	Within 7 calendar days
	Hazard Status Investigation Report	Reviews	Monthly
	Hazard Final Investigation Report	Reviews / Approves	At completion of investigation
	Hazard Corrective Action Plan	Reviews / Approves	At completion of investigation
	Hazard Investigation Notification (GDOT Independent)	Notifies MARTA / CITY within 7 calendar days of receipt of Hazard Initial Investigation Report	N / A
	Hazard Investigation Final Report (GDOT Independent)	Completes within 30 days after completion of investigation	N / A
<b>Accident / Incident Notification, Investigation, and Reporting</b>	Accident Incident Investigation Plan	Reviews / Approves	Annually
	Authorization to Conduct Accident/Incident Investigation	Blanket Authorization in Program Standard for MARTA / CITY to investigate all accidents/incidents on behalf of GDOT SSO	N / A
	Accident/Incident Initial <i>Telephone</i> Notification	Reviews	Within 2 hours of reportable event
	Accident/Incident Initial <i>Email</i> Notification	Reviews	Within 6 hours of reportable event
	Accident/Incident Investigation <i>Preliminary</i> Report	Reviews	Within 48 hours of reportable event

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Program Area	Plan / Document	GDOT	MARTA / CITY
	Accident/Incident Investigation <i>Status</i> Report	Reviews	Monthly
	Accident/Incident Final Investigation <i>Final</i> Report	Reviews / Approves	Within 30 calendar days of completion of investigation
	Accident/Incident Investigation Notification (GDOT Independent)	Notifies MARTA / CITY within 7 calendar days of receipt of Accident/Incident Initial Report	N / A
	Accident/Incident Investigation Draft Report (GDOT Independent)	Submits to MARTA / CITY within 30 calendar days of completion of investigation	Comments within 30 calendar days of receipt of draft report
	Accident/Incident Investigation Final Report (GDOT Independent)	Submits to MARTA / CITY within 30 business days of receipt of MARTA / CITY comment	Concurrence within 30 calendar days of receipt <i>or</i> alternative corrective action plan
	Accident/Incident Correction Action Plan <i>or</i> Alternative Corrective Action Plan	Reviews / Approves	Within 30 calendar days of receipt of GDOT Final Report
<b>Three-Year On-Site Safety Review; Three Year On-Site Security Review</b>	On-Site Review Notification	Notifies MARTA / CITY <b>180</b> days prior to on-site	N / A
	On-Site Review Pre-Meeting and Request for Documentation	Holds 30 days prior review	N / A
	Three-Year On-Site Safety Review; Three Year On-Site Security Review	Conducts every three years	N / A
	Three-Year On-Site Safety Review Draft Report; Three Year On-Site Security Review Draft Report	Prepares within 90 working days of conclusion of review	Comments within 30 days of receipt of draft report
	Three-Year On-Site Safety Review CAPs; Three Year On-Site Security Review CAPs	Reviews / Approves	Within 30 days of receipt of draft report
	Three-Year On-Site Safety Review Final Report; Three Year On-Site Security Review Final Report	Incorporate corrective action plans, revise and issue at conclusion of review	N / A
	Three Year On-Site Safety and Security Review Final Reports; FTA Annual Submission	Annually (if review occurred that calendar year)	N / A
<b>Corrective Action</b>	Corrective Action Plan	Reviews / Approves / Disapproves within 15	Within 15 calendar days after need is

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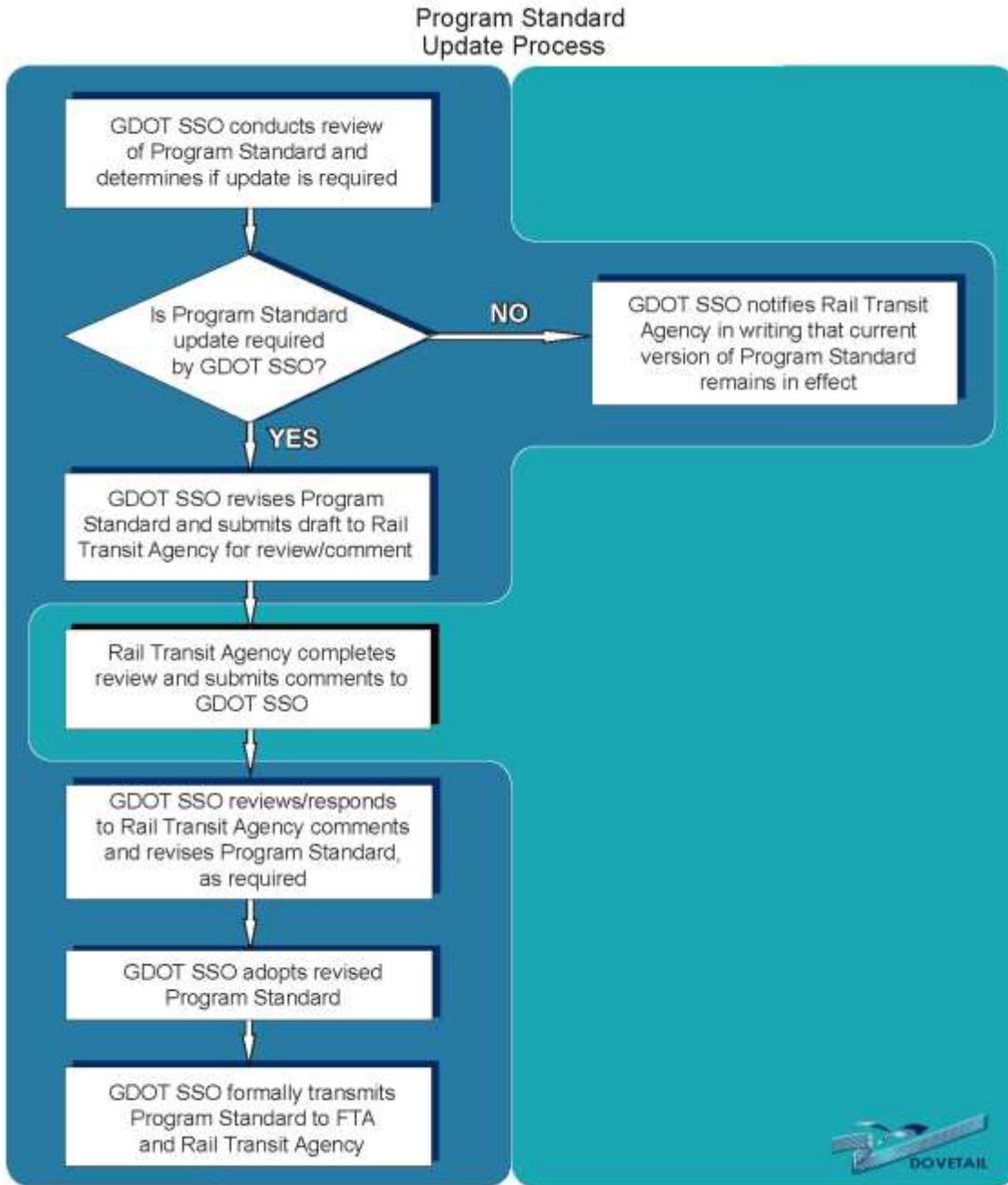
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Program Area	Plan / Document	GDOT	MARTA / CITY
<b>Plans</b>		calendar days of receipt	identified
	Corrective Action Plan (Revised)	Reviews / Approves	Within 30 calendar days of disapproval
	Corrective Action Monitoring Log	Reviews / Approves	No less than quarterly
<b>FTA Reporting</b>	Annual Submission	Annually, before March 15	N / A
	Annual Certification (Electronic and Signed)	Annually, Before March 15	N / A
	Periodic Submissions of Accident/Incident, Hazard, Correction Action Plans	As requested	N / A
<b>Safety and Security Certification Program</b>	Safety and Security Certification Plan (Project-Specific)	Reviews / Approves	As defined by the Project Master Schedule
	Safety and Security Certification Verification Report (Project-Specific)	Reviews	Prior to initiation of project into revenue service
<b>Training and Certification Program</b>	Staff Training Plan	Reviews	As defined by MAP-21
<b>Transit Asset Management Plan</b>	Transit Asset Management Plan	Reviews / Approves	As defined by MAP-21
<b>Engineering and Construction Phase</b>	Various Project Plans	Reviews / Comments, as required	As defined by the Project Master Schedule

**1.7 Additional Procedures**

As required, GDOT may develop additional procedures beyond those identified within this Program Standard that provide details on the day-to-day roles and responsibilities of the GDOT SSO Program Manager. As SSO administrative procedures are developed, the Program Standard will be updated to reference these procedures. These procedures may also include the identification of the delegated duties and responsibilities of contractor organizations that provide support for SSO program development, management, and implementation.

Figure 1.3 Program Standard - Review and Approval Process



## Section 2

# System Safety Program Plan

### 2.0 Purpose

In § 659.17, FTA's revised rule specifies that the oversight agency will require the rail transit agency to develop and implement a written System Safety Program Plan (SSPP) that complies with requirements in this part and the oversight agency's program standard. After approval, the oversight agency will issue a formal letter of approval to the rail transit agency, including the checklist used to conduct the review. In § 659.19, FTA identifies the 21 elements to be included in the rail transit agency SSPP.

This section also specifies the required contents of the SSPP in accordance with MAP-21, Section 5329, (d) (1) Public Transportation Safety Plan.

This section of the Program Standard identifies the minimum requirements for the SSPP to be developed, approved, adopted, and implemented by MARTA / CITY in the GDOT SSO program prior to, and following, the start of revenue operations.

### 2.1 Minimum Plan Requirements

The GDOT SSO program has adopted a minimum system safety program standard in order to comply with requirements specified by FTA in § 659.17 and § 659.19 of the revised rule. The GDOT SSO program encourages MARTA / CITY to exceed this standard in their revenue service operations and to further enhance safety by applying system safety principles throughout all life cycle phases of the transit system's activities.

MARTA / CITY must develop, implement, and maintain a written SSPP that complies with the SSPP Program Requirements specified in § 659.19. SSO Program Requirements for Development of a System Safety Program Plan (SSPP) is provided as **Appendix E** for additional guidance as necessary.

The SSPP must include:

- (a) A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the System Safety Program Plan.
- (b) A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure that they are achieved.
- (c) An overview of the management structure of the rail transit agency, including:
  - (i) an organization chart;
  - (ii) a description of how the safety function is integrated into the rest of the rail transit organization; and
  - (iii) clear identification of the lines of authority used by the rail transit agency to manage safety issues.

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- (d) The process used to control changes to the System Safety Program Plan, including:
  - (i) specifying an annual assessment of whether the System Safety Program Plan should be updated; and
  - (ii) required coordination with the GDOT SSO program, timeframes for submission, revision, and approval.
  
- (e) A description of specific activities required to implement the system safety program, including:
  - (i) tasks to be performed by rail transit safety function, by position and management accountability, in matrices and / or narrative format; and
  - (ii) safety-related tasks to be performed by other rail transit departments, specified by position and management accountability, specified in matrices and / or narrative format.
  
- (f) A description of the process used by the rail transit agency to implement its hazard management program, including activities for:
  - (i) hazard identification;
  - (ii) hazard investigation, evaluation, and analysis;
  - (iii) hazard control and elimination;
  - (iv) hazard tracking; and
  - (v) requirements for on-going reporting to the GDOT SSO Program Manager regarding hazard management activities and status.
  
- (g) A description of the process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment which do not require formal certification but which may have safety impacts.
  
- (h) A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations; for New Starts and subsequent major projects to extend rehabilitate or modify an existing system; or to replace vehicles and equipment.
  
- (i) A description of the process used to collect, maintain, analyze, and distribute safety data to ensure that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program.
  
- (j) A description of the process used by the rail transit agency to perform accident notification, investigation, and reporting; including:
  - (i) notification thresholds for internal and external organizations;
  - (ii) accident investigation process and references to procedures;
  - (iii) the process used to develop, implement, and track corrective actions that address investigation findings;
  - (iv) reporting to internal and external organizations; and
  - (v) coordination with the GDOT SSO Program Manager.
  
- (k) A description of the process used by the rail transit agency to develop an approved, coordinated schedule for emergency management program activities, which include:
  - (i) meetings with external agencies;

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- (ii) emergency planning responsibilities and requirements;
  - (iii) process used to evaluate emergency preparedness, such as annual emergency field exercises;
  - (iv) after action reports and implementation of findings;
  - (v) revision and distribution of emergency response procedures;
  - (vi) familiarization training for public safety organizations; and
  - (vii) employee training.
- (l) A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including:
- (i) identification of departments and functions subject to review;
  - (ii) responsibility for scheduling reviews;
  - (iii) process for conducting reviews, including the development of checklists and procedures and the issuing of findings;
  - (iv) review reporting requirements;
  - (v) tracking the status of implemented recommendations; and
  - (vi) coordination with the GDOT SSO Program Manager.
- (m) A description of the process used by the rail transit agency to develop, maintain, and ensure compliance with rules and procedures, identified as having a safety impact, including:
- (i) identification of operating and maintenance rules and procedures subject to review;
  - (ii) techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing;
  - (iii) techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules; and
  - (iv) process for documenting results and incorporating them into the hazard management program.
- (n) A description of the process used for facilities and equipment safety inspections, including:
- (i) identification of facilities and equipment subject to regular safety related-inspection and testing;
  - (ii) techniques used to conduct inspections and testing;
  - (iii) inspection schedules and procedures; and
  - (iv) description of how results are entered into the hazard management process.
- (o) A description of the maintenance audits and inspections program including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.
- (p) A description of the training and certification program for employees and contractors, including:
- (i) categories of safety-related work requiring training and certification;
  - (ii) a description of the training and certification program for employees and contractors in safety-related positions;
  - (iii) process used to maintain and access employee and contractor training records; and

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- (iv) process utilized to assess compliance with training and certification requirements.
- (q) A description of the configuration management control process, including:
  - (i) the authority to make configuration changes;
  - (ii) process for making changes; and
  - (iii) assurances necessary for formally notifying all involved departments.
- (r) A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including:
  - (i) safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency property; and
  - (ii) process for ensuring the employees and contractors know and follow the requirements.
- (s) A description of the hazardous materials program including the process used to ensure knowledge of and compliance with program requirements.
- (t) A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.
- (u) A description of the measures, controls, and assurances in place to ensure that safety principles, requirements and representatives are included in the rail transit agency's procurement process.

In addition to the above, in accordance with MAP-21, Section 5329, (d) (1) Public Transportation Safety Plan, the SSPP must also include:

- A. a requirement that the board of directors (or equivalent entity) of the rail transit agency approve the SSPP and any updates to the SSPP;
- B. methods for identifying and evaluating safety risks throughout all elements of the rail transit agency;
- C. strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions;
- D. a process and timeline for conducting an annual review and update of the safety plan of the rail transit agency (as discussed in item (d) above);
- E. performance targets based on the safety performance criteria and state of good repair standards established under the National Public Transportation Safety Plan, (1), (A) safety performance criteria for all modes of public transportation and (1) (B) the definition of the term 'state of good repair' established under MAP-21, Section 5326(b);
- F. assignment of an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the rail transit agency; and
- G. a comprehensive staff training program for the operations personnel and personnel directly responsible for safety of the rail transit agency that includes
  - (i) the completion of a safety training program; and
  - (ii) continuing safety education and training.

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Furthermore, in keeping with current FTA recommendations and transit industry best practices, system safety management practices that *systematically* and *proactively* identify the factors that contribute to unsafe events and prevent or minimize the likelihood of their occurrence have proven effective. Such practices call for setting safety goals and objectives, defining clear levels of accountability and responsibility for safety, establishing a proactive approach to manage risks and hazards, risk-based resource allocation, monitoring and evaluating performance toward goals, and continuous learning and improvement.

To that end, GDOT promotes the adoption of a Safety Performance Management Framework by the rail transit agency responsible for the development and implementation of the SSPP.

**Figure 2.1** at the end of this section illustrates a basic framework for modern safety performance management. The process begins, step 1, with setting clear goals and objectives for system safety and formulating the system safety policy. Next, step 2, is establishing programs for identifying and reporting hazards, and managing risks in the day-to-day activities of the rail transit system. Step 3 is developing and implementing effective strategies to eliminate hazards and control risks to an acceptable level. Performance measurement and evaluation, step 4, involves constructing performance metrics to measure progress, setting targets that reflect safety objectives, collecting reliable performance data, identifying performance gaps and trends, evaluating program effectiveness, and communicating performance results to agency stakeholders. Finally, step 5, deals with integrating performance results into the decision-making process, allocating the needed resources for closing the gaps in safety performance, and investing in proactive activities.

If MARTA / CITY delegates system safety-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the SSPP, MARTA / CITY is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above, GDOT SSO-specific requirements, and the guidance provided in **Appendix E**, an outline for the minimum content for the MARTA / CITY SSPP is illustrated in **Table 2.1** below.

<b>Table 2.1 System Safety Program Plan (SSPP) Outline</b>	
	Title Page
	Table of Contents
	Approvals
	Revisions
Section 1.	Policy Statement
Section 2.	Purpose, Goals and Objectives, Safety Performance Management Framework
	2.0 Overview and Framework
	2.1 Purpose
	2.2 Goals
	2.3 Objectives
Section 3.	Management Structure
	3.0 Overview
	3.1 System Description
	3.1.1 General Overview and History of Transit Agency
	3.1.2 Scope of Transit Services
	3.1.3 Physical Plant
	3.1.4 Operations
	3.1.5 Maintenance
	3.2 Integration of Safety Function
	3.3 Lines of Authority for Safety
	3.3.1 Assignment of Safety Officer
	3.3.2 Qualifications/Training of Safety Officer
Section 4.	Plan Review and Modification
	4.0 Overview
	4.1 SSPP Review Schedule
	4.2 SSPP Control and Update Procedures
	4.3 SSPP Review and Approval by GDOT SSO
	4.4 SSPP Change Management
Section 5.	SSPP Implementation – Tasks and Activities
	5.1 Overview
	5.2 System Safety Function
	5.2.1 Methodology Used by the System Safety Unit
	5.3 Safety Responsibilities of Other Departments
	5.4 Safety Task Responsibility Matrix (or Narrative Description)
Section 6.	Hazard Management Process
	6.0 Overview
	6.1 Hazard Management Process – Activities and Methodologies
	6.1.1 Methods for Defining the System
	6.1.2 Methods for Identifying and Evaluating Safety Risks
	6.1.3 Methods for Evaluating Safety Risks
	6.1.4 Strategies to Resolve / Minimize Exposure of Public, Personnel, and Property to Hazards / Unsafe Conditions
	6.1.5 Methods for Tracking and Reporting Safety Risks
	6.2 Coordinating with GDOT SSO
Section 7.	Safety Certification

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<b>Table 2.1 System Safety Program Plan (SSPP) Outline</b>	
	7.0 Overview
	7.1 Safety and Security Certifiable Elements
	7.2 Safety and Security Design Criteria
	7.3 Design Criteria Conformance Checklists
	7.4 Construction Specification Conformance
	7.5 Additional Safety and Security Test Requirements
	7.6 Testing and Validation in Support of Certification Program
	7.7 System Integration Tests
	7.8 Safety and Security “Open Items”
	7.9 Operational Readiness Verification
	7.10 Project Readiness; Safety and Security Certification
Section 8.	Managing Safety in System Modifications
	8.0 Overview
	8.1 Interdepartmental Coordination
	8.2 Safety Reviews
	8.3 Coordination with Hazard Management Process
	8.4 Safety-Related Testing
	8.5 Final Acceptance
	8.6 Coordination with Configuration Management Process
Section 9.	Safety Data Acquisition
	9.0 Overview
	9.1 Data Acquisition Process
	9.2 Access to Data
Section 10.	Accident/Incident Notification, Investigation and Reporting
	10.0 Overview
	10.1 Accident/Incident Reporting Criteria
	10.2 Accident/Incident Investigation Procedures
	10.3 Internal Notification Procedure
	10.4 External Notification Procedure
	10.5 Accident/Incident Reporting and Documentation
	10.6 Corrective Action Resulting from Accident Investigation
	10.7 Coordination with GDOT SSO
Section 11.	Emergency Response Planning/Coordination/Training
	11.0 Overview
	11.1 Responsibilities for Emergency Preparedness
	11.2 Coordinated Schedule
	11.3 Emergency Drills and Exercises
	11.4 Emergency Procedures
	11.5 Emergency Training
	11.6 Familiarization Training
Section 12.	Internal Safety Audit Process
	12.0 Overview
	12.1 Scope of Activities
	12.2 Audit Process
	12.2.1 Integrity of Audit Process
	12.2.2 Cycle/Schedule
	12.2.3 Checklists and Procedures
	12.2.4 Annual Audit Report
	12.2.5 Audit Reporting
	12.2.6 Coordination with GDOT SSO
	12.2.7 Audit Completeness

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<b>Table 2.1 System Safety Program Plan (SSPP) Outline</b>	
Section 13.	Rules Compliance/Procedures Review
	13.0 Overview
	13.1 Review of Rules and Procedures
	13.2 Process for Ensuring Rules Compliance
	13.3 Compliance Techniques – Operations and Maintenance Personnel
	13.4 Compliance Techniques – Supervisory Personnel
	13.5 Documentation
Section 14.	Facilities and Equipment Inspections
	14.0 Overview
	14.1 Facilities and Equipment Subject to Inspection
	14.2 Regular Inspection and Testing
	14.3 Checklists
	14.4 Coordination with Hazard Management Process
Section 15.	Maintenance Audits/Inspections
	15.0 Overview
	15.1 Systems and Facilities Subject to Maintenance Program
	15.2 Resolution of Audit/Inspection Findings
	15.3 Checklists
Section 16.	Training and Certification Program
	16.1 Overview
	16.2 Job Safety Training / Continuing Education
	16.2.1 Employee Safety
	16.2.2 Contractor Safety
	16.2.3 Record Keeping
	16.2.4 Compliance with Training Requirements
	16.3 System Safety Training / Continuing Education Program
	16.3.1 Operations Personnel
	16.3.2 Maintenance Personnel
	16.3.3 System Safety Personnel
Section 17.	Configuration Management
	17.0 Overview
	17.1 Process for Change
	17.2 Authority for Change
Section 18.	Compliance with Local, State and Federal Requirements
	18.0 Overview
	18.1 Employee Safety Program
	18.2 Working On or Near Rail Transit Controlled Property
	18.3 Compliance with Required Safety Programs
Section 19.	Hazardous Materials
	19.0 Overview
	19.1 Program Responsibility
	19.2 Hazardous Materials Process
	19.3 Coordination with Hazard Management Process
Section 20.	Drug and Alcohol Abuse
	19.0 Overview
	19.1 Program Responsibility
	19.2 Drug & Alcohol Abuse Program
Section 21.	Procurement
	19.0 Overview

<b>Table 2.1 System Safety Program Plan (SSPP) Outline</b>	
19.1	Program Responsibility
19.2	Safety-Related Procurement Process and Procedures
19.3	Coordination with Hazard Management Process
Section 22.	Transit Asset Management Plan

## 2.2 Review of Initial Submission

### 2.2.1 Board of Directors

As discussed in **Section 2.1** above, MARTA / CITY must fulfill the requirement that the board of directors (or equivalent entity) of MARTA / CITY approve its SSPP and any updates to its SSPP, following the plan approval process described in MARTA / CITY's SSPP.

### 2.2.2 GDOT SSO

In carrying out its oversight responsibilities under § **659.17**, the GDOT SSO Program Manager will receive, review, and approve in writing MARTA / CITY's SSPP. With the SSPP, MARTA / CITY must also submit any referenced materials, including procedures, checklists and training materials for system safety planning, internal safety audit program, hazard management process, accident / incident investigation, corrective action development, emergency management, coordination and training program, rules compliance program, and transit asset management.

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit a SSPP, in compliance with the program requirements specified in the GDOT SSO Standard and **Appendix E**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its SSPP and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review initial SSPP and materials related to Initial Submission,
- Conduct safety and security certification compliance activities (refer to **Section 13**, Engineering and Construction for applicability)
- Resolve any safety issues or deficiencies with MARTA / CITY
- Review revised SSPP and materials related to Initial Submission,
- Approve the final SSPP and materials related to Initial Submission, and
- Prepare GDOT's initial submittal of the SSPP to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

The SSPP must be submitted in electronic format via email to the GDOT SSO Program Manager. Supporting procedures may be submitted in hard copy via mail or fax.

#### **GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted SSPP, using the checklist provided in **Appendix F**. Upon approval, GDOT SSO will provide a copy of the completed checklist, which includes a written approval, to MARTA / CITY.

Pending any major deficiencies in the MARTA / CITY's SSPP, the GDOT SSO Program Manager will review and approve the initial SSPP using its review checklist, and will transmit the completed checklist, which includes a written approval, to MARTA / CITY's point-of-contact within **305 calendar days** of submission.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

#### **2.2.3 FTA**

Sixty (**60**) **calendar days** prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Safety Program Plan complies with the requirements of the Program Standard. In addition to the letter, GDOT SSO will submit a copy of the SSPP and GDOT SSO Review Checklist for FTA review and approval.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 2.2 Schedule for Initial Review of SSPP**

Task	Responsible Agency	Duration	Target Date
Develop initial SSPP and materials related to Initial Submission as part of FTA New Starts process.	CITY (MARTA = N/A)	Project Specific	Project specific
Submit initial SSPP and materials related to Initial Submission to GDOT SSO for review and approval.	CITY (MARTA = N/A)	365 days	Prior to passenger revenue service operations.
Review and approve SSPP and materials related to Initial Submission or request additional information.	GDOT SSO	305 days	Prior to passenger revenue service operations.
Submit approved SSPP and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	60 days	Prior to passenger revenue service operations

Following the process specified in **Figure 2.2** at the end of this section, GDOT SSO will review the SSPP initial submission from MARTA / CITY.

**2.3 Review of Annual Submission**

Following the initiation of revenue service, MARTA / CITY will conduct an annual review of its SSPP and update it as necessary to ensure that the SSPP is current at all times.

In the event that MARTA / CITY conducts its annual SSPP review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

In the event that MARTA / CITY conducts its annual SSPP review and determines that an update is necessary for the year, MARTA / CITY will submit a revised SSPP to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the SSPP.

Each revised SSPP submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

**GDOT Review Checklist / Working Sessions**

Following the process specified in **Figure 2.2**, GDOT SSO will review the SSPP annual submission from MARTA / CITY.

Within **30 calendar days** of receipt of the SSPP from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its SSPP and the completed SSPP checklist. If GDOT SSO determines that the SSPP is not acceptable, GDOT SSO will provide a completed SSPP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

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While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO’s intent that the annual review and approval process for the SSPP be completed by **May 31**.

**Table 2.3 Schedule for Annual Review of SSPP**

Task	Responsible Agency	Duration	Target Date
<b>If SSPP is not updated:</b>			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY’s determination and notify MARTA / CITY.	GDOT SSO	30 days	Jan 31
<b>If SSPP is updated:</b>			
If SSPP is updated, completes annual review for previous calendar year and submits revised SSPP to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves SSPP or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises SSPP.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised SSPP.	GDOT SSO	30 days	May 31

**2.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY’s SSPP may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329, and / or the GDOT SSO program standard or procedures; review of MARTA / CITY’s documents; or other safety related project information.

**GDOT Review Checklist / Working Sessions**

Upon receipt of a written notification from GDOT SSO for SSPP modifications, MARTA / CITY will submit a revised SSPP to GDOT SSO within **30 calendar days**. GDOT SSO will review and approve the revised SSPP, providing a formal approval letter and a completed SSPP review checklist within **30 calendar days** of receipt of the revised MARTA / CITY SSPP. If GDOT SSO determines that the SSPP is not acceptable, GDOT SSO will provide a completed SSPP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other

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appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

In the event that MARTA / CITY initiates updates, MARTA / CITY will submit the modified SSPP, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

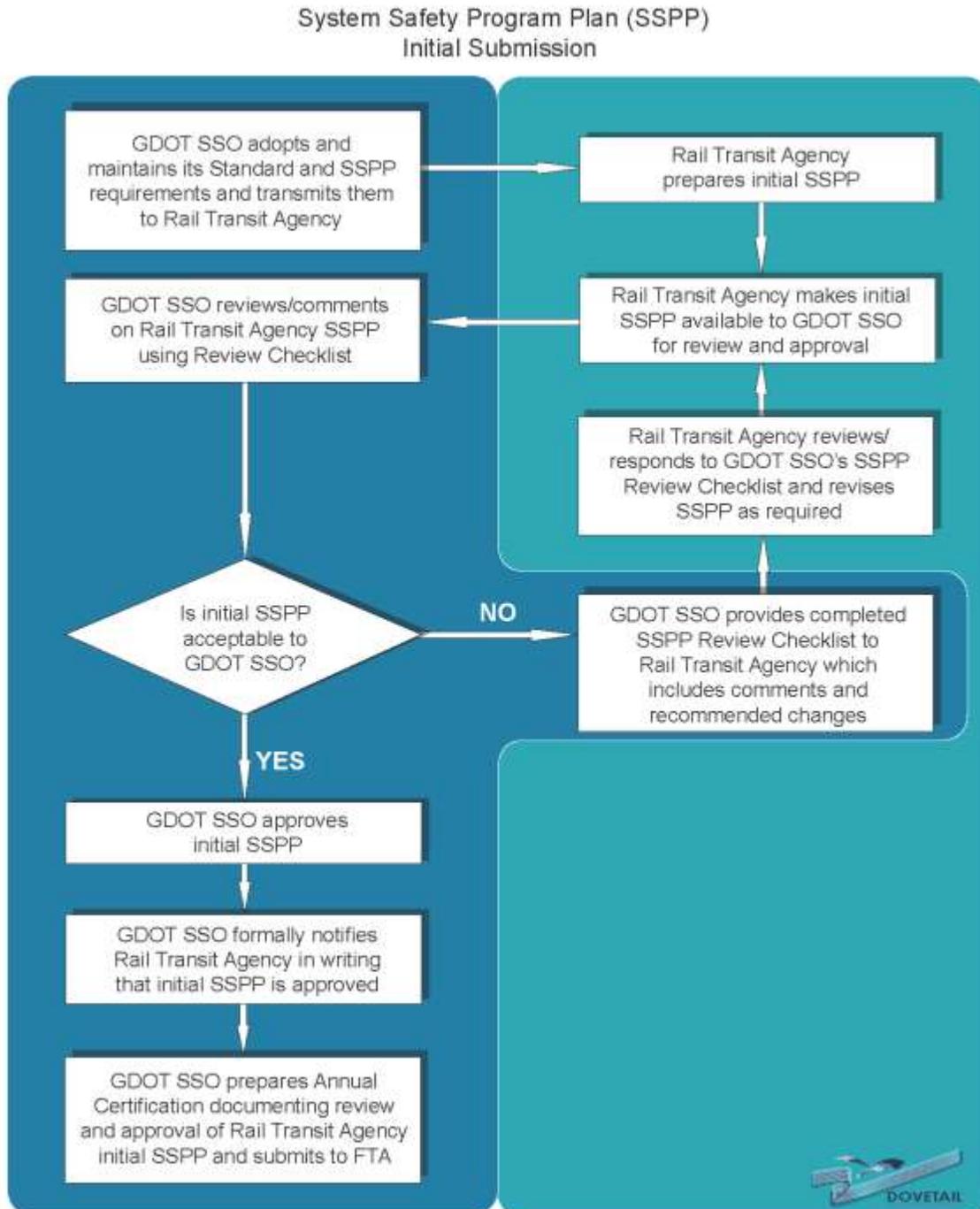
**Table 2.4      Schedule for Periodic Reviews of SSPP**

<b>Task</b>	<b>Responsible Agency</b>	<b>Duration</b>
Notifies MARTA / CITY that SSPP update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised SSPP to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised SSPP or determines SSPP requires re-submittal.	GDOT SSO	30 days
Revises SSPP and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised SSPP.	GDOT SSO	30 days

Figure 2.1 Safety Performance Management Framework



Figure 2.2 System Safety Program Plan (SSPP) - Review and Approval Process



## Section 3

# System Security Plan

### 3.0 Purpose

This section of the Program Standard identifies the minimum requirements for the System Security Plan (SSP) to be developed, approved, adopted, implemented, and updated by each rail transit agency in the GDOT SSO program as defined in § 659.21 and § 659.23. This section also identifies how GDOT SSO will prevent the SSP from public disclosure by adhering to the policies and procedures for the handling of Sensitive Security Information established by the rail transit agency.

### 3.1 Minimum Plan Requirements

GDOT SSO Program has adopted a minimum system security program standard in order to comply with requirements specified by FTA in § 659.21 and § 659.23 of the revised rule. MARTA / CITY must develop, implement, and maintain a written SSP that complies with the program requirements specified in **Appendix G** of this document. FTA's guide addresses all of the activities specified in § 659.23. The SSP must be prepared and maintained as a separate document and may not be part of MARTA / CITY's SSPP. In addition, compliance with FTA guide is required for rail transit agencies participating in the Department of Homeland Security Grant Program (TSGP).

At a minimum, the SSP developed by MARTA / CITY must:

- Identify the policies, goals, and objectives for the security program endorsed by the chief executive of MARTA / CITY;
- Document MARTA / CITY's process for managing threats and vulnerabilities during operations for major projects, extensions, and new vehicles and equipment, including integration with safety certification process;
- Identify controls in place that address the personal security of passengers and employees;
- Document MARTA / CITY's process for conducting internal security audits to evaluate compliance and measure the effectiveness of the System Security Plan; and
- Document MARTA / CITY's process for making available its System Security Plan and accompanying procedures to the GDOT SSO for review and approval.

In addressing the last item listed above, GDOT SSO recognizes the potentially sensitive nature of the information contained in MARTA / CITY's SSP and will respect the security provisions established by MARTA / CITY to retain control of its SSP. GDOT SSO requests that all security submissions are delivered to GDOT SSO point-of-contact in person, electronically with a security password, delivered via overnight mail with a signature required, or other secure methods as defined by MARTA / CITY. A rail transit agency is prohibited from publicly disclosing sensitive security information; as such, GDOT will conduct its review of the SSP in a method that protects confidentiality of the SSP.

Additionally, GDOT will promote the adoption of a Safety Performance Management Framework by the rail transit agency responsible for the development and implementation of the SSPP. The

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framework may also be applicable to the system security program. Refer to **Section 2.1** for a detailed discussion of the approach and process steps.

If MARTA / CITY delegates system security-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart;
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues; and
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the SSP, the rail transit agency is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above, GDOT SSO-specific requirements, and the guidance provided in **Appendix G**, an outline for the minimum content for MARTA / CITY's SSP is illustrated in **Table 3.1** below.

<b>Table 3.1 System Security Plan (SSP) Outline</b>	
	Title Page
	Table of Contents
	Approvals
	Revisions
	System Security Policy Statement
1.0	System Security Program Introduction
1.0	Overview
1.1	Purpose of the SSP
1.2	Goals and Objectives
1.2.1	Goals
1.2.2	Objectives
1.3	Scope of Program
1.4	Security and Law Enforcement
1.5	Management Authority and Legal Aspects
1.6	Government Involvement
1.7	Security Acronyms and Definitions
2.0	System Description
2.0	Overview
2.1	Background and History of System
2.2	Organization Structure
2.3	Human Resources
2.4	Passengers
2.5	Services and Operations
2.6	Operating Environment

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**Table 3.1 System Security Plan (SSP) Outline**

2.7	Integration with Other Plans and Programs
2.8	Current Security Conditions
2.9	Capabilities and Practices
3.0	SSP Management Activities
3.0	Overview
3.1	Responsibility for Mission Statement and System Security Policy
3.2	Management of the SSP
3.3	Division of Security Responsibilities
3.3.1	Security / Police Function Responsibilities
3.3.2	Security Responsibilities of Other Departments / Functions
3.3.3	Job-specific Security Responsibilities
3.3.4	Security Task Responsibilities Matrix
3.3.5	Security Committees
4.0	System Security Program Description
4.0	Overview
4.1	Planning
4.2	Organization
4.3	Equipment
4.4	Training and Procedures
4.5	Inspections
5.0	Threat and Vulnerability Identification, Assessment, and Resolution
5.0	Overview
5.1	Threat and Vulnerability Identification, and Resolution
5.1.1	Asset Analysis
5.1.2	Security Data Collection for the Identification of Threats and Vulnerabilities
5.1.3	Other Sources of Information – Security Reviews, Testing and Inspection Programs
5.1.4	Identifying Threats for Prioritized Assets
5.1.5	Identifying Vulnerabilities
5.2	Threat and Vulnerability Assessment
5.3	Threat and Vulnerability Resolution, Tracking and Reporting
6.0	Implementation and Evaluation of SSP
6.1	Implementation Tasks for Goals and Objectives
6.2	Implementation Schedule
6.3	Evaluation
7.0	Modification of SSP
7.1	Initiation
7.2	Review Process
7.3	Implement Modifications

**Note:** While the outline above includes seven (7) suggested chapters, these chapters are inclusive of the five required elements of an SSP discussed above.

## 3.2 Review of Initial Submission

### 3.2.1 Board of Directors

As discussed in **Section 2.2** above, MARTA / CITY must fulfill the requirement that the board of directors (or equivalent entity) of MARTA / CITY approve its SSP and any updates to its SSP, following the plan approval process described in MARTA / CITY's SSP.

### 3.2.2 GDOT SSO

In carrying out its oversight responsibilities under § 659.17, the GDOT SSO Program Manager will receive, review, and approve in writing MARTA / CITY's SSP. With the SSP, MARTA / CITY must also submit any referenced materials, including procedures, checklists and training materials for system security planning, internal security audit program, hazard management process, accident / incident investigation, corrective action development, emergency management, coordination and training program, rules compliance program, and transit asset management.

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit an SSP, in compliance with the program requirements specified in the GDOT SSO Standard and **Appendix G**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its SSP and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review initial SSP and materials related to Initial Submission;
- Conduct safety and security certification compliance activities (refer to **Section 13**, Engineering and Construction for applicability);
- Resolve any security issues or deficiencies with MARTA / CITY;
- Review revised SSP and materials related to Initial Submission;
- Approve the final SSP and materials related to Initial Submission; and
- Prepare GDOT's initial submittal of the SSP to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

GDOT SSO requests that all security submissions, including supporting procedures, are delivered to the GDOT SSO point-of-contact in person, electronically with a security password, delivered via overnight mail with a signature required, or other secure methods as defined by MARTA / CITY.

**GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted SSP, using the checklist provided in **Appendix H**. Upon approval, GDOT SSO will provide a written letter of approval and a copy of the completed checklist to MARTA / CITY.

Pending any major deficiencies in the MARTA / CITY’s SSP, the GDOT SSO Program Manager will review and approve the initial SSP using its review checklist, and will transmit the completed checklist, which includes a written approval, to MARTA / CITY’s point-of-contact within **305 calendar days** of submission.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**3.2.3 FTA**

Sixty (**60**) **calendar days** prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Security Plan complies with the requirements of the Program Standard. In addition to the letter, GDOT SSO will submit a copy of the SSP and GDOT SSO Review Checklist for FTA review and approval.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 3.2 Schedule for Initial Reviews of SSP**

Task	Responsible Agency	Duration	Target Date
Develop initial SSP and materials related to Initial Submission as part of FTA New Starts process.	CITY (MARTA = N/A)	--	Project specific
Submit initial SSP and materials related to Initial Submission to GDOT SSO for review and approval.	CITY (MARTA = N/A)	<b>365</b> days	Prior to passenger revenue service operations.
Review and approve SSP and materials related to Initial Submission or request	GDOT SSO	<b>305</b> days	Prior to passenger revenue service

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Task	Responsible Agency	Duration	Target Date
additional information.			operations.
Submit approved SSP and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	<b>60</b> days	Prior to passenger revenue service operations

Following the process specified in **Figure 3.2** at the end of this section, GDOT SSO will review the SSP initial submission from MARTA / CITY.

### 3.3 Review of Annual Submission

Following initiation of revenue service, MARTA / CITY will conduct an annual review of its SSP and update it as necessary to ensure that the SSP is current at all times.

In the event that MARTA / CITY conducts its annual SSP review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

In the event that MARTA / CITY conducts its annual SSP review and determines that an update is necessary for the year, MARTA / CITY will submit a revised SSP to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the SSPP.

Each revised SSP submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

#### GDOT Review Checklist / Working Sessions

Following the process specified in **Figure 3.2** at the end of this section, GDOT SSO will review the SSP annual submission from MARTA / CITY.

Within **30 calendar days** of receipt of the SSP from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its SSP and the completed SSP checklist. If GDOT SSO determines that the SSP is not acceptable, GDOT SSO will provide a completed SSP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO's intent that the annual review and approval process for the SSP be completed by **May 31**.

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**Table 3.3 Schedule for Annual Review of SSP**

Task	Responsible Agency	Duration	Target Date
If SSP is not updated:			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY's determination and notify MARTA / CITY.	GDOT SSO	30 days	Jan 31
If SSP is updated:			
If SSP is updated, completes annual review for previous calendar year and submits revised SSP to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves SSP or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises SSP.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised SSP.	GDOT SSO	30 days	May 31

**3.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY's SSP may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329 and / or the GDOT SSO program standard or procedures; review of MARTA / CITY documents; or other security related project information.

Upon receipt of a written notification from GDOT SSO for SSP modifications, MARTA / CITY will submit a revised SSP to GDOT SSO within **30 calendar days**.

In the event that the MARTA / CITY initiates updates, MARTA / CITY will submit the modified SSP, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

**GDOT Review Checklist / Working Sessions**

GDOT SSO will review and approve the revised SSP, providing a formal approval letter and a completed SSP review checklist within **30 calendar days** of receipt of the revised MARTA / CITY's SSP. If GDOT SSO determines that the SSP is not acceptable, GDOT SSO will provide a completed SSP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**Table 3.4 Schedule for Periodic Review of SSP**

Task	Responsible Agency	Duration
Notifies MARTA / CITY that SSP update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised SSP to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised SSP or determines SSP requires re-submittal.	GDOT SSO	30 days
Revises SSP and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised SSP.	GDOT SSO	30 days

### 3.5 Security and Emergency Preparedness Plan

GDOT SSO Program has adopted a minimum security and emergency preparedness program standard in order to comply with requirements specified by FTA in § 659.21 and § 659.23 of the revised rule. MARTA / CITY may choose to develop, implement, and maintain a written SEPP that complies with the program requirements specified in **Appendix G** of this document. This section is based on FTA’s System Security and Emergency Preparedness Planning Guide, issued in January 2003. FTA’s guide addresses all of the activities specified in § 659.23. If developed, the SEPP must be prepared and maintained as a separate document and may not be part of MARTA / CITY’s SSPP. In addition, compliance with the FTA guide is required for rail transit agencies participating in the Department of Homeland Security Grant Program (TSGP).

At a minimum, the SEPP developed by MARTA / CITY must:

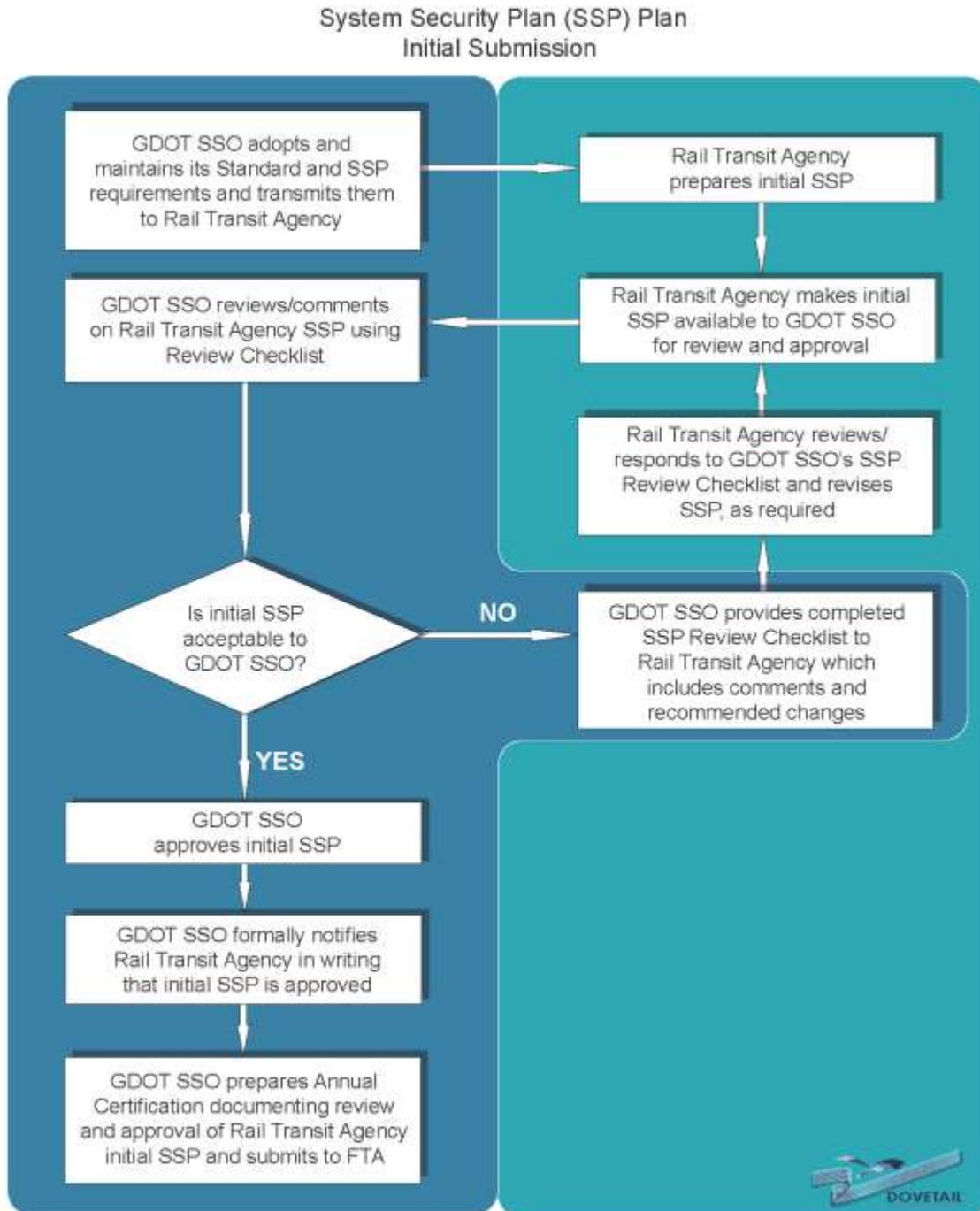
- Identify the policies, goals, and objectives for the security and emergency preparedness program endorsed by the chief executive of MARTA / CITY;
- Document MARTA / CITY’s process for managing threats and vulnerabilities during operations for major projects, extensions, new vehicles and equipment, including integration with safety certification process;
- Identify controls in place that address the personal security and emergency preparedness for passengers and employees;
- Document MARTA / CITY’s process for conducting internal security and emergency preparedness audits to evaluate compliance and measure the effectiveness of the SEPP; and
- Document MARTA / CITY’s process for making available its SEPP and accompanying procedures to GDOT SSO for review and approval.

