GDOT
Georgia Department
of Transportation

State of Georgia
Department of Transportation
Office of Intermodal

Program Standard Revision 13
Rail Transit Safety and Security Oversight

Revision 13 – February 2023

General Office
600 West Peachtree Street N.W.
Atlanta, GA 30308

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Program Standard Approval

The individuals below, submitting and signing this Program Standard for Rail Transit Safety and Security Oversight, verify that it was prepared in compliance with the requirements set forth by the Federal Transit Administration in 49 U.S. Code § 5329, Public Transportation Safety Program/Fixing America's Surface Transportation Act (FAST) Sections 3013, 3020, 3021, 3022 and the current implementation rules, 49 Code of Federal Regulations (CFR) Part 674, State Safety Oversight, Final Rule; 49 CFR Part 673, Public Transportation Agency Safety Plan; 49 CFR Part 672, Public Transportation Safety Certification Training Program; National Public Transportation Safety Program; National Transit Database; and the Official Code of Georgia, Title 32, Section 32-9-10; 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.

Reviewed By:

	2/7/2023
Chet Welch, SSO Program Administrator, Division of Intermodal	Date

Approved By:

	2/7/2023
Clement Solomon, Director, Division of Intermodal	Date

Revision Log

Revision #	Effective Date	Revised Section(s)	Purpose
Revision 13	January 31, 2023	All	To revise the Program Standard as a result of the annual review process for the following purposes: • Align and ensure compliance with FTA requirements • Include additional FTA requirements • Incorporate changes for brevity, clarity, and consistency • Apply industry guidelines and standards • Add process efficiencies and effectiveness
Revision 12	January 31, 2022	All	To revise the Program Standard as a result of the annual review process, including updates to terms and definitions, clarifications for event notifications and reporting, and relocation of the Safety Certification chapters for the planning phase and the engineering and construction phase.
Revision 11	March 31, 2020	All	To revise the Program Standard to comply with the new requirements established by the Federal Transit Administration in: • 49 CFR Part 673, Public Transportation Agency Safety Plan, Final Rule; and • 49 CFR Part 672, Public Transportation Safety Certification Training Program, Final Rule
Revision 10	January 31, 2018	All	To revise the Program Standard to comply with the new requirements established by the Federal Transit Administration in: • 49 U.S. Code § 5329, Public Transportation Safety Program / Fixing America's Surface Transportation Act (FAST) Sections 3013, 3020, 3021, 3022 • 49 CFR Part 674, State Safety Oversight, Final Rule (April 2016); • 49 CFR Part 673, Public Transportation Agency Safety Plan, Proposed Rule (February 2016); • 49 CFR Part 672, Interim Safety Certification Training Program Provisions, Final Rule (December 2015); • 49 CFR Part 670, National Public Transportation Safety Program, Final Rule (September 2016); and • 49 CFR Parts 625 and 630, National Transit Database / Transit Asset Management, Final Rule (October 2016).

Revision #	Effective Date	Revised Section(s)	Purpose
Revision 9	January 1, 2016	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 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 the RTA on Revision 6.
Revision 6	August 31, 2009 (Draft)	All	To address FTA Office of Transit Safety and Oversight 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).

Definitions

Accident means an event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision involving a rail transit vehicle; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause. An accident must be reported in accordance with the thresholds for notification and reporting set forth in Section 6 of this Program Standard.

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Safety Management System (SMS) of a public transportation agency; responsibility for carrying out the Public Transportation Agency Safety Plan (PTASP), Security and Emergency Preparedness Plan (SEPP), and subordinate policies and procedures and practices; and control or direction over the human and capital resources needed to develop and maintain a compliant PTASP and SEPP.

Ancillary Plans means all plans or documents necessary support to the primary activities of PTASP and SEPP which requires GDOT approval as referenced in this Program Standard.

Chief Safety Officer (CSO) means an adequately trained individual who has responsibility for safety and reports directly to the Rail Transit Agency (RTA)'s chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by the RTA that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

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.

Conflict of Interest generally means a scenario when a person places him/herself in a position where any official act or action taken by them is, may be, or appears to be, influenced by considerations other than the general public interest. All employees and contractors subject to the requirements of the Program Standard occupy a position of public trust and confidence and should avoid not only actual breaches of public trust, but also even the appearance of conflicts of interest.

An **organizational conflict of interest** occurs where a contractor is unable, or potentially unable, to render impartial assistance or advice to the recipient due to activities, relationships, contracts, or circumstances which may impair the contractor's objectivity; or a contractor has an unfair competitive advantage.

Consequence means an effect of a Hazard, involving injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Contractor means an entity that performs tasks on behalf of Federal Transit Agency (FTA), a State Safety Oversight Agency, or Rail Transit Agency (RTA), through contract or other agreement. The RTA may not be a contractor for the State Safety Oversight Agency.

Corrective Action Plan (CAP) means a plan developed by the RTA that describes the actions the RTA will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking 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

event and unacceptable hazard investigations. Either GDOT or FTA may require an RTA to develop and carry out a corrective action plan.

Derailment means a non-collision event in which one or more wheels of a rail transit vehicle unintentionally leaves the rails.

Designated Personnel means (1) employees identified by a rail public transportation system whose job function requires them to be Directly Responsible for Safety Oversight of the public transportation provided by the system; or (2) employees and contractors of a State Safety Oversight Agency (SSOA) whose job function requires them to conduct safety audits and safety examinations of the rail public transportation systems subject to the jurisdiction of the SSOA Designated personnel may also be referred to as "covered" personnel.

Directly Responsible for Safety Oversight means public transportation agency personnel whose primary job function includes the development, implementation and review of the agency's safety plan, and/or the State Safety Oversight Agency (SSOA) requirements for the Rail Fixed Guideway Public Transportation System pursuant to 49 CFR Part 674.

Disruption of Operations means an event that requires the RTA to implement a set of control actions (e.g., cancel trips, delay trips, establish bus bridges, reverse move, single track, etc.) that reestablish the continuity in the planned flow of rail transit vehicles and operations and maintenance personnel such that all passengers can reach their intended destinations as soon as possible.

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, suspicious package, bomb threat, etc.

Event means an Accident, Incident, or Occurrence.

Examination means a process for gathering or analyzing facts or information related to the safety of a public transportation system.

Fire means uncontrolled combustion made evident by flame and/or smoke that requires suppression by equipment or personnel or removal of the fuel source or removal of oxygen.

Hazard means any real or potential condition (as defined in the RTA's hazard management process) that can cause injury, illness, or death; damage to, or loss of, the facilities, equipment, rolling stock, or infrastructure of a rail fixed guideway public transportation system; 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, broken traction electrification equipment, or improper door opening of a rail transit vehicle while moving.

Incident means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of an RTA. An incident must be reported to FTA's

National Transit Database in accordance with the thresholds for reporting set forth in <u>Section 6</u> of this Program Standard. If an RTA or GDOT later determines that an incident meets the definition of Accident as specified in § 674.7, that event must be reported to the GDOT in accordance with the thresholds for notification and reporting set forth in this Program Standard.