GDOT SSO encourages MARTA / CITY to prepare an SEPP that outlines its program for fast, controlled, and predictable responses to the various types of emergencies that may occur within its system or nearby locations for wide distribution to external oversight, planning, management, and response agencies. The SEPP ensures the ability of the rail transit agency to coordinate with the external response agencies without compromising sensitive security information.

In addition, GDOT anticipates that MARTA / CITY will prepare all necessary supplemental and supporting plans, policies, and procedures to support the development and implementation of the SEPP.

In the event that MARTA / CITY chooses to develop a SEPP, the requirements for minimum content, Initial, Annual, and Periodic submissions described throughout this section of the Program Standard apply.

Figure 3.2 System Security Plan (SSP) - Review and Approval Process



## Section 4

# Internal Safety and Security Audits

### 4.0 Purpose

In § 659.15 (b)(3), FTA's revised rule specifies that the oversight agency, in its program standard, must require the rail transit agency to develop and implement an internal process for the conduct of safety and security audits. This process must be documented in the rail transit agency's SSPP, SSP, and SEPP (if applicable) and reviewed and approved by the oversight agency.

In § 659.19, FTA identifies the 21 elements that must be described in the rail transit agency System Safety Program Plan (SSPP), including the internal safety audit program:

- (l) A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including
  - (i) identification of departments and functions subject to review;
  - (ii) responsibility for scheduling reviews;
  - (iii) process for conducting reviews, including the development of checklists and procedures and the issuing of findings;
  - (iv) review reporting requirements;
  - (v) tracking the status of implemented recommendations, and
  - (vi) coordination with the GDOT SSO Program Manager.

In § 659.23, FTA identifies the 5 elements that must be described in the rail transit agency System Security Plan (SSP), including the internal security audit program:

- (d) Document the rail transit agency's process for conducting internal security reviews to evaluate compliance and measure the effectiveness of the system security plan.

In addition to the above, in accordance with MAP-21, Section 5329, (d) (1) Public Transportation Safety Plan, the SSPP must also include:

- A. a requirement that the board of directors (or equivalent entity) of the rail transit agency approve the SSPP and any updates to the SSPP;
- B. methods for identifying and evaluating safety risks throughout all elements of the rail transit agency;
- C. strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions;
- D. a process and timeline for conducting an annual review and update of the safety plan of the rail transit agency (as discussed in item (d) above);
- E. performance targets based on the safety performance criteria and state of good repair standards established under the National Public Transportation Safety Plan, (1), (A) safety performance criteria for all modes of public transportation and (1) (B) the definition of the term 'state of good repair' established under MAP-21, Section 5326(b);

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- F. assignment of an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the rail transit agency; and
- G. a comprehensive staff training program for the operations personnel and personnel directly responsible for safety of the rail transit agency that includes
  - (i) the completion of a safety training program; and
  - (ii) continuing safety education and training.

Following the completion of the rulemaking process for MAP-21, GDOT anticipates that the additional SSPP elements listed above will also be subject to the internal safety and security audit program.

If MARTA / CITY delegates internal audit-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart;
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues; and
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

This section describes GDOT SSO requirements for the internal safety and security audit program to be implemented by the rail transit agency.

#### 4.1 Minimum Program Requirements

As described in its SSPP, SSP, and SEPP (if applicable), MARTA / CITY must implement a process for the performance of on-going internal safety and security audits to ensure the implementation of MARTA / CITY's SSPP, SSP, and SEPP and to evaluate the effectiveness of these plans. To ensure compliance with FTA's 49 CFR Part **659.27**, MARTA / CITY must develop an Internal Audit Program Plan (IAPP) that addresses the following:

- **Audit Schedule.** Develop and submit to GDOT SSO an internal safety and security audit schedule, which addresses all required 21 elements of the System Safety Program Plan (§ **659.19**) and all five (5) required elements of the System Security Plan and / or Security and Emergency Preparedness Plan (§ **659.23**), over a three-year cycle. At a minimum, annual updates of this schedule must be provided to GDOT SSO with the annual report discussed in **Section 4.3** below.
- **Audit Procedures and Checklists.** Develop checklists and procedures for conducting the three-year audit cycle of the SSPP, SSP, and SEPP. These materials must ensure sufficient criteria to determine if all audited elements are performing as intended.
- **Audit Notification.** Not less than **30 calendar days** prior to conduct of an internal safety or security audit, notify GDOT SSO. Notification must be in writing and may be transmitted to the GDOT SSO point-of-contact via letter, email, or fax. Notification should include the time and department of the internal audit. GDOT SSO may participate in an internal audit of which it is notified. In addition, at the time of notification,

checklists and procedures relevant for the audit being conducted must be submitted to GDOT SSO. These materials may be submitted to the GDOT SSO point-of-contact in electronic copy via email or fax. For security audits, any special provisions established by MARTA / CITY or GDOT SSO to ensure the protection of these materials must be followed.

- **Audit Report.** Based on the results of each audit conducted, MARTA / CITY must prepare a written report documenting recommendations and any corrective actions identified as a result of the audit.
- **Audit Findings Log.** Prepare an Internal Safety and Security Audit Findings Log to track through to implementation all findings, recommendations, and corrective actions developed as a result of the internal safety and security audit process. This log must be available to GDOT SSO and may be referenced during activities performed in support of the Hazard Management Process. GDOT SSO recognizes the potentially sensitive nature of the information that may be contained in the Internal Security Audit Findings Log and will respect the security provisions established by MARTA / CITY to make the log available to GDOT SSO Manager for review and approval.

## 4.2 Review of Initial Submission

### 4.2.1 GDOT SSO

In carrying out its oversight responsibilities under § 659.17, the GDOT SSO Program Manager will receive, review, and approve in writing MARTA / CITY's SSPP. With the SSPP, MARTA / CITY must also submit any referenced materials, including the Internal Audit Program Plan (IAPP).

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit the IAPP, in compliance with the internal audit program requirements specified in the GDOT SSO Standard and **Appendix E**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its IAPP and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations for review and comment.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review and comment on the initial IAPP and materials related to Initial Submission;
- Review revised IAPP and materials related to Initial Submission;
- Accept the final IAPP and materials related to Initial Submission; and
- Prepare GDOT's initial submittal of the SSPP, including the IAPP to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

The IAPP must be submitted in electronic format via email to the GDOT SSO Program Manager. Supporting procedures may be submitted in hard copy via mail or fax.

#### **GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted IAPP, using the checklist provided in **Appendix I**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

Pending any major deficiencies in the MARTA / CITY's IAPP, the GDOT SSO Program Manager will review and approve the initial IAPP using its review checklist, and will transmit the completed checklist, which includes a written approval, to MARTA / CITY's point-of-contact within **305 calendar days** of submission.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

#### **4.2.2 FTA**

Sixty (**60**) **calendar days** prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Safety Program Plan, including the IAPP, complies with the requirements of the Program Standard.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 4.2 Schedule for Initial Review of IAPP**

Task	Responsible Agency	Duration	Target Date
Develop initial IAPP and materials related to Initial Submission as part of FTA New Starts process.	MARTA / CITY	--	--
Submit initial IAPP, and materials related to Initial Submission to GDOT SSO for review and approval.	MARTA / CITY	365 days	Prior to passenger revenue service operations.
Review and approve IAPP and materials related to Initial Submission or request additional information.	GDOT SSO	305 days	Prior to passenger revenue service operations.
Submit approved IAPP and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	60 days	Prior to passenger revenue service operations

MARTA / CITY may choose to develop the Internal Audit Program Plan (IAPP) in the format of a Standard Operating or Administrative Procedure.

**4.3 Review of Annual Submission**

Following initiation of revenue service, MARTA / CITY will conduct an annual review of its IAPP and update it as necessary to ensure that the IAPP is current at all times.

In the event that MARTA / CITY conducts its annual IAPP review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

In the event that MARTA / CITY conducts its annual IAPP review and determines that an update is necessary for the year, MARTA / CITY will submit a revised IAPP to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the HMP.

Each revised IAPP submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

**GDOT Review Checklist / Working Sessions**

Following the process specified in **Figure 4.2** at the end of this section, GDOT SSO will review the IAPP annual submission from MARTA / CITY.

Within **30 calendar days** of receipt of the IAPP from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its IAPP and the completed IAPP checklist. If GDOT SSO determines that the IAPP is not acceptable, GDOT SSO will provide a completed IAPP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

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While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO’s intent that the annual review and approval process for the IAPP be completed by **May 31**.

**Table 4.3 Schedule for Annual Reviews of IAPP**

Task	Responsible Agency	Duration	Target Date
If IAPP is not updated:			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY’s determination and notify MARTA / CITY.	GDOT SSO	30 days	Jan 31
If IAPP is updated:			
If IAPP is updated, completes annual review for previous calendar year and submits revised IAPP to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves IAPP or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises IAPP.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised IAPP.	GDOT SSO	30 days	May 31

**4.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY’s IAPP may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329 and / or the GDOT SSO program standard or procedures; review of MARTA / CITY documents; or other safety related project information.

Upon receipt of a written notification from GDOT SSO for IAPP modifications, MARTA / CITY will submit a revised IAPP to GDOT SSO within **30 calendar days**. GDOT SSO will review and approve the revised IAPP, providing a formal approval letter and a completed IAPP review checklist within **30 calendar days** of receipt of the revised MARTA / CITY IAPP. If GDOT SSO determines that the IAPP is not acceptable, GDOT SSO will provide a completed IAPP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

In the event that MARTA / CITY initiates updates, MARTA / CITY will submit the modified IAPP, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

**Table 4.4 Schedule for Periodic Reviews of IAPP**

Task	Responsible Agency	Duration
Notifies MARTA / CITY that IAPP update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised IAPP to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised IAPP or determines IAPP requires re-submittal.	GDOT SSO	30 days
Revises IAPP and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised IAPP.	GDOT SSO	30 days

**Figure 4.2** shows the internal safety and security audit process specified by GDOT SSO.

#### 4.5 Internal Safety and Security Audit Annual Reports

By **February 1** of each year, GDOT SSO requires MARTA / CITY to submit an annual report to the GDOT SSO point-of-contact that documents the internal audits for the previous calendar year. This report may be submitted in electronic copy via email or in hard copy via mail or fax. For sections devoted to the results of security audits, any special provisions established by MARTA / CITY or GDOT SSO to ensure the protection of these materials must be followed.

This annual report must include:

- a listing of the internal safety and security audits conducted for that year;
- a discussion of MARTA / CITY’s progress in meeting its three-year internal audit schedule, including the identification of any obstacles in meeting the schedule and any proposed mitigation measures;
- an updated schedule for next year’s audits;
- the status of all findings, recommendations, and corrective actions resulting from the audits conducted that year; and
- any challenges or issues experienced by MARTA / CITY’s system safety function or security / police function in obtaining action from and / or compliance with these findings, recommendations and corrective actions during that year.

GDOT SSO will review and approve this report within **30 calendar days**. While conducting its review, GDOT SSO staff may request additional information, clarifications or revisions from the MARTA / CITY safety or security point-of-contact. A meeting or teleconference may also be conducted to address any issues identified by GDOT SSO during its review of the annual report. Any additional requirements will be conveyed to MARTA / CITY by the GDOT SSO point-of-contact.

In addition to the annual report, also by **February 1**, GDOT SSO requires that MARTA / CITY submit a formal letter of certification, signed by MARTA / CITY’s chief executive, stating that, based on the evaluation performed during the internal safety and security audit process during the previous year, MARTA / CITY is in compliance with its System Safety Program Plan and System Security Plan. The letter of certification must also identify the revision number and date of the rail transit agency’s SSPP and SSP.

If MARTA / CITY determines that findings from its internal safety and security audits indicate

that MARTA / CITY is not in compliance with its SSPP, the chief executive must then identify the activities that MARTA / CITY will take to achieve compliance. GDOT SSO will review and approve this action using the procedure specified in **Section 8** of this document, Corrective Action Plans.

**Table 4.5 Schedule for Review of Internal Safety and Security Audit Annual Report**

Task	Responsible Agency	Duration	Target Date
Submits Annual Audit Report that documents the internal audits for previous year to GDOT SSO	MARTA / CITY	---	Feb 1
Submits formal Letter of Certification, signed by its chief executive that MARTA / CITY is in compliance with its SSPP, SSP, and SEPP (if applicable)	MARTA / CITY	---	Feb 1
Reviews and approves Annual Report	GDOT SSO	30 calendar days following receipt	Mar 1

**Figure 4.5** illustrates the review and approval process for the Internal Safety and Security Audit Annual Report submitted by MARTA / CITY to GDOT SSO.

**4.6 Internal Audit Findings Tracking Log**

The Internal Safety and Security Audit Program will include the Internal Audit Findings Tracking Log. GDOT SSO requires MARTA / CITY to establish an Internal Audit Findings Tracking Log which reflects the consolidation of information in the internal audit process. The Internal Audit Findings Tracking Log must contain all audits of the rail fixed guideway system conducted by MARTA / CITY for each calendar year. The Internal Audit Findings Tracking Log may be organized by the audit number assigned by MARTA / CITY, audit element, the department of MARTA / CITY audited, or other suitable method of organization.

The Internal Audit Findings Tracking Log must include the required information listed on the following page.

**Table 4.6 Internal Audit Findings Tracking Log**

Required Element	Description
<b>ID Number</b>	Refers to the number assigned to the audit by MARTA / CITY
<b>Audit Date</b>	Refers to the date the audit was conducted
<b>Audit Element</b>	Refers to the element of the SSPP, SSP, or SEPP (if applicable) audited
<b>Description of Audit Finding</b>	Refers to a brief narrative summary of the audit finding – what it is, what evaluation criteria was used, what the area of concern or deficiency is, etc.
<b>Description of CAP</b>	Refers to the corrective action plan developed by the audited department to address the identified audit finding
<b>CAP Status Updates</b>	Refers to the periodic updates provided by the audited department to implement the agreed upon corrective action plan
<b>Individual / Department Responsible for CAP Implementation</b>	Refers to the individual (name and title) and department assigned responsibility for implementation of the corrective action plan to address the identified audit finding
<b>Estimated CAP Completion Date</b>	Refers to the estimated date of completion of the corrective action plan
<b>Status</b>	Refers to the status of the audit. Status may be designed as pending, open, in progress, or closed.

As part of the initial submission of the SSPP discussed in **Section 2** of the Program Standard, the proposed Internal Audit Findings Tracking Log must be submitted by MARTA / CITY to GDOT SSO for review and approval.

Following the initiation of revenue service, the Internal Audit Findings Tracking Log must be submitted no less than **quarterly** to GDOT SSO point-of-contact in electronic copy via email or in hard copy via mail or fax. GDOT SSO will review the Internal Audit Findings Tracking Log and forward any questions or requests for information to MARTA / CITY’s point-of-contact.

**Figure 4.2 Internal Audit Program Plan – Review and Approval Process**

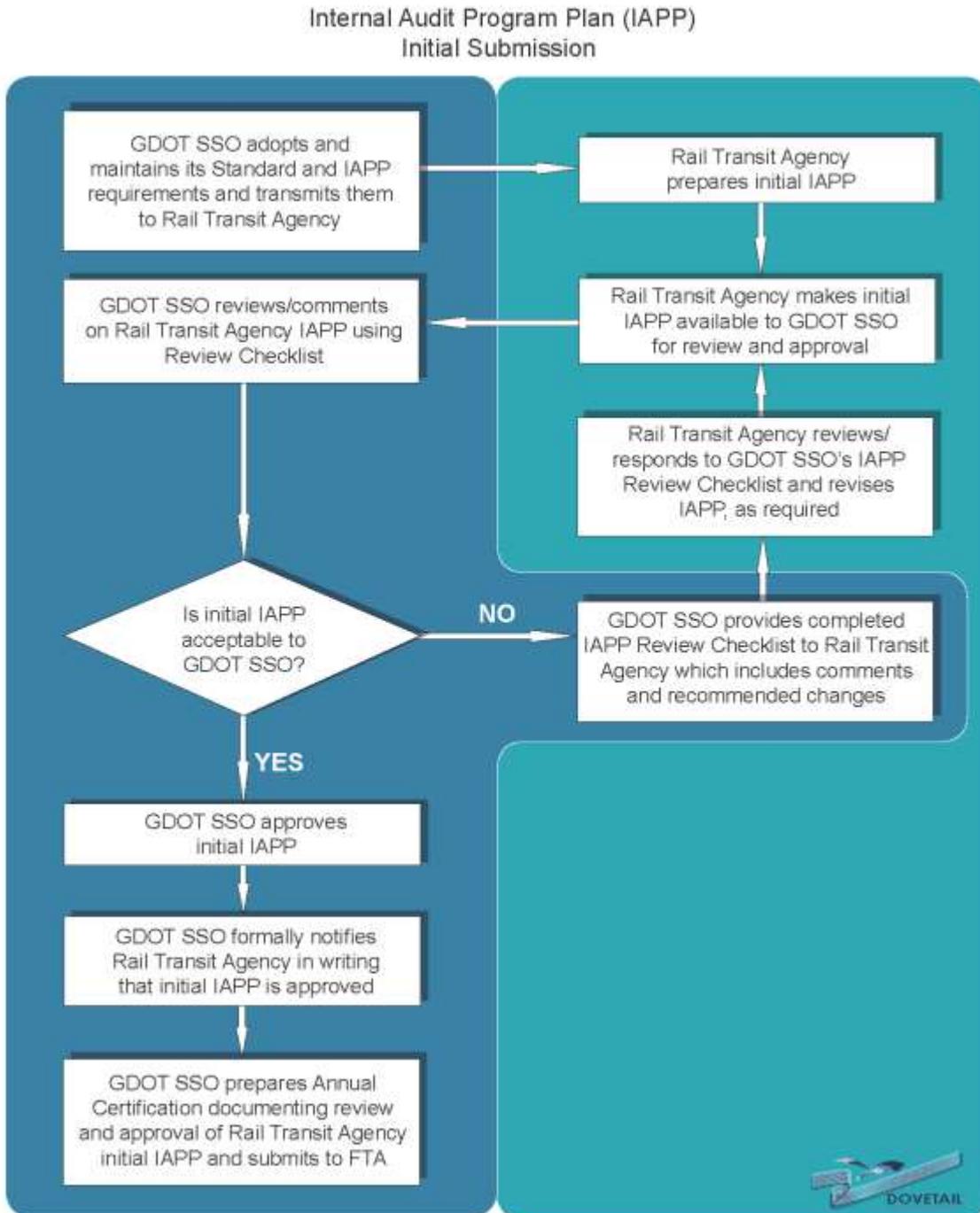
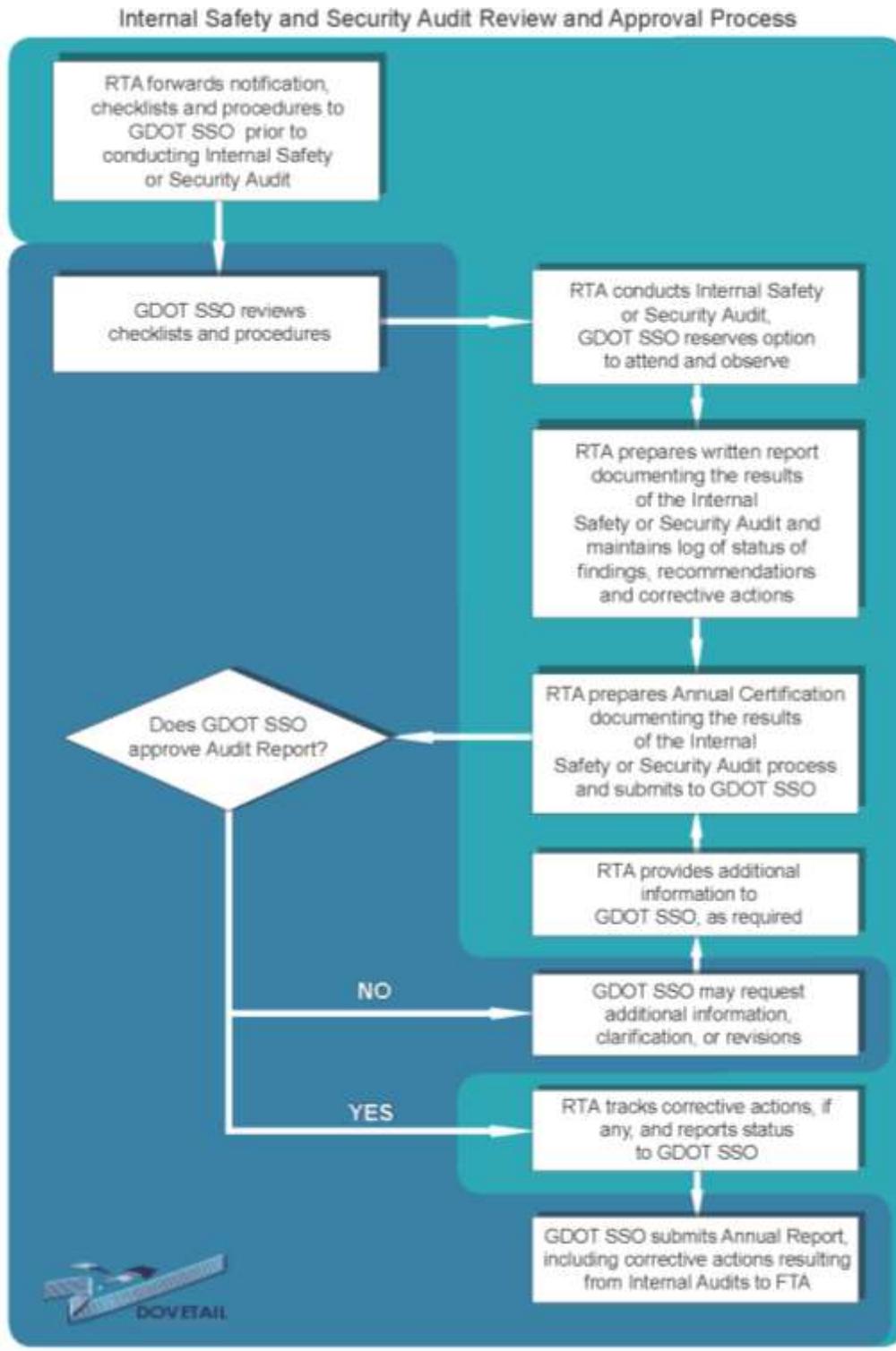


Figure 4.6 Internal Safety and Security Audit Annual Report – Review and Approval Process



## Section 5

# Hazard Management Process

### 5.0 Purpose

In § 659.19, FTA identifies the 21 elements that must be described in the rail transit agency System Safety Program Plan (SSPP), including the hazard management program:

- (f) A description of the process used by the rail transit agency to implement its hazard management program, including activities for:
  - (vi) hazard identification;
  - (vii) hazard investigation, evaluation and analysis;
  - (viii) hazard control and elimination;
  - (ix) hazard tracking; and
  - (x) requirements for on-going reporting to the GDOT SSO Program Manager regarding hazard management activities and status.

In § 659.31, FTA's revised rule focuses on the creation of a hazard management process developed and documented by the rail transit agency in its SSPP, and significantly changes the requirements through which hazards are managed in the SSO program.

In addition to the above, in accordance with **MAP-21, Section 5329, (d) (1)** Public Transportation Safety Plan, the hazard management program described in the SSPP must also include:

- methods for identifying and evaluating safety risks throughout all elements of the rail transit agency;
- strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions;

This section of the Program Standard addresses GDOT SSO's requirements to ensure that a hazard management process is developed that describes the rail transit agency's process to identify, evaluate and analyze, resolve, track, and report safety hazards.

### 5.1 Minimum Plan Requirements

MARTA / CITY must develop, implement, and maintain a written Hazard Management Plan (HMP) that complies with the program requirements specified in this section. The hazard management process described in the HMP applies to New Starts projects; extensions or modifications to existing systems; operational or environmental changes; or from hazards discovered during reviews, audits, inspections, and investigations.

The HMP must include:

- A description of the individuals, departments, and external agencies (to include GDOT and FTA) that have roles and responsibilities for hazard identification, investigation, evaluation and analysis, resolution, tracking, and reporting.

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MARTA / CITY should include a discussion of how MARTA / CITY's safety function will receive, review, and analyze the hazard information received from other departments.

- A description of the process to define the physical and functional characteristics of the system to be analyzed. These characteristics are to be presented in terms of the major elements which make up the system: facilities, systems, equipment, procedures, people, and environment.
- A description of the process to identify hazards and determine their causes. MARTA / CITY should include a discussion of the specific methods for hazard identification such as operating experience of the existing system (if applicable), scenario development, expert opinion, formal hazard analysis techniques, design and other engineering or technical analyses.

MARTA / CITY must provide a definition of what MARTA / CITY considers a "hazard" and the criteria / thresholds that must be met to trigger a determination that a hazard is "unacceptable."

MARTA / CITY must also describe both continuous MARTA / CITY hazard identification methods and periodic, targeted hazard identification campaigns at MARTA / CITY.

This approach may include a number of methodologies including:

- Informal processes such as reports generated by observations made by field personnel; results from vehicle and facilities maintenance audits and inspection, and daily review of MARTA / CITY unusual occurrence log; and
- Formal processes such as findings and recommendations from internal safety and security audits; formal hazard analyses (Preliminary Hazard Analysis, Failure Mode and Effects Analysis, Operations Hazard Analysis, Fault Tree Analysis).
- A description of the process to evaluate and assess the identified hazards in terms of the severity or consequence of the hazard and the probability of occurrence of each type of hazard. MARTA / CITY should include a discussion of the process determine the level of risk and risk acceptance criteria.
- A description of the process to resolve hazards, including the management decision-making process to assume, eliminate, or control identified hazards. MARTA / CITY should include a discussion of the process to develop and implement corrective actions to reduce the risk of a hazard to the lowest practical level.

MARTA / CITY must also describe the implementation of an integrated, system-wide MARTA / CITY hazard resolution process.

- A description of the process to track the implementation of corrective actions to resolve identified hazards, including the preparation of written checklists, and the process to provide ongoing reporting to the GDOT SSO Program Manager regarding hazard management activities and status.

The plan should address both the process for reporting hazards during the engineering and construction phase of the project as well as how hazards will be summarized and reported each quarter to the SSO following revenue operations. For each identified

hazard, MARTA / CITY must provide a description, date identified, source, assessment results, recommendation and status. Refer to **Table 5.6.1** for potential hazards that may require notification to GDOT.

In addition, GDOT requires the hazard management process address the following key elements:

- **Hazard Identification** – the identification of hazards through investigation of actual events (accidents / incidents) and through proactive processes aimed at identifying hazards before they precipitate an occurrence. Examples include hazard and incident reporting systems, surveys of operations and maintenance personnel, as well as operations and maintenance inspections and audits. Other techniques include analysis of statistical trends and review of risk factors associated with people, systems / vehicles, or the operating environment that are related to safety incidents and occurrences.
- **Risk Assessment** – once the hazards have been identified, they must undergo an assessment to determine their potential consequences. Typically, this assessment involves three considerations: 1) the likelihood of the hazard causing or triggering an unsafe event, 2) the severity of the consequence of the unsafe event if the hazard is allowed to remain, and 3) the exposure to the hazard (e.g. number of passenger-miles per day, number of vehicles per hour). The probability of the adverse consequences becomes greater with increased exposure to the unsafe conditions.
- **Risk Mitigation** – The risk mitigation process involves lowering the level of risk by reducing the severity of potential consequences, by reducing the likelihood of occurrence, and / or by reducing the exposure to the identified risk.

**Figure 5.1** at the end of this section illustrates the basic hazard (or safety risk) management process.

If MARTA / CITY delegates hazard management-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart;
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues; and
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the HMP, MARTA / CITY is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above, an outline for the minimum content for MARTA / CITY's HMP is illustrated in **Table 5.1** below.

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**Table 5.1 Hazard Management Plan (HMP) Outline**

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	1.1 Purpose
	1.2 Scope
	1.3 Authority
	1.4 Roles and Responsibilities
	1.4.1 Internal (Safety, Other Departments)
	1.4.2 External (FTA, NTSB, GDOT SSO)
Section 2.	System Definition
	2.0 Overview
	2.1 Facilities / Equipment
	2.3 Systems
	2.3 Plans, Procedures, Other Major Elements
Section 3.	Hazard Identification Process
	3.0 Overview
	3.1 Internal Notification (Safety, Other Departments)
	3.2 External Notification (FTA, NTSB, GDOT SSO)
Section 4.	Hazard Assessment/Evaluation Process
	4.0 Overview
	4.1 Hazard Assessment Process
	4.1.1 Internal Review / Approval (coordination with Safety)
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Section 5.	Hazard Resolution and Management Acceptance Process
	5.0 Overview
	5.1 Hazard Resolution Process
	5.1.1 Internal Review / Approval (coordination with Safety)
	5.1.2 External Review / Approval (coordination with GDOT)
Section 6.	Hazard Tracking and Reporting Process
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	6.1 Hazard Log Development Process
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	6.5 Sample Hazard Log
Section 7.	Hazard Management Plan Review and Modification
	7.0 Overview
	7.1 Hazard Management Plan Review Schedule
	7.2 Hazard Management Plan Control and Update Procedures
	7.3 Hazard Management Plan Review and Approval (coordination with GDOT SSO)

MARTA / CITY may choose to develop the Hazard Management Plan in the format of a Standard Operating or Administrative Procedure.

## **5.2 Review of the Initial Submission**

### **5.2.1 GDOT SSO**

In carrying out its oversight responsibilities under § **659.17**, the GDOT SSO Program Manager will receive, review, and approve in writing MARTA / CITY's SSPP. With the SSPP, MARTA / CITY must also submit any referenced materials, including the Hazard Management Plan (HMP).

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit the HMP, in compliance with the hazard management program requirements specified in the GDOT SSO Standard and **Appendix E**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its HMP and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations for review and comment.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review and comment on the initial HMP and materials related to Initial Submission;
- Review revised HMP and materials related to Initial Submission;
- Accept the final HMP and materials related to Initial Submission; and
- Prepare GDOT's initial submittal of the SSPP, including the HMP to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

The HMP must be submitted in electronic format via email to the GDOT SSO Program Manager. Supporting procedures may be submitted in hard copy via mail or fax.

#### **GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted HMP, using the checklist provided in **Appendix J**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

Pending any major comments or recommended changes in MARTA / CITY's HMP, the GDOT SSO Program Manager will review and comment on the initial HMP using its review checklist, and will transmit the completed checklists to MARTA / CITY's point-of-contact within **305 calendar days** of submission.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session

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will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**5.2.2 FTA**

Sixty (60) calendar days prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Safety Program Plan, including the HMP, complies with the requirements of the Program Standard.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 5.2 Schedule for Initial Review of HMP**

Task	Responsible Agency	Duration	Target Date
Develop initial HMP and materials related to Initial Submission as part of FTA New Starts process.	MARTA / CITY	--	--
Submit initial HMP, and materials related to Initial Submission to GDOT SSO for review and approval.	MARTA / CITY	365 days	Prior to passenger revenue service operations.
Review and approve HMP and materials related to Initial Submission or request additional information.	GDOT SSO	305 days	Prior to passenger revenue service operations.
Submit approved HMP and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	60 days	Prior to passenger revenue service operations

**5.3 Review of Annual Submission**

Following initiation of revenue service, MARTA / CITY will conduct an annual review of its HMP and update it as necessary to ensure that the HMP is current at all times.

In the event that MARTA / CITY conducts its annual HMP review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

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In the event that MARTA / CITY conducts its annual HMP review and determines that an update is necessary for the year, MARTA / CITY will submit a revised HMP to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the HMP.

Each revised HMP submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

**GDOT Review Checklist / Working Sessions**

Following the process specified in **Figure 5.3** at the end of this section, GDOT SSO will review the HMP annual submission from MARTA / CITY.

Within **30 calendar days** of receipt of the HMP from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its HMP and the completed HMP checklist. If GDOT SSO determines that the HMP is not acceptable, GDOT SSO will provide a completed HMP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO's intent that the annual review and approval process for the HMP be completed by **May 31**.

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**Table 5.3 Schedule for Annual Review of HMP**

Task	Responsible Agency	Duration	Target Date
If HMP is not updated:			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY's determination and notify MARTA / CITY.	GDOT SSO	30 days	Jan 31
If HMP is updated:			
If HMP is updated, completes annual review for previous calendar year and submits revised HMP to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves HMP or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises HMP.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised HMP.	GDOT SSO	30 days	May 31

**5.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY's HMP may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329 and / or the GDOT SSO program standard or procedures; review of MARTA / CITY documents; or other safety related project information.

Upon receipt of a written notification from GDOT SSO for HMP modifications, MARTA / CITY will submit a revised HMP to GDOT SSO within **30 calendar days**.

In the event that MARTA / CITY initiates updates, MARTA / CITY will submit the modified HMP, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

**GDOT Review Checklist / Working Sessions**

GDOT SSO will review and approve the revised HMP, providing a formal approval letter and a completed HMP review checklist within **30 calendar days** of receipt of the revised MARTA / CITY's HMP. If GDOT SSO determines that the HMP is not acceptable, GDOT SSO will provide a completed HMP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**Table 5.4 Schedule for Periodic Review of HMP**

Task	Responsible Agency	Duration
Notifies MARTA / CITY that HMP update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised HMP to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised HMP or determines HMP requires re-submittal.	GDOT SSO	30 days
Revises HMP and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised HMP.	GDOT SSO	30 days

**5.5 Hazard Management Process – Coordination and Access**

**5.5.1 Quarterly Meetings / Annual Calendar**

GDOT SSO will coordinate a proposed date and location for the quarterly meeting and a proposed agenda with MARTA / CITY. GDOT SSO will develop and issue the agenda, making any modifications as appropriate, and schedule the quarterly meeting with MARTA / CITY. GDOT SSO will prepare meeting minutes from each quarterly meeting, being sure to document any identified action items or required activities.

To the extent possible, GDOT requires the MARTA / CITY safety and security points-of-contact to identify all regularly occurring safety and security-related meetings (i.e., Quarterly Hazard Management Meeting, Safety and Security Certification Committee, Fire / Life Safety Committee, Emergency Exercise Drills, etc.) where the attendance of the GDOT SSO Program Manager is requested or required. The GDOT SSO Program Manager will work together with the MARTA / CITY safety and security points-of-contact to develop an annual meeting calendar and solidify the meeting dates for the following year by **December 1** of each year.

The Annual Calendar will be regularly updated and maintained between the GDOT SSO Program Manager, MARTA, and the CITY and distributed to the safety and security points-of-contacts in order to avoid meeting scheduling conflicts for the SSO program.

**5.5.2 Management Information Systems**

The purpose of management reporting is to provide MARTA / CITY with precise and sufficient documentation of the performance of the MARTA / CITY system regarding safety, management, operation, maintenance, and passenger service.

Examples of the operations and maintenance reporting include performance and operation status, incidents and accidents, maintenance status, internal audits, and inspections.

GDOT recognizes that MARTA / CITY operations and maintenance functions are and will be managed through various information management systems.

As necessary, to provide timely review of potential hazards, GDOT requires MARTA / CITY to provide access to the specific MARTA / CITY management information

systems that provide information, including, but not limited to, the following (where applicable):

- Infrastructure,
- Vehicles,
- Signals / Communications
- SCADA system,
- Passenger safety and security,
- Maintenance planning and reporting, and
- Configuration management.

Access to MARTA / CITY operations and maintenance information systems will allow GDOT the ability to monitor safety performance and hazard identification, as well as verify the development and implementation of corrective actions.

## 5.6 Hazard Investigations

### 5.6.1 Notification of Unacceptable Hazards

MARTA / CITY will notify GDOT of all potential hazards that affect the immediate safety and security of the rail transit system.

At a minimum, should MARTA / CITY determine that the final risk assessment of the hazard identified is “unacceptable” using the criteria and assessment process specified in its SSPP, MARTA / CITY will notify the GDOT SSO point-of-contact within **24 hours or by 5:00 p.m. on the next regular working day** following the determination of the unsafe condition as “unacceptable.” MARTA / CITY will transmit an electronic copy via email or a hard copy via fax of the appropriately completed worksheets, forms, or other materials documenting the unacceptable hazard.

GDOT requires that MARTA / CITY track and resolve all identified hazards in its hazard log including hazardous conditions, incidents, occurrences, and discoveries.

**Table 5.6.1 Potential Hazards**

GDOT-Reportable Hazards
Broken or missing safety or security-critical equipment, infrastructure, or systems that could result, or have resulted, in employee or passenger injury, or damage to MARTA / CITY property
Discoveries of systemic or patterns of employees or contractors (in safety- or security-sensitive positions) non-compliance with MARTA / CITY rules and procedures
Employee, contractor, or patron electric shock
Exposed energized electrical conductors or equipment that can be contacted by passengers or employees
Facility or track closures due to safety or security-related reasons
Fire or smoke on the track, on a vehicle, or in a MARTA / CITY facility
Improper door opening of an in-service rail transit vehicle (wrong side, off platform, or while moving)
Incidents involving individuals working in / around MARTA / CITY right-of-way that are investigated by MARTA / CITY or its contractors
Malfunctions of safety- or security-critical systems that could result, or have resulted, in a catastrophic incident
MARTA / CITY vehicle – broken or loose wheel or axle
MARTA / CITY vehicle – collisions with fixed objects on the mainline or in the yard
MARTA / CITY vehicle – derailments
MARTA / CITY vehicle – face-up or near miss of rail transit vehicles
MARTA / CITY vehicle – malfunctions of safety critical systems
Operator incapacitated during revenue service

**5.6.2 Investigation of Unacceptable Hazards**

MARTA / CITY or its contractor must investigate a hazard reported to GDOT SSO as unacceptable in accordance with the provisions specified by MARTA / CITY in its SSPP and Accident / Incident Investigation procedures submitted to and approved by GDOT SSO. MARTA / CITY will maintain a file of hazards reported to GDOT SSO and make these files available to GDOT SSO for review and evaluation.

- **Initial Investigation Report**

MARTA / CITY will submit to the GDOT SSO point-of-contact the initial report of the unacceptable hazard within **7 calendar days** of the hazard being reported to GDOT SSO point-of-contact. MARTA / CITY may transmit an electronic copy via email or a hard copy via mail or fax.

- **Status Investigation Reports**

MARTA / CITY will submit to the GDOT SSO point-of-contact status reports of the unacceptable hazard investigation at least **monthly** until the investigation is completed. MARTA / CITY may transmit these status reports as an electronic copy via email or as hard copy via mail or fax.

- **Final Investigation Report**

Upon completing the investigation of the unacceptable hazard, the rail transit agency will prepare and submit to the GDOT SSO for review and approval a final report that includes a description of activities, findings, identified causal factors, and a corrective action plan (if required). MARTA / CITY will transmit an electronic copy of the final investigation report to GDOT SSO point-of-contact via email. Within **30 calendar days** of receiving a report designated as final, GDOT SSO will review the report, using the process specified in **Section 6** of this document. Within **30 calendar days** acceptance of MARTA / CITY's investigation report, GDOT SSO will issue to MARTA / CITY written approval of the report. In the event that GDOT SSO does not accept MARTA / CITY's report, GDOT SSO will communicate in writing the area(s) of disagreement or concern. The report will not be considered final until all conditions are met and the report is approved by GDOT SSO.

Refer to **Section 6**, Accident Notification, Investigation, and Reporting for an illustration of the Final Report review and approval process specified by GDOT SSO.

GDOT SSO reserves the right to conduct independent investigations of identified unacceptable hazards. A description of the GDOT SSO investigation process is provided in **Section 6.6** of this document. Upon determination to conduct an independent investigation, GDOT SSO will inform MARTA / CITY in writing of its intention to conduct an investigation of a reported hazard no later than **7 calendar days** following receipt of MARTA / CITY's initial report. GDOT SSO will advise MARTA / CITY of the following:

- investigation processes;
- identity of individual(s) conducting the investigation; and
- tentative schedule of investigation elements

MARTA / CITY will assist GDOT SSO investigators by providing required information and resources necessary for conducting the investigation. GDOT SSO or its contractor will complete an investigation report that includes a description of activities, findings, identified causal factors, and a corrective action plan (if required). The report will be finished within **30 calendar days** after completion of the investigation, and will be delivered to MARTA / CITY for review. MARTA / CITY will have **30 days** to prepare a corrective action plan, if required, and submit it to the GDOT SSO point-of-contact.

### **5.6.3 Corrective Action Plans**

If required, MARTA / CITY will develop a corrective action plan to correct those elements or activities identified as deficient. In addition, GDOT SSO may, during the course of an investigation, identify corrective actions to avoid or minimize the reoccurrence of the unsafe condition or address a related, systemic problem. Procedures associated with development, submission, review, and approval of corrective action plans are the subject of **Section 8** of this document. At any time during an investigation, GDOT SSO reserves the right to request a full briefing from MARTA / CITY on the known circumstances of the investigation, including corrective actions.

**5.7 Hazard Tracking Log**

The Hazard Management Plan will include the Hazard Tracking Log that will be used once the project initiates revenue service. GDOT SSO requires MARTA / CITY to establish a Hazard Tracking Log which reflects the consolidation of information in the hazard management process. The Hazard Tracking Log must contain all hazards identified through the various methods applied by MARTA / CITY. The Hazard Tracking Log may be organized by the hazard number assigned by MARTA / CITY, or by type of hazard, the source from which it was identified, or the element of MARTA / CITY’s operation affected by the hazard (i.e., facilities, vehicles, track and signal, communications / SCADA, personnel training and procedures, etc.).

The Hazard Tracking Log must include the following required information:

**Table 5.7 Hazard Tracking Log**

Element	Description
<b>ID Number</b>	Refers to the number assigned to the hazard by MARTA / CITY.
<b>Hazard Description</b>	Refers to a brief narrative summary of the hazard – what it is; where it is located; what elements it is comprised of; element of project operation affected by the hazard (i.e., facilities, vehicles, track and signal, personnel training and procedures, etc.).
<b>Date Identified</b>	Refers to the date when the hazard was identified at MARTA / CITY.
<b>Hazard Source</b>	Indicates the mechanism used to identify the hazard, i.e., reports from field personnel, near miss, accident investigation, results of internal safety or security review / audit, rules compliance or training program; maintenance failure, facility, equipment or vehicle inspection, trend analysis, formal hazard analysis, etc.
<b>Hazard Risk Index</b>	Refers to the hazard severity and hazard frequency (or risk index) ratings assigned to hazard by MARTA / CITY.
<b>Hazard Resolution / CAPs</b>	Refers to the actions recommended by MARTA / CITY to address the hazard and bring it into a level of risk acceptable to management.
<b>Status</b>	Refers to the status of the recommendations. Status may be designed as pending, open, in progress, or closed.

As part of the initial submission of the SSPP discussed in **Section 2** of the Program Standard, the proposed Hazard Tracking Log must be submitted by MARTA / CITY to GDOT SSO for review and approval.

Following the initiation of revenue service, the Hazard Tracking Log must be submitted no less than quarterly to the GDOT SSO point-of-contact in electronic copy via email or in hard copy via mail or fax. GDOT SSO will review the Hazard Tracking Log and forward any questions or requests for information to MARTA / CITY’s point-of-contact.

**5.8 GDOT Reviews of the Hazard Management Process**

MARTA / CITY must ensure that it has effective processes for the identification, investigation, resolution, tracking, and reporting of hazards, including hazard trending / analysis and employee reporting of hazards. MARTA / CITY should assess the implementation of its hazard management techniques in an ongoing manner and through its internal safety and security audit program.

At least **quarterly**, GDOT will assess the identification of hazards and the effectiveness of hazard

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mitigation measures during its review of the hazard tracking log and discussions with MARTA / CITY during the Hazard Quarterly Meetings.

At least **annually**, GDOT will conduct an on-site monitoring exercise of MARTA / CITY to verify aspects of the safety and security program, including implementation of the hazard management program. A monitoring exercise may be structured formally as an audit, or be informal such as attending a workshop or observing a drill to gain a better understanding of MARTA / CITY's approach to an issue relevant to the oversight program. GDOT SSO will provide advance written notice to MARTA / CITY's point-of-contact to state the purpose, extent, and format of the monitoring exercise and to work out an appropriate schedule of activities.

At least once **every three years**, GDOT will formally assess the effectiveness of the hazard management process during the Three-Year On-Site Safety and Security Reviews.

Figure 5.1 Basic Hazard Management Process

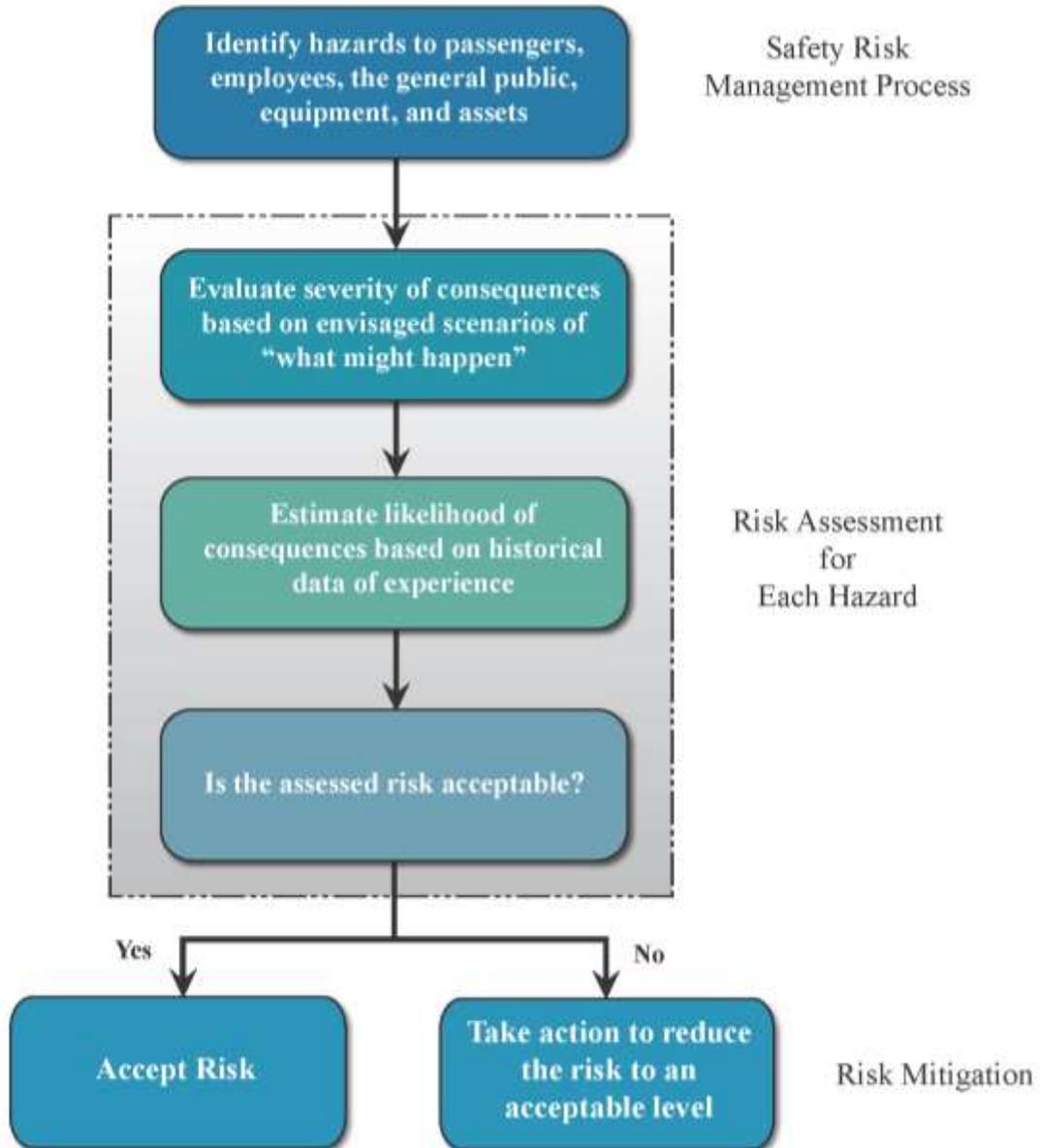
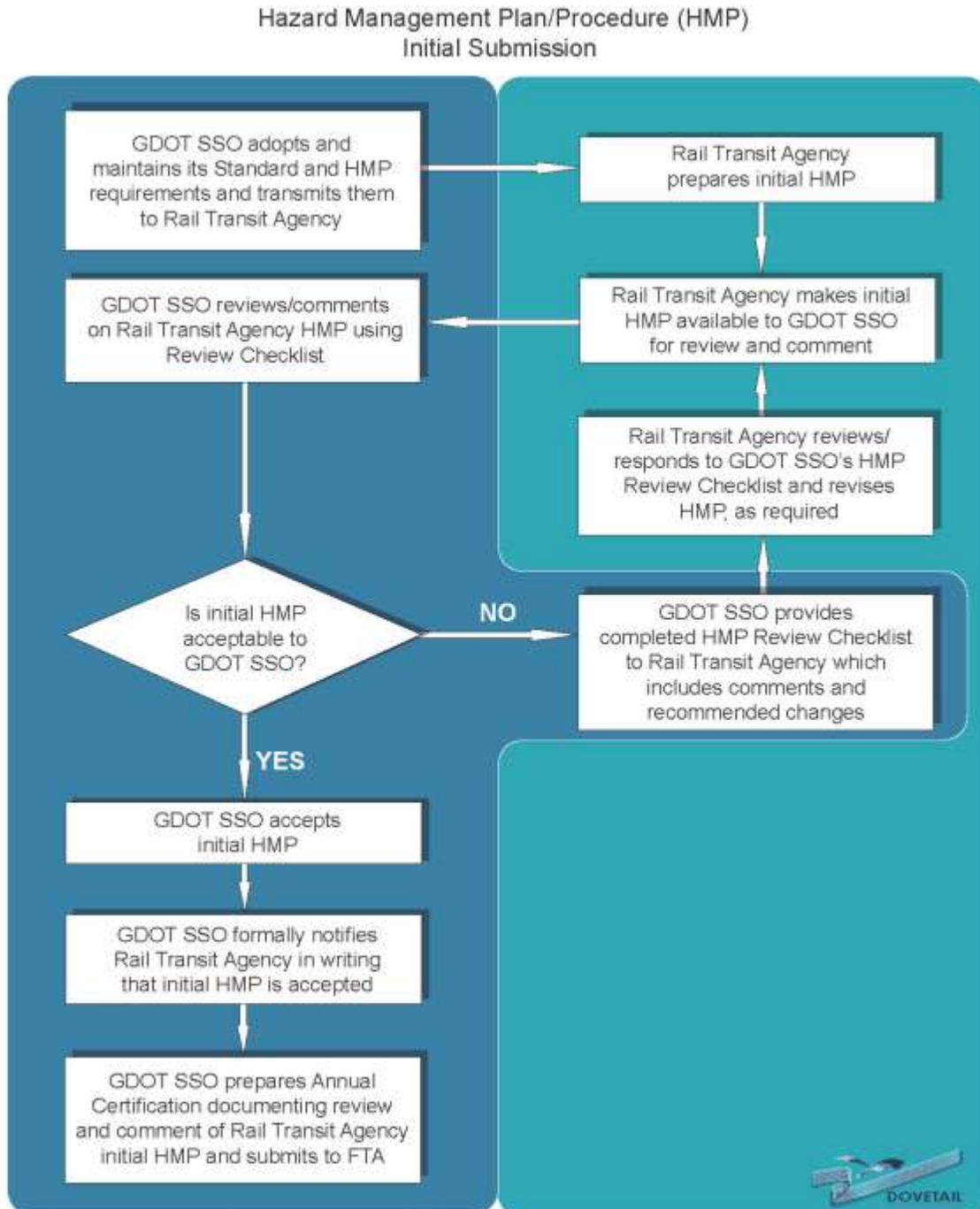


Figure 5.3 Hazard Management Plan – Review and Approval Process



## Section 6

# Accident / Incident Notification, Investigation, and Reporting

### 6.0 Purpose

In § 659.19, FTA identifies the 21 elements that must be described in the rail transit agency System Safety Program Plan (SSPP), including the accident notification, investigation, and reporting:

- (j) A description of the process used by the rail transit agency to perform accident notification, investigation, and reporting, including:
  - (i) notification thresholds for internal and external organizations;
  - (ii) accident investigation process and references to procedures;
  - (iii) the process used to develop, implement, and track corrective actions that address investigation findings;
  - (iv) reporting to internal and external organizations; and
  - (v) coordination with the GDOT SSO Program Manager.

This section addresses the requirements specified for accident notification in § 659.33, accident investigation and reporting specified in § 659.35, and corrective action planning specified in § 659.37.

### 6.1 Minimum Plan Requirements

MARTA / CITY must develop, implement, and maintain a written Accident / Incident Investigation Plan (AIP) that complies with the program requirements specified in this section. The accident notification, investigation, reporting and corrective action planning process described in the AIP applies to New Starts projects; extensions or modifications to existing systems; operational or environmental changes; or from accident-related issues discovered during reviews, audits, inspections, and investigations.

The AIP must:

- Describe the authority for developing and implementing the accident / incident / hazard investigation plan including requirements stipulated by the Georgia Department of Transportation and the Federal Transit Administration.
- Identify the purpose of the accident / incident / hazard investigation plan and introduce the concepts for accident / incident investigation procedures used by MARTA / CITY.
- Describe the scope, policies, criteria, and thresholds for conducting MARTA / CITY accident / incident / hazard investigations including those which are reportable, non-reportable, and independent.

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- Identify the goals and objectives of the accident / incident / hazard investigation plan endorsed by MARTA / CITY management.
- Provide a list of acronyms and definitions of important terms used in accident / incident / hazard investigation at MARTA / CITY.
- Describe how the MARTA / CITY Accident / Incident Investigation Plan is integrated with other plans and programs maintained by the transit agency, particularly the System Safety Program Plan (SSPP), System Security Plan (SSP), Internal Audit Program Plan, Hazard Management Plan (HMP), and Corrective Action Plan (CAP) Program.
- Describe the persons, departments and agencies responsible for MARTA / CITY accident, incident, and hazardous conditions investigations.
- Describe the methods, including timing, of the internal notification process and information to be provided to the field personnel, Operations Control Center (OCC), emergency responders, and points of contact in the departments responsible for system safety and system security for accident, incidents, hazards and other emergencies impacting MARTA / CITY.
- Describe the required notifications and preliminary reporting of rail system accidents/incidents/hazards to external agencies in accordance with established regulatory requirements.
- Describe the objectives, process and responsibilities of field personnel that conduct the initial response / on-site investigation for MARTA / CITY accidents, incidents, and hazards.
- Describe the process to ensure the preservation of the incident scene until the arrival of the NTSB response team, in the event of an NTSB-led investigation.
- Describe the individuals, teams, process and responsibilities of the Off Site Investigator of MARTA / CITY accidents, incidents, and hazards.
- Describe the requirements of MARTA / CITY post-accident / incident / hazard investigation procedures including assessments, inspections, tests, research, analysis, briefings, and reporting.
- Describe the investigation procedures for hazards including minimum thresholds for notification to GDOT, the State Safety Oversight Agency (SSO), investigation and reporting requirements, and coordination with the SSO.
- Define an accident, incident, and hazard.
- Describe the accident / incident investigation training and procedures available to ensure that the employees responsible for conducting investigations are proficient.
- Identify the persons and departments responsible for internal and external reporting of MARTA / CITY accident, incident, and hazard investigations.
- Describe MARTA / CITY's coordination with the GDOT SSO for review and approval of accident / incident investigation procedures; investigation of reportable events to external agencies; investigation reporting; and ownership of investigation materials.

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- Describe the process used to review, revise and approve the Accident / Incident Investigation Plan.

If MARTA / CITY delegates accident notification, investigation, or reporting-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart;
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues; and
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the AIP, MARTA / CITY is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above, an outline for the minimum content for MARTA / CITY's AIP is illustrated in **Table 6.1** below.

<b>Table 6.1 Accident / Incident Investigation Plan (AIP) Outline</b>	
	Title Page
	Table of Contents
	Approvals
	Revisions
Section 1.	Introduction
Section 2.	Integration with Other Plans
Section 3.	Responsibilities
Section 4	Internal Notification Procedures
Section 5.	External Notification Procedures
Section 6.	On-Site Investigation
Section 7.	Off-Site Investigation
Section 8.	Post-Accident / Incident Notification
Section 9.	Hazard Investigation Procedures
Section 10.	Accident / Incident Training
Section 11.	Accident / Incident Reporting
Section 12.	State Safety Oversight Coordination

**Table 6.1 Accident / Incident Investigation Plan (AIP) Outline**

Section 13. Plan Review and Update Process

## 6.2 Review of Initial Submission

### 6.2.1 GDOT SSO

In carrying out its oversight responsibilities under § 659.17, the GDOT SSO Program Manager will receive, review, approve, and adopt in writing MARTA / CITY's AIP. With the SSPP, MARTA / CITY must also submit any referenced materials, including the Accident / Incident Investigation Plan (AIP).

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit the AIP, in compliance with the accident notification, investigation, and reporting requirements specified in the GDOT SSO Standard and **Appendix E**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its AIP and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations for review and comment.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review and comment on the initial AIP and materials related to Initial Submission;
- Review revised AIP and materials related to Initial Submission;
- Accept the final AIP and materials related to Initial Submission; and
- Prepare GDOT's initial submittal of the SSPP, including the AIP to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

The AIP must be submitted in electronic format via email to the GDOT SSO Program Manager. Supporting procedures may be submitted in hard copy via mail or fax.

#### **GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted AIP, using the checklist provided in **Appendix K**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

Pending any major comments or recommended changes in MARTA / CITY's AIP, the GDOT SSO Program Manager will review and comment on the initial AIP using its review checklist, and will transmit the completed checklists to MARTA / CITY's point-of-contact within **305 calendar days** of submission.

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While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**6.2.2 FTA**

Sixty (60) calendar days prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Safety Program Plan, including the AIP, complies with the requirements of the Program Standard.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 6.2 Schedule for Initial Review of AIP**

Task	Responsible Agency	Duration	Target Date
Develop initial AIP and materials related to Initial Submission as part of FTA New Starts process.	CITY (MARTA = N/A)	--	--
Submit initial AIP and materials related to Initial Submission to GDOT SSO for review and approval.	CITY (MARTA = N/A)	365 days	Prior to passenger revenue service operations.
Review and approve AIP and materials related to Initial Submission or request additional information.	GDOT SSO	305 days	Prior to passenger revenue service operations.
Submit approved AIP and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	60 days	Prior to passenger revenue service operations

Following the process specified in **Figure 6.2** at the end of this section, GDOT SSO will review the AIP initial submission from MARTA / CITY.

### 6.3 Review of Annual Submission

Following initiation of revenue service, MARTA / CITY will conduct an annual review of its AIP and update it as necessary to ensure that the AIP is current at all times.

In the event that MARTA / CITY conducts its annual AIP review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

In the event that MARTA / CITY conducts its annual AIP review and determines that an update is necessary for the year, MARTA / CITY will submit a revised AIP to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the AIP.

Each revised AIP submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

#### **GDOT Review Checklist / Working Sessions**

Following the process specified in **Figure 6.2** at the end of this section, GDOT SSO will review the AIP annual submission from MARTA / CITY.

Within **30 calendar days** of receipt of the AIP from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its AIP and the completed AIP checklist. If GDOT SSO determines that the AIP is not acceptable, GDOT SSO will provide a completed AIP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO's intent that the annual review and approval process for the AIP be completed by **May 31**.

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**Table 6.3 Schedule for Annual Review of AIP**

Task	Responsible Agency	Duration	Target Date
If AIP is not updated:			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY's determination and notifies MARTA / CITY.	GDOT SSO	30 days	Jan 31
If AIP is updated:			
If AIP is updated, completes annual review for previous calendar year and submits revised AIP to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves AIP or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises AIP.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised AIP.	GDOT SSO	30 days	May 31

**6.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY's AIP may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329 and / or the GDOT SSO program standard or procedures; review of MARTA / CITY documents; or other safety related project information.

Upon receipt of a written notification from GDOT SSO for AIP modifications, MARTA / CITY will submit a revised AIP to GDOT SSO within **30 calendar days**.

In the event that MARTA / CITY initiates updates, MARTA / CITY will submit the modified AIP, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

**GDOT Review Checklist / Working Sessions**

GDOT SSO will review and approve the revised AIP, providing a formal approval letter and a completed AIP review checklist within **30 calendar days** of receipt of the revised MARTA / CITY's AIP. If GDOT SSO determines that the AIP is not acceptable, GDOT SSO will provide a completed AIP checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**Table 6.4 Schedule for Periodic Review of AIP**

Task	Responsible Agency	Duration
Notifies MARTA / CITY that AIP update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised AIP to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised AIP or determines AIP requires re-submittal.	GDOT SSO	30 days
Revises AIP and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised AIP.	GDOT SSO	30 days

## 6.5 Accident Notification Requirements

### 6.5.1 Notification Thresholds

#### 6.5.1.1 GDOT (Pre-Revenue Operations)

During the engineering, construction, and testing phases of New Starts projects, system expansions, or system modifications, MARTA / CITY will notify GDOT of hazards and incidents as discussed in the following sections of the Program Standard:

Table 5.6.1	Potential Hazards
Table 6.5.1.2	Accident / Incident Notification Thresholds

#### 6.5.1.2 GDOT (Revenue Operations)

MARTA / CITY will notify GDOT SSO within **2 hours** of any safety or security event involving a rail transit vehicle or taking place on MARTA / CITY controlled property where one or more of the following occurs:

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**Table 6.5.1.2 Accident / Incident Notification Thresholds**

GDOT-Reportable Accidents / Incidents
a fatality at the scene; or where an individual is confirmed dead within 30 calendar days of a rail transit related incident
injuries requiring immediate medical attention away from the scene for two or more individuals
property damage to MARTA / CITY vehicles, non-MARTA / CITY vehicles, other MARTA / CITY property or facilities, and non-MARTA / CITY property that equals or exceeds \$25,000
an evacuation due to life safety reasons
a collision at a rail grade crossing
a main-line derailment
a collision with an individual on MARTA / CITY right-of-way
a collision between a MARTA / CITY vehicle and a second MARTA / CITY vehicle or a MARTA / CITY non-revenue vehicle

At the discretion of MARTA / CITY, and as a courtesy to GDOT, MARTA / CITY will notify GDOT of incident that may attract / has attracted a significant amount of media attention.

#### **6.5.1.3 Federal Transit Administration**

MARTA / City will notify the FTA Office of Safety and Security of major accidents, service disruptions in accordance with its requirements. Current requirements include:

Telephone Notification (one or all may be contacted):

- Office of Transit Safety and Oversight (during normal office hours)
  - Richard Gerhart **(202) 366-8970**
  - Levern McElveen **(202) 366-1651**
  - Anthony Tinsdale **(202) 366-3949**
- National Response Center (after normal office hours)
  - **1-800-424-0201**

Fax Notification:

- **(202) 366-7951**

Email Notification (one or all may be contacted):

- Office of Transit Safety and Oversight
  - Richard Gerhart **Richard.Gerhart@dot.gov**
  - Levern McElveen **Levern.McElveen@dot.gov**
  - Anthony Tinsdale **Anthony.Tisdale@dot.gov**

#### **6.5.1.4 National Transportation Safety Board**

MARTA / CITY will notify the NTSB (1-800-424-0201, National Response Center) at the earliest practicable time following any one of the following accidents:

- a. No later than **2 hours** after an accident which results in:

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- A passenger or employee fatality or serious injury to two or more crew members or passengers requiring admission to a hospital;
  - The evacuation of a passenger train; or
  - A fatality at a rail grade crossing.
- b. No later than **4 hours** after an accident which does not involve any of the circumstances enumerated in paragraph a. above but which results in:
- Damage (based on a preliminary gross estimate) of \$150,000 or more for repairs, or the current replacement cost, to railroad and non-railroad property; or
  - Damage of \$25,000 or more to a passenger train and railroad and non-railroad property.

#### 6.5.1.5 Federal Railroad Administration

Each rail transit agency that shares track with a general railroad system and is subject to the Federal Railroad Administration (FRA) notification requirements will notify GDOT SSO within **2 hours** of an incident for which the rail transit agency must notify the FRA.

The MARTA / CITY system is not currently subject to FRA notification requirements.

#### 6.5.2 GDOT SSO Notification Procedures

**Initial Telephone Notification.** MARTA / CITY will provide initial notification to the cell phone of the GDOT SSO Point-of-contact within **two (2) hours** of a reportable event, leaving a detailed message. MARTA / CITY will provide as much of the following information as possible:

- Name and job title of person reporting,
- Name of the rail transit agency,
- Event type (fatality, injuries, property damage, evacuation, derailment or other),
- Location, date and time of event,
- Initial assessment of the extent of fatalities, injuries, and
- Preliminary estimate of property damage (Less than \$25K, Greater than \$25K)

**Initial Email Notification.** Within **six (6) hours** of a reportable event, or as soon thereafter as practicable, MARTA / CITY will provide via email to the GDOT SSO point-of-contact, confirmations or updated information of the event and more detail including the following:

- Name and job title of person reporting,
- Name of rail transit agency,
- Event type (fatality, injuries, property damage, evacuation, derailment or other),
- Location, date and time of event,
- Fatalities,
- Injuries,
- Rail transit vehicle(s) involved (type, number),
- Other vehicles involved (describe),

- Preliminary estimate of property damage (Less than \$25K, Greater than \$25K),
- Is event NTSB reportable and will NTSB investigate,
- Is event FRA reportable and will FRA investigate,
- Rail Transit Agency primary person (i.e., Chief Investigator) conducting the investigation (name, title, cell, office and fax numbers, email address),
- Description of event, and
- Implemented and / or planned corrective actions

MARTA / CITY will provide additional information at GDOT SSO request. MARTA / CITY will maintain a current list of contact information for all primary and alternate GDOT SSO contact personnel, including delivery street addresses, email addresses, fax, telephone, cell phone, and pager numbers.

## 6.6 Investigation of Reportable Events

49 CFR Part **659.35** require GDOT SSO to investigate or cause to be investigated, at a minimum, any incident involving a rail transit vehicle or taking place on rail transit-controlled property meeting the notification thresholds identified in **Section 6.5.1.2**. In conducting these investigations, GDOT SSO may authorize MARTA / CITY to conduct an investigation on its behalf, conduct its own independent investigation, or, if the NTSB is investigating the accident, join in the investigation through NTSB's Party System.

### 6.6.1 Rail Transit Agency Investigations on Behalf of GDOT SSO

**Investigation Authorization.** It is the intent of GDOT SSO for MARTA / CITY to investigate every reportable event on behalf of the state of Georgia and this paragraph in the oversight program standard is MARTA / CITY's formal, written authorization to do so. GDOT's authorization for MARTA / CITY to investigate reportable hazards and incidents on behalf of GDOT is contingent upon GDOT's review and approval of MARTA / CITY's Accident / Incident Investigation Plan and procedures.

GDOT reserves the right to participate in any MARTA / CITY investigation of a reportable event and acknowledges that MARTA / CITY has the right to request GDOT to participate in any such investigation.

After receiving notification of the accident as specified in **Section 6.5.1**, if GDOT SSO intends to participate, GDOT SSO will formally notify MARTA / CITY in writing via an email submitted to MARTA / CITY's safety point-of-contact. For all investigations conducted by MARTA / CITY on behalf of GDOT SSO, MARTA / CITY must use investigation procedures that have been approved by GDOT SSO and delineated in MARTA / CITY's SSPP.

**Investigation Procedures.** MARTA / CITY must have submitted these procedures to GDOT SSO with its SSPP. Subsequent updates and revisions to these procedures must be submitted to GDOT SSO as they are completed and implemented by MARTA / CITY or with the annual update of the SSPP. These procedures will be treated as part of the SSPP. These procedures have been submitted to FTA as part of GDOT SSO Initial Submission. Subsequent updates to these procedures will be submitted to FTA as part of the GDOT SSO Annual Submission.

In the event that authorization is conferred upon MARTA / CITY to conduct the investigation, GDOT SSO may participate in the investigation process. The terms of

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participation are specified in MARTA / CITY's SSPP and MARTA / CITY's accident investigation process. If the state decides to participate in the investigation, GDOT's point-of-contact will notify MARTA / CITY's safety or security point-of-contact by telephone or email, and follow up with written notice.

**Investigation Reports.** GDOT SSO requires a preliminary and a final report from MARTA / CITY for every investigation of a reportable event. In addition, for investigations that take more than **30 calendar days** to complete, GDOT SSO requires monthly status reports. All reports may be transmitted to GDOT SSO by email, fax, or regular mail.

- **Preliminary Report**

Within **forty-eight (48) hours** of a reportable event, MARTA / CITY must report initial findings of fact; its investigation plans; NTSB involvement in the investigation; and whether an ad hoc investigation committee will be convened.

- **Status Report**

Until the investigation is completed, MARTA / CITY will prepare and submit monthly status investigation reports. The status investigation reports at a minimum will include:

- minutes of any meeting held by a rail transit agency's ad hoc reportable event investigation committee or contractor;
- disclosure of any immediate actions the rail transit agency has taken, planned or completed;
- principal issues or items currently being evaluated; and
- overall progress and status of the investigation.

At its discretion, MARTA / CITY may submit a summary report of all ongoing investigation status reports to GDOT SSO in lieu of several individual status reports.

At any time during an investigation, MARTA / CITY will be prepared to provide a full briefing on the known circumstances of the event, status of the MARTA / CITY or NTSB investigation, and investigation activities.

- **Final Report**

Each MARTA / CITY investigation conducted on behalf of GDOT SSO must be documented in a final report that includes a description of investigation activities, findings, identified causal factors, and a corrective action plan (if required). As specified in its accident investigation procedures and as recommended by GDOT SSO, MARTA / CITY separates its final investigation report in two parts:

- 1) description of investigation activities, investigation findings, and determination of the most probable cause and additional contributing causes; and
- 2) recommendations to prevent recurrence and a corrective action plan, if required.

MARTA / CITY may utilize investigations from its safety department or from front line departments such as operations and maintenance; however, identification of cause must be made and report content requirements listed in

this Section must be met.

**Review and Approval Process.** Upon receipt of MARTA / CITY's Accident / Incident Investigation Final Report, GDOT SSO will review in accordance with its Checklist for Reviewing Rail Transit Agency Accident / Incident Investigation Final Reports, specified in **Appendix L** of this document. In the event that GDOT SSO does not agree with the description of the investigation, the identification of primary and contributing causes, or the findings of the Final Report, GDOT SSO will communicate in writing to the MARTA / CITY's safety point-of-contact the area(s) of disagreement or concern. GDOT SSO will work with MARTA / CITY to address these issues in MARTA / CITY's Final Report. In the event that agreement cannot be reached on these issues, GDOT SSO will issue its own accident investigation report, which may be no more than MARTA / CITY's Final Report and GDOT SSO dissent.

GDOT SSO will review the Final Report within **30 calendar days** of receipt. If the review will take longer than 30 calendar days, GDOT will notify MARTA / CITY in writing on or before Day 30 and provide a revised date for the completion of the review checklist.

To reduce the potential for conflict, GDOT SSO encourages MARTA / CITY to submit a draft version of the Final Report to GDOT SSO point-of-contact so that agreement may be obtained on the most probable cause, additional contributing causes, corrective action plan (if required), and an implementation schedule before the Final Report is finalized and formally issued by MARTA / CITY.

**Documentation Sensitivity and Retention.** Reports and records of accident investigations submitted to GDOT SSO by MARTA / CITY, as well as related reports and records produced by both GDOT SSO and MARTA / CITY, will be treated as confidential information, and will not be released without concurrence by both GDOT SSO and MARTA / CITY.

With the exception of MARTA / CITY's Accident / Incident Investigation Final Report, all accident investigation material that MARTA / CITY provides to GDOT SSO for review purposes will be considered MARTA / CITY's property and returned to the safety or security point of contact. GDOT SSO will not maintain copies of this material.

#### **6.6.2 Independent GDOT SSO Investigations**

GDOT reserves the right to conduct independent investigations on its own behalf of any reportable event, as defined above, if:

- The accident / incident might be related to a pending corrective action, or
- The NTSB is not investigating the accident / incident.

GDOT SSO at its discretion may choose to conduct an independent investigation of any accident meeting the thresholds specified in **Section 6.5** utilizing its own personnel or an authorized contractor. An investigation conducted by GDOT SSO or its contractor must be in accordance with the GDOT-approved investigation procedures used by MARTA / CITY.

GDOT SSO will inform MARTA / CITY of its intention to conduct an investigation or participate in a MARTA / CITY investigation of a reported event no later than **7 calendar days** following receipt of MARTA / CITY's initial report. GDOT SSO will

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advise MARTA / CITY as to the personnel who will be conducting the independent investigation, and provide a preliminary schedule as to the investigation process.

All GDOT SSO authorized accident investigation personnel are granted authority under the state safety oversight program to conduct an investigation and evaluate records, materials, data, analysis, and other information which is pertinent to the investigation. It is expected that MARTA / CITY will provide GDOT SSO investigation team the resources and information necessary to conduct the investigation in an effective and efficient fashion.

GDOT SSO accident investigation personnel may conduct field analysis, operational surveys, interviews, record checks, data analysis, and other on-site and off-site tasks which may be necessary for a comprehensive investigation. If GDOT SSO accident investigation personnel require information or analysis which is not readily available, or which may require additional resources by MARTA / CITY, it will request this data in a written request to MARTA / CITY's point-of-contact via email or letter.

In conducting its investigation, GDOT SSO will, at a minimum, perform the following activities:

- GDOT SSO will assign a team of qualified personnel to investigate the accident (off- and on-site). The team will include individuals with technical expertise in the type of accident being investigated. For example, a vehicle expert would be included in a team conducting the accident investigation for an accident involving a rail vehicle mechanical failure. Technical area(s) of specialization may include:
  - System Safety
  - Safety Training
  - Transportation Management and Operations
  - Substance Abuse Programs
  - Vehicles and Vehicle Maintenance
  - Worker Health and Safety, Facility Safety, and Hazardous Materials
  - Emergency Operations
  - Track, Structures, Signals, and Communications
  - Transit System Security
- GDOT SSO on-site team will wait until MARTA / CITY and / or other emergency response personnel have secured the accident / incident scene area before commencing its on-site accident investigation. GDOT SSO reserves the right to request that MARTA / CITY hold the accident scene to the maximum extent feasible until the arrival of an accident investigation by GDOT SSO team members.
- The GDOT SSO team will assess physical evidence of the accident scene including: damage and debris analysis; assessment of vehicle, equipment, and systems; and the use of measurements, diagrams, and photographs. They also will document the environmental and physical factors of the accident scene.
- As part of the accident / incident investigation GDOT SSO will review the functionality of the safety critical hardware and software elements of the system; conduct follow-up interviews (if required); analyze employee records

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and the results of post-accident drug and alcohol tests; and conduct vehicle and equipment inspections.

- All information gathered from the accident / incident investigation will be documented and included in GDOT SSO accident report.
- Within **30 calendar days** of completion of the on-site and off-site accident investigation requirements, GDOT SSO investigation team will prepare a draft accident investigation report.
- The draft accident investigation report will be provided to MARTA / CITY for its review. Comments will be due to GDOT SSO **30 calendar days** after MARTA / CITY's initial receipt of the draft report. If necessary, a meeting to discuss the draft report will also be held between GDOT SSO and MARTA / CITY.
- If necessary, and based upon the comments received from the transit agency, the draft report will be revised.
- A final accident investigation report will be issued by GDOT SSO within **30 calendar days** of the end of the comment period.

MARTA / CITY will be required to review the final GDOT SSO accident investigation report, and within **30 calendar days** after receiving it, either:

- 1) provide concurrence to implement the GDOT SSO-proposed corrective action plan (if required) or
- 2) submit an alternative corrective action plan to GDOT SSO for review and approval.

### 6.6.3 NTSB Investigations

The NTSB may investigate a reportable event to achieve its primary function to promote safety in transportation. In such case, the NTSB is responsible for the investigation; the determination of facts, conditions, and circumstances; the cause or probable causes; and recommendations to reduce the likelihood of recurrence. GDOT SSO will support the NTSB as a member of its Party System.

In the event of an NTSB investigation, MARTA / CITY will take the necessary steps to ensure the preservation of the incident scene until the time of the arrival of the NTSB response team.

MARTA / CITY will also be responsible for timely briefing GDOT SSO on NTSB activities including meetings, interviews, requests for data, functional testing, examination of equipment, and the results of drug and alcohol tests. MARTA / CITY will provide GDOT SSO with a copy of all written correspondence to the NTSB concerning a reportable event or investigation, and also will provide GDOT SSO a copy of all NTSB reports and any recommendations concerning the event or its investigation, upon receipt by MARTA / CITY.

It is the intent of GDOT SSO to review this material concurrently with the NTSB and to return all material to MARTA / CITY at the conclusion of its review. GDOT SSO will assist the NTSB by providing information requested about MARTA / CITY critical

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practices and other matters as appropriate. If the NTSB releases preliminary findings and recommendations, GDOT SSO is authorized to participate in any discussions and reviews with MARTA / CITY and NTSB. GDOT SSO and MARTA / CITY will review the NTSB findings, draft, and final reports and make a determination of whether or not to adopt the NTSB recommendations. Should the NTSB recommendations be adopted, MARTA / CITY will implement the findings. For more detail see **Section 8**, Corrective Action Plans.

**Figure 6.6** at the end of this section illustrates the process for GDOT SSO’s review and approval of Accident Investigation Final Reports prepared by MARTA / CITY.

**6.7 Accident / Incident Tracking Log**

The Accident / Incident Investigation Plan will include the Accident / Incident Tracking Log that will be used once the project initiates revenue service. GDOT SSO requires MARTA / CITY to establish an Accident / Incident Tracking Log which reflects the consolidation of information in the accident investigation process. The Accident / Incident Tracking Log must contain all hazards identified through the various methods applied by MARTA / CITY. The Accident / Incident Tracking Log may be organized by the accident number assigned by MARTA / CITY, or by type of accident, the source from which it was identified, or the element of MARTA / CITY’s operation affected by the accident (i.e., facilities, vehicles, track and signal, communications / SCADA, personnel training and procedures, etc.).

The Accident / Incident Tracking Log must include the following required information:

**Table 6.7 Accident / Incident Tracking Log**

Element	Description
<b>ID Number</b>	Refers to the number assigned to the incident by MARTA / CITY
<b>Date of Incident</b>	Refers to the date the incident occurred at MARTA / CITY
<b>Time of Incident</b>	Refers to the time the incident occurred
<b>Time of SSO Notification</b>	Refers to the time the SSO was notified of the incident
<b>Type of Incident</b>	Refers to the category of reportable incident: <ol style="list-style-type: none"> <li>1. Collision (Non-Rail Grade Crossing)</li> <li>2. Rail Grade Crossing Collision</li> <li>3. Derailments</li> <li>4. Fires</li> <li>5. Service Interruption</li> <li>6. Other</li> </ol>
<b>Details of Collision</b>	If reportable incident is a collision or rail grade crossing collision, refers to details of what the transit vehicle collided with: <ol style="list-style-type: none"> <li>1. Person</li> <li>2. Automobile (Road Vehicle)</li> <li>3. Object</li> <li>4. Transit Vehicle</li> </ol>
<b>Location of Incident</b>	Refers to location where incident occurred: <ol style="list-style-type: none"> <li>1. Trackway</li> <li>2. Revenue Facility</li> <li>3. Non-Revenue Facility</li> <li>4. Yard</li> <li>5. Other</li> </ol>
<b>Fatalities</b>	Refers to persons involved in incidents that are categorized as follows: <ol style="list-style-type: none"> <li>1. Passenger</li> </ol>

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Element	Description
	<ol style="list-style-type: none"> <li>2. Patron</li> <li>3. Public</li> <li>4. Worker</li> </ol>
<b>Injuries</b>	Refers to persons involved in incidents that are categorized as follows: <ol style="list-style-type: none"> <li>1. Passenger</li> <li>2. Patron</li> <li>3. Public</li> <li>4. Worker</li> </ol>
<b>Estimated Property Damage</b>	Refers to whether or not the incident resulted in property damage greater than or equal to \$25,000 in estimated damages.
<b>Name of Investigator</b>	Refers to name of individual responsible for the investigation.
<b>Description of Incident</b>	Refers to a brief narrative summary of the incident – what it is; where it is located; what elements it is comprised of element of system operation affected by the incident (i.e., facilities, vehicles, track and signal, personnel training and procedures, etc.).
<b>Probable Cause</b>	Refers to requirements for each final investigation report to identify causal and contributing factors, including following 11 categories: <ol style="list-style-type: none"> <li>1. Equipment Failure</li> <li>2. Poor Maintenance</li> <li>3. Operating Rule Violation / Human Factor</li> <li>4. Slips and Falls</li> <li>5. Imprudent Customer Actions</li> <li>6. Medically Related</li> <li>7. Action of Motorist</li> <li>8. Pedestrian Actions</li> <li>9. Trespasser</li> <li>10. Suicide</li> <li>11. Other</li> </ol>
<b>Corrective Action Plan</b>	Refers to whether or not a corrective action plan was developed to address the findings of the final investigation report.
<b>Status</b>	Refers to the status of the investigation. Status may be designed as pending, open, in progress, or closed.

As part of the Initial Submission of the SSPP discussed in **Section 2** of the Program Standard, the proposed Accident / Incident Tracking Log must be submitted by MARTA / CITY to GDOT SSO for review and approval.

Following the initiation of revenue service, the Accident / Incident Tracking Log must be submitted **no less than quarterly** to GDOT SSO point-of-contact in electronic copy via email or in hard copy via mail or fax. GDOT SSO will review the Accident / Incident Tracking Log and forward any questions or requests for information to MARTA / CITY's point-of-contact.

**Figure 6.2 Accident / Incident Investigation Plan – Review and Approval Process**

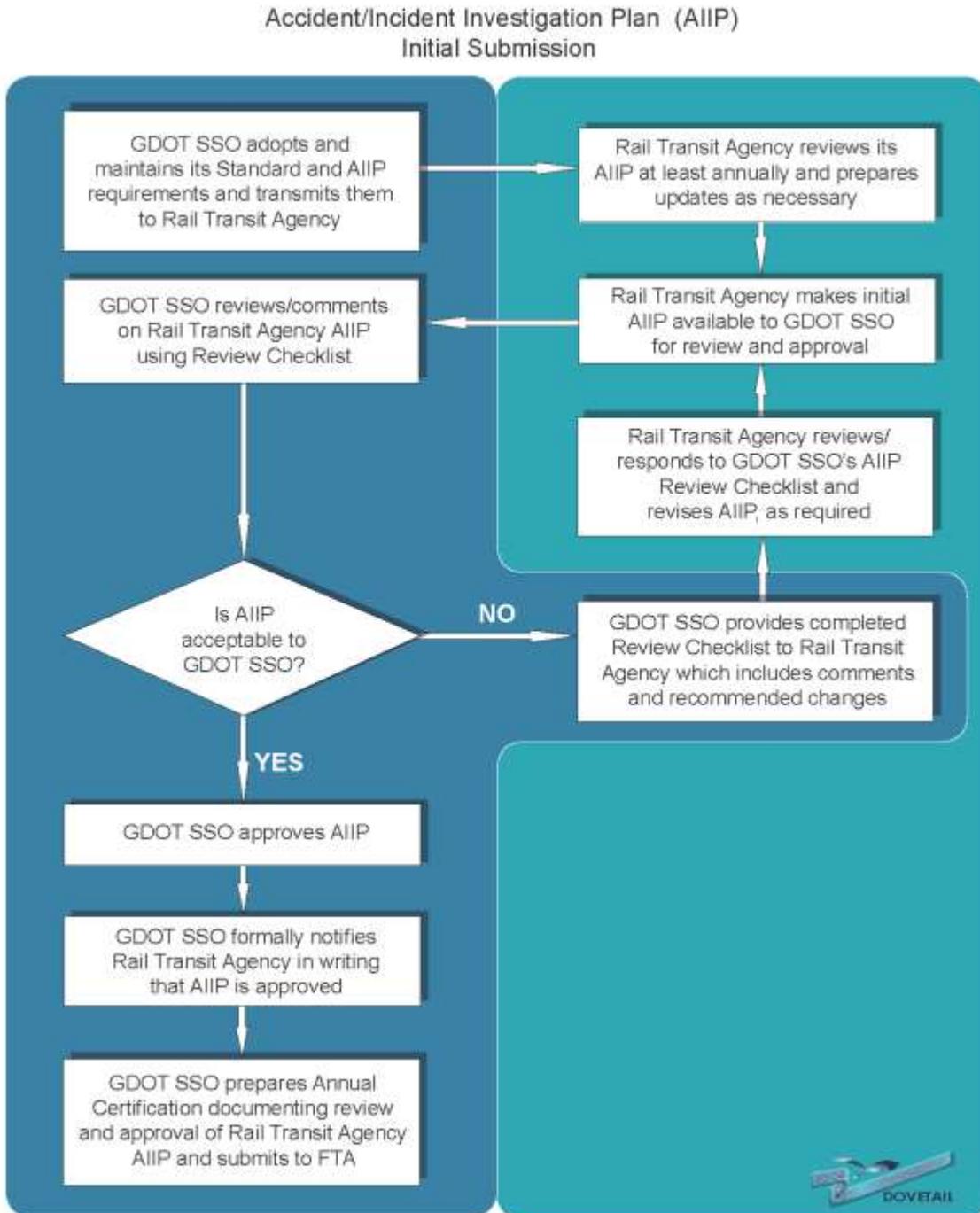
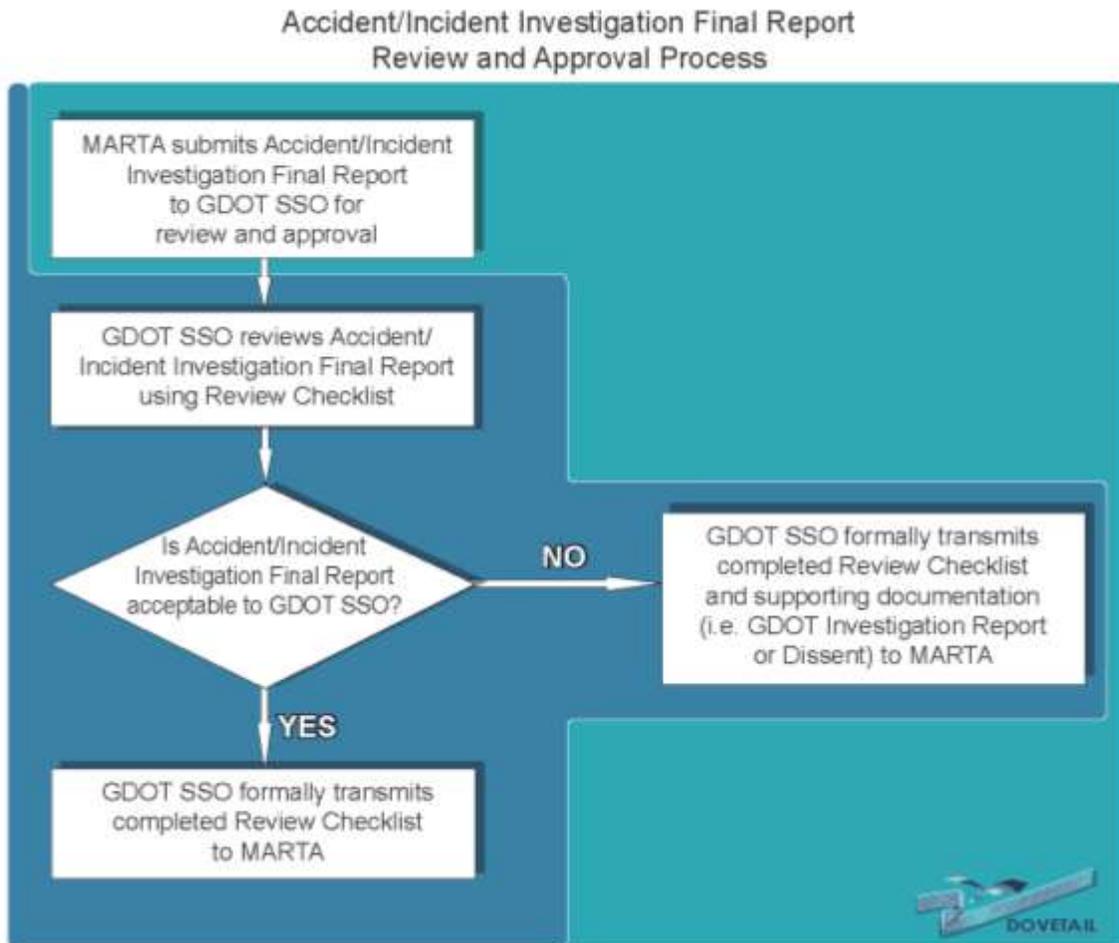


Figure 6.6 Accident / Incident Investigation Final Report – Review and Approval Process



# Section 7

## SSO Safety and Security Reviews

### 7.0 Purpose

This section addresses GDOT SSO’s procedure for the Three-Year Safety and Security Review to be performed on-site at the rail transit agency as required in § 659.29 of the revised rule. This review will determine the extent to which the rail transit agency is meeting the requirements of its System Safety Program Plan, System Security Plan, and Security and Emergency Preparedness Plan (if applicable), the effectiveness of these plans, and whether the plans should be updated.

This section also addresses other GDOT SSO reviews and assessments for any New Starts project, system expansion, or system modification that may be undertaken by MARTA / CITY.

### 7.1 Minimum Program Requirements

As specified in § 659.29 at least every three (3) years, GDOT SSO must conduct an on-site review of MARTA / CITY’s implementation of its SSPP, SSP, and SEPP (if applicable). Alternately, this on-site review may be conducted in an on-going manner over the three-year timeframe.

In conducting the three-year review, GDOT SSO will establish a review team and prepare a schedule, procedures, and checklists to guide the review process. Criteria will be established through which GDOT SSO can evaluate MARTA / CITY’s implementation of its SSPP, SSP, and SEPP.

At the conclusion of the review, GDOT SSO will prepare and issue a report containing evaluation assessment results from the review, which will analyze the effectiveness of the SSPP, SSP, and SEPP, and whether the plans should be updated. Corrective actions required as a result of this review will be managed through the process described in **Section 8** of this document.

GDOT SSO will submit its completed report for the three-year safety and security review to FTA as part of its Annual Submission.

**Table 7.1 Three-Year On-Site Review Schedule**

Rail Transit Agency	Program	Next Review Date
MARTA	Safety	2013
MARTA	Security	2015
CITY	Safety / Security	2017

### 7.2 On-Site Review Process and Procedures

#### 7.2.1 Pre-Review Preparations

GDOT SSO point-of-contact will establish a schedule for conducting the review at MARTA / CITY, the rail transit agency operating within the state’s jurisdiction. This schedule will include milestones for: the development of checklists to guide the review; notification to MARTA / CITY regarding the review; conducting a pre-review meeting

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with MARTA / CITY; conducting the review; preparation of a draft report; delivery of the draft report to MARTA / CITY; issuance of a final report; and the receipt, review, approval, and tracking through implementation of MARTA / CITY corrective action plans, if required.

GDOT SSO point-of-contact will determine whether the review will be conducted by GDOT SSO personnel, a contractor, or a combination of both. If a contractor is to be used, required activities to ensure that contractor services are available in time to plan for and conduct the review will be added to the milestone schedule.

Based on the milestone schedule, GDOT SSO point-of-contact will assign a team of GDOT SSO and / or contractor personnel to conduct the review. Each team will have a designated Lead Reviewer and supporting Team Members.

Once assigned, the team will begin its work by reviewing in detail MARTA / CITY's SSPP, SSP, SEPP, and referenced and supporting procedures and materials. These materials will form the basis of GDOT SSO's review checklist. As necessary, while preparing this checklist, the GDOT SSO point-of-contact may contact MARTA / CITY's safety or security point-of-contact and request additional information, procedures, or documentation. These requests may be transmitted via email, letter, or fax. For example, the team may request and review MARTA / CITY's standard operating procedures, bulletins, orders, instructions, and procedures; maintenance manuals and procedures for vehicles, track, and signals; design criteria and project engineering procedures for extensions or modifications; internal safety and security audit checklists and reports; the results of the hazard management process; and the status of all corrective action plans.