Individual means a passenger, employee, contractor, rail transit facility worker, pedestrian, trespasser, or any person on the property of a rail fixed guideway public transportation system.

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

Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

Near Miss means an undesired event (as defined in the RTA'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 Starts Project means any rail fixed guideway public transportation system funded under and meeting the FTA's thresholds established in 49 USC 5309 - Fixed guideway capital investment grants.

Not Substantiated means that sufficient corroborative testimonial, forensic, and documentary evidence does not exist to permit a reasonable inference that a safety violation has occurred, or a safety deficiency exists.

Occurrence means an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of an RTA.

Part I Crime means an event that includes the following as defined by the FBI's Uniform Crime Reporting program: murder and nonnegligent homicide, rape, robbery, aggravated assault, burglary, motor vehicle theft, larceny-theft, and arson.

Part II Crime means an event that includes, but is not limited to, the following as defined by the FBI's Uniform Crime Reporting program: simple assault, stolen property, vandalism, weapons, prostitution, driving under the influence, drunkenness, disorderly conduct, vagrancy, loitering, and all other offenses not specifically listed under Part I or Part II.

Passenger means a person who is onboard, 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 RTA operations is initiated with the intent to carry passengers.

Patron means a passenger, employee, contractor, pedestrian, trespasser, or any individual on the property of a rail fixed guideway public transportation system.

Public Transportation Agency Safety Plan (PTASP) means the documented comprehensive agency safety plan for the RTA that is required by 49 USC 5329, 49 CFR Part 673.

Program Standard means a written document developed and adopted by the State Safety Oversight Agency that describes the policies, objectives, responsibilities, and procedures used to provide safety and security oversight to RTAs.

Public Transportation Safety Certification Training Program means the 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, in accordance with 49 USC 5329I(2), and authorized by 49 USC 5329(c)(1).

Rail Fixed Guideway Public Transportation System (RFGPTS) means any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a state and is not subject to the jurisdiction of the Federal Railroad Administration, or any such system in engineering or construction. RFGPTSs include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

Rail Grade Crossing means an intersection of roadways, railroad tracks, or dedicated transit rail tracks that run across mixed traffic situations with motor vehicles, streetcar, light rail, commuter rail, heavy rail, or pedestrian traffic; either in mixed traffic or semi-exclusive situations. The boundaries of the intersection will be defined by the municipal, county, or state jurisdiction that owns and controls the roadway.

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. The boundaries of the intersection will be defined by the municipal, county, or state jurisdiction that owns and controls the roadway.

Rail Transit Agency (RTA) means any entity that provides services on a rail fixed guideway public transportation system.

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

Rail Transit Vehicle means the rail fixed guideway public transportation agency's rolling stock, including, but not limited to, passenger and maintenance vehicles.

Right-of-way (ROW) means any land on which a line of rail transit system is situated, including yard tracks, sidings, spurs and other track auxiliary to the line of transit system.

Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.

Risk Mitigation means a method or methods to eliminate or reduce the effects of hazards.

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

Safety Audit means a review or analysis of safety records and related materials, including, but not limited to, those related to financial accounts.

Safety and Security Certification means process the by which the RTA certifies a new start, major capital project, or other major system change is safe and secure.

Safety Risk Management means a process within a RTA's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

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 RTA 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.

Serious Injury means any injury which:
- Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received
- Results in a fracture of any bone (except simple fractures of fingers, toes, or nose)
- Causes severe hemorrhages, nerve, muscle, or tendon damage
- Involves any internal organ
- Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface

Small Starts Program is a Federal Transit Administration grant program for capital costs associated with new fixed guideway systems, extensions, and bus corridor improvements. Total project cost is less than $300 million and total Small Starts funding sought is less than $100 million.

Split Switch occurs when the trucks of a rail transit vehicle are on different tracks. This occurs when the leading truck of a rail transit vehicle passes through a switch in the intended direction of travel, and the second truck passes over the switch in the unintended direction of travel. It can also be when the lead truck is on the wrong track, and the trailing truck is on the correct track, if the vehicle arrives at the switch before it is properly set.

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.

State Safety Oversight Agency (SSOA) means an agency established by a state that meets the requirements and performs the functions specified by 5329(e) and the regulations set forth in this part.

Substantiated means that sufficient corroborative testimonial, forensic, and documentary evidence exists to permit a reasonable inference that a safety violation has occurred, or a safety deficiency exists.

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

Trailed Switch occurs when a rail transit vehicle is executing a trailing-point movement and the wheel flange forces the switch point against the running rail (also referred to as stock rail).

Transit Asset Management Plan is a document developed and adopted by the RTA describing, at a minimum, inventory of capital assets; condition assessments of inventoried assets; a decision support tool, and a prioritization of investments. 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.

Acronyms

AIP	Accident Investigation Procedure
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
EOP	Emergency Operations Plan
FAST	Fixing America's Surface Transportation Act
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
GDOT	Georgia Department of Transportation
IAAP	Internal Audit Program Plan
ISAP	Internal Safety Audit Program
ITP	Individual Training Plan
MAP-21	Moving Ahead for Progress in the 21st Century Act
MARTA	Metropolitan Atlanta Rapid Transit Authority
MMP	Mitigation Monitoring Plan
NTSB	National Transportation Safety Board
PHA	Preliminary Hazard Analysis
PMOC	Project Management Oversight Contractor
PMP	Project Management Plan
PRSR	Pre-revenue Service Review
PTASP	Public Transportation Agency Safety Plan
RAC	Risk Assessment Code
RAP	Rail Activation Plan
RFGPTS	Rail Fixed Guideway Public Transportation Systems
ROW	Right of Way
RTA	Rail Transit Agency
SEPP	Security and Emergency Preparedness Plan
SITP	System Integration Test Plan
SMS	Safety Management System
SOIL	Safety Open Items List
SOP	Standard Operating Procedure
SSC	Safety and Security Certification
SSCP	Safety and Security Certification Plan
SSCPP	Safety and Security Certification Program Plan
SSCVR	Safety and Security Certification Verification Report
SSI	Security Sensitive Information
SSOA	State Safety Oversight Agency
SSMP	Safety and Security Management Plan
TSA	Transportation Security Administration
TSO	Federal Transit Administration Office of Transit Safety and Oversight
TTP	Technical Training Plan
TVA	Threat and Vulnerability Assessment

SSO Program Standard Organization

The Georgia Department of Transportation (GDOT) State Safety Oversight Agency (SSOA) Program Standard is organized into the following sections that address the requirements identified by the Federal Transit Administration (FTA) in Section 5329 and 49 Code of Federal Regulations (CFR) Part 674.

Section 1: GDOT SSOA Program Standard Review and Distribution

This section of the Program Standard explains the authority of GDOT to oversee the safety of Rail Fixed Guideway Public Transportation Systems (RFGPTS); the policies that govern the activities of the GDOT; the reporting requirements that govern both GDOT and Rail Transit Agencies (RTAs); and the steps GDOT will take to ensure open, on-going communication between the GDOT SSOA and every RTA within its oversight. This section of the Program Standard also explains the process used by GDOT for developing, reviewing, adopting, and revising its minimum standards for safety, and distributing those standards to the RTAs. In addition, this section describes the annual process for GDOT submittal of the Program Standard and any referenced program procedures to FTA for review and evaluation.

Section 2: Public Transportation Agency Safety Plan

This section of the Program Standard specifies the minimum requirements to be contained in the RTA's Public Transportation Agency Safety Plan (PTASP). This section also describes the process and timeframe through which GDOT must receive, review, and approve the RTA's PTASP and associated plans and procedures.

Section 3: Security and Emergency Preparedness Plan

This section of the Program Standard specifies the minimum requirements to be included in the RTA's Security and Emergency Preparedness Plan (SEPP). This section also describes the process by which GDOT will review and approve the RTA's SEPP. In addition, this section identifies how GDOT will prevent the SEPP from public disclosure.

Section 4: RTA Internal Audits and Annual Certification

This section of the Program Standard explains the role of GDOT in overseeing an RTA's execution of its PTASP and SEPP as it pertains to internal safety and security audits. This section includes a description of the process used by GDOT regarding RTA audit notification, checklists, and procedures for conducting internal audits. This section also addresses the requirements for annual certification and annual internal audit reporting to the GDOT SSOA.

Section 5: Safety Risk Management Process

This section specifies the process by which the RTA will provide on-going reporting and analysis of safety risks to develop and implement appropriate mitigations. This section also specifies information to be included in the RTA's PTASP regarding the safety risk management process, including requirements for ongoing communication and coordination relating to the identification, categorization, reporting, investigation, and mitigation of hazards to GDOT.

Section 6: Event Notification, Investigation, and Reporting

This section of the Program Standard establishes requirements for an RTA to notify GDOT of safety events, including accidents that occur at an RTA. Specifically, this section defines the requirements for the time limits for notification, methods of notification, and the nature of the information the RTA must submit to GDOT for review and approval.

In addition, this section identifies thresholds for accidents that require the RTA to conduct an investigation; how GDOT will oversee and adopt an RTA's investigation; and the role of GDOT in

supporting any investigation conducted. Lastly, this section describes the procedures used by GDOT to protect the confidentiality of the investigation reports.

Section 7: GDOT SSOA Audits and Inspections

This section of the Program Standard explains the process and criteria used by GDOT, every three years, in conducting a complete audit of the RTA's implementation of their PTASP and SEPP. This section also describes the process and criteria used by GDOT to conduct reviews or special assessments of issues related to safety and security issues at the RTA. Finally, this section explains how GDOT may initiate a review of a particular subject matter area in response to a given safety event or safety risk identified.

Section 8: Corrective Action Plans

This section of the Program Standard explains the process and criteria by which GDOT may require an RTA to develop and carry out a Corrective Action Plan (CAP), and a procedure for GDOT to review and approve CAP implementation before closure.

Section 9: Federal Transit Administration Coordination and Certification

This section of the Program Standard addresses FTA reporting requirements for the SSO, including Initial, Annual and Periodic Submissions.

Section 10: Safety and Security Certification

This section of the Program Standard addresses GDOT's requirements to ensure that a project-specific Safety and Security Certification Plan (SSCP) is developed and implemented for new starts, system extensions, or major capital projects. Each SSCP must ensure that when revenue service begins, the project is safe and secure for passengers, employees, public safety personnel, and the public through a formal program of safety and security certification (SSC). This section of the Program Standard describes GDOT's oversight activities of the RTA during the design, construction, testing and start-up, and project turn-over phases.

Section 11: Public Transportation Safety Certification Training Program

This section of the Program Standard describes the public transportation safety certification training program 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 RTAs responsible for safety oversight.

SSO Program Overview and Management

Program Standard Purpose

The purpose of the Program Standard is to provide standards, procedures, and technical direction to assist Rail Transit Agencies (RTA) in implementing the requirements of the Georgia Department of Transportation (GDOT) State Safety Oversight (SSO) program. The Program Standard also specifies the safety and security information requirements for ongoing communication between GDOT and RTAs, and addresses GDOT's communication with the Federal Transit Administration (FTA), including initial, annual, and periodic submissions.

As defined in § 674.27, the State Safety Oversight Agency (SSOA) must adopt and distribute a written Program Standard that is consistent with 49 CFR Part 674, the National Public Transportation Safety Plan. The Program Standard must also identify the processes and procedures that govern the activities of the SSO, as well as the processes and procedures an RTA must have in place to comply with the Program Standard.

This document is the Program Standard adopted by the GDOT SSOA. The effective date of the Program Standard is January 31, 2023. This Program Standard supersedes all previous versions.

The FTA has established the federal safety requirements for all RTAs in the United States, including the Metropolitan Atlanta Rapid Transit Authority (MARTA) in the state of Georgia. These regulations, directives, and other policy and guidance documents collectively represent the safety and security requirements that RTAs must implement. The effective implementation of safety and security practices by RTAs is essential to compliance with all federal, state, and local laws. As such, the oversight activities of GDOT address all phases of safety and security of the MARTA systems.

GDOT SSO Program

The Moving Ahead for Progress in the 21st Century Act of 2012 (MAP-21), enacted as 49 U.S.C. 5329, set in motion a process whereby SSOAs must enhance their standards and practices and become certified by FTA within three years of the effective date of the new SSO Rule, codified as 49 CFR Part 674 in April 2016. 49 CFR Part 670, the Public Transportation Safety Program, further outlines the scope of FTA authority over RTAs and safety oversight activities, including the ability to conduct investigations, inspections, audits and examinations, and test the equipment, facilities, rolling stock, and operations of covered RTAs. The original SSO regulation, Part 659, and the associated portion of the U.S. Code, 5330, sunset in April 2019. In April 2018, GDOT was certified by the FTA as a 674-compliant SSOA.

The GDOT SSOA must comply with the statutory requirements specified in the following federal laws and rules:
- 49 U.S. Code § 5329, Public Transportation Safety Program/Fixing America's Surface Transportation (FAST) Act
- 49 CFR Part 672, Public Transportation Safety Certification Training Program
- 49 CFR Part 673, Public Transportation Agency Safety Plan
- 49 CFR Part 674, State Safety Oversight

As outlined in § 674.3, the SSO rule authorized under U.S.C. 5329(e) is applicable to states with RFGPTSs, and entities that own or operate RFGPTSs with federal financial assistance. Per § 674.5, a state that has a RFGPTS has primary responsibility for overseeing the safety of that RFGPTS. The SSOA must have sufficient authority, resources, and qualified personnel to oversee the number, size, and complexity of RFGPTSs that operate within their jurisdiction. Federal financial assistance will be made available by FTA to help eligible states carry out their SSO programs. FTA must certify SSO programs to ensure they meet the requirements of 49 U.S.C. 5329(e) and are adequate to promote public transportation safety programs codified at 49 U.S.C. 5329.