Utilizing these materials, the team will complete its checklist development. This checklist will identify:

- the safety and security requirements to be reviewed;
- the applicable reference documents that establish the acceptance criteria for those requirements; and
- the method of verification

Space will also be provided on the checklists to record the results of the review. Once the checklists are completed, GDOT SSO will formally notify MARTA / CITY's safety and security point-of-contact of the upcoming review, no less than **60 days** before the review is scheduled. This notification will occur via letter.

Shortly after notification, GDOT SSO will schedule a pre-review meeting with MARTA / CITY for clarification of any questions and concerns, and coordination of daily schedules with MARTA / CITY. Either during this meeting or via email or hard copy mail, the GDOT SSO point-of-contact will also transmit its review checklists to MARTA / CITY's safety and security points-of-contact. The checklists will be delivered to MARTA / CITY at least **30 calendar days** prior to the start date of the review.

**Table 7.2.1 Three-Year On-Site Review Report Preparation and Submittal Schedule**

Task	Responsible Agency	Duration
Pre-Review Notification <ul style="list-style-type: none"> <li>• Notifies MARTA / CITY via letter on-site review is scheduled</li> </ul>	GDOT SSO	180 days prior to review
Pre-Review Preparation <ul style="list-style-type: none"> <li>• Holds pre-review meeting with MARTA / CITY shortly after notification, and requests background materials and updated documents</li> <li>• Transmits review checklists to MARTA / CITY</li> </ul>	GDOT SSO	30 days prior to review
On-Site Review Agenda <ul style="list-style-type: none"> <li>• Confirms the detailed agenda in advance of the on-site review.</li> </ul>	MARTA / CITY	7 days prior to review
Conduct On-Site Review <ul style="list-style-type: none"> <li>• Conducts the on-site review using the checklists transmitted to MARTA / CITY.</li> </ul>	GDOT SSO	8-10 days
Prepare Draft Report <ul style="list-style-type: none"> <li>• Prepares and submits Draft Report to MARTA / CITY after conclusion of review</li> </ul>	GDOT SSO	90 days after review
Review Draft Report <ul style="list-style-type: none"> <li>• Reviews and responds to Draft Report, and prepares any corrective action plans required by GDOT SSO</li> </ul>	MARTA / CITY	60 days
Prepare Final Report <ul style="list-style-type: none"> <li>• Responds to MARTA / CITY's comments, makes necessary revisions, and issues Final Report after conclusion of the on-site review</li> </ul>	GDOT SSO	30 days
Annual FTA Submission <ul style="list-style-type: none"> <li>• Transmits completed Three Year On-Site Safety and Security Review Final Report to FTA as part of its annual submission</li> </ul>	GDOT SSO	March 15

**Figure 7.2a** and **Figure 7.2b** at the end of this section illustrate the Three-Year On-Site Safety Review process and Three-Year On-Site Security process, respectively.

**7.2.2 Draft and Final Reports**

Following the completion of the on-site review, the GDOT SSO team will prepare a draft report with the completed review checklists included as attachments. The Three-Year On-Site Safety Review Checklist is provided in **Appendix M**. The Three-Year On-Site Security Review Checklist is provided in **Appendix N**.

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This draft report will provide:

- Verification that the SSPP, SSP, and SEPP are integral parts of MARTA / CITY's overall management, engineering, operating, and maintenance practices, and / or identification of deficiencies or areas requiring improvement.
- Verification that the SSPP, SSP, and SEPP are reviewed, at a minimum, on an annual basis in order to ensure that they remain dynamic and viable documents, and / or identification of deficiencies or areas requiring improvement.
- Verification that MARTA / CITY regularly monitors compliance with the SSPP, SSP, and SEPP through a continuous and on-going internal safety and security audit process, and / or identification of deficiencies or areas requiring improvement.
- Verification that MARTA / CITY identifies potentially serious conditions, hazards, threats and vulnerabilities and ensure that methods to eliminate, control, and mitigate them are implemented, and / or identification of deficiencies or areas requiring improvement.
- Verification that investigations are being conducted following established procedures adopted by MARTA / CITY, and / or identification of deficiencies or areas requiring improvement.
- Verification that MARTA / CITY's emergency preparedness and terrorism preparedness programs are being implemented as specified in the SSPP, SSP, and SEPP, and / or identification of deficiencies or areas requiring improvement.
- Verification that specific activities and tasks identified in the SSPP, SSP, and SEPP are being carried out as specified in these plans, and / or identification of deficiencies or areas requiring improvement.

The draft report will be delivered to MARTA / CITY's safety and security points-of-contact via email no more than **90 calendar days** after the conclusion of the on-site review. MARTA / CITY will have a minimum of **30 calendar days** to respond to the draft report and to prepare corrective actions as requested by GDOT SSO in the draft report to address any identified findings, recommendations or concerns. Upon receipt of MARTA / CITY's response, GDOT SSO will make any required revisions to the draft and issue the final report.

While individual reports may vary, the basic outline used by GDOT SSO Three-Year Safety and Security Review Reports is presented in **Table 7.2.2a** and **Table 7.2.2b**. GDOT SSO will transmit the completed three-year on-site safety and security review reports to the FTA as part of its annual submission.

Corrective action plans submitted by MARTA / CITY to address review findings will be reviewed, approved, and tracked through to implementation following the process specified in **Section 8** of this document.

**Table 7.2.2a Three-Year On-Site Safety Review Final Report Outline**

Table of Contents	
Acknowledgments	
Approvals	
Revisions	
Introduction	
1.0	Policy Statement
1.1	Discussion of Requirement
1.2	On-Site Review Comments
1.3	Evaluation Assessment Results
2.0	Purpose, Goals and Objectives
2.1	Discussion of Requirement
2.2	On-Site Review Comments
2.3	Evaluation Assessment Results
3.0	Management Structure
3.1	Discussion of Requirement
3.2	On-Site Review Comments
3.3	Evaluation Assessment Results
4.0	SSPP Update
4.1	Discussion of Requirement
4.2	On-Site Review Comments
4.3	Evaluation Assessment Results
5.0	SSPP Implementation Activities
5.1	Discussion of Requirement
5.2	On-Site Review Comments
5.3	Evaluation Assessment Results
6.0	Hazard Management Process
6.1	Discussion of Requirement
6.2	On-Site Review Comments
6.3	Evaluation Assessment Results
7.0	Safety Certification
7.1	Discussion of Requirement
7.2	On-Site Review Comments
7.3	Evaluation Assessment Results
8.0	System Modifications
8.1	Discussion of Requirement
8.2	On-Site Review Comments
8.3	Evaluation Assessment Results
9.0	Safety Data Analysis and Acquisition
9.1	Discussion of Requirement
9.2	On-Site Review Comments
9.3	Evaluation Assessment Results
10.0	Accident Notification, Investigation and Reporting

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**Table 7.2.2a Three-Year On-Site Safety Review Final Report Outline**

10.1	Discussion of Requirement
10.2	On-Site Review Comments
10.3	Evaluation Assessment Results
11.0	Emergency Response Planning / Coordination / Training
11.1	Discussion of Requirement
11.2	On-Site Review Comments
11.3	Evaluation Assessment Results
12.0	Internal Safety Audit Process
12.1	Discussion of Requirement
12.2	On-Site Review Comments
12.3	Evaluation Assessment Results
13.0	Rules Compliance / Procedures Review
13.1	Discussion of Requirement
13.2	On-Site Review Comments
13.3	Evaluation Assessment Results
14.0	Facilities and Equipment Inspections
14.1	Discussion of Requirement
14.2	On-Site Review Comments
14.3	Evaluation Assessment Results
15.0	Maintenance Audits and Inspections
15.1	Discussion of Requirement
15.2	On-Site Review Comments
15.3	Evaluation Assessment Results
16.0	Training
16.1	Discussion of Requirement
16.2	On-Site Review Comments
16.3	Evaluation Assessment Results
17.0	Configuration Management
17.1	Discussion of Requirement
17.2	On-Site Review Comments
17.3	Evaluation Assessment Results
18.0	Regulatory Requirements
18.1	Discussion of Requirement
18.2	On-Site Review Comments
18.3	Evaluation Assessment Results
19.0	Hazardous Materials
19.1	Discussion of Requirement
19.2	On-Site Review Comments
19.3	Evaluation Assessment Results
20.0	Drug and Alcohol Program
20.1	Discussion of Requirement
20.2	On-Site Review Comments
20.3	Evaluation Assessment Results
21.0	Procurement
21.1	Discussion of Requirement
21.2	On-Site Review Comments
21.3	Evaluation Assessment Results

**Table 7.2.2a Three-Year On-Site Safety Review Final Report Outline**

22.0	Transit Asset Management
22.1	Discussion of Requirement
22.2	On-Site Review Comments
22.3	Evaluation Assessment Results
Appendices	
	Completed Review Checklist
	List of Participants
	Corrective Action Plan Log

**Table 7.2.2b Three-Year On-Site Security Review Final Report**

Table of Contents	
Acknowledgments	
Approvals	
Revisions	
Introduction	
1.0	Policy Statement / Mission Statement
1.1	Discussion of Requirement
1.2	On-Site Review Comments
1.3	Evaluation Assessment Results
2.0	Purpose, Goals and Objectives
2.1	Discussion of Requirement
2.2	On-Site Review Comments
2.3	Evaluation Assessment Results
3.0	Management / Division of Security Responsibilities
3.1	Discussion of Requirement
3.2	On-Site Review Comments
3.3	Evaluation Assessment Results
4.0	Plan Review and Update Process
4.1	Discussion of Requirement
4.2	On-Site Review Comments
4.3	Evaluation Assessment Results
5.0	Threat and Vulnerability Identification, Assessment and Resolution
5.1	Discussion of Requirement
5.2	On-Site Review Comments
5.3	Evaluation Assessment Results
6.0	Security Certification
6.1	Discussion of Requirement
6.2	On-Site Review Comments
6.3	Evaluation Assessment Results
7.0	System Modification
7.1	Discussion of Requirement

Table 7.2.2b	Three-Year On-Site Security Review Final Report
7.2	On-Site Review Comments
7.3	Evaluation Assessment Results
8.0	Security Data Acquisition and Analysis
8.1	Discussion of Requirement
8.2	On-Site Review Comments
8.3	Evaluation Assessment Results
9.0	Security Incident Notification, Investigation, and Reporting
9.1	Discussion of Requirement
9.2	On-Site Review Comments
9.3	Evaluation Assessment Results
10.0	Emergency Exercises and Evaluation
10.1	Discussion of Requirement
10.2	On-Site Review Comments
10.3	Evaluation Assessment Results
11.0	Internal Security Audits
11.1	Discussion of Requirement
11.2	On-Site Review Comments
11.3	Evaluation Assessment Results
12.0	Security Training and Procedures
12.1	Discussion of Requirement
12.2	On-Site Review Comments
12.3	Evaluation Assessment Results
Appendices	
	Completed Review Checklist
	List of Participants
	Corrective Action Plan Log

**Note:** While the outline above includes twelve (12) suggested chapters, these chapters are inclusive of the five required elements of a SSP discussed in **Section 3**, System Security Plan.

### 7.3 Other GDOT SSO Reviews

At its discretion, GDOT may conduct reviews or special assessments of issues related to system safety and system security at the MARTA / CITY system. In addition to the specific readiness reviews discussed below, GDOT may initiate a review of a particular subject matter area in response to a given hazard, accident, or incident or trend of such events.

At the completion of GDOT’s reviews or assessments, GDOT may issue a Review Checklist or Final Report containing findings and recommendations that will be subject to the corrective action plan process described in **Section 8** of this Program Standard.

The GDOT SSO Program Manager will maintain ongoing communications and will coordinate with the FTA regarding its reviews or special assessments of issues related to system safety and system security, as required.

### **7.3.1 Readiness Review for New Starts Projects**

GDOT may conduct an on-site readiness review of any New Starts project undertaken by MARTA / CITY. This review would likely take place following the receipt of the Initial Submissions of the safety and security plans required by the Program Standard (i.e., System Safety Program Plan, System Security Plan, Internal Audit Program Plan, Hazard Management Plan, Accident / Incident Investigation Plan, Corrective Action Program Plan, and Transit Asset Management Plan), but prior to the entry of the project into passenger revenue service.

The purpose of the readiness review would be for GDOT to assess the capabilities of MARTA / CITY to implement the safety and security plans during revenue service.

The review may be conducted as part of the process to determine final approval of the MARTA / CITY plans, primarily the System Safety Program Plan and System Security Plan.

This assessment may be conducted formally following the procedures outlined in **Section 7.2** of this Program Standard. Alternatively, the review may be conducted less formally, such as an on-site walk through of the project with the MARTA / CITY safety and security points-of-contact and other appropriate project staff. Whether a formal or informal approach, the outcome of the review will be for GDOT to verify that MARTA / CITY has submitted accurate plans and has the capacity to adequately implement said plans.

At the completion of the review, GDOT may issue one or more of the Review Checklists included in the Appendix of this Program Standard or an official Final Report containing findings and recommendations that will be subject to the corrective action plan process described in **Section 8** of this Program Standard.

### **7.3.2 Readiness Review for System Expansions and System Modifications**

GDOT may conduct an on-site readiness review of any system expansion or system modification project undertaken by MARTA / CITY. As MARTA / CITY system matures, GDOT may also conduct readiness reviews of the following types of projects:

- Major reconstruction of any existing line
- New installation or significantly modified/redesigned systems elements
- New or significantly modified / redesigned maintenance or operating facilities
- New vehicle procurements or mid-life overhauls
- Other types of projects deemed by GDOT to have significant safety or security implications

The timing of the review will depend largely on the type and extent of system expansion or system modification. GDOT reserves the right to assess all project development phases including:

- Planning
- Preliminary Engineering
- Final Design
- Procurement
- Construction
- Operations and Maintenance Planning
- Training

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- Testing
- Start-Up

This review would likely take place following the receipt of the Annual Updates of the safety and security plans required by the Program Standard (i.e., System Safety Program Plan, System Security Plan, Internal Audit Program Plan, Hazard Management Plan, Accident / Incident Investigation Plan, Corrective Action Program Plan, and Transit Asset Management Plan), but prior to the entry of the expansion or modification project into passenger revenue service.

The purpose of the readiness review would be for GDOT to assess the capabilities of MARTA / CITY to implement the safety and security plans for the entire MARTA / CITY system with the addition of the system expansion or system modification project. It is also the objective of GDOT to review and resolve any safety or security critical issues as early as possible in order to avoid or minimize the need for retroactive modifications and retrofits and not delay the project implementation schedule.

In conducting the review, GDOT will focus on the process for system modification outlined in the MARTA / CITY System Safety Program Plan. This process requires MARTA / CITY to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment which do not require formal certification but which may have safety impacts.

GDOT readiness reviews for these types of projects will include the following safety and security-related plans and documents:

- Project scope, schedule, and management structure
- Design criteria
- Design documents
- Construction Plan
- Configuration Management Plan
- Operating and Maintenance Plans and procedures, including emergency operating procedures
- Training programs and procedures
- Integrated test program and procedures
- System safety and security reviews / assessments
- System Safety Program Plan updates
- Emergency Management Plan updates
- Security Plan updates

The review may be conducted as part of the process to determine final approval of the MARTA / CITY plans, primarily the System Safety Program Plan and System Security Plan.

This assessment may be conducted formally following the procedures outlined in **Section 7.2** of this Program Standard. Alternatively, the review may be conducted less formally, such as an on-site walk through of the project with the MARTA / CITY safety and security points-of-contact and other appropriate project staff. Whether a formal or informal approach, the outcome of the review will be for GDOT to verify that MARTA / CITY has submitted accurate plans and has the capacity to adequately implement said plans.

At the completion of the review, GDOT may issue one or more of the Review Checklists included in the Appendix of this Program Standard or an official Final Report containing

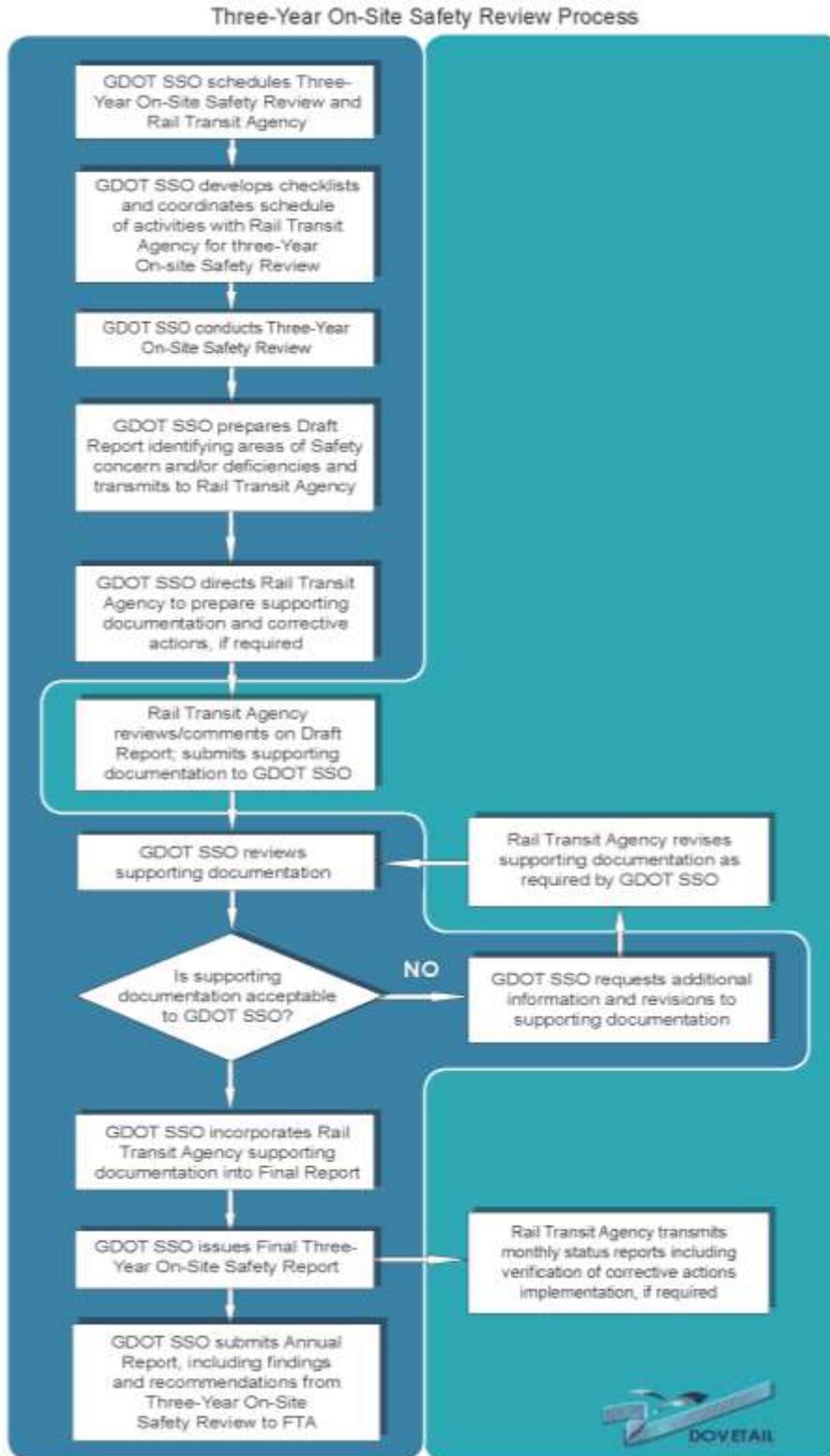
findings and recommendations that will be subject to the corrective action plan process described in **Section 8** of this Program Standard.

At the completion of the project, GDOT expects all affected safety and security plans, policies and procedures to be updated to include the system expansion or system modification. In addition, following the completion of the project, GDOT will incorporate the project into the regularly scheduled Three-Year On-Site Safety Review and Three-Year On-Site Security Reviews.

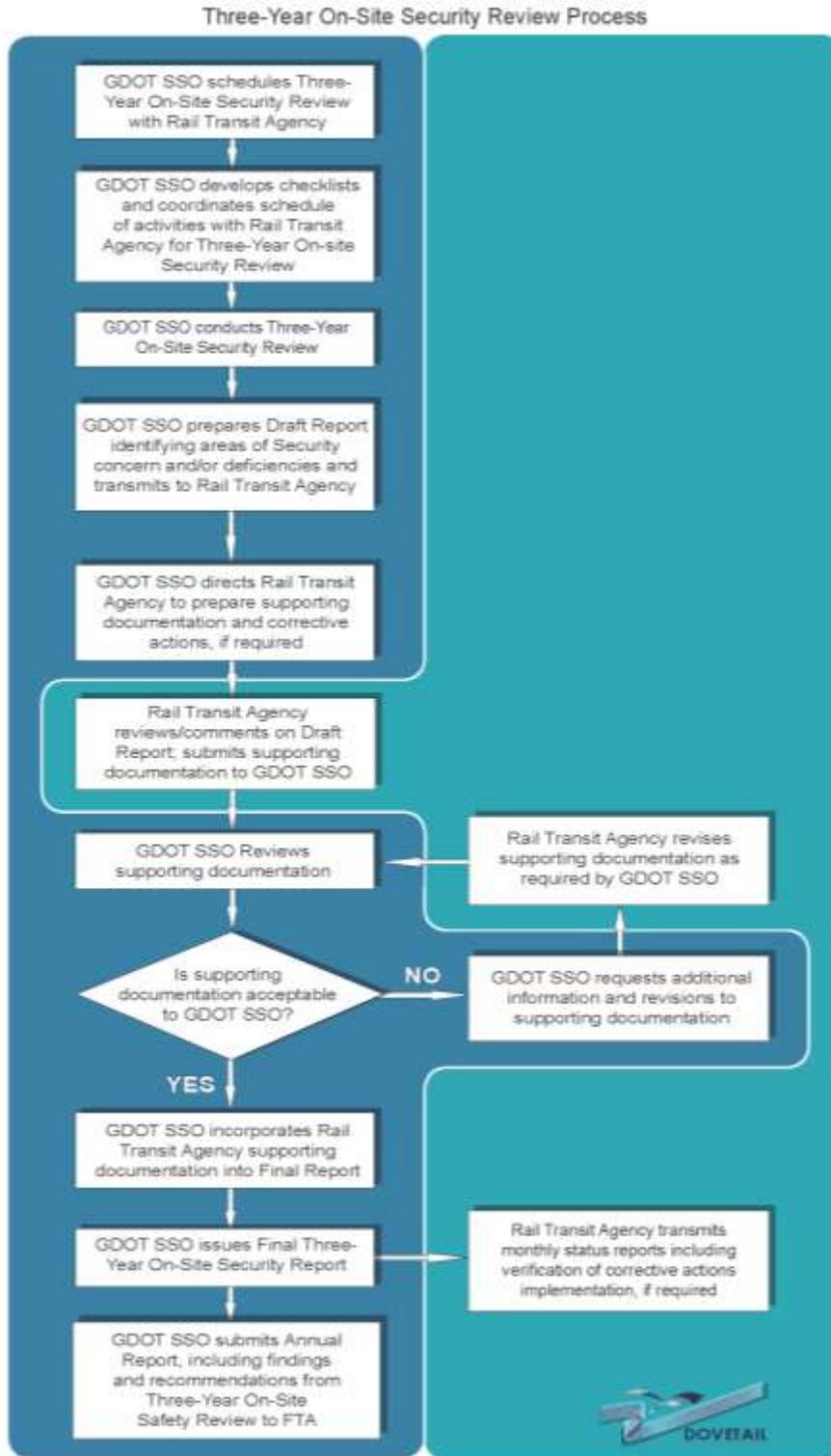
### **7.3.3 Reviews for Projects Subject to Safety and Security Certification**

Refer to **Section 10**, Safety and Security Certification Plan and **Section 13**, Engineering and Construction.

**Figure 7.2a Three-Year On-Site Safety Review Process**



**Figure 7.2b Three-Year On-Site Security Review Process**



## Section 8

# Corrective Action Plans

### 8.0 Purpose

In § 659.15 (b) (7) of FTA’s revised rule requires that, in its program standard, the oversight agency must document its “criteria for the development of corrective action plan(s) and the process for the review and approval of a corrective action plan developed by the rail transit agency.” The oversight agency must also identify its “policies for the verification and tracking of corrective action plan implementation.”

This section of the Program Standard addresses GDOT SSO’s requirements to ensure that a Corrective Action Plan (CAP) Program is developed that describes the rail transit agency’s process to develop and implement CAPs identified through accident / incident investigations, the hazard management process, reviews of the rail transit agency’s implementation of its SSPP and SSP, or recommendations specified by GDOT SSO.

### 8.1 Minimum Plan Requirements

MARTA / CITY must develop, implement, and maintain a written Corrective Action Plan (CAP) Program that complies with the program requirements specified in this section.

The CAP Program must include:

- A description of the individuals, departments, and external agencies (to include GDOT, FTA, and NTSB) that have roles and responsibilities for the identification of the need for a CAP, CAP development, CAP implementation, and CAP monitoring and tracking.
- A description of the events and / or ongoing program activities that trigger the development of a Corrective Action Plan (CAP), including the following minimum requirements:
  - **Internal Safety and Security Audit Program**  
CAPs will be developed when findings of non-compliance or partial compliance are identified from MARTA / CITY internal safety and security audit final reports.
  - **Hazards**  
CAPs will be developed to correct those elements or activities identified as deficient as a result of hazard investigations. In addition, GDOT SSO may, during the course of an investigation, identify corrective actions to avoid or minimize the reoccurrence of the unsafe condition or address a related, systemic problem.

CAPs will also be developed address findings and recommendations from formal hazard analyses (Preliminary Hazard Analysis, Failure Mode and Effects Analysis, Operations Hazard Analysis, Fault Tree Analysis).

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- **Accident / Incident Investigations**  
CAPs will be developed when the results of MARTA / CITY investigations identify causal or contributing factors that can be minimized, controlled, or corrected such that the identical or similar situations will not reoccur (“reactive”)
  - **NTSB Investigations**  
CAPs may be developed based on the findings and recommendations included in the NTSB final accident report, following review of the report by GDOT and MARTA / CITY.
  - **Three-Year On-Site Safety and Security Reviews**  
CAPs will be developed for deficiencies and areas of concern resulting from a GDOT SSO Three-Year On-Site Safety Review or Three-Year On-Site Security Review.
  - **Other**  
CAPs will be developed when FTA or GDOT’s various oversight activities indicate the opportunity to intervene with an identified systemic problem or other concern / deficiency before it can manifest as a reportable event (“proactive”).
- A description of what each CAP will identify, including the following minimum requirements:
    - Identified hazard or deficiency;
    - Planned activities or actions to resolve deficiency or hazard;
    - Department(s) responsible for implementing corrective actions; and
    - Scheduled completion dates for implementation.

A sample Corrective Action Plan will also be submitted.

- A description of the CAP internal and external notification process, including coordination with MARTA / CITY’s safety and security points-of-contact and GDOT SSO.
- A description of the CAP internal and external review and approval process, including coordination with MARTA / CITY’s safety and security points-of-contact and GDOT SSO.

The plan must also describe the process for MARTA / CITY to resolve disagreements with GDOT regarding corrective action plan development, approval, implementation, monitoring, or tracking.

- A description of the CAP monitoring and tracking process, including a sample Corrective Action Plan (CAP) Tracking Log.
- A description of the process to review and update the CAP Program, as required, during the engineering and construction phase of the project.

If MARTA / CITY delegates corrective action plan-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

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- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart.
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues.
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the CAP Program, MARTA / CITY is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above and the corrective action plan-related guidance provided in **Appendix E**, an outline for the minimum content for the MARTA / CITY CAP Program is illustrated in **Table 8.1** below.

<b>Table 8.1</b>		<b>Corrective Action Plan (CAP) Program Outline</b>
		Title Page
		Table of Contents
		Approvals
		Revisions
Section 1.		Introduction
	4.0	Overview
	4.1	Purpose
	4.2	Scope
	4.3	Authority
	4.4	Roles and Responsibilities
		4.4.1 Internal (Safety, Other Departments)
		4.4.2 External (FTA, NTSB, GDOT SSO)
Section 2.		CAP Development Process
	2.0	Overview
	2.1	Events Triggering CAP Development
	2.3	CAP Content
	2.3	Sample CAP
Section 3.		CAP Notification Process
	3.0	Overview
	3.1	Internal Notification (Safety, Other Departments)
	3.2	External Notification (FTA, NTSB, GDOT SSO)
Section 4.		CAP Review and Approval Process
	4.0	Overview
	4.1	Review and Approval Process
		4.1.2 Internal Review / Approval (coordination with Safety)
		4.1.3 External Review / Approval (coordination with GDOT)
	4.2	Conflict Resolution Process
Section 5.		CAP Monitoring and Tracking

Table 8.1 Corrective Action Plan (CAP) Program Outline	
	5.0 Overview
	5.1 CAP Log Update Process
	5.2 CAP Log Change Process
	5.3 CAP Log Close-Out and Verification Process
	5.4 CAP Log Review and Approval Process (coordination with GDOT)
	5.5 Sample CAP Log
Section 6.	CAP Program Review and Modification
	6.0 Overview
	6.1 CAP Program Review Schedule
	6.2 CAP Program Control and Update Procedures
	6.3 CAP Program Review and Approval (coordination with GDOT SSO)

## 8.2 Review of Initial Submission

### 8.2.1 GDOT SSO

In carrying out its oversight responsibilities under § 659.17, the GDOT SSO Program Manager will receive, review, and approve in writing MARTA / CITY's SSPP. With the SSPP, MARTA / CITY must also submit any referenced materials, including the Corrective Action Plan (CAP) Program.

To ensure compliance with FTA's initial submission requirements, MARTA / CITY must submit the CAP Program, in compliance with the corrective action plan-related requirements specified in the GDOT SSO Standard and **Appendix E**, and all referenced procedures / materials by a date specified by the GDOT SSO Program Manager.

A rail transit agency with a rail fixed guideway public transportation project in the engineering or construction phase of development within the jurisdiction of the State of Georgia that will not be subject to regulation by the Federal Railroad Administration is subject to the requirements of this section of the Program Standard.

Pursuant to this requirement, MARTA / CITY will submit its CAP Program and all referenced materials to the GDOT SSO Program Manager **365 calendar days** before beginning passenger service operations for review and comment.

The GDOT SSO Program Manager will allocate **305** of these calendar days to:

- Review and comment on the initial CAP Program and materials related to Initial Submission;
- Review revised CAP Program and materials related to Initial Submission;
- Accept the final CAP Program and materials related to Initial Submission; and
- Prepare GDOT's initial submittal of the SSPP, including the CAP Program to the FTA (which must be submitted at least **60 days** prior to initiating passenger operations).

The CAP Program must be submitted in electronic format via email to the GDOT SSO Program Manager. Supporting procedures may be submitted via email, or hard copy via mail or fax.

### **GDOT Review Checklist / Working Sessions**

GDOT SSO will review the submitted CAP Program, using the checklist provided in **Appendix O**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

Pending any major comments or recommended changes in MARTA / CITY's CAP Program, the GDOT SSO Program Manager will review and comment on the initial CAP Program using its review checklist, and will transmit the completed checklists to MARTA / CITY's point-of-contact within **305 calendar days** of submission.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

#### **8.2.2 FTA**

Sixty (**60**) **calendar days** prior to the passenger revenue service operations, GDOT SSO will submit a formal letter to the FTA that certifies that the System Safety Program Plan, including the CAP program requirements, complies with the requirements of the Program Standard.

FTA will review and approve the Initial Submission using its review checklist, and will transmit a formal letter of approval and the completed checklists to GDOT SSO. In the event that the FTA does not approve the Initial Submission, additional requirements necessary to achieve compliance will be conveyed to the GDOT SSO Program Manager by the FTA.

The GDOT SSO Program Manager will maintain ongoing communications with the FTA Office of Safety and Security regarding the development and implementation of the Program Standard, as required.

**Table 8.2 Schedule for Initial Reviews of CAP Program**

Task	Responsible Agency	Duration	Target Date
Develop initial CAP Program and materials related to Initial Submission as part of FTA New Starts process.	MARTA / CITY	--	--
Submit initial CAP Program and materials related to Initial Submission to GDOT SSO for review and approval.	MARTA / CITY	365 days	Prior to passenger revenue service operations.
Review and approve CAP Program and materials related to Initial Submission or request additional information.	GDOT SSO	305 days	Prior to passenger revenue service operations.
Submit approved CAP Program and materials related to Initial Submission to FTA for review and approval.	GDOT SSO	60 days	Prior to passenger revenue service operations

**8.3 Review of Annual Submission**

Following initiation of revenue service, MARTA / CITY will conduct an annual review of its CAP Program and update it as necessary to ensure that the CAP Program is current at all times.

In the event that MARTA / CITY conducts its annual CAP Program review and determines that an update is not necessary for the year, it must prepare and submit by **January 1** formal correspondence notifying the GDOT SSO point-of-contact of this determination. If GDOT SSO wishes to object to this determination, the GDOT SSO point-of-contact will notify MARTA / CITY within **30 calendar days**.

In the event that MARTA / CITY conducts its annual CAP Program review and determines that an update is necessary for the year, MARTA / CITY will submit a revised CAP Program to the GDOT SSO Program Manager by **January 31**. As appropriate, referenced materials affected by the revision(s) must also be submitted with the CAP Program.

Each revised CAP Program submitted to GDOT SSO by MARTA / CITY must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities.

**GDOT Review Checklist / Working Sessions**

Following the process specified in **Figure 8.3** at the end of this section, GDOT SSO will review CAP Program submissions from MARTA / CITY.

Within **30 calendar days** of receipt of the CAP Program from MARTA / CITY, GDOT SSO will review the plan and issue to MARTA / CITY written approval of its CAP Program and the completed CAP Program checklist. If GDOT SSO determines that the CAP Program is not acceptable, GDOT SSO will provide a completed CAP Program checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard.

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Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

It is GDOT SSO's intent that the annual review and approval process for the CAP Program be completed by **May 31**.

**Table 8.3 Schedule for Annual Review of CAP Program**

Task	Responsible Agency	Duration	Target Date
If CAP Program is not updated:			
Notifies SSO that no update is necessary.	MARTA / CITY	--	Jan 1
If notified no update is necessary, accepts or objects to MARTA / CITY's determination and notify MARTA / CITY.	GDOT SSO	30 days	Jan 31
If CAP Program is updated:			
If CAP Program is updated, completes annual review for previous calendar year and submits revised CAP Program to SSO.	MARTA / CITY	--	Jan 31
If notified update is necessary, approves CAP Program or requests additional information.	GDOT SSO	30 days	Mar 1
Submits additional information and revises CAP Program.	MARTA / CITY	60 days	Apr 30
Reviews additional information and approves revised CAP Program.	GDOT SSO	30 days	May 31

**8.4 Review of Periodic Submission**

At any given time, additional reviews of MARTA / CITY's CAP Program may be required to address specific issues based on implementation and compliance to MAP-21, Section 5329 and / or the GDOT SSO program standard or procedures; review of MARTA / CITY documents; or other safety related project information.

Upon receipt of a written notification from GDOT SSO for CAP Program modifications, MARTA / CITY will submit a revised CAP Program to GDOT SSO within **30 calendar days**.

In the event that MARTA / CITY initiates updates, MARTA / CITY will submit the modified CAP Program, and any subsequently modified procedures, to GDOT SSO for review and approval within **30 calendar days** of the effective date of the change.

**GDOT Review Checklist / Working Sessions**

GDOT SSO will review and approve the revised CAP Program, providing a formal approval letter and a completed CAP Program review checklist within **30 calendar days** of receipt of the revised MARTA / CITY CAP Program. If GDOT SSO determines that the CAP Program is not acceptable, GDOT SSO will provide a completed CAP Program checklist explaining the deficiencies along with a proposed schedule for re-submittal and re-review.

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While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT’s comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

**Table 8.4 Schedule for Periodic Review of CAP Program**

Task	Responsible Agency	Duration
Notifies MARTA / CITY that CAP Program update is necessary.	GDOT SSO	--
Following GDOT SSO notification, or at its own discretion, submits revised CAP Program to GDOT SSO.	MARTA / CITY	30 days
Reviews and approves revised CAP Program or determines CAP Program requires re-submittal.	GDOT SSO	30 days
Revises CAP Program and re-submits to GDOT SSO review and approval.	MARTA / CITY	30 days
Reviews and approves revised CAP Program.	GDOT SSO	30 days

**8.5 CAP Development Process**

**8.5.1 CAP Notification Requirements**

The CAP Program will include a discussion of the notification requirements that will be implemented during revenue service operations. GDOT SSO requires that MARTA / CITY will develop a corrective action plan with the intent of addressing the hazard or deficiency identified as a result of an accident investigation, the hazard management process, or the internal safety and security audits reviews performed by MARTA / CITY, or external reviews performed by FTA, GDOT SSO or other parties. MARTA / CITY will notify GDOT that a corrective action plan will be developed and the date when the corrective action plan will be submitted to GDOT within **30 calendar days** after the need for the corrective action plan has been identified by MARTA / CITY or GDOT SSO. Depending on the complexity of the issue requiring corrective action, and at GDOT SSO’s discretion, additional time may be granted to MARTA / CITY to prepare the corrective action plan.

**8.5.2 Rail Transit Agency Initiated CAPs**

The CAP Program will include a discussion of MARTA / CITY-initiated CAPs that will be implemented during revenue service operations. The corrective action plan will be submitted to GDOT SSO for review and approval, and GDOT SSO will notify of acceptance or rejection within **15 calendar days** of receiving corrective action plan. In the event that GDOT SSO and MARTA / CITY dispute the need, findings, or enforcement of a corrective action plan, GDOT SSO will allow MARTA / CITY **30 calendar days** to submit its case. GDOT SSO will then issue final direction to MARTA / CITY regarding the corrective action plan.

MARTA / CITY will develop and maintain a Corrective Action Plan (CAP) Tracking

Log, which identifies all corrective action plans approved by GDOT SSO and presents their status. This log will be submitted **no less than quarterly** to GDOT SSO point-of-contact in electronic form via email or in hard copy via mail or fax. As corrective action plans are closed out, MARTA / CITY must submit verification that the corrective action(s) has been implemented as described in the corrective action plan or that a proposed alternative action(s) has been implemented. This verification must be submitted **no less than quarterly** with the CAP Log in electronic or hard copy format. In the log, MARTA / CITY must also inform GDOT SSO concerning any alternative actions for implementing a corrective action plan.

**Figure 8.5.2** at the end of this section illustrates the process for corrective action plans initiated by MARTA / CITY, the rail transit agency.

### 8.5.3 GDOT SSO Initiated CAPs

The CAP Program will include a discussion of GDOT SSO-initiated CAPs that will be implemented during revenue service operations. In the course of carrying out its oversight responsibilities, if GDOT SSO determines that additional corrective action is required, it will so notify MARTA / CITY in writing. The notice will identify the state's concerns and direct MARTA / CITY to develop an appropriate CAP. In response, MARTA / CITY is required to prepare a new CAP and submit it to GDOT SSO for review and approval within **30 calendar days** (or longer at GDOT's discretion, depending upon the complexity of the concern).

MARTA / CITY is responsible for (1) proposing corrective action that is attainable and addresses GDOT's concerns, or (2) convincing GDOT that a CAP is not necessary because system safety or security is not compromised. If GDOT rescinds its decision to require a CAP, the new understanding will be documented in writing. GDOT may review its decision at any time.

Within **15 calendar days** of receiving a corrective action plan, GDOT will notify MARTA / CITY in writing of its acceptance or rejection. In the event GDOT rejects a CAP, GDOT will state its reasons and work with MARTA / CITY to resolve differences.

**Figure 8.5.3** at the end of this section illustrates the process for corrective action plans initiated by GDOT SSO.

### 8.5.4 NTSB Findings and Recommendations

The CAP Program will include a discussion of NTSB-initiated CAPs that will be implemented during revenue service operations. NTSB findings and recommendations are transmitted directly to MARTA / CITY, the affected rail transit agency. It is MARTA / CITY's sole responsibility to interact with the NTSB regarding MARTA / CITY's formal, written response.

After MARTA / CITY has completed and transmitted its formal response to the NTSB, GDOT SSO requires that MARTA / CITY provide a copy of the correspondence with the GDOT SSO Program Manager. MARTA / CITY and GDOT SSO will review the NTSB findings and recommendations to determine whether or not a corrective action plan should be developed by MARTA / CITY. If a corrective action plan is required by the NTSB or GDOT SSO, MARTA / CITY will develop it.

MARTA / CITY will follow these steps to examine each recommendation included within the NTSB written accident report:

1. Confirm or clarify, if necessary, the problem identified in (or associated with) the NTSB recommendation;
2. Assess the NTSB corrective action for effectiveness in addressing the identified problem, using the appropriate analyses, including formal hazard analyses methods;
3. Assess the NTSB safety benefit or other benefit and compare it with any similar MARTA / CITY or GDOT corrective actions. Identify alternative corrective actions with comparable safety or other benefits, if appropriate;
4. Determine, based on the analyses performed and these steps, if GDOT and / or MARTA / CITY will adopt the NTSB corrective action and / or additional corrective actions;
5. Develop appropriate corrective action plans as required, and in accordance with the CAP review and approval process outlined in this section;
6. Document the analyses performed under this subsection and submit this analyses to GDOT within an agreed upon timeframe following the receipt of the NTSB report.
7. If MARTA / CITY determines from its analyses not to adopt a particular NTSB or GDOT recommendation and its corresponding corrective action, GDOT may require MARTA / CITY to perform additional or more detailed analysis to ensure that the NTSB or GDOT recommendation is appropriate. If GDOT and MARTA / CITY cannot agree on the appropriateness of the external recommendation, GDOT and MARTA / CITY will work together to perform a comprehensive analysis to prove or disprove the existence of the NTSB-identified problem, and work jointly to formulate the appropriate corrective action plans based on that analysis.

GDOT will follow a similar process as described above for those NTSB recommendations applicable to GDOT.

**Figure 8.5.4** at the end of this section illustrates the process for corrective action plans initiated by GDOT SSO or MARTA / CITY in response to NTSB findings and recommendations.

## **8.6 CAP Review and Approval Process**

### **8.6.1 Review and Approval Process**

The CAP Program will include a discussion of the GDOT SSO review and approval process of each CAP submitted by MARTA / CITY during revenue service operations. GDOT SSO will notify MARTA / CITY of its approval or disapproval of a corrective action plan within **15 calendar days** of receiving the corrective action plan. In the event GDOT SSO does not approve a corrective action plan, GDOT SSO will state its reasons in writing and recommend revisions. MARTA / CITY will submit a revised corrective action plan to GDOT SSO no later than **30 calendar days** following the disapproval.

### **8.6.2 CAP Issue Resolution Process**

Safety and security issues of various severities necessitating the development of a CAP may arise at any stage of the rail system life cycle – from engineering, construction, and testing to operations and maintenance. It is important to outline a procedure for GDOT and MARTA / CITY staff to communicate and resolve these issues in order to reach agreement on the corrective actions necessary to ensure a safety and security rail system.

If the MARTA / CITY Chief of Safety and Security [or equivalent position(s)], on behalf of the MARTA / CITY organization, disagrees with the rationale for GDOT's disapproval of the CAP and recommended revisions, the GDOT SSO Program Manager and MARTA / CITY Chief Safety and Security will attempt to resolve issues associated with CAPs at their level and appropriate with the urgency and severity of the issue, and as soon as possible.

If the GDOT SSO Program Manager and MARTA / CITY Chief Safety and Security are unable to resolve the CAP disagreement in a timely manner, they will jointly bring the issue to the attention of the General Manager/Chief Executive Officer (GM/CEO) of MARTA / CITY or equivalent position.

If the GM/CEO of MARTA / CITY and the GDOT SSO Program Manager are unable to resolve the CAP disagreement within a time period consistent with the urgency and severity of the issue, the GM/CEO of MARTA / CITY and the GDOT SSO Program Manager will jointly bring the issue to the attention of the Director, Division of Intermodal, Georgia Department of Transportation. Georgia Department of Transportation, Division of Intermodal has ultimate authority over the State Safety Oversight Program, including CAPs. It is within the agency's discretion to attempt to resolve the safety or security issues with the MARTA / CITY GM / CEO, including bringing the issue to the attention of the MARTA / CITY Board of Directors or equivalent decision-making body.

The GDOT SSO Program Manager will consider the issue resolved when the MARTA / CITY Chief Safety and Security submits written notice of resolution, including the agreed upon CAP developed based on the process described above.

**Figure 8.6.2** at the end of this section illustrates the process to resolve issues between GDOT and MARTA / CITY associated with CAPs.

## **8.7 CAP Monitoring and Tracking**

### **8.7.1 Corrective Action Plan (CAP) Log**

The CAP Program will include a discussion of the process to monitor and track the development and implementation of each CAP during revenue service operations. MARTA / CITY will develop and maintain a CAP Log, which summarizes the status of all open corrective actions related to the state oversight program and all actions closed since the last submittal. MARTA / CITY will update the log with CAP implementation activities on a **no less than quarterly** basis.

The Corrective Action Plan Tracking Log must include the required information on the following page.

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**Table 8.7.1 Corrective Action Plan (CAP) Tracking Log**

Element	Description
<b>CAP ID Number</b>	Refers to the number assigned to the CAP by MARTA / CITY
<b>CAP Title</b>	Refers to a brief title describing the nature of the CAP
<b>Date CAP Opened</b>	Refers to the date the need for the CAP was identified.
<b>CAP Source ID</b>	Refers to the number assigned to the source (internal audit, accident / incident, three-year review findings, etc.) of the CAP
<b>Finding</b>	Refers to a brief narrative summary of the finding that led to the CAP – what it is, what evaluation criteria was used, what the area of concern or deficiency is, etc.
<b>CAP Requirements</b>	Refers to the description of the corrective action required by MARTA / CITY to address the finding.
<b>CAP Status Updates</b>	Refers to the periodic updates provided by the responsible individual / department to implement the agreed upon CAP
<b>Individual/Department Responsible for CAP Implementation</b>	Refers to the individual (name and title) and department assigned responsibility for implementation of the CAP
<b>CAP Alternative</b>	If MARTA / CITY wishes to modify an open action, the proposed alternative must be described in sufficient detail so that GDOT SSO can determine its acceptability as a substitute for the originally approved CAP. If there is disagreement between MARTA / CITY and GDOT regarding CAP changes, the process described in <b>Section 8</b> of the Standard will be implemented to resolve differences.
<b>CAP Verification</b>	For CAPs closed since the last submittal, the log must indicate when and how MARTA / CITY verified implementation.
<b>CAP Due Date</b>	Refers to the estimated date of completion of the corrective action plan
<b>Issues Preventing Resolution</b>	Refers to issues that prevent the timely and adequate resolution to identified CAP
<b>CAP Completion Date</b>	Refers to the estimated completion date for the identified CAP
<b>Status</b>	Refers to the status of the CAP. Status may be designed as pending, open, in progress, or closed

This log will be transmitted quarterly to the GDOT SSO Program Manager in electronic form via email, hard copy via standard mail, or by fax. It is due within the first **15 calendar days** of the next quarter.