Every state that has an FTA grant recipient RFGPTS not under the jurisdiction of another federal agency must have an SSO program that:

- Is financially and legally independent from any RTA it oversees
- Does not directly provide public transportation services in an area with an RTA that the SSOA oversees
- Does not employ any individual responsible for administering an RTA
- Has authority to review, approve, oversee, and enforce the implementation of the RTA PTASP required under 49 U.S.C. § 5329
- Has investigative and enforcement authority with respect to the safety of the RTA
- Audits RTA compliance with safety plan requirements at least once every three years
- Reports the status of RTA safety to the governor, FTA, and RTA Board at least once a year

In the 2014 legislative session, the Georgia Code was amended to implement the federal Public Transportation Safety Program, 49 U.S.C § 5329. As such, GDOT is authorized to take the necessary steps to secure the full benefit of the federal program and to perform all acts necessary to ensure the efficient and safe operation of modes and systems of transportation, which includes rail fixed guideway public transportation systems. Appendix A includes a copy of the Official Code of Georgia Annotated, Title 32, Highways, Bridges, and Ferries, Chapter 9, Mass Transportation, Section 32-9-10 (2020).

GDOT SSOA retains the right to request documentation from covered RTAs as it relates to agency safety and security programs. RTAs must make available all records and documentation upon request. In addition, the GDOT SSOA may choose to convene meetings with RTA safety and security personnel related to any aspect of its ongoing safety and security program. At its discretion, GDOT may coordinate the date, time, and location for such meetings with responsible individuals and departments. GDOT will determine the meeting agenda, participants, and frequency of meetings in response to its routine oversight activities, or a given hazard, accident, incident or trend of such events.

Roles and Responsibilities

Responsibilities of the State
The primary responsibility of the state is to designate an oversight agency to oversee the safety of any RFGPTS that:

- Is not regulated by the Federal Railroad Administration (FRA)
- 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)
- 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)

Responsibilities of the State Safety Oversight Agency
As the oversight agency, GDOT is required to prepare and implement a Program Standard, which is a written document that describes the policies, objectives, responsibilities, and procedures used to provide safety and security oversight of RTAs. The Program Standard establishes the relationship between the oversight agency and RTAs and specifies the requirements that each RTA must follow. The Program Standard includes minimum requirements for: (1) safety practices to reduce the likelihood of unintentional events that may lead to death, injury, or property damage; and (2) security practices to reduce intentional wrongful or criminal acts.

Other responsibilities attributed to the GDOT SSOA include:

- Reviewing and approving RTA PTASP, SEPP, and associated procedures
- Ensuring RTAs develop and implement a PTASP that complies with the GDOT Program Standard

- Ensuring RTAs develop and implement an SEPP that complies with the GDOT Program Standard and
- Overseeing RTA internal safety and security audits
- Reviewing and approving RTA annual reports to GDOT SSOA
- Performing safety and security audits to assess RTA compliance with safety and security programs, as well as with the GDOT Program Standard
- Overseeing RTA event notifications and reviewing and adopting investigations performed on behalf of the GDOT SSOA
- Overseeing RTA safety risk management programs, including the identification, reporting, analysis, and mitigation of safety hazards
- Overseeing RTA CAPs to minimize, control, correct, or eliminate hazards
- Approving and verifying the implementation of the corrective actions by RTAs; and of the required reports to FTA as described in this Program Standard

Responsibilities of the Rail Transit Agency

In the state of Georgia, an RTA subject to 49 CFR Part 674 and the GDOT Program Standard must develop and implement a PTASP and SEPP. These plans and any supporting or referenced procedures must be submitted to GDOT for review and approval, according to schedules specified in this Program Standard.

In addition, the RTA's responsibilities include, but are not limited to:
- Conducting annual reviews to determine if the PTASP and SEPP need to be updated, and coordinating updates, reviews and approvals with the GDOT SSOA
- Developing and submitting to GDOT 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
- Performing internal safety and security audits to review the implementation of all components identified in the PTASP and SEPP
- Submitting annual reports to GDOT 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 status update of findings, corrective actions, and recommendations
- Submitting an annual certification to GDOT signed by the RTA Accountable Executive ensuring compliance with its PTASP and SEPP. In the event that the Accountable Executive cannot submit this certificate, the RTA must submit to GDOT the steps it will take to achieve compliance with the PTASP and SEPP
- Implementing a comprehensive safety management systems (SMS) program throughout the agency
- Implementing an effective safety risk management process specified in the PTASP and supporting ongoing coordination with the oversight agency
- Reporting any event that meets the thresholds specified in this Program Standard
- Conducting event investigations on behalf of GDOT as required in this Program Standard
- Preparing CAPs and implementing plans to minimize, control, correct, or eliminate hazardous conditions
- Assessing mitigation effectiveness as part of agency continuous approvement

GDOT Authorized Representatives

SSO Program Administrator

The SSO Program Administrator administers the day-to-day state safety and security oversight program and reports to the Assistant Division Director of Intermodal. The SSO Program Administrator oversees the GDOT SSO Program Manager, SSO Technical Manager, SSO Safety Specialists I & II, and SSO Contract Support. The SSO Program Administrator or their designee is authorized to arrange meetings with the Accountable Executive, Chief Safety Officer (CSO), and Chief Operations Officer or equivalent staff or contractor positions on issues related to RTA safety and security programs. The SSO Program Administrator serves as the official point of contact for the RTA on all matters pertaining to the GDOT SSO Program, the Program Standard, and related federal safety rules.

SSO Program Manager

The SSO Program Manager coordinates and manages scheduled program activities as directed by the Program Administrator. The program manager will be responsible to manage day-to-day program activities and maintain continuity of oversight responsibilities and ensure GDOT compliance with FTA requirements. The SSO Program Manager reports to the SSO Program Administrator.

SSO Technical Manager

The SSO Technical Manager reviews program technical documents and manages technical reviews and submissions as directed by the Program Administrator. The technical program manager will be responsible to manage all day-to-day technical aspects of the program and ensure GDOT compliance with FTA requirements. The SSO Technical Manager reports to the SSO Program Administrator. GDOT requires that all communications from the RTA regarding the administration of the GDOT SSO Program be directed first to the SSO Program Administrator, who will coordinate internally with the Intermodal Division Director, other GDOT executives, or its external oversight partners, such as FTA, as appropriate. In responding to the RTA, the SSO Program Administrator will follow the methods outlined throughout this Program Standard, including letters, review checklists, reports, logs, and other verbal and written communications, to expeditiously bring closure to programmatic issues as they arise. The organization chart for the GDOT Division of Intermodal is provided in **Appendix B**.

Table 1: GDOT SSOA Contacts	
GDOT SSOA Position	Contact Information
Office of Rail Safety Administrator	Chet Welch cwelch@dot.ga.gov Office: 404.631.1230
SSO Program Manager	Jihyun Park jpark@dot.ga.gov Office: 404.631.1304

Covered Rail Transit Agencies

RTAs covered by the GDOT program include any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, or automated guideway operating within GDOT's jurisdiction that is:

- Not subject to regulation by the Federal Railroad Administration (FRA)
- An RFGPTS in the planning, engineering, design, or construction phase of development within the jurisdiction of the state that will not be subject to regulation by the FRA

As of the effective date of this Program Standard, the RTA subject to the provisions of the GDOT SSO program is listed in **Table 2**.

Table 2: Covered Rail Transit Agency (RTA)			
Agency	Address	System Description	Revenue Operations Date
MARTA	2424 Piedmont Road, NE Atlanta, GA 30324	MARTA is the eighth largest multimodal transit system in the U.S. MARTA operates 338 heavy rail cars in 38 stations on 48.1 miles of rail and 122 miles of track (including mainline and yards). MARTA's service population is 1.7 million in the city of Atlanta, and Fulton and DeKalb counties. In 2018, MARTA acquired the operations and	1979 (heavy rail) 2014 (streetcar)

Organizational/Staffing Change Notification

The RTA will supply and update as necessary the points-of-contact for their safety and security programs to the GDOT SSO Program Administrator. If the RTA proposes organizational and staffing changes to designated personnel as identified in the RTA's PTASP including RTA's Accountable Executive, CSO, and Executive Management or other leadership positions with roles and responsibilities to implement the PTASP, GDOT requires the RTA to notify the GDOT SSOA in writing within five (5) business days. In its communication with the GDOT SSOA, the RTA should state any measures and mitigations in effect to ensure compliance with federal and state rail safety requirements.

Subsequently, GDOT in consultation with the FTA, will determine if the proposed organizational and staffing changes affect the RTA's ability to implement federal and state rail safety requirements. GDOT will communicate its determination in writing with additional technical guidance and directives, if any. The current RTA safety and security point-of-contact information is listed in **Table 3.**

Table 3: RTA Safety and Security Contacts	
MARTA Position	Contact Information
Chief Safety Officer	Ralph McKinney Department of Safety & Quality Assurance 2424 Piedmont Road, NE Atlanta, GA 30324-3330 Office: 404.848.4551 rmckinney@itsmarta.com
Chief of MARTA Police	Chief Michael Kreher MARTA Police Department 2424 Piedmont Road, NE Atlanta, GA 30324 Office: 404.848.4917 mkreher@itsmarta.com

Conflict of Interest

Financial and Legal Independence

As specified in § 674.41(a), GDOT is financially and legally independent from all rail fixed guideway public transportation systems under the oversight of the GDOT SSOA, unless the FTA Administrator has issued a waiver of this requirement in accordance with § 674.13(b).

Employees

As specified in § 674.41(b), GDOT may not employ any individual who provides services to a rail fixed guideway public transportation system under the oversight of the department. Specifically, no individual or entity may provide services to both the GDOT SSOA and the RTA, unless the FTA Administrator has issued a waiver of this requirement in accordance with § 674.13(b).

Contractors

As specified in § 674.41(c), a contractor may not provide services to both GDOT and a rail fixed guideway public transportation system under the oversight of GDOT SSOA. Specifically, a third-party contractor to GDOT or the RTA may not have a conflict of interest as defined herein unless the FTA Administrator has issued a waiver of this requirement in accordance with § 674.13(b). 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 GDOT SSOA or the RTA.

Annual Compliance Verification

Annually, by February 1 of each calendar year, GDOT will verify that none of the above conflicts of interest exist and include such verification in its annual report to the FTA.

Dispute Resolution

The Dispute Resolution Process is to resolve issues by escalating to the upper management in order to reach an agreement on the corrective actions necessary to ensure a safe and secure rail system.

1. If the concerns are of non-compliance to the SSO rules and regulations, the GDOT SSO Program Administrator attempts to resolve the issues of non-compliance with the RTA CSO to reach an agreement to ensure the safety and security of the rail system. The GDOT SSO staff documents these observations, inspections, interviews, planned resolutions, and monitors to ensure timely resolution.

2. If the GDOT SSO Program Administrator and the RTA CSO are unable to resolve issues of non-compliance with the RTAs Agency Safety Plan or GDOT Program Standard in a timely manner, the Assistant Division Director of Intermodal will bring the issue of non-compliance to the attention of the Accountable Executive of the RTA and the GDOT Intermodal Division Director. This is to be performed through a formal meeting and letter outlining the areas of non-compliance to the GDOT SSO Program with a requirement to respond with a CAP to address any areas of noncompliance. If the identified corrective actions from the RTA are acceptable, the issue will be considered resolved with continued monitoring.

3. If the GDOT Intermodal Division Director, GDOT Intermodal Assistant Division Director, and the RTA Accountable Executive are unable to resolve issues of non-compliance within a time period consistent with the urgency and severity of the issue, the GDOT Intermodal Division Director will bring the issue of non-compliance to the attention of the GDOT Commissioner and the RTA Board Chair in an effort to develop appropriate corrective actions that are agreed to and tracked to completion.

4. If at any time during this level of escalation issues cannot be resolved because of a lack of cooperation or responsiveness from the RTA, the GDOT Intermodal Division Director will refer the matter to the GDOT Office of Legal Services for referral to the Office of the Attorney General of Georgia for action under O.C.G.A. §32-9-10.

In accordance with O.C.G.A. §32-9-10 Implementation of federal Transportation Safety Program: "If any system fails to comply with an order of the GDOT to correct or to eliminate a hazardous condition, GDOT 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 subject of the order in fact creates an unreasonable risk to the safety or persons, property, or both, the court may order the system to comply with the GDOT's order or to take such other corrective action as the court finds appropriate.

GDOT SSOA Communications with the Public

Members of the public may contact the GDOT SSOA to submit a safety concern or to ask a safety related question pertaining to rail transit modes that GDOT oversees. Additionally, any individual may contact GDOT with a safety concern, to report a hazard, or an allegation of non-compliance with the PTASP. GDOT is required to investigate such concerns and allegations of non-compliance.

To submit a safety or security concern or complaint, any individual may contact GDOT by sending an email to gdotsso@dot.ga.gov or leaving a message at **404.631.1325**.

GDOT SSOA Program Key Reporting Dates

Table 4 below summarizes the key dates for document reporting throughout the year. Additional processes, including timelines for review and approval of such documents are captured in subsequent sections of this Program Standard and in **Appendix C**.

Table 4: GDOT SSOA Program Key Reporting Dates	
Date	Program Activity
January 31	RTA submits draft annual PTASP and SEPP updates to the GDOT SSOA (or formal determination that no update was needed).
January 31	RTA submits annual safety and security internal audit report to the GDOT SSOA, including Accountable Executive certification of compliance with the PTASP and SEPP.
March 15	The GDOT SSOA submits its annual report to the FTA.
October 1	GDOT SSOA transmits draft annual revision of the Rail Transit Safety and Security Oversight Program Standard to RTA for review and comment.
December 31	RTA submits year-ahead schedule of safety and security internal audits to the GDOT SSOA.