Within **15 calendar days** of receiving a quarterly CAP Log, GDOT SSO will acknowledge review and approval in writing. GDOT SSO will review the CAP Log, using the checklist provided in **Appendix P**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

**8.7.2 Corrective Action Plan (CAP) Verification**

MARTA / CITY will verify to GDOT SSO in writing when a corrective action has been fully implemented. MARTA / CITY's CAP will be subject to independent GDOT SSO verification such as three year on-site reviews or other on-site monitoring exercises.

Due to the sensitive nature of security related information and the requirements to protect

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Security Sensitive Information (SSI), to verify the implementation of security-related CAPs, GDOT SSO may receive briefings from MARTA / CITY security personnel or review security reports on-site at MARTA / CITY as a means of verifying the implementation of such CAPs.

**Figure 8.3 Corrective Action Plan (CAP) Program – Review and Approval Process**

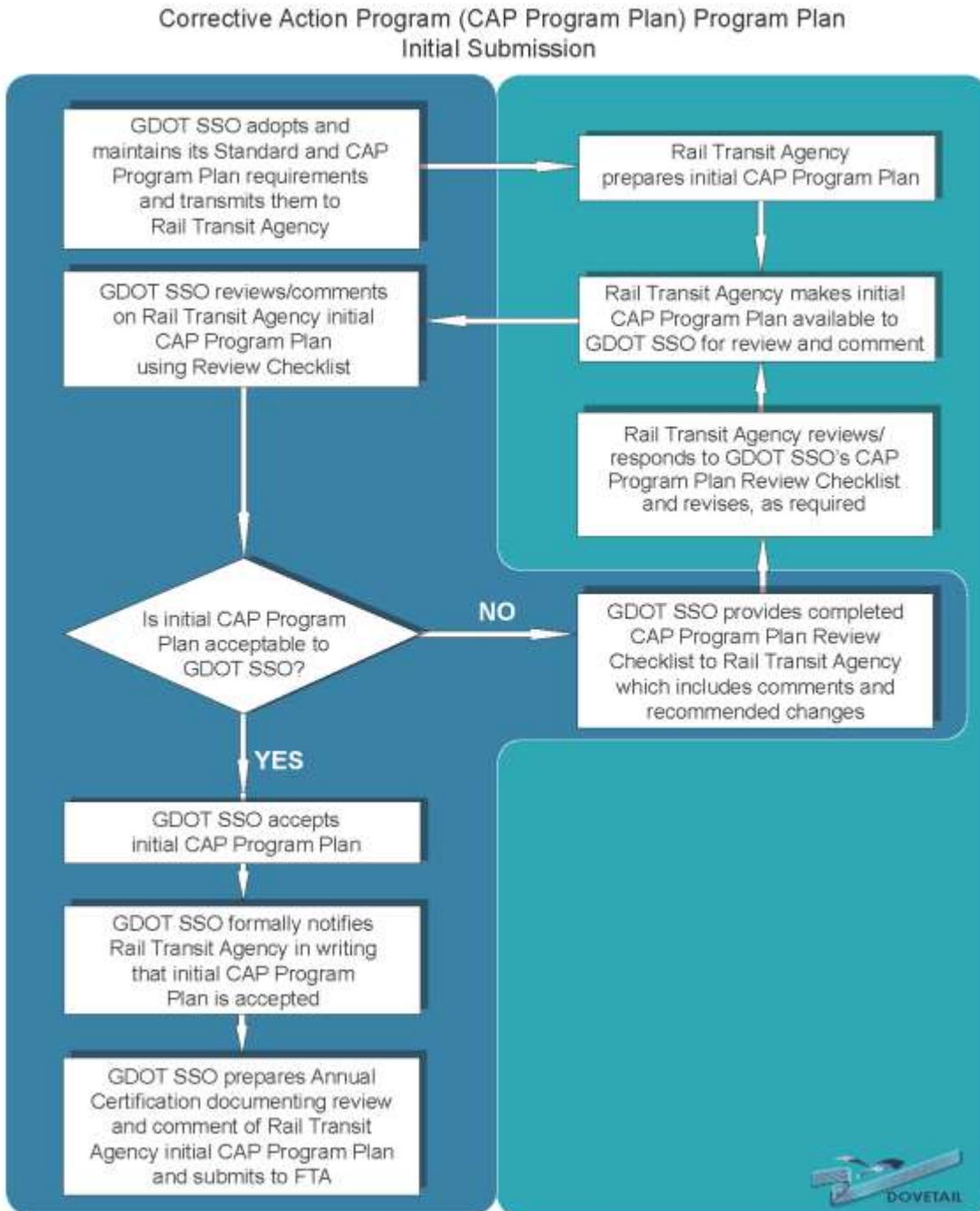


Figure 8.5.2 MARTA / CITY-Initiated CAP – Review and Approval Process

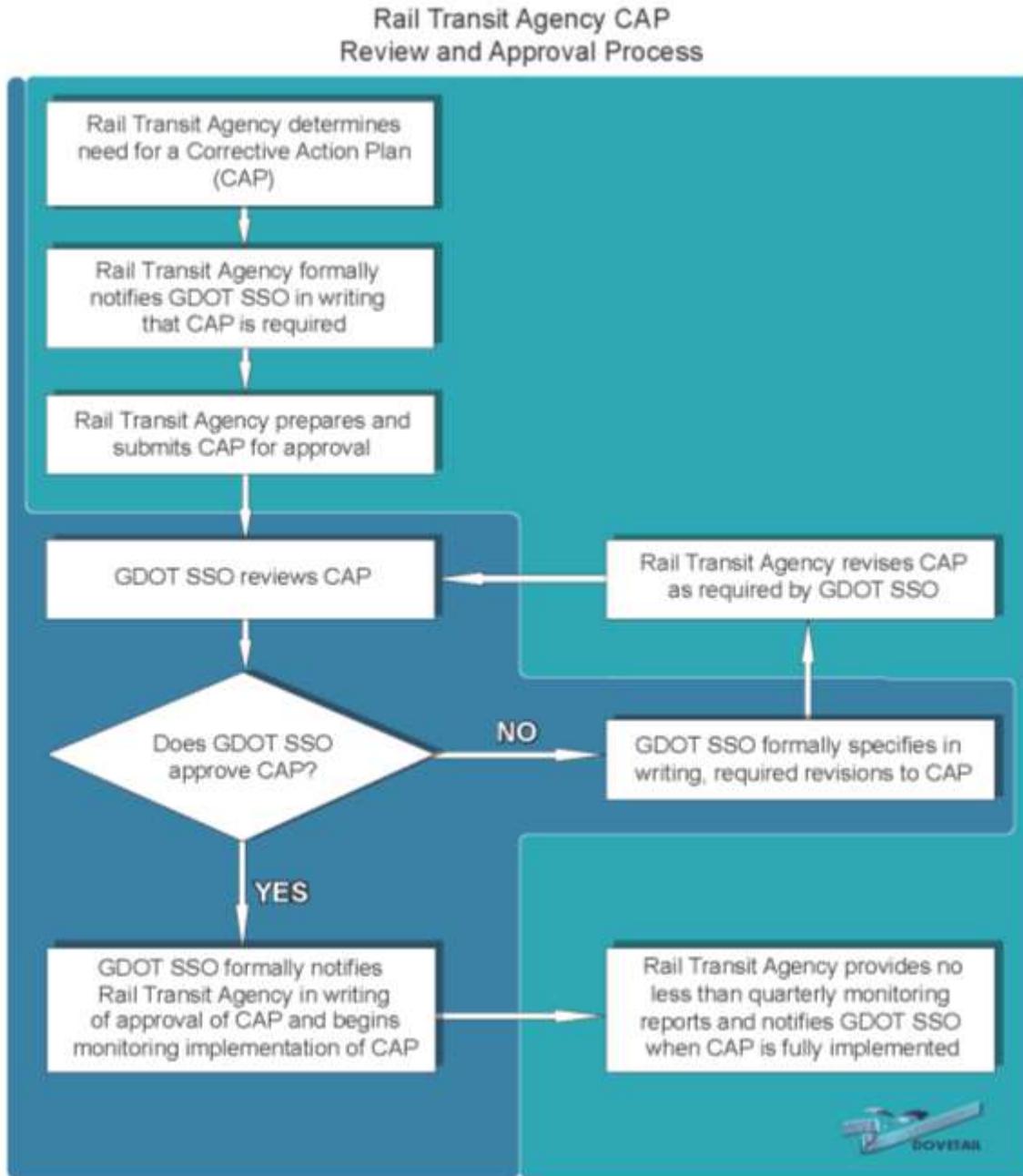


Figure 8.5.3 GDOT SSO-Initiated CAP – Review and Approval Process

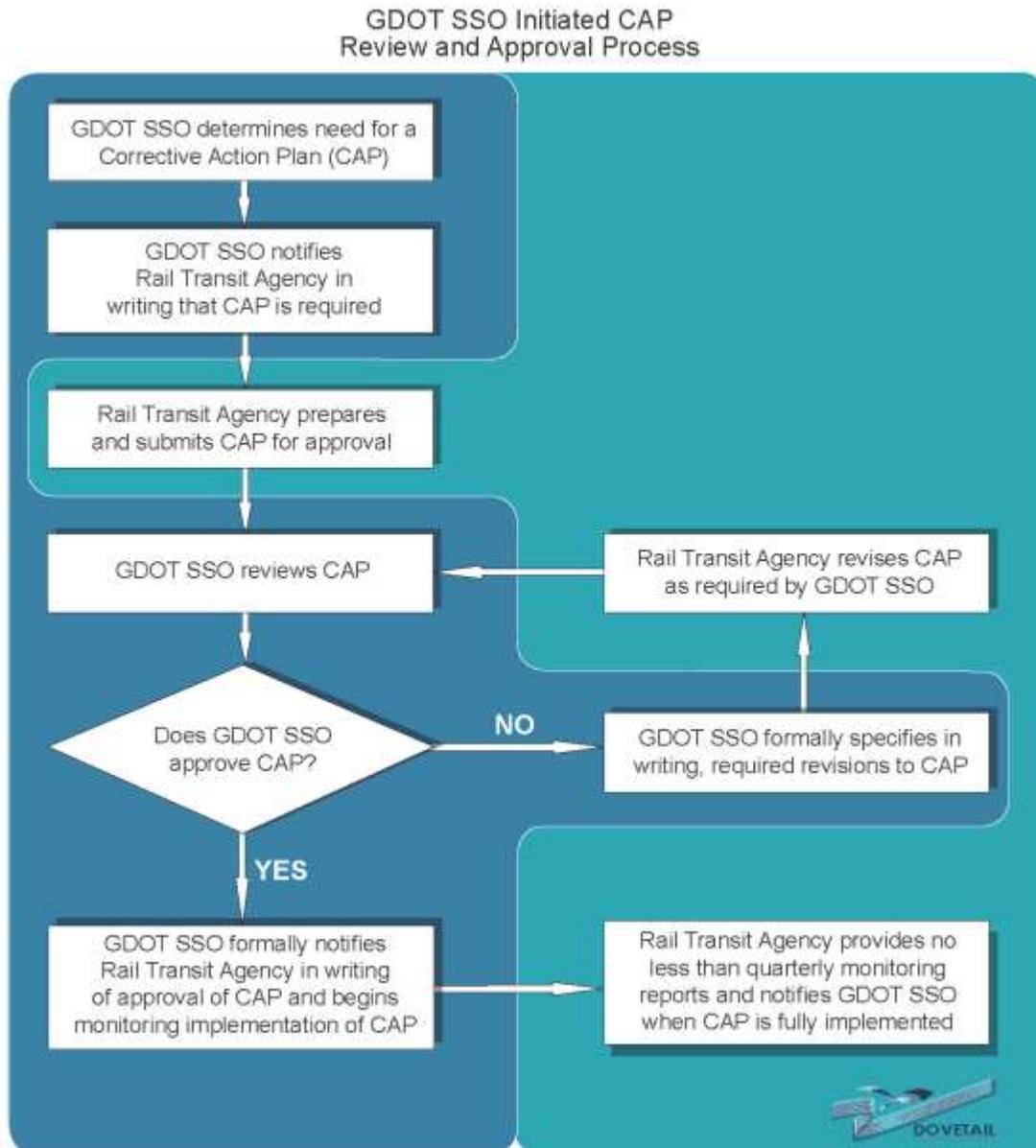
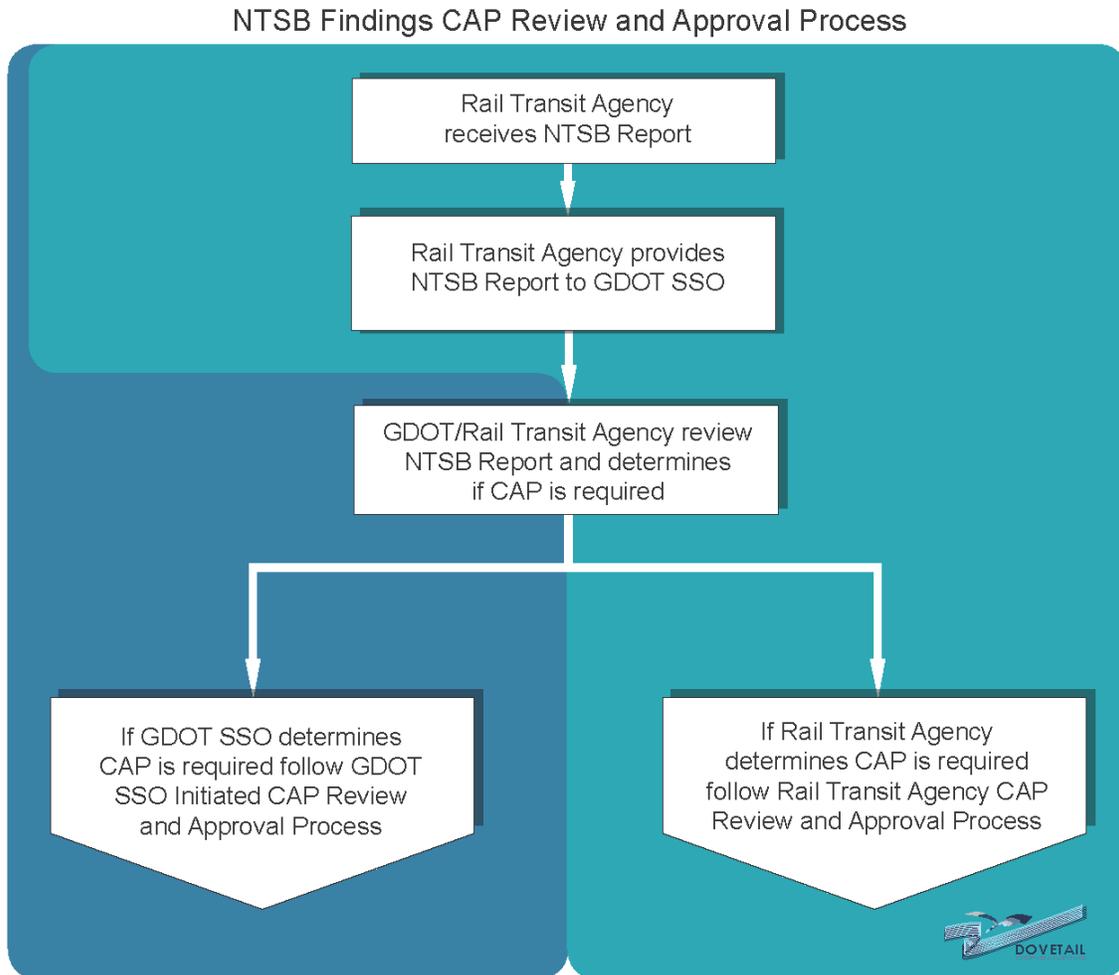
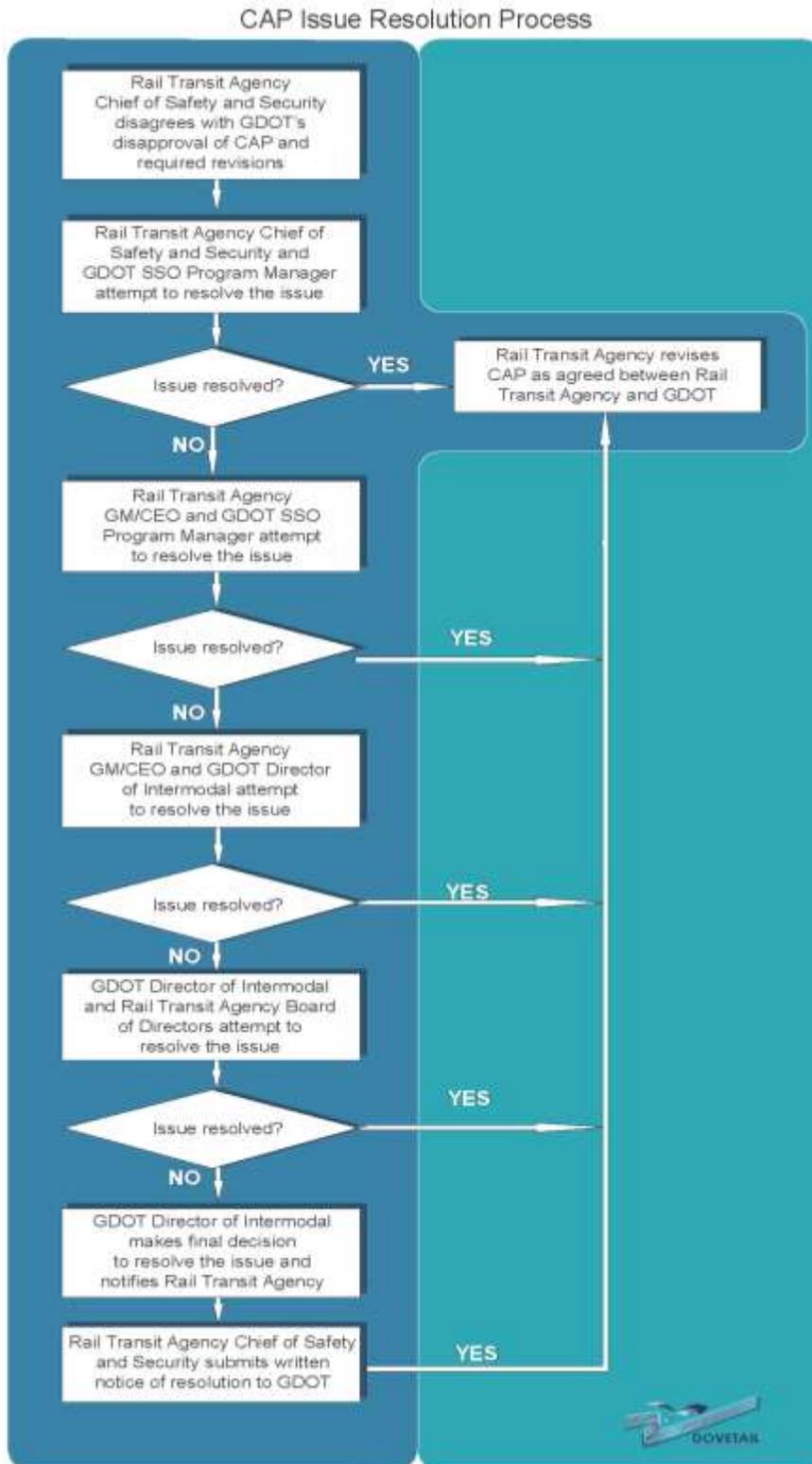


Figure 8.5.4 NTSB Findings-Initiated CAP – Review and Approval Process



**Figure 8.6.2 CAP Issue Resolution Process**



# Section 9

## Federal Transit Administration Reporting and Certification

### 9.0 Purpose

This section addresses GDOT SSO's procedure for making Initial, Annual, and Periodic submissions to FTA's Office of Safety and Security, in compliance with 49 CFR Part **659.39** and **Part 659.43**.

This section also describes the FTA's program to determine whether or not each SSO program meets the requirements of MAP-21, Section 5329, Public Transportation Safety Program.

### 9.1 FTA Reporting Requirements

#### 9.1.1 Initial Submission

In the event that the State of Georgia should ever determine that oversight authority should be transferred to another agency of the state, GDOT SSO will work with that agency to ensure that at no point are the rail transit agencies affected by 49 CFR Part 659 left without duly authorized oversight agency. The new oversight agency will make a new initial submission to FTA within **thirty (30) days** of the designation.

Refer to **Section 1** for additional details on the Initial Submission.

#### 9.1.2 Annual Submission

Before **March 15** of each year, GDOT SSO will submit the following to FTA:

- A publicly available annual report summarizing its oversight activities for the preceding twelve months, including a description of the causal factors of investigated accidents, status of corrective actions, updates and modifications to rail agency program documentation, and the level of effort used by GDOT SSO to carry out its oversight activities.
- A report documenting and tracking findings from three-year safety review activities and whether a three-year safety review has been completed since the last annual report was submitted.
- Program standard and supporting procedures that have changed during the preceding year
- Certification that any changes or modifications to MARTA / CITY's SSPP, SSP, or SEPP (if applicable) have been reviewed and approved by GDOT SSO.

#### 9.1.3 Annual Certification

With its Annual Submission, GDOT SSO will certify to the FTA that it has complied with the requirements of 49 CFR 659. GDOT SSO will submit this certification electronically to FTA using a reporting specified by FTA. GDOT SSO will maintain a signed copy of each annual certification to FTA, subject to audit by FTA.

#### 9.1.4 Periodic Submission

Status reports of accidents / incidents, hazards, and corrective action plans or other program information will be forwarded to the FTA upon request.

GDOT SSO will ensure that all submissions to FTA are submitted electronically using the reporting system specified by FTA.

#### 9.1.5 FTA SSO Audits

The FTA State Safety Oversight (SSO) audit program is authorized in § 659.7.

In Part 1 of the SSO audit, FTA evaluates the effectiveness of the SSO's implementation of the following requirements:

1. **Designation** - The designation of the State Safety Oversight Agency and the agency's authority to implement the requirements of 49 CFR Part 659.
2. **Program Management** - The ability of the SSO to effectively implement its SSO program for the State. This includes an evaluation of the SSO's organizational structure, the level of resources dedicated by SSO to implement and administer its SSO program, training levels for SSO staff, and the SSO's mechanisms for coordinating program elements with the rail transit agency.
3. **Program Standard Development and Compliance** - How the oversight agency addresses the requirements in § 659.13 and § 659.15 to manage the Program Standard and oversee its implementation for the rail transit agency.
4. **SSPP and SSP Review and Approval Process** - SSO's implementation of program policies for requiring, reviewing, and approving the rail transit agency's System Safety Program Plan (SSPP) as specified in § 659.17, § 659.19, and § 659.25.
5. **Oversight of Internal Safety Reviews and Annual Rail Transit Agency Reporting** - SSO's policies to require the rail transit agency to conduct internal safety reviews, and annual assessments of its SSPP, as specified in § 659.25 and § 659.27.
6. **SSO Three-Year Safety and Security Reviews** - SSO's performance of three-year safety reviews to assess the rail transit agency's implementation of its SSPP and Security Plan as specified in § 659.29.
7. **Oversight of Hazard Management Program** - SSO's policies to require the rail transit agency to implement a hazard management program and the SSO's processes for tracking the resolution of identified hazards as specified in § 659.31.
8. **Accident Notification and Investigation** - SSO's policies and procedures for performing and overseeing accident notifications, investigations, and investigation report development and adoption as specified in § 659.33 and § 659.35.
9. **Corrective Action Plans** - SSO's policies and procedures for requiring the development of corrective action plans (CAPs), approving CAPs, CAP tracking, and CAP implementation verification, as required by § 659.37.

10. **Reporting to FTA** – SSO’s policies and procedures for certifying and reporting to FTA, as specified in § 659.39 and § 659.43.

In Part 2 of the SSO audit, FTA evaluates the effectiveness of the rail transit agency’s implementation of the following requirements: Safety Program Management, SSPP and Security Plan Development, Hazard Management Program, and Accident Notification and Investigation.

As a result of the SSO audit, the FTA prepares a draft and final report, and may issue findings to the SSO and recommendations to the rail transit agency.

At the end of the final report, FTA provides an Audit Findings Tracking Matrix for the SSO and an Audit Recommendations Tracking Matrix documenting recommendations made to the rail transit agency. These matrices detail each audit finding or recommendation, and ask the SSO and rail transit agency to provide the actions that will be taken by each organization to address each finding, the responsible party or parties, and the proposed date of completion.

According to the timeframes specified within the matrices, GDOT will coordinate with MARTA / CITY to review the draft and final reports, to prepare responses to the Audit Findings Tracking Matrix and Audit Recommendations Tracking Matrix, and to submit the matrices to FTA, as required.

**9.2 FTA SSO Certification Program**

**9.2.1 General Requirements**

The FTA will determine whether or not each State safety oversight program meets the requirements of MAP-21, Section 5329 and the State safety oversight program is adequate for the purposes of Section 5329.

**9.2.2 Issuance of Certifications and Denials**

The FTA will issue a certification to each eligible State that the FTA determines under this section adequately meets the requirements of MAP-21, Section 5329, and will issue a denial of certification to each eligible State that the FTA determines under this section does not adequately meet the requirements of MAP-21, Section 5329.

**9.2.3 Disapproval**

If the FTA determines that a State safety oversight program does not meet the requirements of Section 5329 and denies certification, the FTA will transmit to the eligible State a written explanation and allow the eligible State to modify and resubmit the State Safety Oversight program for approval.

#### **9.2.4 Failure to Correct**

If the FTA determines that a modification by an eligible State of the State safety oversight program is not sufficient to certify the program, the FTA will notify the Governor of the eligible State of such denial of certification and failure to adequately modify the program, and will request that the Governor take all possible actions to correct deficiencies in the program to ensure the certification of the program, and may:

- withhold funds available under the formula grant funds program in an amount determined by the FTA;
- withhold not more than 5 percent of the amount required to be appropriated for use in a State or urbanized area in the State under section 5307 of this title, until the State safety oversight program has been certified; or
- require fixed guideway public transportation systems under such State safety oversight program to provide up to 100 percent of Federal assistance made available under this chapter only for safety-related improvements on such systems, until the State safety oversight program has been certified.

# Section 10

## Safety and Security Certification Plan

### 10.0 Purpose

In § 659.19, FTA identifies the 21 elements that must be described in the rail transit agency System Safety Program Plan (SSPP), including the safety certification process:

- (h) A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations and for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

This section of the Program Standard addresses GDOT SSO's requirements to ensure that a Safety and Security Certification Plan (SSCP) is developed and implemented. The SSCP must ensure that when revenue service begins, the project is safe and secure for passengers, employees, public safety personnel, and the general public through a formal program of safety and security certification and hazard and security threat / vulnerabilities management.

The GDOT SSO Program Manager will maintain ongoing communications and will coordinate with the FTA regarding any New Starts, Small Starts, or other federally funded grant projects subject to the requirements of the Program Standard, as required.

### 10.1 Minimum Plan Requirements

A lengthy and rigorous process is involved in planning, designing, programming, and implementing a transit capital project. New Starts Projects in the engineering and construction phase are subject to Federal Transit Administration (FTA) requirements designed to provide assurances that issues of project management, including safety and security, have been properly addressed and resolved. In accordance with these guidelines, rail transit agencies are required to prepare a Project Management Plan (PMP) and other related project documents, including a Safety and Security Management Plan (SSMP) that demonstrate that MARTA / CITY has the technical capacity and capability to implement and maintain this new project.

A critical component of the PMP and SSMP is the Safety and Security Certification Plan (SSCP). To develop this plan, GDOT requires MARTA / CITY to refer to the FTA Handbook for Transit Safety and Security Certification (November 2002) which provides guidelines and recommendations for a safety and security certification program for new systems, vehicles, facilities, extensions, or modifications.

For each New Starts project, major extension or modification to existing systems, MARTA / CITY must develop, implement, and maintain a written SSCP that complies with the program requirements specified in this section.

The SSCP will describe the process through which the transit agency activity will provide documented verification that:

- A certifiable elements list is developed
- Safety and security design criteria are developed to identify concerns appropriate for the project

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- Design Criteria Conformance Checklists are developed and completed to verify compliance of the design with the safety and security criteria
- Construction Specification Conformance Checklists are developed and completed to verify that facilities and systems are constructed, manufactured or installed according to design
- Integrated tests are identified that need to be monitored for safety and security
- Training classes are provided to transit operations and maintenance staff that address safety, security, and emergency preparedness
- Operations and maintenance manuals are provided to, or developed by, transit operations and maintenance staff
- Operations and maintenance staff are trained on rules and procedures.
- Public safety personnel (i.e., fire and police) are trained to manage their activities safely in the transit environment
- Emergency drills are conducted for identified transit emergencies that may occur on the project
- Hazard and vulnerability identification and resolution are performed with tracking for resolution and / or acceptance throughout the project
- Initial Submission requirements established by FTA and GDOT are met for the following plans: System Safety Program Plan, System Security Plan, Internal Audit Program Plan, Hazard Management Plan, Accident / Incident Investigation Plan, and Corrective Action Program Plan
- The “Certificate of Safety and Security” is issued to verify that the transit project is safe and secure for revenue service
- The Safety Certification Verification Report is prepared, and transmitted, as appropriate to management and oversight personnel
- The transit project successfully complies with identified safety and security requirements.

If MARTA / CITY delegates safety and security certification-related roles and responsibilities to contractor organizations, then the following must also be included in the plan:

- A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart;
- A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of MARTA / CITY on safety and security issues; and
- An identification of specific individual(s) within each contractor organization with overarching responsibility for the delivery of contractor services and authority to resolve issues, such as non-responsiveness to GDOT identified safety or security findings or concerns.

In all cases where a description of a process is required for inclusion in the SSCP, MARTA / CITY is required to develop and implement the process or procedure in order to comply with the requirement.

Based on the requirements above, an outline for the minimum content for MARTA / CITY’s SSCP is illustrated in **Table 10.1** below.

<b>Table 10.1</b>	<b>Safety and Security Certification Plan (SSCP) Outline</b>
	Title Page
	Table of Contents
	Approvals
	Revisions

<b>Table 10.1 Safety and Security Certification Plan (SSCP) Outline</b>	
Section 1.	Introduction <ul style="list-style-type: none"> <li>• Authority</li> <li>• Introduction</li> <li>• Purpose</li> <li>• Objectives</li> <li>• Definition</li> <li>• Responsibility</li> <li>• Scope</li> <li>• Certification Revisions</li> </ul>
Section 2.	Program Management <ul style="list-style-type: none"> <li>• Management Structure / Project Team</li> <li>• Project Committees                             <ul style="list-style-type: none"> <li>· Design Review Committee</li> <li>· Safety and Security Review Committee</li> <li>· Fire / Life Safety Committee</li> <li>· System Change and Operations Review Committee</li> </ul> </li> </ul>
Section 3.	Certification Process and Procedures <ul style="list-style-type: none"> <li>• General</li> <li>• Certifiable Elements</li> <li>• Criteria Conformance Checklist</li> <li>• Specification Conformance and Operational Readiness Checklists</li> <li>• Tests and Inspections</li> <li>• Integrated Testing and Integrated Test Permits</li> <li>• Plans and Procedures</li> <li>• Training Programs</li> <li>• Emergency Drills and Exercises</li> </ul>
Section 4	Hazard, Threat and Vulnerability Management <ul style="list-style-type: none"> <li>• General</li> <li>• Responsibility</li> <li>• Hazard Identification and Analysis</li> <li>• Threat and Vulnerability Assessment</li> <li>• Resolution Process</li> <li>• Open Items List</li> </ul>
Section 5.	Certification of Conformance <ul style="list-style-type: none"> <li>• Issuance</li> <li>• Exceptions</li> </ul>
Section 6.	Documentation <ul style="list-style-type: none"> <li>• Requirements</li> <li>• Responsibilities</li> </ul>
Section 7.	Reporting Requirements <ul style="list-style-type: none"> <li>• Periodic Reports</li> <li>• Final Certification</li> <li>• Safety and Security Certification Final Verification Report</li> </ul>
Section 13.	Plan Review and Update Process

## 10.2 Review and Approval Process

No later than the *Entry to Final Design Phase for each project* requiring formal safety and security certification, MARTA / CITY will submit a project-specific Safety and Security Certification Plan (SSCP) to GDOT SSO for review and approval. GDOT SSO will review the SSCP in accordance with the requirements described in **Section 10.1** of this Standard.

GDOT SSO will acknowledge review and approval of the SSCP in writing. GDOT SSO will review the SSCP, using the checklist provided in **Appendix Q**. Upon approval, GDOT SSO will provide a copy of the completed checklist to MARTA / CITY.

While conducting its review, at the discretion of the GDOT SSO Program Manager, a working session will be scheduled with the MARTA / CITY safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to request additional information, clarifications, or revisions necessary to adequately address GDOT's comments provided in the Review Checklist and comply with the requirements of the Program Standard. Additional meetings or teleconferences may also be conducted as a follow up to any issues or concerns identified by the GDOT SSO Program Manager resulting from the review of documentation and discussions. Any additional requirements will be conveyed by the GDOT SSO Program Manager at the time of the review.

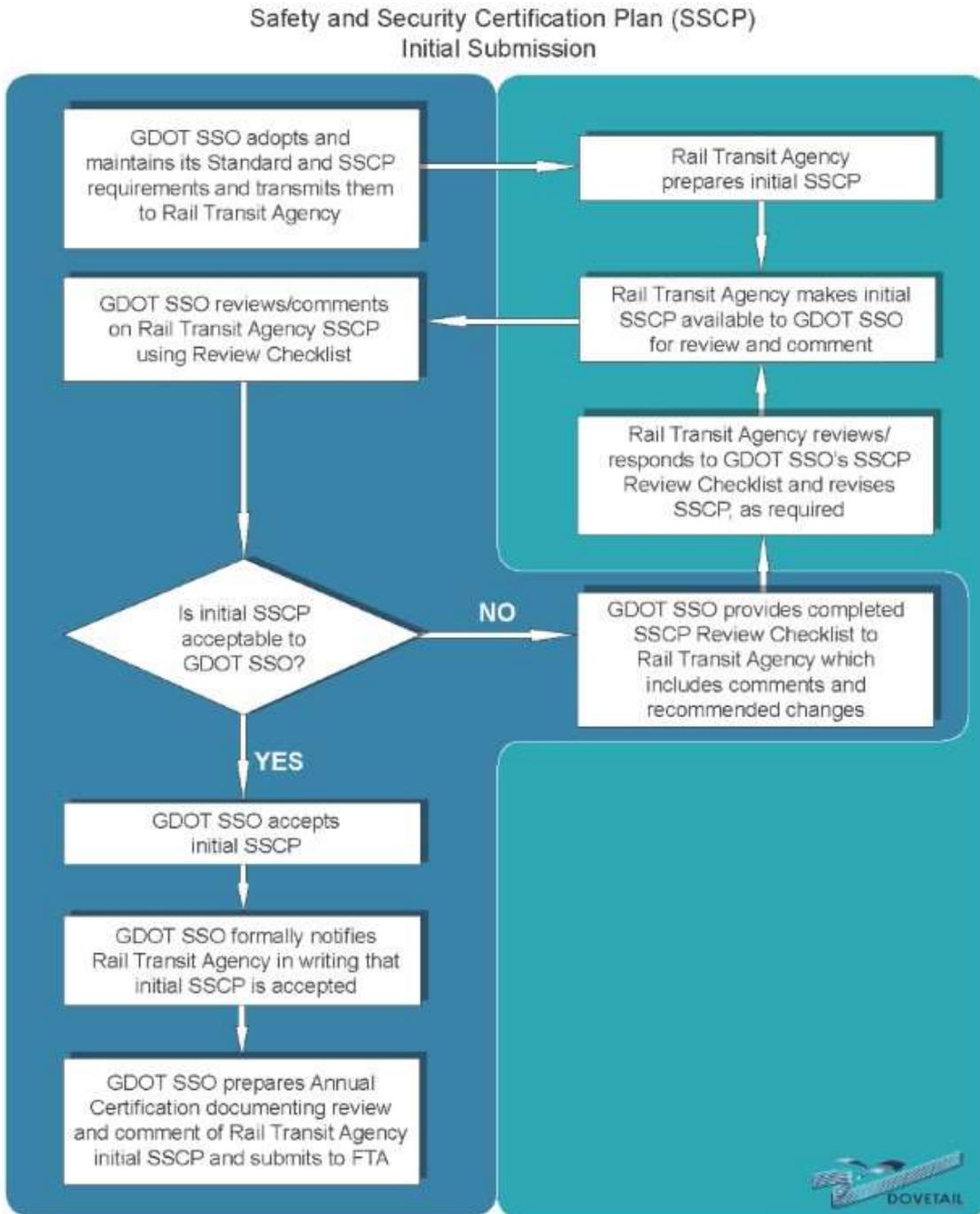
**Figure 10.2** at the end of this section illustrates the review and approval process for a project-specific SSCP.

The GDOT safety and security oversight activities during the design, construction, testing and start-up, and project turn-over phases for New Starts, Small Starts, other federally funded grant projects, or other MARTA / CITY projects subject to formal safety and security certification are fully discussed in **Section 13**, Engineering and Construction.

## 10.3 Safety and Security Certification Verification Report (SSCVR)

At the completion of the safety and security certification program and prior to the start of revenue service (preferably at least **30 days** prior), GDOT will require MARTA / CITY to submit a Safety and Security Certification Verification Report (SSCVR) to GDOT for review. GDOT will respond in writing to the SSCVR, using the checklist provided in **Appendix R**. In the event GDOT's review determines the SSCVR to be incomplete, GDOT will coordinate with FTA and MARTA / CITY to address and resolve the issues and concerns in a timely manner and to avoid impacting the project in terms of cost, implementation schedule, or other resources.

**Figure 10.2 Safety and Security Certification Plan (SSCP) – Review and Approval Process**



# Section 11

## Safety Training Program

### 11.0 Purpose

The purpose of this section is to describe the public transportation safety certification training program to be developed by FTA in accordance with Federal Public Transportation Act of 2012 (MAP-21), Section 5329. The program is for federal and state employees or other personnel who conduct audits as well as employees of rail transit agencies responsible for safety oversight.

### 11.1 General Requirements

The FTA will establish a public transportation safety certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems and employees of public transportation agencies directly responsible for safety oversight.

### 11.2 Interim Provisions

The FTA will establish interim provisions for the certification and training of the following personnel:

- Federal employees,
- State employees,
- Public transportation agency employees who are directly responsible for safety oversight,
- Other designated personnel who conduct safety audits and examinations of public transportation systems.

The interim provisions will be in effect until the effective date of the final rule issued by the Secretary to implement MAP-21, Section 5329.

### 11.3 Funding Requirements

Recipients of funds made available to carry out sections 5307 and 5311 may use not more than 0.5 percent of their formula funds to pay not more than 80 percent of the cost of participation in the public transportation safety certification training program established under MAP-21, Section 5329, by an employee of a State safety oversight agency or a recipient who is directly responsible for safety oversight.

# Section 12

## Transit Asset Management Plan

### 12.0 Purpose

The purpose of this section is to describe the Transit Asset Management System to be developed by FTA in accordance with the Federal Public Transportation Act of 2012 (MAP-21), Section 5326.

### 12.1 General Requirements

The FTA will establish and implement a national transit asset management system, which will include:

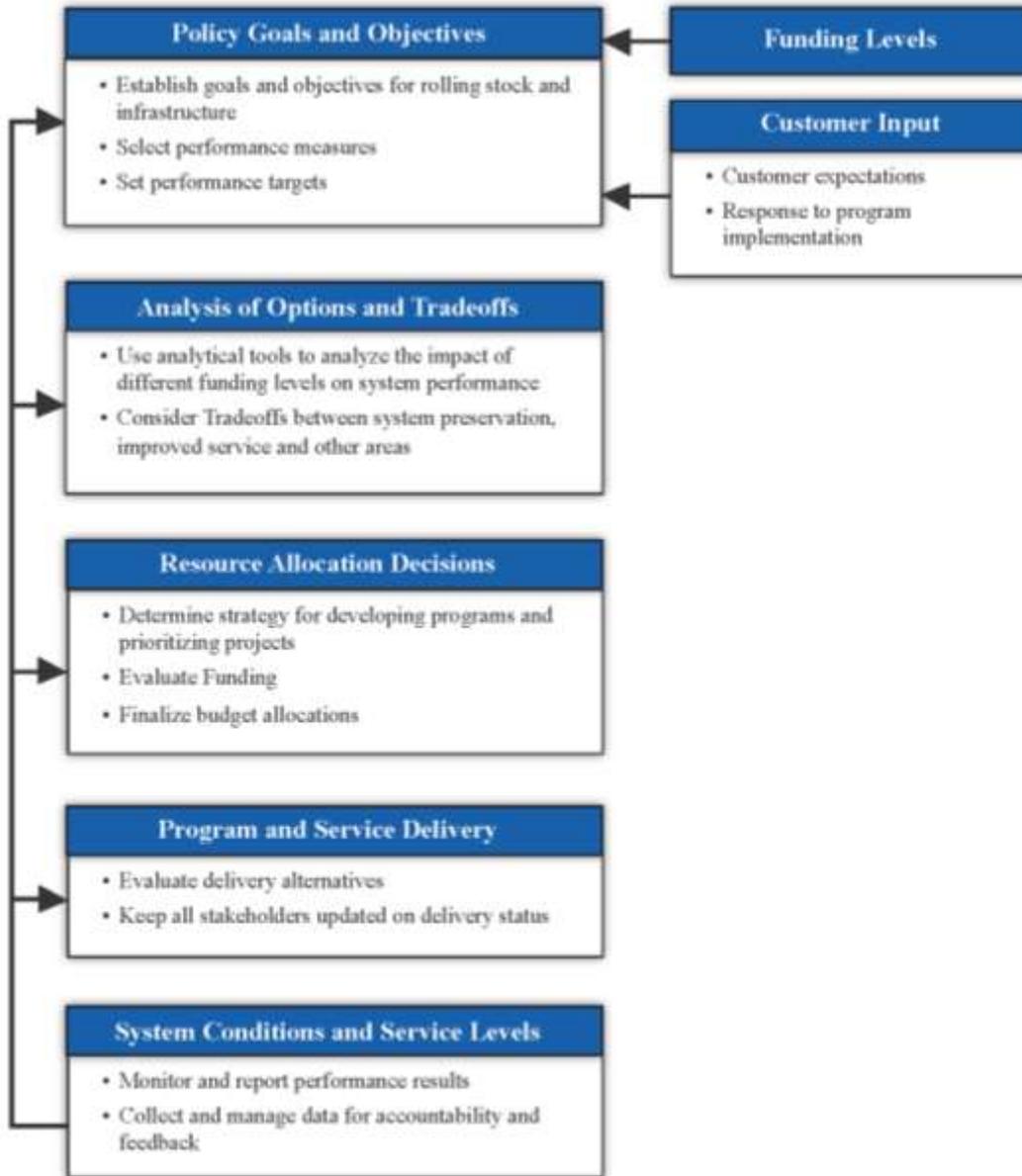
- a definition of the term ‘state of good repair’ that includes objective standards for measuring the condition of capital assets of recipients, including equipment, rolling stock, infrastructure, and facilities;
- a requirement that recipients and subrecipients of Federal financial assistance under this chapter develop a transit asset management plan;
- a requirement that each designated recipient of Federal financial assistance under this chapter report on the condition of the system of the recipient and provide a description of any change in condition since the last report;
- an analytical process or decision support tool for use by public transportation systems that:
  - allows for the estimation of capital investment needs of such systems over time; and
  - assists with asset investment prioritization by such systems; and
- technical assistance to recipients of Federal financial assistance under this chapter.

To support the development of the transit asset management system, FTA recommends MARTA / CITY to consider the following steps:

1. Collecting inventory and condition data for rolling stock and infrastructure;
2. Establishing life-cycle policy for system preservation, including maintenance, repair, rehabilitation and renewal activities, and modeling the application of the policy on physical assets; and
3. Developing alternative capital programing scenarios that use the above steps together with projections of MARTA / CITY funding to characterize predicted future conditions and maximize effectiveness of agency investments.
4. Including functionality in the asset management system for storing a complete asset inventory; recording condition and performance data for the inventory; identifying deficiencies in existing assets; providing decision support capability for predicting future conditions and needs; tracking data on work accomplishments, including maintenance actions and capital projects; and supporting monitoring and reporting.

**Figure 12.1** on the next page illustrates a typical Asset Management Process.

**Figure 12.1 Asset Management Process**



**12.2 Performance Measures and Targets**

The FTA will issue a final rule to establish performance measures based on the state of good repair standards established under Section 5326.

After the date on which the FTA issues a final rule under MAP-21, Section 5326, and each fiscal year thereafter, MARTA / CITY, a recipient of Federal financial assistance under Section 5326 will establish performance targets in relation to the performance measures established by the FTA.

# Section 13

## Engineering and Construction Phase

### 13.0 Purpose

Upon notification of a rail fixed guideway project *entering the engineering phase* and subject to the requirements of 49 CFR Part 659 or MAP-21, GDOT will develop its project-specific oversight activities to meet the safety and security requirements of this Program Standard.

Given the wide range in the scope and nature of the projects that may be subject to the SSO program, this section provides a general overview of the typical oversight activities that may be undertaken by GDOT during the project's engineering and construction phases.

The purpose of this section is to describe GDOT's oversight activities of the MARTA / CITY during the design, construction, testing and start-up, and project turn-over phases for New Starts, Small Starts, or other federally funded grant projects subject to the state safety and security oversight program.

Any New Starts, Small Starts, or other federally funded grant projects that have substantially completed the engineering phase or later phases (i.e. construction, testing, start-up, etc.) at the time of the adoption of this Program Standard are **NOT** subject to the requirements listed within this section. Instead, oversight for these projects will continue under the safety and security requirements promulgated by the Federal Transit Administration.

The GDOT SSO Program Manager will maintain ongoing communications and will coordinate with the FTA regarding any New Starts, Small Starts, or other federally funded grant projects subject to the requirements of the Program Standard, as required.