Section 1: GDOT SSOA Program Standard Review and Distribution

1.1 Purpose

The GDOT Program Standard is a written document developed and adopted by the GDOT SSOA, that describes the policies, objectives, responsibilities, and procedures used to provide safety and security oversight to the RTAs. The Program Standard is supported by referenced procedures that describe the activities identified in the Program Standard and provide additional detail regarding how the GDOT SSOA conducts its program. This section of the Program Standard identifies the minimum requirements for the Program Standard to be developed, reviewed, and adopted by the GDOT SSOA. This section also describes the distribution methods of this document to relevant stakeholders.

1.2 Review of Annual Submission

Federal and State Legislative Review

To ensure that the Program Standard is current and compliant with requirements stipulated in 49 U.S.C. § 5329, the GDOT Program Standard is reviewed upon any changes to the following federal and state legislation and corresponding implementation rules:

- 49 U.S. Code § 5329, Public Transportation Safety Program/Fixing America's Surface Transportation (FAST) Act
- 49 CFR Part 672, Public Transportation Safety Certification Training Program
- 49 CFR Part 673, Public Transportation Agency Safety Plan
- 49 CFR Part 674, State Safety Oversight, Final Rule
- Official Code of Georgia Annotated, Title 32, Highways, Bridges, and Ferries, Chapter 9, Mass Transportation, Section 32-9-10

RTA Review and Comment Process

At a minimum, the GDOT Program Standard will be reviewed on an annual basis to determine if any revisions are necessary. The GDOT SSOA will adhere to the following review and update schedule:

- By **October 1** of each calendar year, the annual review and identification of proposed revisions to the Program Standard will be completed by GDOT. At this time, GDOT will circulate the revised Program Standard in draft form to RTAs for review and comment.
- By **November 1** of each calendar year, the minimum 30-day review and comment period for the revised draft Program Standard will be completed by the affected RTAs.
- By **December 31** of each calendar year, the GDOT SSOA will review, update, and finalize the Program Standard based on RTA comments. A final Program Standard will be transmitted to the RTA upon completion.

While conducting its review, the GDOT SSO Program Manager may schedule a working session with RTA safety and security personnel or other appropriate staff and contractors. The purpose of the working session will be to review revisions, clarifications, or other information as necessary to adequately resolve comments. 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.

This annual revision schedule may be subject to change depending on the schedule of other SSO Program activities such as FTA SSO audits, three-year onsite audits, and major events. If the annual schedule needs to be adjusted, GDOT will transmit a formal letter stating as such to its covered RTAs with a revised timeline.

Final copies of the revised version of the Program Standard will be submitted to the RTA safety and security points-of-contact and the FTA as part of the SSO's Annual Submission. Final versions of the Program Standard will also be available for distribution.

1.3 Periodic Review and Update

At any given time, GDOT or RTA personnel may request changes to the GDOT Program Standard based on reviews or audits from internal or external sources, such as FTA, or based on policy changes, statewide meetings, and/or organizational changes. Each request for change will be reviewed by appropriate GDOT staff in a timely manner. Proposed changes to the Program Standard will be circulated for review in draft form to the RTA, in a manner described above for the annual review.

As with the annual reviews, final copies of the revised version of the Program Standard will be submitted to the RTA safety and security points-of-contact and the FTA as part of the SSO's Annual Submission. Final versions of the Program Standard will also be available for distribution.

1.4 Distribution of the Program Standard

The Program Standard is an official and controlled document that is distributed only by the GDOT SSO Program Administrator to various internal and external SSO program stakeholders affected by the program.

The Program Standard may be requested in writing by contacting the GDOT SSO Program Administrator at:

> Georgia Department of Transportation
> Division of Intermodal
> One Georgia Center, 6th Floor
> 600 West Peachtree Street, NE
> Atlanta, Georgia 30308-2214

In addition, copies of this document have been distributed directly to the FTA and the designated safety and security points-of-contact established by the RTA. **Appendix D**, includes a copy of the Program Standard Acknowledgement of Receipt that documents the review, understanding, and agreement to comply with the requirements of the Program Standard on behalf of the RTA.

1.5 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 Administrator and other SSO personnel. 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.

Section 2: Public Transportation Agency Safety Plan

2.1 Purpose

Per 49 CFR Part 673, each covered RTA must establish a compliant PTASP that includes details of the agency SMS.

The FTA specifies that the RTA SMS must be appropriately scaled to the size, scope and complexity of the RTA and include the following elements:

- Safety Management Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

The GDOT SSOA must review and approve PTASPs developed by RTAs, as authorized in 49 U.S.C. 5329(e) and its implementing regulations of 49 CFR Part 674. This section of the Program Standard identifies the minimum requirements for the PTASP to be developed, approved, adopted, and implemented by the RTA.

2.2 Minimum Plan Requirements

The RTA PTASP must include the requirements in 49 CFR Part 673, this Program Standard, and other federal requirements including the Bipartisan Infrastructure Law (BIL). At a minimum the PTASP must include:

- A requirement that the PTASP, and subsequent updates, must be signed by the Accountable Executive, approved by the RTA's labor-management safety committee, and approved by the agency's Board of Directors, or an equivalent authority
- Processes and activities related to the SMS implementation
- Performance targets based on the safety performance measures established under the National Public Transportation Safety Plan
- All applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan
- A process and timeline for conducting an annual review and update of the PTASP
- An emergency preparedness and response plan or procedures that address the assignment of employee responsibilities during an emergency; and coordination with federal, state, regional, and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area (or incorporate this plan by reference)
- A joint labor-management employee safety committee that is made up of an equal number of management representatives and frontline workers from the labor organization that represents the largest plurality of employees
- Recordkeeping requirements for the RTA to maintain its PTASP documents, including those related to the implementation of SMS, and results from SMS processes and activities. The RTA must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its PTASP. These documents must be made available upon request by the FTA or other federal entity, or an SSOA having jurisdiction. The RTA must maintain these documents for a minimum of three years after they are created.

The section below provides an overview of each SMS component and specific requirements to be included in RTA PTASPs.

Safety Management Policy

The SMS program must include a Safety Management Policy according to the requirements of § 673.23, which is a formal document endorsed by the Accountable Executive, distributed throughout the agency, and describes the commitment to support SMS by executive leadership.

It must include the following characteristics:
- Acts as the foundation of the RTA's SMS program
- Clearly states the RTA's safety objectives
- Sets forth the policy, procedures, and organizational structures necessary to accomplish the objectives and targets
- Defines senior leadership and employee authorities, accountabilities, and responsibilities for management of safety throughout the organization
- Ensures that senior leadership is actively engaged in the oversight of the RTA's safety performance by requiring the regular review of the Safety Management Policy, budget, and program designated by the Accountable Executive

Per 49 CFR Part 673, the Safety Management Policy must also include the following elements:
- Signature by the Accountable Executive and approval by the RTA's Board of Directors
- A clear statement about the provision of the resources for the management of safety necessary for service delivery
- A description of the employee safety reporting program including the reporting process, employee protections, and disciplinary actions and exemptions
- A description of unacceptable operational behaviors
- A description of communication, with visible endorsement, throughout the agency

Safety Risk Management

The SMS must include a Safety Risk Management component according to the requirements of § 673.25.