### 13.1 Definition

The Federal Public Transportation Act of 2012 (MAP-21), Section 5329, (3)(e)(2), defines an eligible State as one with a rail fixed guideway public transportation system within the jurisdiction of the State that is:

- not subject to regulation by the Federal Railroad Administration; or
- a rail fixed guideway public transportation system in the *engineering or construction phase* of development within the jurisdiction of the State that will not be subject to regulation by the Federal Railroad Administration.

### 13.2 General Requirements

GDOT will conduct compliance reviews of MARTA / CITY's safety and security plans for New Starts, Small Starts, or other federally funded grant projects subject to state safety/security oversight. GDOT reviews will address verification of MARTA / CITY's compliance with all applicable FTA and GDOT safety and security program requirements for the design, construction, testing, and pre-revenue operations phases of the project. GDOT's reviews will be consistent with 49 CFR Part 633, FTA Circular 5800.1, the FTA Handbook for Transit Safety and Security Certification, and other applicable requirements.

GDOT compliance reviews will include, but are not limited to the following safety and security-related plans and documents:

1. Project Management Plan (PMP)
2. Safety and Security Management Plan (SSMP)
3. Safety and Security Certification Plan (SSCP), including:
  - Certifiable Elements and Items Lists
  - Design Criteria Conformance Checklists
  - Construction Specification Conformance Checklists
  - Test Program Checklists
  - Preliminary Hazard Analyses
  - Threat and Vulnerability Assessments
4. Construction Safety and Security Plan (CSSP)
5. Supporting Documentation, including:
  - Safety and security analyses
  - Plans, engineering drawings, construction plans, calculations
  - Inspection reports
  - Test plans and procedures, and test reports
6. Safety and Security Certification Verification Reports (SSCVRs)
7. Other plans and / or procedures related to MAP-21 public transportation safety program requirements under Section 5329

In addition to the review activities discussed in this section, GDOT may attend and observe safety and security committee and working group meetings established by MARTA / CITY to carry out safety and security certification activities. GDOT may also conduct reviews or special assessments as described in **Section 7.3, Other SSO Reviews**.

### **13.3 Minimum Safety and Security Design, Construction, Operations, and Maintenance Standards and Considerations**

GDOT requires the adoption of a minimum set of standards necessary to achieve an acceptable level of safety, security, and performance for rail fixed guided transit systems operating within its jurisdiction.

GDOT also requires that the minimum requirements apply to all phases of the rail system life cycle including design, construction, operation, and maintenance. These requirements, at a minimum, must encompass the following elements:

- Operating Environment
- System Safety
- System Dependability
- Signals / Communications
- Vehicles
- Propulsion and Braking Systems
- Electrical Systems
- Stations
- Guideways
- System Security
- Emergency Preparedness
- System Integration / Testing
- Operations and Maintenance

GDOT requires that the minimum requirements apply to the fixed facilities, vehicles, systems, test requirements, training, operations and maintenance plans and procedural elements of MARTA / CITY.

GDOT requires MARTA / CITY to make the set of standards described above available to GDOT for review, upon request.

#### **13.4 Design Criteria Conformance Phase**

During the design development phase, GDOT will perform safety and security oversight of the MARTA / CITY design process that verifies MARTA / CITY project's design conformance to the latest revision of applicable federal, state, and / or local standards, codes, regulations, guidelines, and / or requirements.

To accomplish this, GDOT may attend design meetings and may review and comment on the Design Criteria Manual for each major capital project subject to safety and security certification as defined in the MARTA / CITY's SSPP.

At the various stages of design development (i.e., 30%, 60%, 90%, 100%), GDOT may review the design documents (contractor design review submittals, drawings, specifications, and calculations). GDOT may review the designs to ensure that the safety and security requirements in the design criteria are included in the design of the various project facilities and systems. At a minimum, these reviews will be in accordance with 49 CFR Part 659, and other related FTA design, safety, and security guidance. GDOT may also review designs that have changes or deviations from the baseline criteria. GDOT's goal will be to ensure that the MARTA / CITY has considered and addressed changes that may impact project safety and security prior to these changes being incorporated into the final design.

GDOT may arrange meetings with MARTA / CITY and FTA to resolve its safety and security comments and concerns on the design and related activities. As required, GDOT will monitor and track to closure the MARTA / CITY's responses to Design-related safety and security open items.

#### **13.5 Construction Specification Conformance Phase**

During construction, GDOT will perform safety and security oversight of MARTA / CITY construction management process that verifies MARTA / CITY project's conformance to the applicable project specifications.

To accomplish this, GDOT may conduct field observations, during construction, after work completion, and during testing by MARTA / CITY. The purpose of these field observations will be to assess the effectiveness of the MARTA / CITY safety and security certification program. GDOT will provide oversight of MARTA / CITY's construction safety and security activities that are being carried out in accordance with its Construction Safety and Security Plan (CSSP). GDOT may prepare reports detailing its observations and open items requiring resolution by MARTA / CITY.

GDOT may arrange meetings with MARTA / CITY and FTA to resolve its safety and security comments and concerns on the construction plans and activities. As required, GDOT will monitor and track to closure MARTA / CITY's responses to Construction-related safety and security open items.

### **13.6 Pre-Revenue Operations and Maintenance Phase**

During pre-revenue operations and maintenance phase, GDOT will perform safety and security oversight of MARTA / CITY's operations and maintenance readiness processes that verify the project's readiness to enter into revenue service.

GDOT may review the safety and security related operations and maintenance plans and documents developed by MARTA / CITY for revenue operation in accordance with the GDOT Program Standard, 49 CFR 659, and other applicable requirements and guidelines. GDOT may provide review comments to MARTA / CITY on various plans, which may include Standard Operating Procedures (SOP), Emergency Operating Procedures (EOP), Operations and Maintenance Plan, and Right-of-Way Safety Training.

GDOT may arrange meetings with MARTA / CITY and FTA to resolve its safety and security comments and concerns on the operations and maintenance plans and activities. As required, GDOT will monitor and track to closure MARTA / CITY's responses to Operations and Maintenance-related safety and security open items.

### **13.7 Testing, Start-Up and Training Phase**

During testing, start-up, and training phase, GDOT will perform safety and security oversight of MARTA / CITY's processes for testing, start-up, and training that verifies the project's readiness to enter into revenue service.

GDOT may review plans and documents developed by MARTA / CITY for the testing, pre-revenue operation, and start-up phases of the project. GDOT may provide review comments to MARTA / CITY for each individual plan and / or document, including Training and Qualification Program Plans, System Integration Test Plan (SITP) and Procedures, Start-Up and / or Pre-Revenue Operations Plan, and Emergency Drills and Exercises Plan and Schedule.

GDOT may observe MARTA / CITY training and qualification programs. GDOT may review tabletop exercises and emergency drill plans and procedures developed by MARTA / CITY. GDOT may observe MARTA / CITY tabletop exercises and emergency drills. GDOT may provide review comments to MARTA / CITY.

GDOT may arrange meetings with MARTA / CITY and FTA to resolve its safety and security comments and concerns on the testing, training, and emergency preparedness activities. As required, GDOT will monitor and track to closure MARTA / CITY's responses to Testing/Start-up/Training-related safety and security open items.

### **13.8 Project Turn-Over Phase**

GDOT SSO requires MARTA / CITY to issue a Certificate of Conformance for each certifiable element listed within the Safety and Security Certification Plan. The Certificate of System Safety and Security will signify that project complies with the established federal, state, and MARTA / CITY safety and security criteria and standards. This Certificate will also serve as official notice from the MARTA / CITY to GDOT SSO that the project has been successfully tested as "safe and secure" and is ready for public use.

At the time of passenger revenue service, open items affecting the safety, security or operations of project may remain on certain facilities, systems, equipment, plans or procedures. GDOT SSO requires that such open items be listed on a Safety and Security Open Items List for the purpose of ongoing tracking and monitoring by GDOT SSO and MARTA / CITY.

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GDOT SSO also requires that MARTA / CITY provide the list of remaining open items and restrictions, their identified resolutions, and schedule for bringing these items to closure with the Safety and Security Certification Final Verification Report (SSCVR). Refer to **Section 10** for additional details on the requirements for the safety and security certification process.

# **APPENDIX A**

## **Federal Public Transportation Act, MAP-21: Section 5329, Public Transportation Safety Program Section 5326, Transit Asset Management Plan**

## Section 5329

(Includes text of section 20021(b) of MAP-21)

### § 5329. Public transportation safety program

(a) DEFINITION.—In this section, the term ‘recipient’ means a State or local governmental authority, or any other operator of a public transportation system, that receives financial assistance under this chapter.

#### (b) NATIONAL PUBLIC TRANSPORTATION SAFETY PLAN.—

(1) IN GENERAL.—The Secretary shall create and implement a national public transportation safety plan to improve the safety of all public transportation systems that receive funding under this chapter.

(2) CONTENTS OF PLAN.—The national public transportation safety plan under paragraph (1) shall include—

(A) safety performance criteria for all modes of public transportation;

(B) the definition of the term ‘state of good repair’ established under section 5326(b);

(C) minimum safety performance standards for public transportation vehicles used in revenue operations that—

(i) do not apply to rolling stock otherwise regulated by the Secretary or any other Federal agency; and

(ii) to the extent practicable, take into consideration—

(I) relevant recommendations of the National Transportation Safety Board; and

(II) recommendations of, and best practices standards developed by, the public transportation industry; and

(D) a public transportation safety certification training program, as described in subsection (c).

#### (c) PUBLIC TRANSPORTATION SAFETY CERTIFICATION TRAINING PROGRAM.—

(1) IN GENERAL.—The Secretary shall establish a public transportation safety certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems and employees of public transportation agencies directly responsible for safety oversight.

(2) INTERIM PROVISIONS.—Not later than 90 days after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall establish interim provisions for the certification and training of the personnel described in paragraph (1), which shall be in effect until the effective date of the final rule issued by the Secretary to implement this subsection.

#### (d) PUBLIC TRANSPORTATION AGENCY SAFETY PLAN.—

(1) IN GENERAL.—Effective 1 year after the effective date of a final rule issued by the Secretary to carry out this subsection, each recipient or State, as described in paragraph (3), shall certify that the recipient or State has established a comprehensive agency safety plan that includes, at a minimum—

(A) a requirement that the board of directors (or equivalent entity) of the recipient approve the agency safety plan and any updates to the agency safety plan;

(B) methods for identifying and evaluating safety risks throughout all elements of the public transportation system of the recipient;

(C) strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions;

(D) a process and timeline for conducting an annual review and update of the safety plan of the recipient;

(E) performance targets based on the safety performance criteria and state of good repair standards established under subparagraphs (A) and (B), respectively, of subsection (b)(2);

(F) assignment of an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the recipient; and

(G) a comprehensive staff training program for the operations personnel and personnel directly responsible for safety of the recipient that includes—

(i) the completion of a safety training program; and

(ii) continuing safety education and training.

(2) INTERIM AGENCY SAFETY PLAN.—A system safety plan developed pursuant to part 659 of title 49, Code of Federal Regulations, as in effect on the date of enactment of the Federal Public Transportation Act of 2012, shall remain in effect until such time as this subsection takes effect.

(3) PUBLIC TRANSPORTATION AGENCY SAFETY PLAN DRAFTING AND CERTIFICATION.—

(A) SECTION 5311.—For a recipient receiving assistance under section 5311, a State safety plan may be drafted and certified by the recipient or a State.

(B) SECTION 5307.—Not later than 120 days after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall issue a rule designating recipients of assistance under section 5307 that are small public transportation providers or systems that may have their State safety plans drafted or certified by a State.

(e) STATE SAFETY OVERSIGHT PROGRAM.—

(1) APPLICABILITY.—This subsection applies only to eligible States.

(2) DEFINITION.—In this subsection, the term ‘eligible State’ means a State that has—

(A) a rail fixed guideway public transportation system within the jurisdiction of the State that is not subject to regulation by the Federal Railroad Administration; or (B) a rail fixed guideway public transportation system in the engineering or construction phase of development within the jurisdiction of the State that will not be subject to regulation by the Federal Railroad Administration.

(3) IN GENERAL.—In order to obligate funds apportioned under section 5338 to carry out this chapter, effective 3 years after the date on which a final rule under this subsection becomes effective, an eligible State shall have in effect a State safety oversight program approved by the Secretary under which the State—

(A) assumes responsibility for overseeing rail fixed guideway public transportation safety;

(B) adopts and enforces Federal and relevant State laws on rail fixed guideway public transportation safety;

(C) establishes a State safety oversight agency;

(D) determines, in consultation with the Secretary, an appropriate staffing level for the State safety oversight agency that is commensurate with the number, size, and complexity of the rail fixed guideway public transportation systems in the eligible State;

(E) requires that employees and other designated personnel of the eligible State safety oversight agency who are responsible for rail fixed guideway public transportation safety oversight are qualified to perform such functions through appropriate training, including successful completion of the public transportation safety certification training program established under subsection (c); and

(F) prohibits any public transportation agency from providing funds to the State safety oversight agency or an entity designated by the eligible State as the State safety oversight agency under paragraph (4).

(4) STATE SAFETY OVERSIGHT AGENCY.—

(A) IN GENERAL.—Each State safety oversight program shall establish a State safety oversight agency that—

(i) is financially and legally independent from any public transportation entity that the State safety oversight agency oversees;

(ii) does not directly provide public transportation services in an area with a rail fixed guideway public transportation system subject to the requirements of this section;

(iii) does not employ any individual who is also responsible for the administration of rail fixed guideway public transportation programs subject to the requirements of this section;

(iv) has the authority to review, approve, oversee, and enforce the implementation by the rail fixed guideway public transportation agency of the public transportation agency safety plan required under subsection (d);

(v) has investigative and enforcement authority with respect to the safety of rail fixed guideway public transportation systems of the eligible State;

(vi) audits, at least once triennially, the compliance of the rail fixed guideway public transportation systems in the eligible State subject to this subsection with the public transportation agency safety plan required under subsection (d); and

(vii) provides, at least once annually, a status report on the safety of the rail fixed guideway public transportation systems the State safety oversight agency oversees to—

(I) the Federal Transit Administration;

(II) the Governor of the eligible State; and

(III) the board of directors, or equivalent entity, of any rail fixed guideway public transportation system that the State safety oversight agency oversees.

(B) WAIVER.—At the request of an eligible State, the Secretary may waive clauses (i) and (iii) of subparagraph (A) for eligible States with 1 or more rail fixed guideway systems in revenue operations, design, or construction, that—

(i) have fewer than 1,000,000 combined actual and projected rail fixed guideway revenue miles per year; or

(ii) provide fewer than 10,000,000 combined actual and projected unlinked passenger trips per year.

(5) PROGRAMS FOR MULTI-STATE RAIL FIXED GUIDEWAY PUBLIC TRANSPORTATION SYSTEMS.—An eligible State that has within the jurisdiction of the eligible State a rail fixed guideway public transportation system that operates in more than 1 eligible State shall—

(A) jointly with all other eligible States in which the rail fixed guideway public transportation system operates, ensure uniform safety standards and enforcement procedures that shall be in compliance with this section, and establish and implement a State safety oversight program approved by the Secretary; or

(B) jointly with all other eligible States in which the rail fixed guideway public transportation system operates, designate an entity having characteristics consistent with the characteristics described in paragraph (3) to carry out the State safety oversight program approved by the Secretary.

(6) GRANTS.—

(A) IN GENERAL.—The Secretary shall make grants to eligible States to develop or carry out State safety oversight programs under this subsection. Grant funds may be used for program operational and administrative expenses, including employee training activities.

(B) APPORTIONMENT.—

(i) **FORMULA.**—The amount made available for State safety oversight under section 5336(h) shall be apportioned among eligible States under a formula to be established by the Secretary. Such formula shall take into account fixed guideway vehicle revenue miles, fixed guideway route miles, and fixed guideway vehicle passenger miles attributable to all rail fixed guideway systems not subject to regulation by the Federal Railroad Administration within each eligible State.

(ii) **ADMINISTRATIVE REQUIREMENTS.**—Grant funds apportioned to States under this paragraph shall be subject to uniform administrative requirements for grants and cooperative agreements to State and local governments under part 18 of title 49, Code of Federal Regulations, and shall be subject to the requirements of this chapter as the Secretary determines appropriate.

**(C) GOVERNMENT SHARE.**—

(i) **IN GENERAL.**—The Government share of the reasonable cost of a State safety oversight program developed or carried out using a grant under this paragraph shall be 80 percent.

(ii) **IN-KIND CONTRIBUTIONS.**—Any calculation of the non-Government share of a State safety oversight program shall include in-kind contributions by an eligible State.

(iii) **NON-GOVERNMENT SHARE.**—The non-Government share of the cost of a State safety oversight program developed or carried out using a grant under this paragraph may not be met by—

(I) any Federal funds;

(II) any funds received from a public transportation agency; or

(III) any revenues earned by a public transportation agency.

(iv) **SAFETY TRAINING PROGRAM.**—Recipients of funds made available to carry out sections 5307 and 5311 may use not more than 0.5 percent of their formula funds to pay not more than 80 percent of the cost of participation in the public transportation safety certification training program established under subsection (c), by an employee of a State safety oversight agency or a recipient who is directly responsible for safety oversight.

**(7) CERTIFICATION PROCESS.**—

(A) **IN GENERAL.**—Not later than 1 year after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall determine whether or not each State safety oversight program meets the requirements of this subsection and the State safety oversight program is adequate to promote the purposes of this section.

(B) **ISSUANCE OF CERTIFICATIONS AND DENIALS.**—The Secretary shall issue a certification to each eligible State that the Secretary determines under subparagraph (A) adequately meets the requirements of this subsection, and shall issue a denial of certification to each eligible State that the Secretary determines under subparagraph (A) does not adequately meet the requirements of this subsection.

(C) **DISAPPROVAL.**—If the Secretary determines that a State safety oversight program does not meet the requirements of this subsection and denies certification, the Secretary shall transmit to the eligible State a written explanation and allow the eligible State to modify and resubmit the State safety oversight program for approval.

(D) **FAILURE TO CORRECT.**—If the Secretary determines that a modification by an eligible State of the State safety oversight program is not sufficient to certify the program, the Secretary—

(i) shall notify the Governor of the eligible State of such denial of certification and failure to adequately modify the program, and shall request that the Governor take all possible actions to correct deficiencies in the program to ensure the certification of the program; and

(ii) may—

(I) withhold funds available under paragraph (6) in an amount determined by the Secretary;

(II) withhold not more than 5 percent of the amount required to be appropriated for use in a State or urbanized area in the State under section 5307 of this title, until the State safety oversight program has been certified; or

(III) require fixed guideway public transportation systems under such State safety oversight program to provide up to 100 percent of Federal assistance made available under this chapter only for safety-related improvements on such systems, until the State safety oversight program has been certified.

(8) **EVALUATION OF PROGRAM AND ANNUAL REPORT.**—The Secretary shall continually evaluate the implementation of a State safety oversight program by a State safety oversight agency, and shall submit on or before July 1 of each year to the Committee on Banking, Housing, and Urban Affairs of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives a report on—

(A) the amount of funds apportioned to each eligible State; and

(B) the certification status of each State safety oversight program, including what steps a State program that has been denied certification must take in order to be certified.

(9) **FEDERAL OVERSIGHT.**—The Secretary shall—

(A) oversee the implementation of each State safety oversight program under this subsection;

(B) audit the operations of each State safety oversight agency at least once triennially; and

(C) issue rules to carry out this subsection.

(f) **AUTHORITY OF SECRETARY.**—In carrying out this section, the Secretary may—

(1) conduct inspections, investigations, audits, examinations, and testing of the equipment, facilities, rolling stock, and operations of the public transportation system of a recipient;

(2) make reports and issue directives with respect to the safety of the public transportation system of a recipient;

(3) in conjunction with an accident investigation or an investigation into a pattern or practice of conduct that negatively affects public safety, issue a subpoena to, and take the deposition of, any employee of a recipient or a State safety oversight agency, if—

(A) before the issuance of the subpoena, the Secretary requests a determination by the Attorney General of the United States as to whether the subpoena will interfere with an ongoing criminal investigation; and

(B) the Attorney General—

(i) determines that the subpoena will not interfere with an ongoing criminal investigation; or

(ii) fails to make a determination under clause (i) before the date that is 30 days after the date on which the Secretary makes a request under subparagraph (A);

(4) require the production of documents by, and prescribe recordkeeping and reporting requirements for, a recipient or a State safety oversight agency;

(5) investigate public transportation accidents and incidents and provide guidance to recipients regarding prevention of accidents and incidents;

(6) at reasonable times and in a reasonable manner, enter and inspect equipment, facilities, rolling stock, operations, and relevant records of the public transportation system of a recipient; and

(7) issue rules to carry out this section.

(g) ENFORCEMENT ACTIONS.—

(1) TYPES OF ENFORCEMENT ACTIONS.—The Secretary may take enforcement action against an eligible State, as defined in subsection (e), that does not comply with Federal law with respect to the safety of the public transportation system, including—

(A) issuing directives;

(B) requiring more frequent oversight of the recipient by a State safety oversight agency or the Secretary;

(C) imposing more frequent reporting requirements; and

(D) requiring that any Federal financial assistance provided under this chapter be spent on correcting safety deficiencies identified by the Secretary or the State safety oversight agency before such funds are spent on other projects.

(2) USE OR WITHHOLDING OF FUNDS.—

(A) IN GENERAL.—The Secretary may require the use of funds in accordance with paragraph (1)(D) only if the Secretary finds that a recipient is engaged in a pattern or practice of serious

safety violations or has otherwise refused to comply with Federal law relating to the safety of the public transportation system.

(B) NOTICE.—Before withholding funds from a recipient, the Secretary shall provide to the recipient—

(i) written notice of a violation and the amount proposed to be withheld; and

(ii) a reasonable period of time within which the recipient may address the violation or propose and initiate an alternative means of compliance that the Secretary determines is acceptable.

(h) COST-BENEFIT ANALYSIS.—

(1) ANALYSIS REQUIRED.—In carrying out this section, the Secretary shall take into consideration the costs and benefits of each action the Secretary proposes to take under this section.

(2) WAIVER.—The Secretary may waive the requirement under this subsection if the Secretary determines that such a waiver is in the public interest.

(i) CONSULTATION BY THE SECRETARY OF HOMELAND SECURITY.—The Secretary of Homeland Security shall consult with the Secretary of Transportation before the Secretary of Homeland Security issues a rule or order that the Secretary of Transportation determines affects the safety of public transportation design, construction, or operations.

(j) ACTIONS UNDER STATE LAW.—

(1) RULE OF CONSTRUCTION.—Nothing in this section shall be construed to preempt an action under State law seeking damages for personal injury, death, or property damage alleging that a party has failed to comply with—

(A) a Federal standard of care established by a regulation or order issued by the Secretary under this section; or

(B) its own program, rule, or standard that it created pursuant to a rule or order issued by the Secretary.

(2) EFFECTIVE DATE.—This subsection shall apply to any cause of action under State law arising from an event or activity occurring on or after the date of enactment of the Federal Public Transportation Act of 2012.

(3) JURISDICTION.—Nothing in this section shall be construed to create a cause of action under Federal law on behalf of an injured party or confer Federal question jurisdiction for a State law cause of action.

(k) NATIONAL PUBLIC TRANSPORTATION SAFETY REPORT.—Not later than 3 years after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall submit to the Committee on Banking, Housing, and Urban Affairs of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives a report that—

(1) analyzes public transportation safety trends among the States and documents the most effective safety programs implemented using grants under this section; and (2) describes the effect on public transportation safety of activities carried out using grants under this section.

**Section 20021(b) of MAP-21:**

**(b) BUS SAFETY STUDY.—**

(1) **DEFINITION.**—In this subsection, the term highway route means a route where 50 percent or more of the route is on roads having a speed limit of more than 45 miles per hour.

(2) **STUDY.**—Not later than 180 days after the date of enactment of this Act, the Secretary of Transportation shall submit to the Committee on Banking, Housing, and Urban Affairs of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives a report that—

(A) examines the safety of public transportation buses that travel on highway routes;

(B) examines laws and regulations that apply to commercial over-the-road buses; and

(C) makes recommendations as to whether additional safety measures should be required for public transportation buses that travel on highway routes.

## Section 5326

### § 5326. Transit asset management

(a) DEFINITIONS.—In this section the following definitions shall apply:

(1) CAPITAL ASSET.—The term ‘capital asset’ includes equipment, rolling stock, infrastructure, and facilities for use in public transportation and owned or leased by a recipient or subrecipient of Federal financial assistance under this chapter.

(2) TRANSIT ASSET MANAGEMENT PLAN.—The term ‘transit asset management plan’ means a plan developed by a recipient of funding under this chapter that—

(A) includes, at a minimum, capital asset inventories and condition assessments, decision support tools, and investment prioritization; and

(B) the recipient certifies complies with the rule issued under this section.

(3) TRANSIT ASSET MANAGEMENT SYSTEM.—The term ‘transit asset management system’ means a strategic and systematic process of operating, maintaining, and improving public transportation capital assets effectively throughout the life cycle of such assets.

(b) TRANSIT ASSET MANAGEMENT SYSTEM.—The Secretary shall establish and implement a national transit asset management system, which shall include—

(1) a definition of the term ‘state of good repair’ that includes objective standards for measuring the condition of capital assets of recipients, including equipment, rolling stock, infrastructure, and facilities;

(2) a requirement that recipients and subrecipients of Federal financial assistance under this chapter develop a transit asset management plan;

(3) a requirement that each designated recipient of Federal financial assistance under this chapter report on the condition of the system of the recipient and provide a description of any change in condition since the last report;

(4) an analytical process or decision support tool for use by public transportation systems that—

(A) allows for the estimation of capital investment needs of such systems over time; and

(B) assists with asset investment prioritization by such systems; and

(5) technical assistance to recipients of Federal financial assistance under this chapter.

(c) PERFORMANCE MEASURES AND TARGETS.—

(1) IN GENERAL.—Not later than 1 year after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall issue a final rule to establish performance measures based on the state of good repair standards established under subsection (b)(1).

(2) TARGETS.—Not later than 3 months after the date on which the Secretary issues a final rule under paragraph (1), and each fiscal year thereafter, each recipient of Federal financial assistance under this chapter shall establish performance targets in relation to the performance measures established by the Secretary.

(3) REPORTS.—Each designated recipient of Federal financial assistance under this chapter shall submit to the Secretary an annual report that describes—

(A) the progress of the recipient during the fiscal year to which the report relates toward meeting the performance targets established under paragraph (2) for that fiscal year; and

(B) the performance targets established by the recipient for the subsequent fiscal year.

(d) RULEMAKING.—Not later than 1 year after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall issue a final rule to implement the transit asset management system described in subsection (b).

# **APPENDIX B**

## **49 CFR Part 659**

### **Rail Fixed Guideway; State Safety Oversight Rule**



# Federal Register

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**Friday,  
April 29, 2005**

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**Part IV**

## **Department of Transportation**

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**Federal Transit Administration**

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**49 CFR Part 659**

**Rail Fixed Guideway Systems; State Safety  
Oversight; Final Rule**

National Environmental Policy Act (42 U.S.C. 4321 *et seq.*) and has determined that this rulemaking will not have any effect on the quality of the human environment.

#### List of Subjects in 49 CFR Part 659

Grant Programs—Transportation, Mass Transportation, Reporting and recordkeeping requirements, Safety, Security, Transportation.

■ For the reasons described in the preamble, FTA revises part 659 to read as follows:

### PART 659—RAIL FIXED GUIDEWAY SYSTEMS; STATE SAFETY OVERSIGHT

#### Subpart A—General Provisions

Sec.

659.1 Purpose.

659.3 Scope.

659.5 Definitions.

#### Subpart B—Role of the State

659.7 Withholding of funds for noncompliance.

659.9 Designation of oversight agency.

659.11 Confidentiality of investigation reports and security plans.

#### Subpart C—Role of the State Oversight Agency

659.13 Overview.

659.15 System safety program standard.

659.17 System safety program plan: general requirements.

659.19 System safety program plan: contents

659.21 System security plan: general requirements.

659.23 System security plan: contents.

659.25 Annual review of system safety program plan and system security plan.

659.27 Internal safety and security reviews.

659.29 Oversight agency safety and security reviews.

659.31 Hazard management process.

659.33 Accident notification.

659.35 Investigations.

659.37 Corrective action plans.

659.39 Oversight agency reporting to the Federal Transit Administration.

659.41 Conflict of interest.

659.43 Certification of compliance.

**Authority:** 49 U.S.C. 5330.

#### Subpart A—General Provisions

##### § 659.1 Purpose.

This part implements 49 U.S.C. 5330 by requiring a state to oversee the safety and security of rail fixed guideway systems through a designated oversight agency.

##### § 659.3 Scope.

This part applies only to states with rail fixed guideway systems, as defined in this part.

##### § 659.5 Definitions.

*Contractor* means an entity that performs tasks required on behalf of the oversight or rail transit agency. The rail transit agency may not be a contractor for the oversight agency.

*Corrective action plan* means a plan developed by the rail transit agency that describes the actions the rail transit agency will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions.

*FRA* means the Federal Railroad Administration, an agency within the U.S. Department of Transportation.

*FTA* means the Federal Transit Administration, an agency within the U.S. Department of Transportation.

*Hazard* means any real or potential condition (as defined in the rail transit agency's hazard management process) that can cause injury, illness, or death; damage to or loss of a system, equipment or property; or damage to the environment.

*Individual* means a passenger; employee; contractor; other rail transit facility worker; pedestrian; trespasser; or any person on rail transit-controlled property.

*Investigation* means the process used to determine the causal and contributing factors of an accident or hazard, so that actions can be identified to prevent recurrence.

*New Starts Project* means any rail fixed guideway system funded under FTA's 49 U.S.C. 5309 discretionary construction program.

*Oversight Agency* means the entity, other than the rail transit agency, designated by the state or several states to implement this part.

*Passenger* means a person who is on board, boarding, or alighting from a rail transit vehicle for the purpose of travel.

*Passenger Operations* means the period of time when any aspect of rail transit agency operations are initiated with the intent to carry passengers.

*Program Standard* means a written document developed and adopted by the oversight agency, that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.

*Rail Fixed Guideway System* means any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, or automated guideway that:

- (1) Is not regulated by the Federal Railroad Administration; and
- (2) Is included in FTA's calculation of fixed guideway route miles or receives funding under FTA's formula program for urbanized areas (49 U.S.C. 5336); or
- (3) Has submitted documentation to FTA indicating its intent to be included

in FTA's calculation of fixed guideway route miles to receive funding under FTA's formula program for urbanized areas (49 U.S.C. 5336).

*Rail Transit Agency* means an entity that operates a rail fixed guideway system.

*Rail Transit-Controlled Property* means property that is used by the rail transit agency and may be owned, leased, or maintained by the rail transit agency.

*Rail Transit Vehicle* means the rail transit agency's rolling stock, including but not limited to passenger and maintenance vehicles.

*Safety* means freedom from harm resulting from unintentional acts or circumstances.

*Security* means freedom from harm resulting from intentional acts or circumstances.

*State* means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

*System Safety Program Plan* means a document developed and adopted by the rail transit agency, describing its safety policies, objectives, responsibilities, and procedures.

*System Security Plan* means a document developed and adopted by the rail transit agency describing its security policies, objectives, responsibilities, and procedures.

#### Subpart B—Role of the State

##### § 659.7 Withholding of funds for noncompliance.

(a) The Administrator of the FTA may withhold up to five percent of the amount required to be distributed to any state or affected urbanized area in such state under FTA's formula program for urbanized areas, if:

(1) The state in the previous fiscal year has not met the requirements of this part; and

(2) The Administrator determines that the state is not making adequate efforts to comply with this part.

(b) The Administrator may agree to restore withheld formula funds, if compliance is achieved within two years (See 49 U.S.C. 5330).

##### § 659.9 Designation of oversight agency.

(a) *General requirement.* Each state with an existing or anticipated rail fixed guideway system regulated by this part shall designate an oversight agency consistent with the provisions of this section. For a rail fixed guideway system that will operate in only one state, the state must designate an agency of the state, other than the rail transit

agency, as the oversight agency to implement the requirements in this part. The state's designation or re-designation of its oversight agency and submission of required information as specified in this section, are subject to review by FTA.

(b) *Exception.* States which have designated oversight agencies for purposes of this part before May 31, 2005 are not required to re-designate to FTA.

(c) *Timing.* The state designation of the oversight agency shall:

(1) Coincide with the execution of any grant agreement for a New Starts project between FTA and a rail transit agency within the state's jurisdiction; or

(2) Occur before the application by a rail transit agency for funding under FTA's formula program for urbanized areas (49 U.S.C. 5336).

(d) *Notification to FTA.* Within (60) days of designation of the oversight agency, the state must submit to FTA the following:

(1) The name of the oversight agency designated to implement requirements in this part;

(2) Documentation of the oversight agency's authority to provide state oversight;

(3) Contact information for the representative identified by the designated oversight agency with responsibility for oversight activities;

(4) A description of the organizational and financial relationship between the designated oversight agency and the rail transit agency; and

(5) A schedule for the designated agency's development of its State Safety Oversight Program, including the projected date of its initial submission, as required in § 659.39(a).

(e) *Multiple states.* In cases of a rail fixed guideway system that will operate in more than one state, each affected state must designate an agency of the state, other than the rail transit agency, as the oversight agency to implement the requirements in this part. To fulfill this requirement, the affected states:

(1) May agree to designate one agency of one state, or an agency representative of all states, to implement the requirements in this part; and

(2) In the event multiple states share oversight responsibility for a rail fixed guideway system, the states must ensure that the rail fixed guideway system is subject to a single program standard, adopted by all affected states.

(f) *Change of designation.* Should a state change its designated oversight agency, it shall submit the information required under paragraph (d) of this section to FTA within (30) days of its change. In addition, the new oversight

agency must submit a new initial submission, consistent with § 659.39(b), within (30) days of its designation.

#### **§ 659.11 Confidentiality of investigation reports and security plans.**

(a) A state may withhold an investigation report that may have been prepared or adopted by the oversight agency from being admitted as evidence or used in a civil action for damages resulting from a matter mentioned in the report.

(b) This part does not require public availability of the rail transit agency's security plan and any referenced procedures.

### **Subpart C—Role of the State Oversight Agency**

#### **§ 659.13 Overview.**

The state oversight agency is responsible for establishing standards for rail safety and security practices and procedures to be used by rail transit agencies within its purview. In addition, the state oversight agency must oversee the execution of these practices and procedures, to ensure compliance with the provisions of this part. This subpart identifies and describes the various requirements for the state oversight agency.

#### **§ 659.15 System safety program standard.**

(a) *General requirement.* Each state oversight agency shall develop and distribute a program standard. The program standard is a compilation of processes and procedures that governs the conduct of the oversight program at the state oversight agency level, and provides guidance to the regulated rail transit properties concerning processes and procedures they must have in place to be in compliance with the state safety oversight program. The program standard and any referenced program procedures must be submitted to FTA as part of the initial submission. Subsequent revisions and updates must be submitted to FTA as part of the oversight agency's annual submission.

(b) *Contents.* Each oversight agency shall develop a written program standard that meets the requirements specified in this part and includes, at a minimum, the areas identified in this section.

(1) *Program management section.* This section shall include an explanation of the oversight agency's authority, policies, and roles and responsibilities for providing safety and security oversight of the rail transit agencies within its jurisdiction. This section shall provide an overview of planned activities to ensure on-going communication with each affected rail

transit agency relating to safety and security information, as well as FTA reporting requirements, including initial, annual and periodic submissions.

(2) *Program standard development section.* This section shall include a description of the oversight agency's process for the development, review, and adoption of the program standard, the modification and/or update of the program standard, and the process by which the program standard and any subsequent revisions are distributed to each affected rail transit agency.

(3) *Oversight of rail transit agency internal safety and security reviews.* This section shall specify the role of the oversight agency in overseeing the rail transit agency internal safety and security review process. This includes a description of the process used by the oversight agency to receive rail transit agency checklists and procedures and approve the rail transit agency's annual reports on findings, which must be submitted under the signature of the rail transit agency's top management.

(4) *Oversight agency safety and security review section.* This section shall lay out the process and criteria to be used at least every three years in conducting a complete review of each affected rail transit agency's implementation of its system safety program plan and system security plan. This section includes the process to be used by the affected rail transit agency and the oversight agency to manage findings and recommendations from this review. This also includes procedures for notifying the oversight agency before the rail transit agency conducts an internal review.

(5) *Accident notification section.* This section shall include the specific requirements for the rail transit agency to notify the oversight agency of accidents. This section shall also include required timeframes, methods of notification, and the information to be submitted by the rail transit agency. Additional detail on this portion is included in § 659.33 of this part.

(6) *Investigations section.* This section contains the oversight agency identification of the thresholds for incidents that require an oversight agency investigation. The roles and responsibilities for conducting investigations shall include: coordination with the rail transit agency investigation process, the role of the oversight agency in supporting investigations and findings conducted by the NTSB, review and concurrence of investigation report findings, and procedures for protecting the confidentiality of investigation reports.

(7) *Corrective actions section.* This section shall specify oversight agency criteria for the development of corrective action plan(s) and the process for the review and approval of a corrective action plan developed by the rail transit agency. This section shall also identify the oversight agency's policies for the verification and tracking of corrective action plan implementation, and its process for managing conflicts with the rail transit agency relating to investigation findings and corrective action plan development.

(8) *System safety program plan section.* This section shall specify the minimum requirements to be contained in the rail transit agency's system safety program plan. The contents of the system safety plan are discussed in more detail in § 659.19 of this part. This section shall also specify information to be included in the affected rail transit agency's system safety program plan relating to the hazard management process, including requirements for on-going communication and coordination relating to the identification, categorization, resolution, and reporting of hazards to the oversight agency. More details on the hazard management process are contained in § 659.31 of this part. This section shall also describe the process and timeframe through which the oversight agency must receive, review, and approve the rail transit agency system safety program plan.

(9) *System security plan section.* This section shall specify the minimum requirements to be included in the rail transit agency's system security plan. More details about the system security plan are contained in §§ 659.21 through 659.23 of this part. This section shall also describe the process by which the oversight agency will review and approve the rail transit agency system security program plan. This section also shall identify how the state will prevent the system security plan from public disclosure.

**§ 659.17 System safety program plan: general requirements.**

(a) The oversight agency shall require the rail transit agency to develop and implement a written system safety program plan that complies with requirements in this part and the oversight agency's program standard.

(b) The oversight agency shall review and approve the rail transit agency system safety program plan.

(c) After approval, the oversight agency shall issue a formal letter of approval to the rail transit agency, including the checklist used to conduct the review.

**§ 659.19 System safety program plan: contents.**

The system safety plan shall include, at a minimum:

(a) A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the system safety program plan.

(b) A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure they are achieved.

(c) An overview of the management structure of the rail transit agency, including:

(1) An organization chart;

(2) A description of how the safety function is integrated into the rest of the rail transit organization; and

(3) Clear identification of the lines of authority used by the rail transit agency to manage safety issues.

(d) The process used to control changes to the system safety program plan, including:

(1) Specifying an annual assessment of whether the system safety program plan should be updated; and

(2) Required coordination with the oversight agency, including timeframes for submission, revision, and approval.

(e) A description of the specific activities required to implement the system safety program, including:

(1) Tasks to be performed by the rail transit safety function, by position and management accountability, specified in matrices and/or narrative format; and

(2) Safety-related tasks to be performed by other rail transit departments, by position and management accountability, specified in matrices and/or narrative format.

(f) A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

(g) A description of the process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have safety impacts.

(h) A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of

passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

(i) A description of the process used to collect, maintain, analyze, and distribute safety data, to ensure that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program.

(j) A description of the process used by the rail transit agency to perform accident notification, investigation and reporting, including:

(1) Notification thresholds for internal and external organizations;

(2) Accident investigation process and references to procedures;

(3) The process used to develop, implement, and track corrective actions that address investigation findings;

(4) Reporting to internal and external organizations; and

(5) Coordination with the oversight agency.

(k) A description of the process used by the rail transit agency to develop an approved, coordinated schedule for all emergency management program activities, which include:

(1) Meetings with external agencies;

(2) Emergency planning responsibilities and requirements;

(3) Process used to evaluate emergency preparedness, such as annual emergency field exercises;

(4) After action reports and implementation of findings;

(5) Revision and distribution of emergency response procedures;

(6) Familiarization training for public safety organizations; and

(7) Employee training.

(l) A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including:

(1) Identification of departments and functions subject to review;

(2) Responsibility for scheduling reviews;

(3) Process for conducting reviews, including the development of checklists and procedures and the issuing of findings;

(4) Review of reporting requirements;

(5) Tracking the status of implemented recommendations; and

(6) Coordination with the oversight agency.

(m) A description of the process used by the rail transit agency to develop, maintain, and ensure compliance with rules and procedures having a safety impact, including:

(1) Identification of operating and maintenance rules and procedures subject to review;

(2) Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing;

(3) Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules; and

(4) Process for documenting results and incorporating them into the hazard management program.

(n) A description of the process used for facilities and equipment safety inspections, including:

(1) Identification of the facilities and equipment subject to regular safety-related inspection and testing;

(2) Techniques used to conduct inspections and testing;

(3) Inspection schedules and procedures; and

(4) Description of how results are entered into the hazard management process.

(o) A description of the maintenance audits and inspections program, including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.

(p) A description of the training and certification program for employees and contractors, including:

(1) Categories of safety-related work requiring training and certification;

(2) A description of the training and certification program for employees and contractors in safety-related positions;

(3) Process used to maintain and access employee and contractor training records; and

(4) Process used to assess compliance with training and certification requirements.

(q) A description of the configuration management control process, including:

(1) The authority to make configuration changes;

(2) Process for making changes; and

(3) Assurances necessary for formally notifying all involved departments.

(r) A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including:

(1) Safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency property; and

(2) Processes for ensuring the employees and contractors know and follow the requirements.

(s) A description of the hazardous materials program, including the

process used to ensure knowledge of and compliance with program requirements.

(t) A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.

(u) A description of the measures, controls, and assurances in place to ensure that safety principles, requirements and representatives are included in the rail transit agency's procurement process.

**§ 659.21 System security plan: general requirements.**

(a) The oversight agency shall require the rail transit agency to implement a system security plan that, at a minimum, complies with requirements in this part and the oversight agency's program standard. The system security plan must be developed and maintained as a separate document and may not be part of the rail transit agency's system safety program plan.

(b) The oversight agency may prohibit a rail transit agency from publicly disclosing the system security plan.

(c) After approving the system security plan, the oversight agency shall issue a formal letter of approval, including the checklist used to conduct the review, to the rail transit agency.

**§ 659.23 System security plan: contents.**

The system security plan must, at a minimum address the following:

(a) Identify the policies, goals, and objectives for the security program endorsed by the agency's chief executive.

(b) Document the rail transit agency's process for managing threats and vulnerabilities during operations, and for major projects, extensions, new vehicles and equipment, including integration with the safety certification process;

(c) Identify controls in place that address the personal security of passengers and employees;

(d) Document the rail transit agency's process for conducting internal security reviews to evaluate compliance and measure the effectiveness of the system security plan; and

(e) Document the rail transit agency's process for making its system security plan and accompanying procedures available to the oversight agency for review and approval.

**§ 659.25 Annual review of system safety program plan and system security plan.**

(a) The oversight agency shall require the rail transit agency to conduct an annual review of its system safety program plan and system security plan.

(b) In the event the rail transit agency's system safety program plan is modified, the rail transit agency must submit the modified plan and any subsequently modified procedures to the oversight agency for review and approval. After the plan is approved, the oversight agency must issue a formal letter of approval to the rail transit agency.

(c) In the event the rail transit agency's system security plan is modified, the rail transit agency must make the modified system security plan and accompanying procedures available to the oversight agency for review, consistent with requirements specified in § 659.23(e) of this part. After the plan is approved, the oversight agency shall issue a formal letter of approval to the rail transit agency.

**§ 659.27 Internal safety and security reviews.**

(a) The oversight agency shall require the rail transit agency to develop and document a process for the performance of on-going internal safety and security reviews in its system safety program plan.

(b) The internal safety and security review process must, at a minimum:

(1) Describe the process used by the rail transit agency to determine if all identified elements of its system safety program plan and system security plan are performing as intended; and

(2) Ensure that all elements of the system safety program plan and system security plan are reviewed in an on-going manner and completed over a three-year cycle.

(c) The rail transit agency must notify the oversight agency at least thirty (30) days before the conduct of scheduled internal safety and security reviews.

(d) The rail transit agency shall submit to the oversight agency any checklists or procedures it will use during the safety portion of its review.

(e) The rail transit agency shall make available to the oversight agency any checklists or procedures subject to the security portion of its review, consistent with § 659.23(e).

(f) The oversight agency shall require the rail transit agency to annually submit a report documenting internal safety and security review activities and the status of subsequent findings and corrective actions. The security part of this report must be made available for oversight agency review, consistent with § 659.23(e).

(g) The annual report must be accompanied by a formal letter of certification signed by the rail transit agency's chief executive, indicating that the rail transit agency is in compliance

with its system safety program plan and system security plan.

(h) If the rail transit agency determines that findings from its internal safety and security reviews indicate that the rail transit agency is not in compliance with its system safety program plan or system security plan, the chief executive must identify the activities the rail transit agency will take to achieve compliance.

(i) The oversight agency must formally review and approve the annual report.

#### **§ 659.29 Oversight agency safety and security reviews.**

At least every three (3) years, beginning with the initiation of rail transit agency passenger operations, the oversight agency must conduct an on-site review of the rail transit agency's implementation of its system safety program plan and system security plan. Alternatively, the on-site review may be conducted in an on-going manner over the three year timeframe. At the conclusion of the review cycle, the oversight agency must prepare and issue a report containing findings and recommendations resulting from that review, which, at a minimum, must include an analysis of the effectiveness of the system safety program plan and the security plan and a determination of whether either should be updated.

#### **§ 659.31 Hazard management process.**

(a) The oversight agency must require the rail transit agency to develop and document in its system safety program plan a process to identify and resolve hazards during its operation, including any hazards resulting from subsequent system extensions or modifications, operational changes, or other changes within the rail transit environment.

(b) The hazard management process must, at a minimum:

(1) Define the rail transit agency's approach to hazard management and the implementation of an integrated system-wide hazard resolution process;

(2) Specify the sources of, and the mechanisms to support, the on-going identification of hazards;

(3) Define the process by which identified hazards will be evaluated and prioritized for elimination or control;

(4) Identify the mechanism used to track through resolution the identified hazard(s);

(5) Define minimum thresholds for the notification and reporting of hazard(s) to oversight agencies; and

(6) Specify the process by which the rail transit agency will provide on-going reporting of hazard resolution activities to the oversight agency.