The Safety Risk Management process must include and establish the following elements:
- Safety Hazard Identification
  - Establish a process for identifying hazards and the consequences of the hazards
  - Establish a process to collect data and information from a variety of sources (e.g., information systems, employee and contractor safety reporting, inspections, internal audits, accident reports, committee reviews, industry data, customer feedback, capital projects); describe the affected system and subsystems to establish the scope of the hazard (safety risk); and establish a comprehensive team of subject matter experts and/or committees for the affected system to perform the analysis
- Safety Risk Assessment
  - Establish a process to assess the safety risks associated with identified safety hazards
  - Include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk
- Safety Risk Mitigation
  - Establish a process to identify mitigations or strategies necessary because of the agency's safety risk assessment to reduce the likelihood and severity of the consequences
  - Ensure that agency policies and procedures related to the prevention of infectious diseases are consistent with either Centers for Disease Control (CDC) and/or state department of health guidance
    - The PTASP should include a risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit

workers based on data submitted to the national transit database

Safety Assurance

The SMS must include a Safety Assurance component according to the requirements of § 673.27. The Safety Assurance process must include and establish the following elements:

- Safety Performance Monitoring and Measurement
  - Establish a process to monitor compliance with agency's operations and maintenance procedures
  - Establish a process to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended
  - Establish a process to conduct investigations of safety events to identify causal factors
    - Establish a process to monitor information reported through any internal safety reporting programs. The PTASP should include or reference a procedure, agreed upon and signed by GDOT that outlines the requirements and conditions of GDOT's risk-based inspection program
- Management of Change
  - Establish a process to identify and assess changes that may introduce new hazards or impact the RTA's safety performance
  - Establish a process to evaluate proposed changes that may impact safety performance through the Safety Risk Management process
- Continuous Improvement
  - Establish a process to assess the agency's safety performance
  - Establish a process to develop and carry out corrective actions to address identified safety deficiencies

Safety Promotion

The SMS must include Safety Promotion according to the requirements of § 673.29. The Safety Promotion process must include and establish the following elements:

- Competencies and Training
  - Establish and implement a comprehensive safety training program for all agency employees and contractors directly responsible for safety
  - Establish a refresher training program, as necessary
- Safety Communication
  - Establish a program to communicate safety and safety performance information throughout the organization that conveys, at a minimum:
    - Information on hazards and safety risks relevant to employees' roles and responsibilities
    - Informs employees of safety actions taken in response to reports submitted through an employee safety reporting program

2.3 Review of Annual Submission

The RTA must conduct an annual review of its PTASP including its ancillary plans and update it as necessary to ensure that the plan is current at all times. The RTA must conduct its annual review and submit revised PTASP and ancillary plans to the GDOT SSO Program Administrator by **January 31** each year. As appropriate, referenced materials affected by the revision(s) must also be submitted with the PTASP as shown in Table 2.1.

If the RTA conducts its annual PTASP review and determines that an update is not necessary for the year, it must prepare and submit a formal correspondence notifying the GDOT SSO Program Administrator of this determination by January 31. If GDOT wishes to object to this determination, the GDOT SSO Program Administrator will notify the RTA within **30 calendar days**.

Table 2.1: Schedule for Annual Review of PTASP			
Task	Responsible Agency	Duration	Target Date
RTA completes annual review and submits revised PTASP to GDOT SSOA.	RTA	--	Jan 31
Provides response indicating conditional approval or rejection of PTASP and requests additional information.	GDOT	30 days	Mar 1
RTA obtains signatures and approval by Accountable Executive and Board of Directors.	RTA	60 days	Apr 30
GDOT provides final PTASP approval.	GDOT	30 days	May 31

Each revised PTASP submitted to GDOT by the RTA must include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities. Within **30 calendar days** of receipt of the PTASP from the RTA, GDOT will review the plan and issue a written response and completed PTASP checklist. A checklist to be used as part of the review is found in **Appendix E**. If GDOT determines that the PTASP meets all requirements, GDOT will provide conditional approval upon its initial review. Once the RTA has received all appropriate signatures and approvals from the Accountable Executive and Board of Directors, GDOT will provide formal approval of the plan. If GDOT determines that the PTASP is not acceptable, GDOT will provide a completed PTASP 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 RTA's 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 Administrator at the time of the review.

If the GDOT SSO Program Administrator and the RTA's CSO are unable to resolve open items regarding the PTASP in a timely manner, the Program Administrator has the authority to bring concerns to the attention of the Accountable Executive of the RTA or equivalent position. GDOT will utilize the Dispute Resolution process outlined in the SSO Program Overview and Management section of this Program Standard. **Figure 2.1** at the end of this section details the PTASP update, review, and approval process.

2.4 Review of Periodic Submission

At any given time, additional reviews of the RTA's PTASP or ancillary plans may be required to address specific issues based on implementation and compliance to the FAST Act, Section 5329, 49 CFR Part 673, and/or the GDOT Program Standard or procedures; review of the RTA's documents; or other safety related project information. The review timeline will follow the annual submission timeline detailed above.

Figure 2.1   Public Transportation Agency Safety Plan – Review and Approval Process
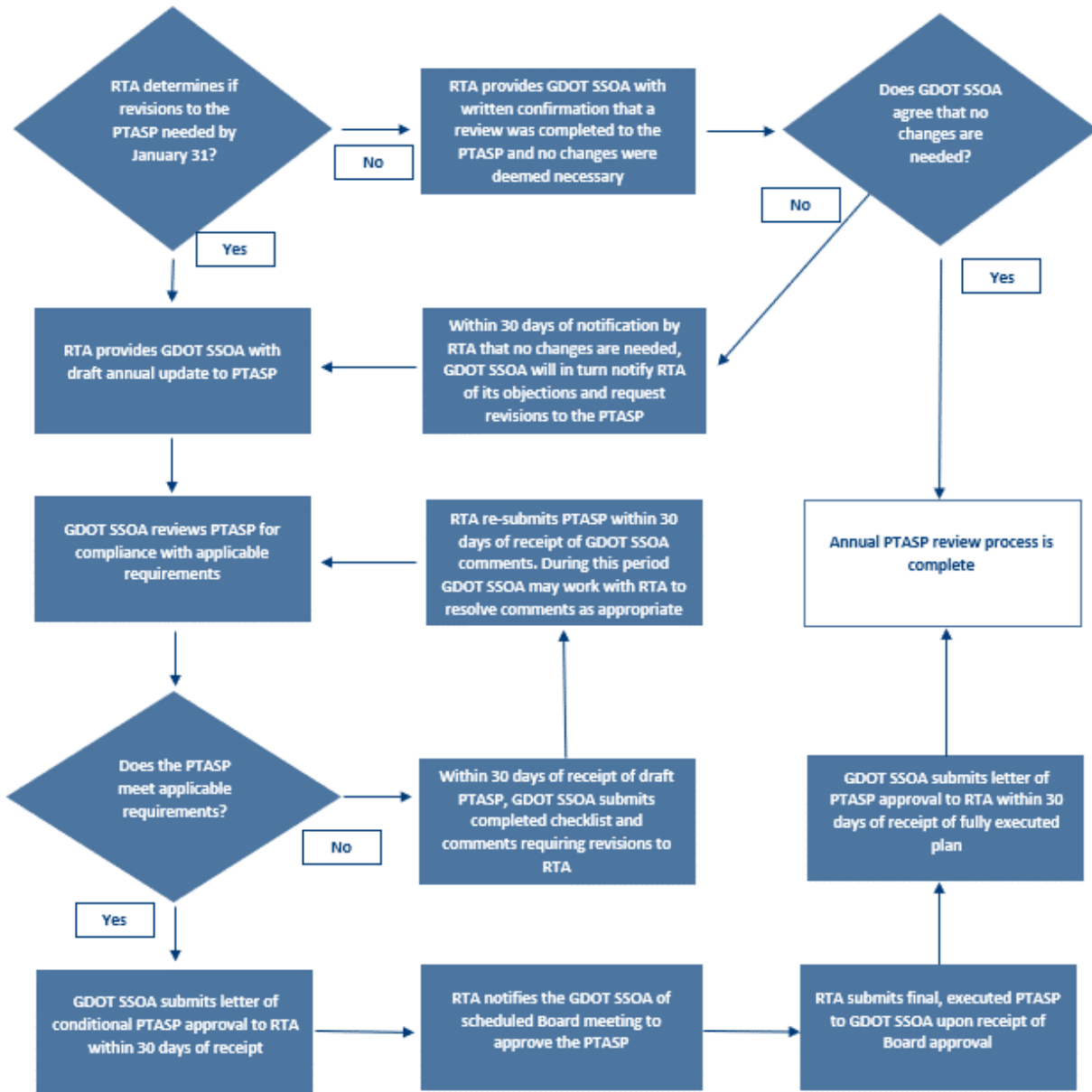
Section 3: Security and Emergency Preparedness Plan