#### **§ 659.33 Accident notification.**

(a) The oversight agency must require the rail transit agency to notify the oversight agency within two (2) hours of any incident involving a rail transit vehicle or taking place on rail transit-controlled property where one or more of the following occurs:

(1) A fatality at the scene; or where an individual is confirmed dead within thirty (30) days of a rail transit-related incident;

(2) Injuries requiring immediate medical attention away from the scene for two or more individuals;

(3) Property damage to rail transit vehicles, non-rail transit vehicles, other rail transit property or facilities and non-transit property that equals or exceeds \$25,000;

(4) An evacuation due to life safety reasons;

(5) A collision at a grade crossing;

(6) A main-line derailment;

(7) A collision with an individual on a rail right of way; or

(8) A collision between a rail transit vehicle and a second rail transit vehicle, or a rail transit non-revenue vehicle.

(b) The oversight agency shall require rail transit agencies that share track with the general railroad system and are subject to the Federal Railroad Administration notification

requirements, to notify the oversight agency within two (2) hours of an incident for which the rail transit agency must also notify the Federal Railroad Administration.

(c) The oversight agency shall identify in its program standard the method of notification and the information to be provided by the rail transit agency

#### **§ 659.35 Investigations.**

(a) The oversight agency must investigate, or cause to be investigated, at a minimum, any incident involving a rail transit vehicle or taking place on rail transit-controlled property meeting the notification thresholds identified in § 659.33(a).

(b) The oversight agency must use its own investigation procedures or those that have been formally adopted from the rail transit agency and that have been submitted to FTA.

(c) In the event the oversight agency authorizes the rail transit agency to conduct investigations on its behalf, it must do so formally and require the rail transit agency to use investigation procedures that have been formally approved by the oversight agency.

(d) Each investigation must be documented in a final report that includes a description of investigation activities, identified causal and contributing factors, and a corrective action plan.

(e) A final investigation report must be formally adopted by the oversight agency for each accident investigation.

(1) If the oversight agency has conducted the investigation, it must formally transmit its final investigation report to the rail transit agency.

(2) If the oversight agency has authorized an entity other than itself (including the rail transit agency) to conduct the accident investigation on its behalf, the oversight agency must review and formally adopt the final investigation report.

(3) If the oversight agency does not concur with the findings of the rail transit agency investigation report, it must either:

(i) Conduct its own investigation according to paragraphs (b), (d) and (e)(1) of this section; or

(ii) Formally transmit its dissent to the findings of the accident investigation, report its dissent to the rail transit agency, and negotiate with the rail transit agency until a resolution on the findings is reached.

(f) The oversight agency shall have the authority to require periodic status reports that document investigation activities and findings in a time frame determined by the oversight agency.

#### **§ 659.37 Corrective action plans.**

(a) The oversight agency must, at a minimum, require the development of a corrective action plan for the following:

(1) Results from investigations, in which identified causal and contributing factors are determined by the rail transit agency or oversight agency as requiring corrective actions; and

(2) Findings from safety and security reviews performed by the oversight agency.

(b) Each corrective action plan should identify the action to be taken by the rail transit agency, an implementation schedule, and the individual or department responsible for the implementation.

(c) The corrective action plan must be reviewed and formally approved by the oversight agency.

(d) The oversight agency must establish a process to resolve disputes between itself and the rail transit agency resulting from the development or enforcement of a corrective action plan.

(e) The oversight agency must identify the process by which findings from an NTSB accident investigation will be evaluated to determine whether or not a corrective action plan should be developed by either the oversight agency or rail transit agency to address NTSB findings.

(f) The rail transit agency must provide the oversight agency:

(1) Verification that the corrective action(s) has been implemented as described in the corrective action plan, or that a proposed alternate action(s) has been implemented subject to oversight agency review and approval; and

(2) Periodic reports requested by the oversight agency, describing the status of each corrective action(s) not completely implemented, as described in the corrective action plan.

(g) The oversight agency must monitor and track the implementation of each approved corrective action plan.

**§ 659.39 Oversight agency reporting to the Federal Transit Administration.**

(a) *Initial submission.* Each designated oversight agency with a rail fixed guideway system that is in passenger operations as of April 29, 2005 or will begin passenger operations by May 1, 2006, must make its initial submission to FTA by May 1, 2006. In states with rail fixed guideway systems initiating passenger operations after May 1, 2006, the designated oversight agency must make its initial submission within the time frame specified by the state in its designation submission, but not later than at least sixty (60) days prior to initiation of passenger operations. Any time a state changes its designated oversight agency to carry out the requirements identified in this part, the new oversight agency must make a new

initial submission to FTA within thirty (30) days of the designation.

(b) An initial submission must include the following:

(1) Oversight agency program standard and referenced procedures; and

(2) Certification that the system safety program plan and the system security plan have been developed, reviewed, and approved.

(c) *Annual submission.* Before March 15 of each year, the oversight agency must submit the following to FTA:

(1) A publicly available annual report summarizing its oversight activities for the preceding twelve months, including a description of the causal factors of investigated accidents, status of corrective actions, updates and modifications to rail transit agency program documentation, and the level of effort used by the oversight agency to carry out its oversight activities.

(2) A report documenting and tracking findings from three-year safety review activities, and whether a three-year safety review has been completed since the last annual report was submitted.

(3) Program standard and supporting procedures that have changed during the preceding year.

(4) Certification that any changes or modifications to the rail transit agency system safety program plan or system

security plan have been reviewed and approved by the oversight agency.

(d) *Periodic submission.* FTA retains the authority to periodically request program information.

(e) *Electronic reporting.* All submissions to FTA required in this part must be submitted electronically using a reporting system specified by FTA.

**§ 659.41 Conflict of interest.**

The oversight agency shall prohibit a party or entity from providing services to both the oversight agency and rail transit agency when there is a conflict of interest, as defined by the state.

**§ 659.43 Certification of compliance.**

(a) Annually, the oversight agency must certify to the FTA that it has complied with the requirements of this part.

(b) The oversight agency must submit each certification electronically to FTA using a reporting system specified by FTA.

(c) The oversight agency must maintain a signed copy of each annual certification to FTA, subject to audit by FTA.

Issued on: April 4, 2005.

**Jennifer L. Dorn,**  
*Administrator.*

[FR Doc. 05-8567 Filed 4-28-05; 8:45 am]

**BILLING CODE 4910-57-P**

# **APPENDIX C**

**Official Code of Georgia Annotated  
Title 32, Highways, Bridges, and Ferries  
Chapter 9, Mass Transportation  
Section 32-9-10**

**O.C.G.A. § 32-9-10**

**GEORGIA CODE**

**TITLE 32. HIGHWAYS, BRIDGES, AND FERRIES**

**CHAPTER 9. MASS TRANSPORTATION**

**O.C.G.A. § 32-9-10 (2009)**

§ 32-9-10. Implementation of federal Intermodal Surface Transportation Efficiency Act of 1991

(a) The purpose of this Code section is to implement Section 3029 of Public Law 102-240, the federal Intermodal Surface Transportation Efficiency Act of 1991, referred to in this Code section as the act.

(b) For purposes of this Code section, the term "system" means a public transportation system having vehicles operated on a fixed guideway on steel rails, the steel of the wheels of such vehicles coming directly into contact with such rails, but excluding such systems that are subject to regulation by the Federal Railroad Administration. In addition, a "system" shall include all other public transportation systems that, under regulations issued pursuant to subsection (e) of the act, are subject to the act.

(c) The department is designated as the agency of this state responsible for implementation of the act.

(d) Each system operating in this state shall adopt and carry out a safety program plan that provides for the following:

(1) The plan shall establish safety requirements with respect to the design, manufacture, and construction of the equipment, structures, and fixtures of the system; the maintenance of equipment, structures, and fixtures; operating methods and procedures and the training of personnel; compliance with federal, state, and local laws and regulations applicable to the safety of persons and property; protection from fire and other casualties; and the security of passengers and employees and of property;

(2) The plan shall provide for measures reasonably adequate to implement the requirements established pursuant to paragraph (1) of this subsection; and

(3) The plan shall establish lines of authority, levels of responsibility and accountability, and methods of documentation adequate to ensure that it is implemented.

(e) The department shall have the following powers and duties:

(1) It shall review the safety program plan of each system and all revisions and amendments thereof and if it finds that the plan conforms to subsection (d) of this Code section shall approve it;

(2) It shall monitor the implementation of each system's plan;

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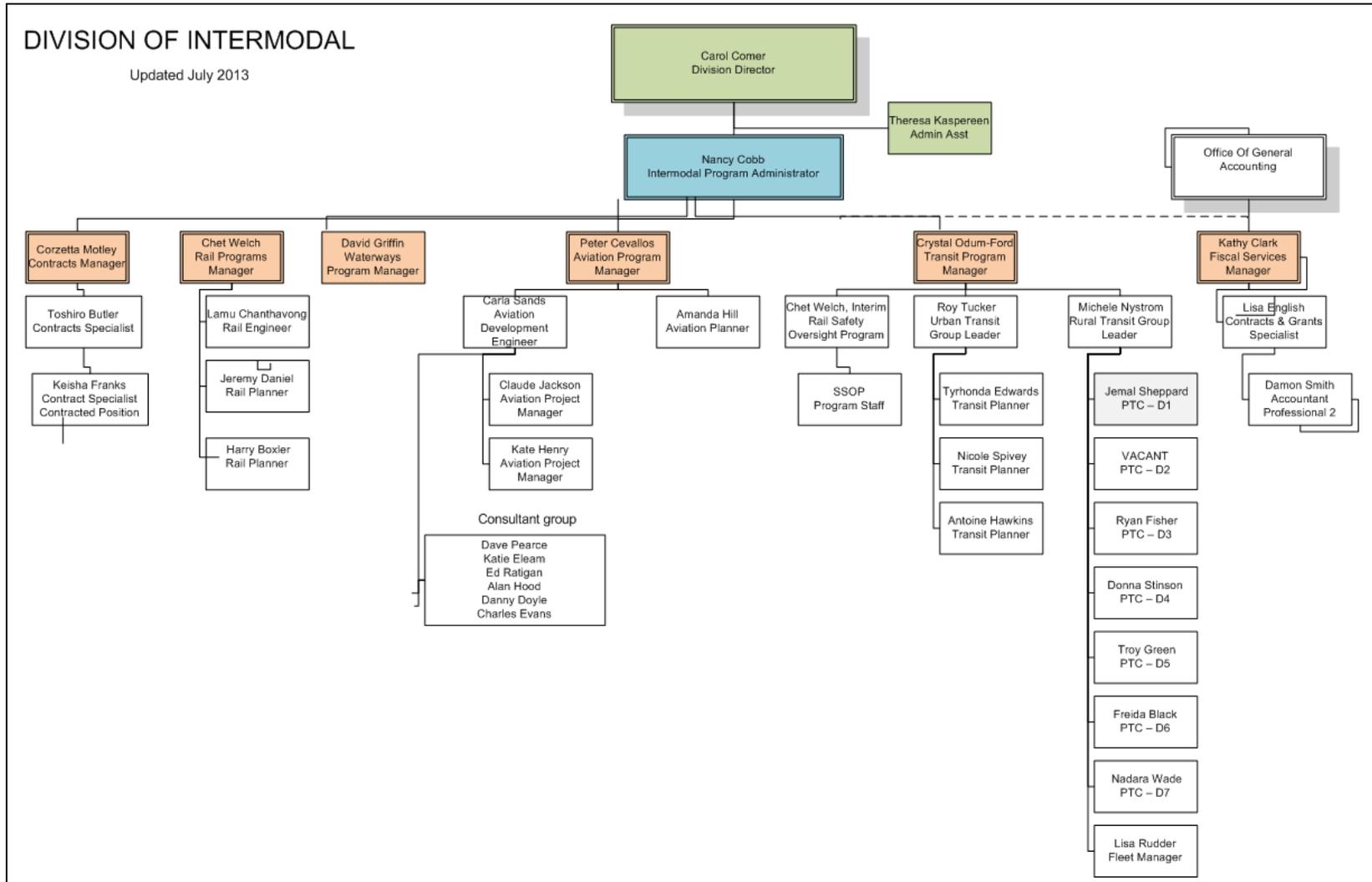
- (3) It shall have the power to require any system to revise or amend its safety program plan as may be necessary in order to comply with any regulations issued pursuant to subsection (e) of the act and any amendments or revisions thereof; and
- (4) It shall investigate hazardous conditions and accidents on each system and, as appropriate, require that hazardous conditions be corrected or eliminated.
- (f) If any system fails to comply with an order of the department to correct or to eliminate a hazardous condition, the department may apply for an order requiring such system to show cause why it should not do so. Such application shall be made to the superior court of the most populous county in which such system operates, as such population is determined according to the United States decennial census of 1990 or any future such census. If at the hearing upon such an order to show cause the court finds that the condition that is the subject of the order in fact creates an unreasonable risk to the safety of persons, property, or both, the court may order the system to comply with the department's order or to take such other corrective action as the court finds appropriate.

HISTORY: Code 1981, § 32-9-10, enacted by Ga. L. 1993, p. 1362, § 1.

## **APPENDIX D**

### **Georgia Department of Transportation Division of Intermodal Organizational Chart**

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# **APPENDIX E**

## **SSO Program Requirements for Development of a System Safety Program Plan (SSPP)**

**Required Elements for Development of a  
System Safety Program Plan (SSPP)**

Each covered rail transit agency's System Safety Program Plan will include, at a minimum, the following required elements.

1. Executive Approval (Policy Statement)
  - A policy statement is developed for the System Safety Program Plan (SSPP)
  - The policy statement describes the authority that establishes the SSPP, including statutory requirements and relationship with the oversight agency.
  - The policy statement is signed and endorsed by the rail transit agency's chief executive
2. Purpose, Goals and Objectives
  - The purpose of the SSPP is defined.
  - Goals are identified to ensure that the SSPP fulfills its purpose.
  - Objectives are identified to monitor and assess the achievement of goals.
  - Stated management responsibilities are identified for the safety program to ensure that goals and objectives are achieved.
3. Management Structure
  - An overview of the management structure of the rail transit agency is provided including an organization chart.
  - Organizational structure is clearly defined and includes a brief description of system history and scope of service, physical characteristics, operations, and maintenance.
  - A description of how the safety function is integrated into the rest of the rail transit organization is provided.
  - Clear identification of the lines of authority used by the rail transit agency to manage safety issues is provided.
4. Plan Review and Modification
  - An annual assessment of whether the system safety program plan should be updated is specified.
  - The process used to control changes to the system safety program plan is described.
  - Required coordination with the oversight agency regarding plan modification, including timeframes for submission, revision, and approval, is addressed.
  - Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the SSPP are identified
5. SSPP Implementation
  - A description of the specific activities required to implement the SSPP is included.
  - Tasks to be performed by the rail transit safety function, by position and management accountability, are identified and described.
  - A description of the methodologies used by the system safety function to achieve their safety responsibilities should be provided.
  - Safety-related tasks to be performed by other rail transit departments, by position and management accountability, are identified and described.

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- A task matrix showing: all identified safety responsibilities, interfaces among all rail transit units responsible for each task, and the key reports or actions required, should be provided (or an equivalent narrative description).

6 Hazard Management Process

- The process used by the rail transit agency to implement its hazard management program, including the role of the oversight agency in providing on-going monitoring, is described.
- The hazard management process includes activities for: hazard identification, hazard investigation, evaluation, and analysis, hazard control and elimination, and hazard tracking.
- Requirements for on-going reporting to the oversight agency relating to hazard management activities and status are specified.

7. Safety Certification

- A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

8. Managing Safety in System Modifications

- The process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification, but which may have safety impacts, is described.

9. Safety Data Acquisition

- The process used to collect, maintain, analyze, and distribute safety data is clearly defined.
- The management process for ensuring that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program is clarified.

10. Accident / Incident Notification, Investigation and Reporting

- A description is provided regarding the process used by the rail transit agency to perform accident notification, investigation and reporting.
- Criteria for determining what accidents / incidents require investigation, and who is responsible to conduct specific investigations are developed.
- A description of the procedures for performing investigations, including proper documentation and reporting of findings, conclusions reached, use of hazard resolution process to develop corrective action recommendations, and follow-up to verify corrective action implementation is provided.
- Notification thresholds for internal departments / functions are defined.
- Criteria are specified for notifying external agencies (NTSB, state oversight agency) of accidents and incidents.
- Procedures are established for documenting and reporting on accident investigations.
- Process used to develop, implement, and track corrective actions that address investigation findings is specified.
- Coordination with the oversight agency is specified.

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11. Emergency Response Planning / Coordination / Training

- The agency's emergency planning responsibilities and requirements are identified.
- A description of the process used by the rail transit agency to develop an approved, coordinated schedule for emergency management program activities is provided.
- Required meetings with external agencies regarding the emergency management program are specified.
- The process used to evaluate emergency preparedness, such as annual emergency field exercises, is documented.
- After action reports and implementation of findings are required.
- The process is explained to be used by the rail transit agency for the revision and distribution of emergency response procedures.
- The agency's responsibilities for providing employee training are identified.
- The agency's responsibilities for providing familiarization training to local public safety organizations are identified.

12. Internal Safety Audit Process

- A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the SSPP is included.
- Identification of departments and functions subject to review is performed.
- Auditors must be independent from the first line of supervision responsible for the activity being audited.
- A three-year audit schedule must be developed, reviewed, maintained and updated to ensure that all 21 SSPP elements are reviewed during the audit cycle.
- The process for conducting reviews, including the development of checklists, and procedures for conducting audits and issuing of findings is described.
- The process for resolving problems and disagreements, report distribution, and follow-up on corrective action procedures is described.
- The SSPP must describe the requirement of an annual audit report that summarizes the results of individual audits performed during the previous year and includes the status of required corrective action items. This report must be submitted to the state oversight agency for review and approval.
- The Internal Safety Audit Program (ISAP) process and reporting must be coordinated with the state oversight agency.
- The ISAP process should be comprehensive.

13. Rules Compliance / Procedures Review

- Operating and maintenance rules and procedures that affect safety are identified.
- Operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness and determinations are made regarding their need to be updated.
- Description of process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures.
- Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing / compliance checks.
- Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules.
- Process for documenting results and incorporating them into the hazard management program.

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14. Facilities and Equipment Inspections

- Identification of the facilities and equipment that are subject to regular safety related-inspection and testing is provided.
- A description of how safety-related equipment and facilities are included in a regular inspection and testing program is provided.
- Use of a written checklist for conducting facility inspections.
- Descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process.

15. Maintenance Audits / Inspections

- A list of systems and facilities subject to a maintenance program, along with established maintenance cycle and required documentation of maintenance performed for each item, is provided.
- A description of the process for tracking and resolving problems identified during inspections is provided.
- Use of a written checklist for conducting maintenance audits is required.

16. Training and Certification Review / Audit

- A description of the training and certification program for employees and contractors is provided.
- Categories of safety-related work requiring training and certification are identified.
- Description of the training and certification program for employees and contractors in safety-related positions is provided.
- Description of the training and certification program for contractors is provided.
- The process used to maintain and access employee and contractor training records is described.
- The process used to assess compliance with training and certification requirements is described.

17. Configuration Management

- A description of the configuration management control process is provided and appropriate references are made to other rail transit agency documents governing this process.
- Process for making changes is described.
- Authority to make configuration changes is described and assurances are provided for formal notification of all involved departments.

18. Compliance with Local, State and Federal Requirements

- A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements is provided.
- Safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency controlled property.
- Processes for ensuring the employees and contractors know and follow the requirements are described.

19. Hazardous Materials

- A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements is provided.

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20. Drug & Alcohol Program

- A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements is provided.

21. Procurement

- A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the rail transit agency procurement process.

# **APPENDIX F**

## **System Safety Program Plan (SSPP) Review Checklist**

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SYSTEM SAFETY PROGRAM PLAN (SSPP)	
<b>Document Title</b>	
<b>Document Preparer</b>	
<b>Document Date / Revision</b>	
<b>GDOT Reviewer Name(s)</b>	
<b>GDOT Review Dates</b>	
<b>MARTA / CITY Response Date</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, ‘---’ is used to indicate a description was included or a policy / procedure was referenced in the SSPP to address the required element and no further discussion is required.

**PART I. REVIEW COMMENTS**

SSPP REVIEW CHECKLIST							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Policy Statement	A policy statement is developed for the System Safety Program Plan (SSPP).				
		Policy Statement	The policy statement describes the authority that establishes the system safety program plan.				
		Policy Statement	The policy statement is signed and endorsed by MARTA / CITY’s chief executive.				
		Purpose, Goals, Objectives	The purpose of the SSPP is defined.				
		Purpose, Goals, Objectives	Goals are identified to ensure that the SSPP fulfills its purpose.				
		Purpose, Goals, Objectives	Objectives are identified to monitor and assess the achievement of goals.				
		Purpose, Goals, Objectives	Stated management responsibilities are identified for the safety program to ensure that the goals and objectives are achieved.				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Management Structure	An overview of the management structure of MARTA / CITY is provided including an organization chart.				
		Management Structure	Organizational structure is clearly defined and includes: history and scope of service, physical characteristics, and operations and maintenance.				
		Management Structure	A description of how the safety function is integrated into the rest of the rail transit organization is provided.				
		Management Structure	Clear identification of the lines of authority used by MARTA / CITY to manage safety issues is provided.				
		Plan Review and Modification	An annual assessment of whether the system safety program plan should be updated is specified.				
		Plan Review and Modification	The process used to control changes to the system safety program plan is described.				
		Plan Review and Modification	Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the SSPP are identified.				
		Plan Review and Modification	Required coordination with the oversight agency regarding plan modification, including timeframes for submission, revision, and approval, is addressed.				
		Plan Implementation	A description of the specific activities required to implement the system safety program plan is included.				
		Plan Implementation	Tasks to be performed by the rail transit safety function, by position and management accountability, are identified and described.				
		Plan Implementation	A description of the methodologies used by the system safety function to achieve their safety responsibilities should be provided.				
		Plan Implementation	Safety-related tasks to be performed by other rail transit departments, by position and management accountability, are identified and described.				
		Plan Implementation	A task matrix (or an equivalent narrative description) showing: all identified safety responsibilities, interfaces among all rail transit units responsible for each task, and the key reports or actions required, should be provided.				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Hazard Management Process	The process used by MARTA / CITY to implement its hazard management program, including the role of the oversight agency in providing on-going communication, is described.				
		Hazard Management Process	The hazard management process includes activities for: hazard identification, hazard investigation, evaluation and analysis, hazard control and elimination, and hazard tracking.				
		Hazard Management Process	Requirements for on-going reporting to the oversight agency relating to hazard management activities and status are specified.				
		Safety Certification Process	A description of the safety certification process required by MARTA / CITY to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.				
		System Modifications	The process used by MARTA / CITY to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification, but which may have safety impacts, is described.				
		Safety Data Acquisition	The process used to collect, maintain, analyze, and distribute safety data is clearly defined.				
		Safety Data Acquisition	The management process for ensuring that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program is clarified.				
		Incident Notification, Investigation, and Reporting	A description is provided regarding the process used by MARTA / CITY to perform accident notification, investigation, and reporting.				
		Incident Notification, Investigation, and Reporting	Criteria for determining what accidents / incidents require investigation, and who is responsible to conduct specific investigations are developed.				
		Incident Notification,	A description of the procedures for performing investigations, including				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Investigation, and Reporting	proper documentation and reporting of findings, conclusions reached, use of hazard resolution process to develop corrective action recommendations, and follow-up to verify corrective action implementation is provided.				
		Incident Notification, Investigation, and Reporting	Notification thresholds for internal departments / functions are defined.				
		Incident Notification, Investigation, and Reporting	Criteria are specified for notifying external agencies (NTSB, state oversight agency) of accidents and incidents.				
		Incident Notification, Investigation, and Reporting	Procedures are established for documenting and reporting on accident investigations.				
		Incident Notification, Investigation, and Reporting	Process used to develop, implement, and track corrective actions that address investigation findings is specified.				
		Incident Notification, Investigation, and Reporting	Coordination with the oversight agency is specified.				
		Emergency Management Program	A description of the process used by MARTA / CITY to develop an approved, coordinated schedule for emergency management program activities is provided.				
		Emergency Management Program	Required meetings with external agencies regarding the emergency management program are specified.				
		Emergency Management Program	The process used to evaluate emergency preparedness, such as annual emergency field exercises, is documented.				
		Emergency Management Program	After action reports and implementation of findings are required.				
		Emergency	The process is explained to be used by MARTA / CITY for the revision and				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Management Program	distribution of emergency response procedures.				
		Emergency Management Program	The agency's responsibilities for providing employee training are identified.				
		Emergency Management Program	The agency's responsibilities for providing familiarization training to local public safety organizations are identified.				
		Internal Safety Audit Program	A description of the process used by MARTA / CITY to ensure that planned and scheduled internal safety audits are performed to evaluate compliance with the SSPP is included.				
		Internal Safety Audit Program	Identification of departments and functions subject to audit is performed.				
		Internal Safety Audit Program	Auditors must be independent from the first line of supervision responsible for the activity being audited.				
		Internal Safety Audit Program	A three-year audit schedule must be developed, reviewed, maintained, and updated to ensure that all SSPP elements are reviewed during the audit cycle.				
		Internal Safety Audit Program	The process for conducting audits, including the development of checklists, and procedures for conducting audits and issuing of findings is described.				
		Internal Safety Audit Program	The SSPP must describe the requirement of an annual audit report that summarizes the results of individual audits performed during the previous year and includes the status of required corrective action items. This report must be submitted to the state oversight agency for review and approval.				
		Internal Safety Audit Program	The process for resolving problems and disagreements, report distribution, and follow-up on corrective action procedures is described.				
		Internal Safety Audit Program	The ISAP process and reporting must be coordinated with the state oversight agency.				
		Internal Safety Audit Program	The ISAP process should be comprehensive.				
		Rules Compliance	Operating and maintenance rules and procedures that affect safety are				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
			identified.				
		Rules Compliance	Operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness and determinations are made regarding their need to be updated.				
		Rules Compliance	Description of process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures.				
		Rules Compliance	Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing / compliance checks.				
		Rules Compliance	Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules.				
		Rules Compliance	Process for documenting results and incorporating them into the hazard management program.				
		Facilities and Equipment Inspections	Identification of the facilities and equipment that are subject to regular safety-related inspection and testing is provided.				
		Facilities and Equipment Inspections	A description of how safety-related equipment and facilities are included in a regular inspection and testing program is provided.				
		Facilities and Equipment Inspections	Use of a written checklist for conducting facility inspections.				
		Facilities and Equipment Inspections	Descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process.				
		Maintenance Audit and Inspection Program	A list of systems and facilities subject to a maintenance program, along with established maintenance cycle and required documentation of maintenance performed for each item, is provided.				
		Maintenance Audit and Inspection Program	A description of the process for tracking and resolving problems identified during inspections is provided.				
		Maintenance Audit and Inspection Program	Use of a written checklist for conducting maintenance audits is required.				

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<b>SSPP REVIEW CHECKLIST</b>							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Training and Certification Program	A description of the training and certification program for employees and contractors is provided.				
		Training and Certification Program	Categories of safety-related work requiring training and certification are identified.				
		Training and Certification Program	Description of the training and certification program for employees and contractors in safety-related positions is provided.				
		Training and Certification Program	Description of the training and certification program for contractors is provided.				
		Training and Certification Program	The process used to maintain and access employee and contractor training records is described.				
		Training and Certification Program	The process used to assess compliance with training and certification requirements is described.				
		Configuration Management Process	A description of the configuration management control process is provided and appropriate references are made to other MARTA / CITY documents governing this process.				
		Configuration Management Process	Process for making changes is described.				
		Configuration Management Process	Authority to make configuration changes is described and assurances are provided for formal notification of all involved departments.				
		Compliance with Local, State, and Federal Safety Requirements	A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements is provided.				
		Compliance with Local, State, and Federal Safety Requirements	Safety requirements that employees and contractors must follow when working on, or in close proximity to, MARTA / CITY controlled property are identified.				
		Compliance with Local, State, and Federal	Processes for ensuring the employees and contractors know and follow the requirements are described.				

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SSPP REVIEW CHECKLIST							
#	SSPP Section, Title, Summary	SSPP Required Element Title	SSPP Required Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Responses	Status
		Safety Requirements					
		Hazardous Materials Program	A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements is provided.				
		Drug and Alcohol	A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements is provided.				
		Procurement	A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the MARTA / CITY procurement process.				
		Transit Asset Management	A description of the transit asset management system, which will include: <ul style="list-style-type: none"> <li>• a definition of the term ‘state of good repair’ that includes objective standards for measuring the condition of capital assets of recipients, including equipment, rolling stock, infrastructure, and facilities;</li> <li>• a requirement to develop a transit asset management plan;</li> <li>• a requirement to report on the condition of the system and provide a description of any change in condition since the last report; and</li> <li>• an analytical process or decision support tool that: allows for the estimation of capital investment needs over time; and assists with asset investment prioritization; and technical assistance</li> </ul>				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

**PART III. APPROVALS**

This SSPP is:

	APPROVED
	NOT APPROVED
	PENDING / CLARIFICATION REQUIRED

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GDOT SSO Program Manager

Date

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GDOT Transit Program Manager

Date

# **APPENDIX G**

## **SSO Program Requirements for Development of a System Security Plan (or Security and Emergency Preparedness Plan)**

**Required Elements for Development of a  
System Security Plan (or Security and Emergency Preparedness Plan)**

Each covered rail transit agency's System Security Plan (or Security and Emergency Preparedness Plan) will include at a minimum, the following required elements.

1. Introduction

- The SSP (or SEPP) should identify the purpose of the security program endorsed by the agency's chief executive.
- The SSP (or SEPP) should introduce the concept of "system security."
- The SSP (or SEPP) should introduce the concept of "emergency preparedness."
- The SSP (or SEPP) should identify the goals of the SEPP program endorsed by the agency's chief executive.
- The SSP (or SEPP) should identify the goals of the program endorsed by the agency's chief executive.
- Describe the scope of the SSP (or SEPP).
- Describe the security and law enforcement functions that manage and support implementation of the SSP (or SEPP).
- Describe the authority which oversees the operation and management of the rail transit agency, including its security / police function
- Describe the interface with local, state, and federal authorities to ensure security and emergency preparedness for the system.
- Provide a list of acronyms and definitions used in the SSP (or SEPP).

2. System Description

- A description of the agency including general overview, a brief history, and scope of rail transit services provided.
- Organizational charts showing the lines of authority and responsibility as they relate to security and emergency preparedness.
- Provide a categorization and break-down of all employees and contractors who work for / on the rail transit agency.
- Provide a description of the rail transit agency's ridership.
- Describe the rail transit agency's operations and services.
- Describe the rail transit agency's operating environment.
- Describe how the SSP (or SEPP) integrates with other plans and programs maintained by the rail transit agency.
- Description of the current security conditions at the rail transit agency and the types of security incidents experienced by the transit system and their frequency of occurrence.
- Summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education, campaigns, delay, detection, and assessment devices, and others that may be applicable.

3. Management Activities

- Identification of the person(s) responsible for establishing transit system security and emergency preparedness policy and for developing and approving the SSP (or SEPP)
- Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day-to-day operations, SSP (or SEPP) related internal communications, liaison with external organizations, and identifying and resolving SSP (or SEPP) related concerns.

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- Listing of SSP (or SEPP) related responsibilities of the personnel who work within the transit agency security/police function.
  - Listing of SSP (or SEPP) related responsibilities of other departments / functions, including their relationship to the security / police function.
  - Listing of security-related responsibilities for other (non-security / police) rail transit agency employees, including their relationship to the employee's other duties.
  - A SSP (or SEPP) Program Roles and Responsibilities Matrix should be developed showing interfaces with other transit system departments / functions and the key reports or actions required.
  - The responsibilities of external agencies for supporting SSP (or SEPP) development and implementation should be identified.
  - The committees developed by the rail transit agency to address security issues should be identified.
4. Program Description
- Identification of SSP (or SEPP) activities and programs in place at the rail transit agency to support planning for system security and emergency preparedness.
  - Identification of the organization of SSP (or SEPP) related activities and programs and the ability to coordinate with external response agencies.
  - Description of the equipment used to support implementation of the SSP (or SEPP) program.
  - Description of SSP (or SEPP) related training and procedures available to ensure employee proficiency.
  - Description of SSP (or SEPP) related activities to ensure the conduct of emergency exercises and evaluation.
5. Threat and Vulnerability Identification, Assessment, and Resolution
- Description of the rail transit agency's activities to identify security- and terrorism-related threats and vulnerabilities.
  - Description of the rail transit agency's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities which require resolution.
  - Description of how response strategies (both short- or long-term strategies) are developed for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems.
6. Implementation and Evaluation
- Identification of tasks to be performed to implement the goals and supporting objectives required to implement the SSP (or SEPP).
  - General schedule with specific milestones for implementation of the security program, threat and vulnerability analyses, staff security training, and regular program reviews during the implementation process.
  - Description of the types of internal management reviews to be conducted, the frequencies of the reviews, and person(s) responsible.

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7. Modification of Plan

- Description of process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the security plan, and identification of responsible person(s).
- Description of the process used to review and revise the security plan as necessary, including frequency of reviews, and responsible person(s).
- Description of process used to communicate and disseminate new and revised procedures and other elements of the security plan to appropriate transit agency staff.

# **APPENDIX H**

## **System Security Plan (SSP) Review Checklist**

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SYSTEM SECURITY PLAN (SSP)	
<b>Document Title:</b>	
<b>Document Preparer:</b>	
<b>Document Date/Revision:</b>	
<b>GDOT Reviewer Name(s):</b>	
<b>GDOT Review Dates:</b>	
<b>MARTA / CITY Response Date:</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, ‘---’ is used to indicate a description was included or a policy / procedure was referenced in the SSP (or SEPP) to address the required element and no further discussion is required.

**PART I. REVIEW COMMENTS**

SSP REVIEW CHECKLIST							
#	SSP / SEPP Section, Title, Summary	SSP / SEPP Required Element Title	SSP / SEPP Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Response	Status
		Policy Statement	The policy statement is signed and endorsed by MARTA / CITY’s chief executive.				
		Policy Statement	A policy statement should be developed for the SSP / SEPP.				
		Policy Statement	The policy statement should describe the authority that establishes the SSP / SEPP, including statutory requirements and MARTA / CITY’s relationship with the oversight agency.				
		Responsibility for Mission Statement	Identification of the person(s) responsible for establishing transit system security policy and for developing and approving the SSP / SEPP.				
		Purpose	The SSP / SEPP should introduce the concept of “system security.”				
		Integration with Other Plans	Describe how the SSP / SEPP integrates with other plans and programs maintained by MARTA / CITY.				
		Purpose	The SSP / SEPP should identify the purpose of the security program endorsed by the agency’s chief executive.				
		Goals and Objectives	The SSP / SEPP should identify the goals of the program endorsed by the agency’s chief executive.				

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<b>SSP REVIEW CHECKLIST</b>							
#	SSP / SEPP Section, Title, Summary	SSP / SEPP Required Element Title	SSP / SEPP Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Response	Status
		Goals and Objectives	The SSP / SEPP should identify the objectives of the program endorsed by the agency's chief executive.				
		Scope	Describe the scope of the SSP / SEPP.				
		Management Authority and Legal Aspects	Describe the authority which oversees the operation and management of MARTA / CITY, including its security/police function.				
		Passengers	Provide a description of MARTA / CITY's ridership.				
		Services and Operations	Describe MARTA / CITY's operations and services.				
		Operating Environment	Describe MARTA / CITY's operating environment.				
		Background and History	A description of the agency including general overview, a brief history and scope of rail transit services provided.				
		Human Resources	Provide a categorization and break-down of all employees and contractors who work for / on MARTA / CITY.				
		Current Security Conditions	Description of the current security conditions at MARTA / CITY and the types of security incidents experienced by the transit system and their frequency of occurrence.				
		Organizational Structure	Organizational charts showing the lines of authority and responsibility as they relate to security.				
		Division of Security Responsibility	Listing of SSP / SEPP related responsibilities of the personnel who work within the transit agency security / police function.				
		Management of the SSP Program	Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day-to-day operations, SSP / SEPP related internal communications, liaison with external organizations, and identifying and resolving SSP / SEPP related concerns.				
		Division of Security Responsibility	Listing of SSP / SEPP related responsibilities of other departments / functions, including their relationship to the security / police function.				

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<b>SSP REVIEW CHECKLIST</b>							
#	SSP / SEPP Section, Title, Summary	SSP / SEPP Required Element Title	SSP / SEPP Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Response	Status
		Division of Security Responsibility	Listing of security-related responsibilities for other (non- security / police) MARTA / CITY employees, including their relationship to the employee's other duties.				
		Division of Security Responsibility	A SSP / SEPP Program Roles and Responsibilities Matrix should be developed showing interfaces with other transit system departments / functions and the key reports or actions required.				
		Division of Security Responsibility	The responsibilities of external agencies for supporting SSP / SEPP development and implementation should be identified.				
		Government Involvement	Describe how the SSP / SEPP interfaces with local, state and federal authorities to ensure security and emergency preparedness for the system.				
		Security and Law Enforcement	Describe the security and law enforcement functions that manage and support implementation of the SSP / SEPP.				
		Planning	Identification of SSP / SEPP activities and programs in place at MARTA / CITY to support planning for system security and emergency preparedness.				
		Organization	Identification of the organization of SSP / SEPP related activities and programs and the ability to coordinate with external response agencies.				
		Equipment	Description of the equipment used to support implementation of the SSP / SEPP program.				
		Training and Procedures	Description of SSP / SEPP related training and procedures available to ensure employee proficiency.				
		Exercises and Evaluation	Description of SSP / SEPP related activities to ensure the conduct of emergency exercises and evaluation.				
		Threat and Vulnerability Identification	Description of MARTA / CITY's activities to identify security and terrorism-related threats and vulnerabilities.				
		Threat and Vulnerability Assessment	Description of MARTA / CITY's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities which require resolution.				

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<b>SSP REVIEW CHECKLIST</b>							
#	SSP / SEPP Section, Title, Summary	SSP / SEPP Required Element Title	SSP / SEPP Element Description	Included? Y-N	SSO Review Comments	MARTA / CITY Response	Status
		Threat and Vulnerability Resolution	Description of how response strategies (both short- or long-term strategies) are developed for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems.				
		Capabilities and Practices	Summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education, campaigns, delay, detection, and assessment devices, and others that may be applicable.				
		Required Tasks for Goals and Objectives	Identification of tasks to be performed to implement the goals and supporting objectives required to implement the SSP / SEPP.				
		Task Schedule	General schedule with specific milestones for implementation of the security program, threat and vulnerability analyses, staff security training, and regular program reviews during the implementation process.				
		Evaluation	Description of the types of internal management reviews to be conducted, the frequencies of the reviews, and the person(s) responsible.				
		Initiation of SSP Revisions	Description of process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the security plan, and identification of responsible person(s).				
		Review Process	Description of the process used to review and revise the security plan as necessary, including frequency of reviews, and responsible person(s).				
		Implement Modifications	Description of process used to communicate and disseminate new and revised procedures and other elements of the security plan to appropriate transit agency staff.				
		Security Acronyms and Definitions	Provide a listing of acronyms and definitions used in the SSP / SEPP.				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

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**PART III. APPROVALS**

This SSP (or SEPP) is:

<input type="checkbox"/>	APPROVED
<input type="checkbox"/>	NOT APPROVED
<input type="checkbox"/>	PENDING / CLARIFICATION REQUIRED

---

GDOT SSO Program Manager

Date

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GDOT Transit Program Manager

Date

# **APPENDIX I**

## **Internal Audit Program Plan (IAPP) Review Checklist**

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INTERNAL AUDIT PROGRAM PLAN (IAPP)	
<b>Document Title:</b>	
<b>Document Preparer:</b>	
<b>Document Date/Revision:</b>	
<b>GDOT Reviewer Name(s):</b>	
<b>GDOT Review Dates:</b>	
<b>MARTA / CITY Response Date:</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, '---' is used to indicate a description was included or a policy / procedure was referenced in the IAPP to address the required element and no further discussion is required.

**PART I. REVIEW COMMENTS**

IAPP REVIEW CHECKLIST				
Internal Audit Program Plan Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
<b>Audit Schedule</b> <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to develop and submit an internal safety and security audit schedule to GDOT SSO, which addresses all required elements of the System Safety Program Plan, System Security Plan and / or Security and Emergency Preparedness Plan, over a three-year cycle?</li> <li>• Does the plan / procedure include a description of the process to provide, at a minimum, annual updates of this schedule to GDOT SSO with the annual report?</li> </ul>				
<b>Audit Procedures and Checklists</b> <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to develop checklists and procedures for conducting the three-year audit cycle of the SSPP, SSP, and / or SEPP.</li> <li>• Does the plan / procedure include a description of the process to ensure that these materials include sufficient criteria to determine if all audited elements are performing as intended?</li> </ul>				
<b>Audit Notification</b> <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to notify GDOT SSO not less than 30 calendar days prior to conduct of an internal safety or security audit?</li> <li>• Does the plan / procedure include a description of the process to transmit the notification in writing to the GDOT SSO point-of-contact?</li> <li>• Does the plan / procedure include a description of the required notification content?</li> <li>• Does the plan / procedure include a description of the process to coordinate with GDOT SSO in the</li> </ul>				

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<b>IAPP REVIEW CHECKLIST</b>				
<b>Internal Audit Program Plan Requirements</b>	<b>Included? Y-N</b>	<b>GDOT SSO Review Comments</b>	<b>MARTA / CITY Response</b>	<b>Status</b>
event GDOT SSO chooses to participate in an internal audit of which it is notified?  <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to provide to GDOT SSO, at the time of notification, the checklists and procedures relevant for the audit being conducted?</li> <li>• Does the plan / procedure include a description of the process established by MARTA / CITY to ensure the protection of Security-Sensitive Information (SSI) for security audits?</li> </ul>				
<b>Audit Report</b>  <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to prepare a written report documenting recommendations and any corrective actions identified as a result of each audit conducted?</li> </ul>				
<b>Audit Findings Log</b>  <ul style="list-style-type: none"> <li>• Does the plan / procedure include a description of the process to prepare an Internal Safety and Security Audit Findings Log to track through to implementation all findings, recommendations, and corrective actions developed as a result of the internal safety and security audit process.</li> <li>• Does the plan / procedure include a description of the process to make this log available to GDOT SSO and to be referenced during activities performed in support of the Hazard Management Process.</li> </ul>				
<b>Audit CAPs</b>  <ul style="list-style-type: none"> <li>• Does the plan / procedure describe the requirement for submitting a formal CAP in writing to GDOT SSO for approval within 30 calendar days after the need for the CAP was identified as a result of the internal safety or security audit finding?</li> </ul>				
<ul style="list-style-type: none"> <li>• Does the plan / procedure describe the requirement to identify and / or discuss the source of the CAP (i.e. findings identified from the internal safety and / or security audit process)?</li> </ul>				
<ul style="list-style-type: none"> <li>• Does the plan / procedure describe the requirement that the CAP identify the identified deficiency?</li> </ul>				
<ul style="list-style-type: none"> <li>• Does the plan / procedure describe the requirement that the CAP identify the planned activities or actions to resolve the deficiency?</li> </ul>				
<ul style="list-style-type: none"> <li>• Does the plan / procedure describe the requirement that the CAP identify the individual(s), department(s), task force(s), committee(s), operating or capital improvement program initiatives or other project sponsor(s) responsible for implementing the corrective actions?</li> </ul>				
<ul style="list-style-type: none"> <li>• Does plan / procedure describe the requirement that</li> </ul>				

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<b>IAPP REVIEW CHECKLIST</b>				
<b>Internal Audit Program Plan Requirements</b>	<b>Included? Y-N</b>	<b>GDOT SSO Review Comments</b>	<b>MARTA / CITY Response</b>	<b>Status</b>
the CAP identify the scheduled completion dates for implementation?				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirement that the audited department submit applicable supporting documentation with the CAP?</li> </ul>				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirement that the audited department provide the status of all open corrective actions related to the open internal audit findings?</li> </ul>				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirements for changes? Does the plan / procedure require that, if the audited department wishes to modify an open action, the proposed alternative must be described in sufficient detail so that Safety Department can determine its acceptability as a substitute for the originally approved CAP?</li> </ul>				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirements for close-outs? Also, when and how the Safety Department verified implementation for the closed CAP?</li> </ul>				
<ul style="list-style-type: none"> <li>Does plan / procedure describe the requirement for the CAP log to include open items from internal audits?</li> </ul>				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirement for submitting applicable internal audit reports with the CAP Log in writing to GDOT SSO for approval within 15 calendar days after the close of each quarter?</li> </ul>				
<ul style="list-style-type: none"> <li>Does the plan / procedure describe the requirement for the submittal of revised policies / procedures as part of the CAP Log?</li> </ul>				
Other? (specify)				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

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**PART III. APPROVALS**

This IAPP is:  APPROVED  
 NOT APPROVED  
 PENDING / CLARIFICATION REQUIRED

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GDOT SSO Program Manager

Date

---

GDOT Transit Program Manager

Date

# **APPENDIX J**

## **Hazard Management Plan (HMP) Review Checklist**

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HAZARD MANAGEMENT PLAN (HMP)	
<b>Document Title:</b>	
<b>Document Preparer:</b>	
<b>Document Date/Revision:</b>	
<b>GDOT Reviewer Name(s):</b>	
<b>GDOT Review Dates:</b>	
<b>MARTA / CITY Response Date:</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, '---' is used to indicate a description was included or a policy / procedure was referenced in the HMP to address the required element and no further discussion is required.

**PART I. REVIEW COMMENTS**

HMP REVIEW CHECKLIST				
Hazard Management Process Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
Does the plan / procedure include an <b>overview</b> of the hazard management process developed by MARTA / CITY including activities for: hazard identification, hazard investigation, evaluation, and analysis, hazard control and elimination, and hazard tracking?				
Does the plan / procedure provide a detailed description of its approach for addressing each required element of the hazard management process, including activities for <b>hazard identification</b> ?				
Does the plan / procedure provide a detailed description of its approach for addressing each required element of the hazard management process including activities for <b>hazard investigation</b> ?				
Does the plan / procedure provide a detailed description of its approach for addressing each required element of the hazard management process including activities for <b>hazard evaluation and analysis</b> ?				
Does the plan / procedure provide a detailed description of its approach for addressing each required element of the hazard management process including activities for <b>hazard control and elimination</b> ?				
Does the plan / procedure provide a detailed description of its approach for addressing each required element of the hazard management process including activities for <b>hazard tracking</b> ?				
Does the plan / procedure describe the role of GDOT SSO in providing <b>on-going communication</b> ?				
Does the plan / procedure describe the requirements for <b>on-going reporting</b> to GDOT SSO relating to hazard management activities and status?				
Does the plan / procedure describe the role of GDOT SSO in <b>coordinating</b> with MARTA / CITY regarding the <b>investigation</b> of certain categories of hazards?				

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<b>HMP REVIEW CHECKLIST</b>				
<b>Hazard Management Process Requirements</b>	<b>Included? Y-N</b>	<b>GDOT SSO Review Comments</b>	<b>MARTA / CITY Response</b>	<b>Status</b>
<p>Does the plan / procedure describe the role of GDOT SSO in coordinating with MARTA / CITY regarding the development, review and approval of <b>corrective actions plans</b>?</p> <ul style="list-style-type: none"> <li>• Does the procedure describe the requirement for submitting a formal CAP in writing to GDOT SSO for approval within 30 calendar days after the need for the CAP was been identified as a result of the hazard management process?</li> <li>• Does the procedure describe the requirement to identify and / or discuss the source of the CAP (i.e. hazard)?</li> <li>• Does the procedure describe the requirement that the CAP identify / describe the hazard?</li> <li>• Does the procedure describe the requirement that the CAP identify the planned activities or actions to resolve the hazard?</li> <li>• Does the procedure describe the requirement that the CAP identify the individual(s), department(s), task force(s), committee(s), operating or capital improvement program initiatives or other project sponsor(s) responsible for implementing the corrective actions?</li> <li>• Does procedure describe the requirement that the CAP identify the scheduled completion dates for implementation?</li> <li>• Does the procedure describe the requirement to submit applicable supporting documentation with the CAP?</li> <li>• Does the procedure describe the requirement that to provide the status of all open corrective actions related to the open hazard?</li> <li>• Does the procedure describe the requirements for changes? Does the procedure require that, if the responsible department wishes to modify an open action, the proposed alternative must be described in sufficient detail so that Safety Department can determine its acceptability as a substitute for the originally approved CAP?</li> <li>• Does the procedure describe the requirements for close-outs? Also, when and how the Safety Department verified implementation for the closed CAP?</li> <li>• Does procedure describe the requirement for the CAP log to include open items from hazards?</li> <li>• Does the procedure describe the requirement for the submittal of revised policies / procedures as part of the CAP Log?</li> </ul>				

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<b>HMP REVIEW CHECKLIST</b>				
<b>Hazard Management Process Requirements</b>	<b>Included? Y-N</b>	<b>GDOT SSO Review Comments</b>	<b>MARTA / CITY Response</b>	<b>Status</b>
Other? (specify)				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

**PART III. APPROVALS**

This HMP is:

	APPROVED
	NOT APPROVED
	PENDING / CLARIFICATION REQUIRED

---

GDOT SSO Program Manager

Date

---

GDOT Transit Program Manager

Date

# **APPENDIX K**

## **Accident / Incident Investigation Plan (AIP) Review Checklist**

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ACCIDENT / INCIDENT INVESTIGATION PLAN (AIP)	
<b>Document Title:</b>	
<b>Document Preparer:</b>	
<b>Document Date/Revision:</b>	
<b>GDOT Reviewer Name(s):</b>	
<b>GDOT Review Dates:</b>	
<b>MARTA / CITY Response Date:</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, '---' is used to indicate a description was included or a policy / procedure was referenced in the AIP to address the required element and no further discussion is required.

**PART I. REVIEW COMMENTS**

AIP REVIEW CHECKLIST							
#	AIP Section / Title / Summary	AIP Required Element Title	AIP Required Element Description	Included? Y/N	GDOT SSO Review Comment	MARTA / CITY Response	Status
		<b>Authority</b>	Describe the authority for developing and implementing accident / incident investigation procedures: <ul style="list-style-type: none"> <li>• GDOT SSO Standard requirements</li> <li>• FTA requirements</li> </ul>				
		<b>Acronyms / Definitions</b>	Provide list of acronyms and definitions of important terms used in accident / incident investigation procedures.				
		<b>Purpose</b>	Identify purpose of the accident / incident investigation procedures and introduce concepts of accident / incident investigation procedures to be utilized by transit agency.				
		<b>Scope</b>	Describe the scope of the accident / incident investigation procedures.				
		<b>Thresholds</b>	Identify policies, criteria and thresholds for conducting transit agency accident / incident investigations: <ul style="list-style-type: none"> <li>• Reportable Events</li> </ul>				

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#	AIP Section / Title / Summary	AIP Required Element Title	AIP Required Element Description	Included? Y/N	GDOT SSO Review Comment	MARTA / CITY Response	Status
			<ul style="list-style-type: none"> <li>• Service interruptions</li> </ul>				
		<b>Integration with Other Plans</b>	Describe how the accident / incident investigation procedures integrate with other plans and programs maintained by the transit agency, i.e. SSPP and SSP				
		<b>Responsibilities</b>	Identify person(s), and departments responsible for transit agency accident / incident investigations: <ul style="list-style-type: none"> <li>• Safety and Security Department</li> <li>• Supervisors</li> <li>• Managers</li> <li>• Committee(s)</li> <li>• Contractors</li> </ul>				
		<b>Internal Notification Procedures</b>	Describe methods, including timing, of internal notification procedures and information to be provided: <ul style="list-style-type: none"> <li>• Rail Control Center</li> <li>• Police Dispatch</li> <li>• Transit Management</li> <li>• Safety Department point-of-contact</li> </ul>				
		<b>External Notification Procedures</b>	Describe methods, including timing, of external notification procedures and information to be provided by Rail Control Center, Police Dispatch, and transit agency point-of-contact: <ul style="list-style-type: none"> <li>• Emergency Responders (medical, fire, and police)</li> <li>• GDOT SSO</li> <li>• NTSB</li> <li>• FTA</li> <li>• Others as required</li> </ul>				
		<b>On-Site</b>	Describe investigative procedures utilized while performing on-site accident /				

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		<b>Investigation Procedures</b>	incident investigation: <ul style="list-style-type: none"> <li>• Method for initial reporting.</li> <li>• Specified transit agency personnel responsible for establishing on-site incident command and coordinating with law enforcement and other emergency responders.</li> <li>• Specified transit agency Investigator in Charge responsible for initiation, coordination and conduct of on-site investigation.</li> <li>• Method and personnel responsible for securing the site.</li> <li>• Method and personnel responsible for documenting current status of all known casualties.</li> <li>• Method and personnel responsible for documenting and estimating cost of vehicle and infrastructure damage and condition.</li> <li>• Method and personnel responsible for conducting and documenting interviews and other fact finding activities.</li> <li>• Method and personnel responsible for creating sketches, diagrams, taking photos.</li> <li>• Method and personnel responsible for collecting, preserving and analyzing data.</li> <li>• Method and personnel responsible for determining if any employees are subject to alcohol / drug testing based on transit agency criteria.</li> <li>• Method and personnel responsible for securing technical assistance / expertise from support departments and independent agencies.</li> <li>• Designated point-of-contact to act as liaison with NTSB, GDOT and others.</li> <li>• Method and personnel responsible for restoring site.</li> </ul>				
		<b>Off-Site Investigation Procedures</b>	Describe investigation procedures utilized when performing off-site investigation: <ul style="list-style-type: none"> <li>• Method and personnel responsible for obtaining applicable</li> </ul>				

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			specifications and drawings. <ul style="list-style-type: none"> <li>• Method and personnel responsible for obtaining and verifying vehicle, hardware and software systems data, and equipment maintenance history, damage and repair costs.</li> <li>• Method and personnel responsible for obtaining outside agency reports.</li> <li>• Method and personnel responsible for employee record reviews.</li> <li>• Method and personnel responsible for assessing compliance with rules and procedures.</li> <li>• Method and personnel responsible for event recorders and software downloads.</li> <li>• Method and personnel responsible for follow-up interviews.</li> <li>• Method and personnel responsible testing and special studies.</li> <li>• Method and personnel responsible data collection and analysis, interim research and analysis, and identification of probable cause and contributing factors.</li> </ul>				
		<b>Post-Accident / Incident Procedures</b>	Describe post-accident / incident and hazard conditions investigation procedures: <ul style="list-style-type: none"> <li>• Method and personnel responsible for conducting and documenting post-accident inspections / tests on vehicles, software, hardware, and equipment.</li> <li>• Method and personnel responsible for post-accident vehicle, systems, infrastructure, plant, and equipment assessments.</li> <li>• Method and personnel responsible for post-accident vehicle inspections and tests.</li> <li>• Method and personnel responsible for post-accident research and analysis and coordination with support departments and outside agencies.</li> </ul>				

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			<ul style="list-style-type: none"> <li>• Method and personnel responsible for retaining, securing, and storing post-accident evidence and documentation.</li> <li>• Method and personnel responsible for after action briefings and reporting.</li> </ul>				
		<b>Hazard Investigation Procedures</b>	Describe investigation procedures for hazard investigations: <ul style="list-style-type: none"> <li>• A description of minimum thresholds for notification and reporting to GDOT SSO.</li> <li>• Specified information to be provided.</li> <li>• GDOT SSO investigation requirements.</li> <li>• A description of MARTA / CITY's maintenance of unacceptable and undesirable hazards documentation.</li> <li>• Coordination with GDOT SSO.</li> </ul>				
		<b>Training</b>	Describe accident / incident investigation training and procedures available to ensure that the employees responsible for conducting investigations are proficient.				
		<b>Reporting / Investigation Reports</b>	Describe Accident / Incident / Hazard Investigation Reports: <ul style="list-style-type: none"> <li>• Executive Summary</li> <li>• Methodology</li> <li>• Facts / Sequence of Events</li> <li>• Findings / Analysis</li> <li>• Probable Cause / Contributory Causes</li> <li>• Recommendations</li> <li>• Corrective Actions</li> <li>• Appendices</li> </ul>				
		<b>Reporting /</b>	Describe the corrective action planning process for accidents / incidents:				

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#	AIP Section / Title / Summary	AIP Required Element Title	AIP Required Element Description	Included? Y/N	GDOT SSO Review Comment	MARTA / CITY Response	Status
		<b>Corrective Actions</b>	<ul style="list-style-type: none"> <li>• Describe the requirement for submitting a formal CAP in writing to GDOT SSO for approval within 30 calendar days after the need for the CAP was been identified as a result of the accident / incident investigation process.</li> <li>• Describe the requirement to identify and / or discuss the source of the CAP (i.e. accident).</li> <li>• Describe the requirement that the CAP identify / describe the accident / incident.</li> <li>• Describe the requirement that the CAP identify the planned activities or actions to ensure the accident / incident does not reoccur.</li> <li>• Describe the requirement that the CAP identify the individual(s), department(s), task force(s), committee(s), operating or capital improvement program initiatives or other project sponsor(s) responsible for implementing the corrective actions.</li> <li>• Describe the requirement that the CAP identify the scheduled completion dates for implementation.</li> <li>• Describe the requirement to submit applicable supporting documentation with the CAP.</li> <li>• Describe the requirement that to provide the status of all open corrective actions related to the open accident / incident.</li> <li>• Describe the requirements for changes. If the responsible department wishes to modify an open action, the proposed alternative must be described in sufficient detail so that Safety Department can determine its acceptability as a substitute for the originally approved CAP.</li> <li>• Describe the requirements for close-outs. Describe when and how the Safety Department verifies implementation of closed CAPs.</li> <li>• Describe the requirement for the CAP log to include open items from accidents / incidents.</li> </ul>				

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#	AIP Section / Title / Summary	AIP Required Element Title	AIP Required Element Description	Included? Y/N	GDOT SSO Review Comment	MARTA / CITY Response	Status
			<ul style="list-style-type: none"> <li>• Describe the requirement for the submittal of revised policies / procedures as part of the CAP Log.</li> </ul>				
		<b>SSO Coordination</b>	Describe coordination with the GDOT SSO: <ul style="list-style-type: none"> <li>• Review and approval of accident / incident investigation procedures</li> <li>• Transit agency investigation of reportable events</li> <li>• GDOT SSO investigation of a reportable event</li> <li>• NTSB investigations</li> <li>• Investigation reports; and</li> <li>• Ownership of accident / incident investigation materials</li> </ul>				
		<b>Plan / Procedures Update Process</b>	Describe process used to review, revise and approve the accident / incident plan and related procedures.				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

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**PART III. APPROVALS**

This AIP is:

<input type="checkbox"/>	APPROVED
<input type="checkbox"/>	NOT APPROVED
<input type="checkbox"/>	PENDING / CLARIFICATION REQUIRED

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GDOT SSO Program Manager Date

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GDOT Transit Program Manager Date

# **APPENDIX L**

## **Accident / Incident Investigation Final Report Review Checklist**

## Accident / Incident Investigation Final Report Review Checklist

**PART I. GENERAL INFORMATION**

<b>Rail Transit Agency</b>	
<b>Accident/Incident No</b>	
<b>Event Description</b>	
<b>Event Date</b>	
<b>Final Report Date</b>	
<b>Review Date</b>	
<b>Reviewer(s)</b>	

**PART II. REVIEWER COMMENTS**

**A. Notification**

<b>Notification Requirements</b>	<b>Yes / No</b>	<b>Comments / Questions</b>
For accidents/incidents, did MARTA / CITY notify the GDOT SSO point-of-contact within <b>2 hours</b> upon determination that the accident/incident was an SSO-reportable event?		
For accidents/incidents, did MARTA / CITY provide via e-mail to the GDOT SSO point-of-contact within <b>6 hours</b> confirmations or updated information of the event and more detail?		
For unacceptable hazards, did MARTA / CITY notify the GDOT SSO point-of-contact within <b>24 hours or by 5:00 p.m.</b> on the next regular working day upon determination that the hazard was an SSO-reportable event, including the submission of an electronic copy via email, or hard copy via fax of the appropriately completed worksheets, forms, or other materials documenting the hazard to GDOT SSO?		
Other? (specify)		

**B. Preliminary Report**

<b>Preliminary Report Requirements</b>	<b>Yes/No</b>	<b>Comments/Questions</b>
Did MARTA / CITY report initial findings of fact; its investigation plans; NTSB involvement in the investigation; and whether an ad hoc investigation committee was convened within <b>forty-eight (48)</b> hours of the reportable event?		
Other? (specify)		

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**C. Status Report**

Status Report Requirements	Yes/No	Comments/Questions
Did the investigation take more than 30 calendar days to complete?		
Did MARTA / CITY prepare and submit a monthly status investigation report by email, fax, or regular mail?		
Did the status report include: <ul style="list-style-type: none"> <li>• Minutes of any meeting held by MARTA / CITY's ad hoc reportable event investigation committee or contractor?</li> </ul>		
Did the status report include: <ul style="list-style-type: none"> <li>• Disclosure of any immediate actions MARTA / CITY has taken, planned or completed?</li> </ul>		
Did the status report include: <ul style="list-style-type: none"> <li>• Principal issues or items currently being evaluated?</li> </ul>		
Did the status report include: <ul style="list-style-type: none"> <li>• Overall progress and status of the investigation?</li> </ul>		
Other? (specify)		

**D. Final Report**

Final Report Elements		Yes/No	Comments/Questions
<b>Facts / Sequence of Events</b>	Location of reportable accident, incident, or hazard		
	Injuries to persons		
	Property damage		
	Operator information		
	Vehicle information		
	Weather conditions		
	Other environmental factors		
	Fire		
	Tests and research		
	Other information		
<b>Analysis</b>	Are analytic methods and results identified?		
	Does analysis support inferences and guide judgment by validity, consistency and logic?		
	Have facts, conditions, circumstance and inferences been properly reviewed and evaluated?		
	Were people, procedures, equipment, facilities, and environmental factors considered in the analysis?		
<b>Recommendations</b>	Are they feasible and supported by findings?		
	Are they itemized / specific enough to facilitate corrective actions?		

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Final Report Elements		Yes/No	Comments/Questions
	Are they directed toward correcting a particular area and assigned to specific individuals and / or departments for action?		
	Do they establish specific target dates on a schedule for implementation or completion?		
<b>Appendices</b>	Supporting documentation		
	Drawings, photographs		
	Interviews		
<b>Other</b> (specify)			

**PART III. ADDITIONAL COMMENTS, QUESTIONS, OR REQUIREMENTS**

**PART IV. APPROVALS**

This Investigation Report is:


APPROVED

NOT APPROVED

PENDING / CLARIFICATION REQUIRED

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GDOT SSO Program Manager

Date

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GDOT Transit Program Manager

Date

# **APPENDIX M**

## **Three-Year On-Site Safety Review Checklist**

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THREE-YEAR ON-SITE SAFETY REVIEW			
<b>Document Title:</b>	System Safety Program Plan (SSPP)		
<b>Document Preparer:</b>			
<b>Document Date/Revision:</b>			
<b>Reviewer Name(s):</b>			
<b>Reviewed With:</b>			
<b>Review Date:</b>			
<b>Evaluation Criteria:</b>	1 – Meets Criteria	2 – Partially Meets Criteria, Area of Concern	3 – Does Not Meet Criteria

THREE-YEAR SAFETY REVIEW CHECKLIST								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Policy Statement	A policy statement is developed for the System Safety Program Plan (SSPP).					
		Policy Statement	The policy statement describes the authority that establishes the system safety program plan.					
		Policy Statement	The policy statement is signed and endorsed by MARTA / CITY’s chief executive.					
		Policy Statement	A policy statement is developed for the System Safety Program Plan (SSPP). The policy statement describes the authority that establishes the system safety program plan. The policy statement is signed and endorsed by MARTA / CITY’s chief executive.					
		Policy Statement	The policy statement describes the authority that establishes the system safety program plan.					
		Policy Statement	The policy statement describes the authority that establishes the system safety program plan.					
		Purpose, Goals, Objectives	The purpose of the SSPP is defined.					
		Purpose, Goals, Objectives	Goals are identified to ensure that the SSPP fulfills its purpose.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Purpose, Goals, Objectives	Objectives are identified to monitor and assess the achievement of goals.					
		Purpose, Goals, Objectives	Stated management responsibilities are identified for the safety program to ensure that the goals and objectives are achieved.					
		Management Structure	An overview of the management structure of MARTA / CITY is provided including an organization chart.					
		Management Structure	Organizational structure is clearly defined and includes: history and scope of service, physical characteristics, and operations and maintenance.					
		Management Structure	A description of how the safety function is integrated into the rest of the rail transit organization is provided.					
		Management Structure	Clear identification of the lines of authority used by MARTA / CITY to manage safety issues is provided.					
		Plan Review and Modification	An annual assessment of whether the system safety program plan should be updated is specified.					
		Plan Review and Modification	The process used to control changes to the system safety program plan is described.					
		Plan Review and Modification	Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the SSPP are identified.					
		Plan Review and Modification	Required coordination with the oversight agency regarding plan modification, including timeframes for submission, revision, and approval, is addressed.					
		Plan Implementation	A description of the specific activities required to implement the system safety program plan is included.					
		Plan Implementation	Tasks to be performed by the rail transit safety function, by position and management accountability, are identified and described.					
		Plan Implementation	A description of the methodologies used by the system safety function to achieve their safety responsibilities should be provided.					
		Plan Implementation	Safety-related tasks to be performed by other rail transit departments, by position and management accountability, are identified and described.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Plan Implementation	A task matrix (or an equivalent narrative description) showing: all identified safety responsibilities, interfaces among all rail transit units responsible for each task, and the key reports or actions required, should be provided.					
		Hazard Management Process	The process used by MARTA / CITY to implement its hazard management program, including the role of the oversight agency in providing on-going communication, is described.					
		Hazard Management Process	The hazard management process includes activities for: hazard identification, hazard investigation, evaluation and analysis, hazard control and elimination, hazard tracking.					
		Hazard Management Process	Requirements for on-going reporting to the oversight agency relating to hazard management activities and status are specified.					
		Safety Certification Process	A description of the safety certification process required by MARTA / CITY to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.					
		System Modifications	The process used by MARTA / CITY to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification, but which may have safety impacts, is described.					
		Safety Data Acquisition	The process used to collect, maintain, analyze, and distribute safety data is clearly defined.					
		Safety Data Acquisition	The management process for ensuring that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program is clarified.					
		Incident Notification, Investigation, and Reporting	A description is provided regarding the process used by MARTA / CITY to perform accident / incident notification, investigation and reporting.					
		Incident Notification, Investigation, and	Criteria for determining what accidents / incidents require investigation, and who is responsible to conduct specific investigations are developed.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Reporting						
		Incident Notification, Investigation, and Reporting	A description of the procedures for performing investigations, including proper documentation and reporting of findings, conclusions reached, use of hazard resolution process to develop corrective action recommendations, and follow-up to verify corrective action implementation is provided.					
		Incident Notification, Investigation, and Reporting	Notification thresholds for internal departments / functions are defined.					
		Incident Notification, Investigation, and Reporting	Criteria are specified for notifying external agencies (e.g., NTSB, state oversight agency) of accidents and incidents.					
		Incident Notification, Investigation, and Reporting	Procedures are established for documenting and reporting on accident / incident investigations.					
		Incident Notification, Investigation, and Reporting	Process used to develop, implement, and track corrective actions that address investigation findings is specified.					
		Incident Notification, Investigation, and Reporting	Coordination with the oversight agency is specified.					
		Emergency Management Program	The agency's emergency planning responsibilities and requirements are identified.					
		Emergency Management Program	A description of the process used by MARTA / CITY to develop an approved, coordinated schedule for emergency management program activities is provided.					
		Emergency Management Program	Required meetings with external agencies regarding the emergency management program are specified.					
		Emergency Management Program	The process used to evaluate emergency preparedness, such as annual emergency field exercises, is documented.					

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#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
	Emergency Management Program	Emergency Management Program	After action reports and implementation of findings are required.					
	Emergency Management Program	Emergency Management Program	The process is explained to be used by MARTA / CITY for the revision and distribution of emergency response procedures.					
	Emergency Management Program	Emergency Management Program	The agency's responsibilities for providing employee training are identified.					
	Emergency Management Program	Emergency Management Program	The agency's responsibilities for providing familiarization training to local public safety organizations are identified.					
	Internal Safety Audit Program	Internal Safety Audit Program	A description of the process used by MARTA / CITY to ensure that planned and scheduled internal safety audits are performed to evaluate compliance with the SSPP is included.					
	Internal Safety Audit Program	Internal Safety Audit Program	Identification of departments and functions subject to audit is performed.					
	Internal Safety Audit Program	Internal Safety Audit Program	Auditors must be independent from the first line of supervision responsible for the activity being audited.					
	Internal Safety Audit Program	Internal Safety Audit Program	A three-year audit schedule must be developed, reviewed, maintained and updated to ensure that all required SSPP elements are reviewed during the audit cycle.					
	Internal Safety Audit Program	Internal Safety Audit Program	The process for conducting audits, including the development of checklists, and procedures for conducting audits and issuing of findings is described.					
	Internal Safety Audit Program	Internal Safety Audit Program	The SSPP must describe the requirement of an annual audit report that summarizes the results of individual audits performed during the previous year and includes the status of required corrective action items. This report must be submitted to the state oversight agency for review and approval.					
	Internal Safety Audit Program	Internal Safety Audit Program	The process for resolving problems and disagreements, report distribution, and follow-up on corrective action procedures is described.					
	Internal Safety Audit Program	Internal Safety Audit Program	The internal safety audit process and reporting must be coordinated with the state oversight agency.					
	Internal Safety Audit Program	Internal Safety Audit Program	The internal safety audit process should be comprehensive.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Program						
		Rules Compliance	Operating and maintenance rules and procedures that affect safety are identified.					
		Rules Compliance	Operating and maintenance rules and procedures that affect safety are reviewed for their effectiveness and determinations are made regarding their need to be updated.					
		Rules Compliance	Description of process for developing, maintaining, and ensuring compliance with operating and maintenance rules and procedures.					
		Rules Compliance	Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing / compliance checks.					
		Rules Compliance	Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules.					
		Rules Compliance	Process for documenting results and incorporating them into the hazard management program.					
		Facilities and Equipment Inspections	Identification of the facilities and equipment that are subject to regular safety related-inspection and testing is provided.					
		Facilities and Equipment Inspections	A description of how safety-related equipment and facilities are included in a regular inspection and testing program is provided.					
		Facilities and Equipment Inspections	Use of a written checklist for conducting facility inspections.					
		Facilities and Equipment Inspections	Descriptions of how identified hazardous conditions are entered into the Hazard Resolution Process.					
		Maintenance Audit and Inspection Program	A list of systems and facilities subject to a maintenance program, along with established maintenance cycle and required documentation of maintenance performed for each item, is provided.					
		Maintenance Audit and Inspection Program	A description of the process for tracking and resolving problems identified during inspections is provided.					
		Maintenance Audit and	Use of a written checklist for conducting maintenance audits is required.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Inspection Program						
		Training and Certification Program	A description of the training and certification program for employees and contractors is provided.					
		Training and Certification Program	Categories of safety-related work requiring training and certification are identified.					
		Training and Certification Program	Description of the training and certification program for employees and contractors in safety-related positions is provided.					
		Training and Certification Program	Description of the training and certification program for contractors is provided.					
		Training and Certification Program	The process used to maintain and access employee and contractor training records is described.					
		Training and Certification Program	The process used to assess compliance with training and certification requirements is described.					
		Configuration Management Process	A description of the configuration management control process is provided and appropriate references are made to other MARTA / CITY documents governing this process.					
		Configuration Management Process	Process for making changes is described.					
		Configuration Management Process	Authority to make configuration changes is described and assurances are provided for formal notification of all involved departments.					
		Compliance with Local, State, and Federal Safety Requirements	A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements is provided.					
		Compliance with Local, State, and Federal Safety Requirements	Safety requirements that employees and contractors must follow when working on, or in close proximity to, MARTA / CITY controlled property are identified.					
		Compliance with Local, State, and Federal Safety Requirements	Processes for ensuring the employees and contractors know and follow the requirements are described.					

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<b>THREE-YEAR SAFETY REVIEW CHECKLIST</b>								
#	SSPP Section, Title, Summary	SSPP Evaluation Criteria	SSPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		Hazardous Materials Program	A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements is provided.					
		Drug and Alcohol	A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements is provided.					
		Procurement	A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the MARTA / CITY procurement process.					
		Transit Asset Management	A description of the MARTA / CITY transit asset management system, which will include: <ul style="list-style-type: none"> <li>• a definition of the term ‘state of good repair’ that includes objective standards for measuring the condition of capital assets of recipients, including equipment, rolling stock, infrastructure, and facilities;</li> <li>• a requirement to develop a transit asset management plan;</li> <li>• a requirement to report on the condition of the system and provide a description of any change in condition since the last report;</li> <li>• an analytical process or decision support tool that: allows for the estimation of capital investment needs over time; and assists with asset investment prioritization; and technical assistance</li> </ul>					

# **APPENDIX N**

## **Three-Year On-Site Security Review Checklist**

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THREE-YEAR ON-SITE SECURITY REVIEW			
<b>Document Title:</b>	System Security Plan (SSP) / Security and Emergency Preparedness Plan (SEPP)		
<b>Document Preparer:</b>			
<b>Document Date/Revision:</b>			
<b>Reviewer Name(s):</b>			
<b>Reviewed With:</b>			
<b>Review Date:</b>			
<b>Evaluation Criteria:</b>	1 – Meets Criteria	2 – Partially Meets Criteria, Area of Concern	3 – Does Not Meet Criteria

THREE-YEAR SECURITY REVIEW CHECKLIST								
	SSP / SEPP Section, Title, Summary	SSP / SEPP Evaluation Criteria	SSP / SEPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		<b>Policy Statement</b>	The policy statement is signed and endorsed by MARTA / CITY’s chief executive.					
		<b>Policy Statement</b>	A policy statement should be developed for the System Security Plan.					
		<b>Policy Statement</b>	The policy statement should describe the authority that establishes the SSP / SEPP, including statutory requirements and MARTA / CITY’s relationship with the oversight agency.					
		<b>Responsibility for Mission Statement</b>	Identification of the person(s) responsible for establishing transit system security policy and for developing and approving the SSP / SEPP.					
		<b>Purpose</b>	The SSP / SEPP should introduce the concept of “system security.”					
		<b>Integration with Other Plans</b>	Describe how the SSP / SEPP integrates with other plans and programs maintained by MARTA / CITY.					
		<b>Purpose</b>	The SSP / SEPP should identify the purpose of the security program endorsed by the agency’s chief executive.					
		<b>Goals and Objectives</b>	The SSP / SEPP should identify the goals of the SSP / SEPP program endorsed by the agency’s chief executive.					
		<b>Goals and Objectives</b>	The SSP / SEPP should identify the objectives of the program endorsed by the agency’s chief executive.					
		<b>Scope</b>	Describe the scope of the SSP / SEPP.					

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<b>THREE-YEAR SECURITY REVIEW CHECKLIST</b>								
	SSP / SEPP Section, Title, Summary	SSP / SEPP Evaluation Criteria	SSP / SEPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		<b>Management Authority and Legal Aspects</b>	Describe the authority which oversees the operation and management of MARTA / CITY, including its security / police function.					
		<b>Passengers</b>	Provide a description of MARTA / CITY's ridership.					
		<b>Services and Operations</b>	Describe MARTA / CITY's operations and services.					
		<b>Operating Environment</b>	Describe MARTA / CITY's operating environment.					
		<b>Background and History</b>	A description of the agency including general overview, a brief history, and scope of rail transit services provided.					
		<b>Current Security Conditions</b>	Description of the current security conditions at MARTA / CITY and the types of security incidents experienced by the transit system and their frequency of occurrence.					
		<b>Organizational Structure</b>	Organizational charts showing the lines of authority and responsibility as they relate to security.					
		<b>Division of Security Responsibility</b>	Listing of SSP / SEPP related responsibilities of the personnel who work within the transit agency security / police function.					
		<b>Division of Security Responsibility</b>	Listing of SSP / SEPP related responsibilities of other departments / functions, including their relationship to the security / police function.					
		<b>Division of Security Responsibility</b>	Listing of security-related responsibilities for other (non- security / police) MARTA / CITY employees, including their relationship to the employee's other duties.					
		<b>Division of Security Responsibility</b>	A SSP / SEPP program roles and responsibilities matrix should be developed showing interfaces with other transit system departments / functions and the key reports or actions required.					
		<b>Division of Security Responsibility</b>	The responsibilities of external agencies for supporting SSP / SEPP development and implementation should be identified.					
		<b>Division of Security Responsibility</b>	The committees developed by MARTA / CITY to address security issues should be identified.					
		<b>Security and Law Enforcement</b>	Describe the security and law enforcement functions that manage and support implementation of the SSP / SEPP.					

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<b>THREE-YEAR SECURITY REVIEW CHECKLIST</b>								
	SSP / SEPP Section, Title, Summary	SSP / SEPP Evaluation Criteria	SSP / SEPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		<b>Government Involvement</b>	Describe how the SSP / SEPP interface with local, state, and federal authorities to ensure security and emergency preparedness for the system.					
		<b>Human Resources</b>	Provide a categorization and break-down of all employees and contractors who work for / on MARTA / CITY.					
		<b>Management of the SSP Program</b>	Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day-to-day operations, SSP / SEPP related internal communications, liaison with external organizations, and identifying and resolving SSP / SEPP related concerns.					
		<b>Planning</b>	Identification of SSP / SEPP activities and programs in place at MARTA / CITY to support planning for system security and emergency preparedness.					
		<b>Organization</b>	Identification of the organization of SSP / SEPP related activities and programs and the ability to coordinate with external response agencies.					
		<b>Equipment</b>	Description of the equipment used to support implementation of the SSP / SEPP program.					
		<b>Training and Procedures</b>	Description of SSP / SEPP related training and procedures available to ensure employee proficiency.					
		<b>Exercises and Evaluation</b>	Description of SSP / SEPP related activities to ensure the conduct of emergency exercises and evaluation.					
		<b>Threat and Vulnerability Identification</b>	Description of MARTA / CITY's activities to identify security and terrorism-related threats and vulnerabilities.					
		<b>Threat and Vulnerability Assessment</b>	Description of MARTA / CITY's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify particular vulnerabilities which require resolution.					
		<b>Threat and Vulnerability Resolution</b>	Description of how response strategies (both short- or long-term strategies) are developed for prioritized vulnerabilities, including the decision process used to determine whether to eliminate, mitigate, or accept security problems.					
		<b>Capabilities and Practices</b>	Summary description of methods and procedures, devices, and systems utilized to prevent or minimize security breaches, including passenger education, campaigns, delay, detection, and assessment devices, and others that may be applicable.					

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<b>THREE-YEAR SECURITY REVIEW CHECKLIST</b>								
	SSP / SEPP Section, Title, Summary	SSP / SEPP Evaluation Criteria	SSP / SEPP Evaluation Criteria Description	Evaluation Criteria			Method of Verification	On-Site Review Comments
				1	2	3		
		<b>Required Tasks for Goals and Objectives</b>	Identification of tasks to be performed to implement the goals and supporting objectives required to implement the SSP / SEPP.					
		<b>Task Schedule</b>	General schedule with specific milestones for implementation of the security program, threat and vulnerability analyses, staff security training, and regular program reviews during the implementation process.					
		<b>Evaluation</b>	Description of the types of internal management reviews to be conducted, the frequencies of the reviews, and the person(s) responsible.					
		<b>Initiation of SSP Revisions</b>	Description of process used to initiate revisions to the security plan, gather input for the revisions, procedures for updating the security plan, and identification of responsible person(s).					
		<b>Review Process</b>	Description of the process used to review and revise the security plan as necessary, including frequency of reviews, and responsible person(s).					
		<b>Implement Modifications</b>	Description of process used to communicate and disseminate new and revised procedures and other elements of the security plan to appropriate transit agency staff.					
		<b>Security Acronyms and Definitions</b>	Provide a listing of acronyms and definitions used in the SSP / SEPP.					

# **APPENDIX O**

## **Corrective Action Plan (CAP) Program Review Checklist**

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CORRECTIVE ACTION PLAN (CAP) PROGRAM	
<b>Document Title</b>	
<b>Document Preparer</b>	
<b>Document Date/Revision</b>	
<b>GDOT Reviewer Name(s)</b>	
<b>GDOT Review Dates</b>	
<b>MARTA / CITY Response Date</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, '---' is used to indicate a description was included or a policy/procedure was referenced in the CAP Program to address the required element and no further discussion is required.

**PART I. REVIEWER COMMENTS**

CAP PROGRAM REVIEW CHECKLIST				
Corrective Action Plan Program Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
A description of the individuals, departments, and external agencies (to include GDOT, FTA, and NTSB) that have roles and responsibilities for the identification of the need for a CAP, CAP development, CAP implementation, and CAP monitoring and tracking.				
A description of the events and / or ongoing program activities that trigger the development of a Corrective Action Plan (CAP), including the following minimum requirements: <ul style="list-style-type: none"> <li>• a CAP will be developed when the results of a MARTA / CITY investigation identify causal or contributing factors that can be minimized, controlled, or corrected such that the identical or similar situation will not reoccur (“reactive”);</li> <li>• a CAP will be developed when findings non-compliance or partial compliance are identified from the MARTA / CITY internal safety and security audit process;</li> <li>• a CAP will be developed for deficiencies and areas of concern resulting from a GDOT SSO Three-Year On-Site Safety and / or Security Review; and</li> <li>• a CAP will be developed from FTA or GDOT’s various oversight activities indicate the opportunity to intervene with an identified systemic problem or other concern/deficiency before it can manifest as a reportable event (“proactive”).</li> </ul>				
A description of what each CAP will identify, including the following minimum requirements:				

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<b>CAP PROGRAM REVIEW CHECKLIST</b>				
<b>Corrective Action Plan Program Requirements</b>	<b>Included? Y-N</b>	<b>GDOT SSO Review Comments</b>	<b>MARTA / CITY Response</b>	<b>Status</b>
<ul style="list-style-type: none"> <li>• Identified hazard or deficiency,</li> <li>• Planned activities or actions to resolve deficiency or hazard,</li> <li>• Department(s) responsible for implementing corrective actions, and</li> <li>• Scheduled completion dates for implementation.</li> </ul>				
<p>A description of the CAP requirements:</p> <ul style="list-style-type: none"> <li>• Describe the requirement for submitting a formal CAP in writing to GDOT SSO for approval within 30 calendar days after the need for the CAP was been identified as a result of a triggering event or process (i.e. accident / incident investigation, internal audit).</li> <li>• Describe the requirement to identify and / or discuss the source of the CAP (i.e., accident, hazard).</li> <li>• Describe the requirement that the CAP identify / describe the triggering event (i.e., accident / incident).</li> <li>• Describe the requirement that the CAP identify the planned activities or actions to ensure resolution or prevent reoccurrence.</li> <li>• Describe the requirement that the CAP identify the individual(s), department(s), task force(s), committee(s), operating or capital improvement program initiatives, or other project sponsor(s) responsible for implementing the corrective actions.</li> <li>• Describe the requirement that the CAP identify the scheduled completion dates for implementation.</li> <li>• Describe the requirement to submit applicable supporting documentation with the CAP.</li> <li>• Describe the requirement that to provide the status of all open corrective actions related to open items (i.e, hazards, internal audit findings).</li> <li>• Describe the requirements for changes. If the responsible department wishes to modify an open action, the proposed alternative must be described in sufficient detail so that Safety Department can determine its acceptability as a substitute for the originally approved CAP.</li> <li>• Describe the requirements for close-outs. Describe when and how the Safety Department verifies implementation of closed CAPs.</li> <li>• Describe the requirement for the CAP log to include open items from accidents / incidents.</li> <li>• Describe the requirement for the submittal of revised policies / procedures as part of the CAP Log.</li> </ul>				
A description of the CAP internal and external notification process, including coordination with MARTA / CITY's				

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CAP PROGRAM REVIEW CHECKLIST				
Corrective Action Plan Program Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
safety and security points-of contact and GDOT SSO.				
A description of the CAP internal and external review and approval process, including coordination with MARTA / CITY's safety and security points-of contact and GDOT SSO.				
A description of the CAP monitoring and tracking process, including: <ul style="list-style-type: none"> <li>• a sample Corrective Action Plan (CAP)</li> <li>• a sample Corrective Action Plan (CAP) Monitoring Log.</li> </ul>				
A description of the process to review and update the CAP Program, as required.				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

**PART III. APPROVALS**

This CAP Program is:

<input type="checkbox"/>	APPROVED
<input type="checkbox"/>	NOT APPROVED
<input type="checkbox"/>	PENDING / CLARIFICATION REQUIRED

---

GDOT SSO Program Manager Date

---

GDOT Transit Program Manager Date

# **APPENDIX P**

## **Corrective Action Plan (CAP) Log Review Checklist**

## Corrective Action Plan (CAP) Log Review Checklist

**PART I. GENERAL INFORMATION**

<b>Rail Transit Agency</b>	
<b>Date Received by SSO</b>	
<b>Method Received by SSO</b>	
<b>Period Ending Date</b>	
<b>Review Date</b>	
<b>Reviewer(s)</b>	

**PART II. REVIEWER COMMENTS**

CAP LOG REVIEW CHECKLIST		
CAP Log Requirements	Yes/No	Comments/Questions
Did MARTA / CITY transmit CAP Log via email, letter, or fax within the first 15 calendar days of the next quarter?		
Did GDOT SSO acknowledge receipt in writing?		
Does CAP Log summarize the status of all open corrective actions related to the state oversight program and all actions closed since the last submittal?		
Does CAP Log include the following information for changes and close-outs: <ul style="list-style-type: none"> <li>• If MARTA / CITY wishes to modify an open action, the proposed alternative must be described in sufficient detail so that GDOT SSO can determine its acceptability as a substitute for the originally approved CAP?</li> <li>• When and how MARTA / CITY verified implementation for CAPs closed since the last submittal?</li> </ul>		
Does the CAP log include open items from the following categories: <ul style="list-style-type: none"> <li>• Accident investigations?</li> <li>• Security incident investigations?</li> <li>• Hazard investigations?</li> <li>• Internal safety and security audits?</li> <li>• FTA Three-Year On-Site Reviews?</li> <li>• GDOT SSO Three-Year On-Site Reviews?</li> <li>• GDOT SSO on-site monitoring exercises?</li> </ul>		
Did MARTA / CITY submit the applicable completed internal audit reports with the CAP Log?		
Other? (specify)		

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**PART III. ADDITIONAL QUESTIONS, COMMENTS, REQUIREMENTS**

**PART IV. APPROVALS**

This CAP Log is:

	APPROVED
	NOT APPROVED
	PENDING / CLARIFICATION REQUIRED

---

GDOT SSO Program Manager

Date

---

GDOT Transit Program Manager

Date

# **APPENDIX Q**

## **Safety and Security Certification Plan (SSCP) Review Checklist**

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SAFETY AND SECURITY CERTIFICATION PLAN	
<b>Document Title</b>	
<b>Document Preparer</b>	
<b>Document Date/Revision</b>	
<b>GDOT Reviewer Name(s)</b>	
<b>GDOT Review Dates</b>	
<b>MARTA / CITY Response Date</b>	
<b>Review Comments</b>	<i>Note:</i> If there are no review comments or discussion questions listed, '---' is used to indicate a description was included or a policy / procedure was referenced in the SSCP to address the required element and no further discussion is required.

**PART I. REVIEWER COMMENTS**

SSCP REVIEW CHECKLIST				
SSCP Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
Does the SSCP describe the process to develop a certifiable elements list, certifiable items list?				
Does the SSCP describe the process to develop and complete Design Criteria Conformance Checklists to verify compliance of the design with the safety and security criteria?				
Does the SSCP describe the process to develop safety and security design criteria to identify concerns appropriate for the project?				
Does the SSCP describe the process to develop and complete Construction Specification Conformance Checklists to verify that facilities and systems are constructed, manufactured, or installed according to design?				
Does the SSCP describe the process for the development and implementation of an Integrated Test Program for safety and security related tests?				
Does the SSCP describe the process to provide training classes to MARTA / CITY's field, OCC, management personnel that address safety, security, and emergency preparedness?				
Does the SSCP describe the process to provide or develop operations and maintenance manuals for MARTA / CITY's field, OCC, management personnel?				
Does the SSCP describe the process to train field, OCC, and / or management personnel on rules and procedures.				

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SSCP REVIEW CHECKLIST				
SSCP Requirements	Included? Y-N	GDOT SSO Review Comments	MARTA / CITY Response	Status
Does the SSCP describe the process to train public safety personnel (i.e., fire, police, and emergency medical) to manage their activities safely and securely in the transit environment?				
Does the SSCP describe the process to conduct emergency drills for identified transit emergencies that may occur on the project?				
Does the SSCP describe the process to identify, assess, and resolve hazards? Does the SSCP also describe the process to track hazard resolutions and / or acceptance throughout the project?				
Does the SSCP describe the process to identify, assess, and resolve threats and vulnerabilities? Does the SSCP also describe the process to track threat / vulnerability resolutions and / or acceptance throughout the project?				
Does the SSCP describe the process to issue the "Certificate of Safety and Security" to verify that MARTA / CITY's project is safe and secure for revenue service?				
Does the SSCP describe the process to prepare and transmit the Safety Certification Verification Report as appropriate to MARTA / CITY management and GDOT SSO personnel?				
Does the SSCP describe the process to document and verify that MARTA / CITY's project successfully complies with identified safety and security requirements?				

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

**PART III. APPROVALS**

This SSCP is:  APPROVED  
 NOT APPROVED  
 PENDING / CLARIFICATION REQUIRED

---

GDOT SSO Program Manager Date

---

GDOT Transit Program Manager Date

# **APPENDIX R**

## **Safety and Security Certification Verification Final Report Review Checklist**

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<b>SAFETY AND SECURITY CERTIFICATION VERIFICATION REPORT</b>	
<b>Document Title</b>	
<b>Document Preparer</b>	
<b>Document Date/Revision</b>	
<b>GDOT Reviewer Name(s)</b>	
<b>GDOT Review Dates</b>	
<b>MARTA / CITY Response Date</b>	

**PART I. REVIEWER COMMENTS**

<b>SSCVR REVIEW CHECKLIST</b>			
<b>Does the MARTA / CITY SSCVR content include a discussion of the following?</b>	<b>Yes/No</b>	<b>MARTA / CITY Reference Document</b>	<b>Date of GDOT Review</b>
A certifiable elements list and certifiable items list was developed.			
Safety and security design criteria were developed and documented to identify concerns appropriate for the project.			
A Safety and Security Certification Plan was developed and implemented.			
Design Criteria Conformance Checklists were developed and completed to verify compliance of design with safety and security criteria.			
Construction Specification Conformance Checklists were developed and completed to verify that facilities and systems are constructed, manufactured or installed according to design.			
Integrated tests were identified that needed to be monitored for safety and security; tests were completed; and test results were documented.			
Training classes were provided to transit operations and maintenance staff that address safety, security, and emergency preparedness; completion of training was documented.			
Operations and maintenance manuals were provided to, or developed by, transit operations and maintenance staff.			
Operations and maintenance staff were trained on rules and procedures; completion of training was documented. Rules and procedures were documented.			
Public safety personnel (i.e., fire and police) were trained to manage their activities safely in the transit environment; completion of training was documented.			

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<b>SSCVR REVIEW CHECKLIST</b>			
<b>Does the MARTA / CITY SSCVR content include a discussion of the following?</b>	<b>Yes/No</b>	<b>MARTA / CITY Reference Document</b>	<b>Date of GDOT Review</b>
Emergency drills and exercises were conducted for identified transit emergencies that may occur on the project; drills and exercises were documented.			
Hazard identification, assessment, and resolution were performed with tracking for resolution and / or acceptance throughout the project.			
Threat and vulnerability identification, assessment, and resolution were performed with tracking for resolution and / or acceptance throughout the project.			
The “Certificate of Safety and Security” was issued to verify that the transit project is safe and secure for revenue service.			
The Safety Certification Verification Report was prepared, and transmitted, as appropriate to management and oversight personnel.			
Other safety and security requirements, if any (describe).			

**PART II. ADDITIONAL QUESTIONS, COMMENTS**

**PART III. REVIEWER SIGNATURE**

This SSCVR is:

	COMPLETE
	INCOMPLETE

---

GDOT SSO Program Manager Date

---

GDOT Transit Program Manager Date

**END OF PROGRAM STANDARD**