3.1 Purpose

This section of the Program Standard identifies the minimum requirements for the Security and Emergency Preparedness Plan (SEPP) to be developed, approved, implemented, and updated by each RTA. This section also identifies how GDOT will prevent the SEPP and other security sensitive information from public disclosure by adhering to the policies and procedures for the handling of Sensitive Security Information (SSI) established by the RTA.

3.2 Minimum Plan Requirements

The RTA must develop, implement, and maintain a written SEPP that complies with the program requirements specified in **Appendix F** of this document and those outlined in 49 CFR Part 659.23. The SEPP must be prepared and maintained as a separate document and may not be part of the RTA's PTASP. In addition, compliance with the FTA guide is required for RTAs participating in the Department of Homeland Security Grant Program.

At a minimum, the SEPP developed by the RTA must:
- Identify the policies, goals, and objectives for the security and emergency preparedness program endorsed by the Accountable Executive of the RTA
- Document the RTA's process for managing system-wide threats and vulnerabilities utilizing all hazards approaches
- Identify controls in place that address the personal security and emergency preparedness for passengers and employees
- Document the RTA's process for conducting internal security and emergency preparedness audits to evaluate compliance and measure the effectiveness of the SEPP
- Document the RTA's process for making available its SEPP and accompanying procedures to GDOT for review and approval

3.3 Review of Annual Submission

The RTA must conduct an annual review of its SEPP including its ancillary plans and update it as necessary to ensure that the plan and its ancillary plans are always current. The RTA must conduct its annual SEPP review and submit a revised SEPP to the GDOT SSO Program Administrator by **January 31** each year. As appropriate, referenced materials affected by the revision(s) must also be submitted with the SEPP. If the RTA conducts its annual SEPP review and determines that an update is not necessary for the year, it must prepare and submit a formal correspondence notifying the GDOT SSO Program Administrator of this determination by **January 31**. If GDOT wishes to object to this determination, the GDOT point-of-contact will notify the RTA within **30 calendar days**.

Within **30 calendar days** of receipt of the SEPP from the RTA, GDOT will review the plan and issue to the RTA written approval of its SEPP and the completed SEPP checklist. If GDOT determines that the SEPP is not acceptable, GDOT will provide a completed SEPP 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 RTA's 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 Administrator at the time of the review.

If the GDOT SSO Program Administrator and the RTA's CSO are unable to resolve open items regarding the SEPP in a timely manner, the Program Administrator has the authority to bring concerns to the attention of the Accountable Executive of the RTA or equivalent position. GDOT will utilize the Dispute Resolution process outlined in the [SSO Program Overview and Management](#) section of this Program Standard. **Figure 3.1** at the end of this section details the SEPP update, review, and approval process.

3.4 Review of Periodic Submission

At any given time, additional reviews of the RTA's SEPP or its ancillary plans may be required to address specific issues based on implementation and compliance to the FAST Act, Section 5329, 49 CFR Part 674, and/or the GDOT Program Standard or procedures; review of the RTA's documents; or other security related project information.

3.5 Threat and Vulnerability Assessment

Within a three-year cycle, RTAs are required to perform a new or review a past Threat and Vulnerability Assessment (TVA) for any necessary updates. The GDOT SSOA will approve processes for TVAs through the annual review and approval of the SEPP. RTAs are expected to document its methodology for performing TVAs, including how it identifies, manages, and assesses vulnerabilities system wide utilizing an all-hazards approach. GDOT will monitor ongoing TVA activities as a part of the internal audit program oversight activities and may request a TVA to be submitted for review.

3.6 Security Sensitive Information

The GDOT SSOA will prevent SSI documents from being disclosed to the public by controlling access to electronic and paper copies of the plan at the GDOT project offices. The GDOT SSOA and/or its contractor may review security-related documents remotely or on-site at an RTA and, if required by the RTA, will accept password- protected, electronic documents. In addition to SSI-classified documents, the GDOT SSOA reviews and will keep secret any information contained within internal security audits, and threat and vulnerability assessments, unless the RTA issues its consent.

Although SSI is not classified information, there are specific procedures for recognizing, marking, protecting, safely sharing, and destroying SSI documents. As persons receiving SSI in order to carry out responsibilities related to transportation security, individuals are considered "covered persons" under the SSI regulation and have special obligations to protect this information from unauthorized disclosure. SSI is information that, if publicly released, would be detrimental to transportation security, as defined by Federal regulation 49 C.F.R. part 1520. When handling SSI documents RTAs must lock up any unattended SSI related material and store them in a secure container such as a locked file cabinet or drawer (as defined by Federal regulation 49 C.F.R. part 1520.9 (a)(1)). When SSI documents are no longer needed, they must be destroyed to preclude recognition or reconstruction of the information (as defined by Federal regulation 49 C.F.R. part 1520.19) such as using a crosscut shredder. All SSI documents must be marked as SSI. The regulation requires that even when only a small portion of a paper document contains SSI, every page of the document must be marked with the SSI header and footer below (as defined by federal regulation 49 C.F.R. part 1520.13).

Figure 3.1   Security and Emergency Preparedness Plan - Review and Approval Process
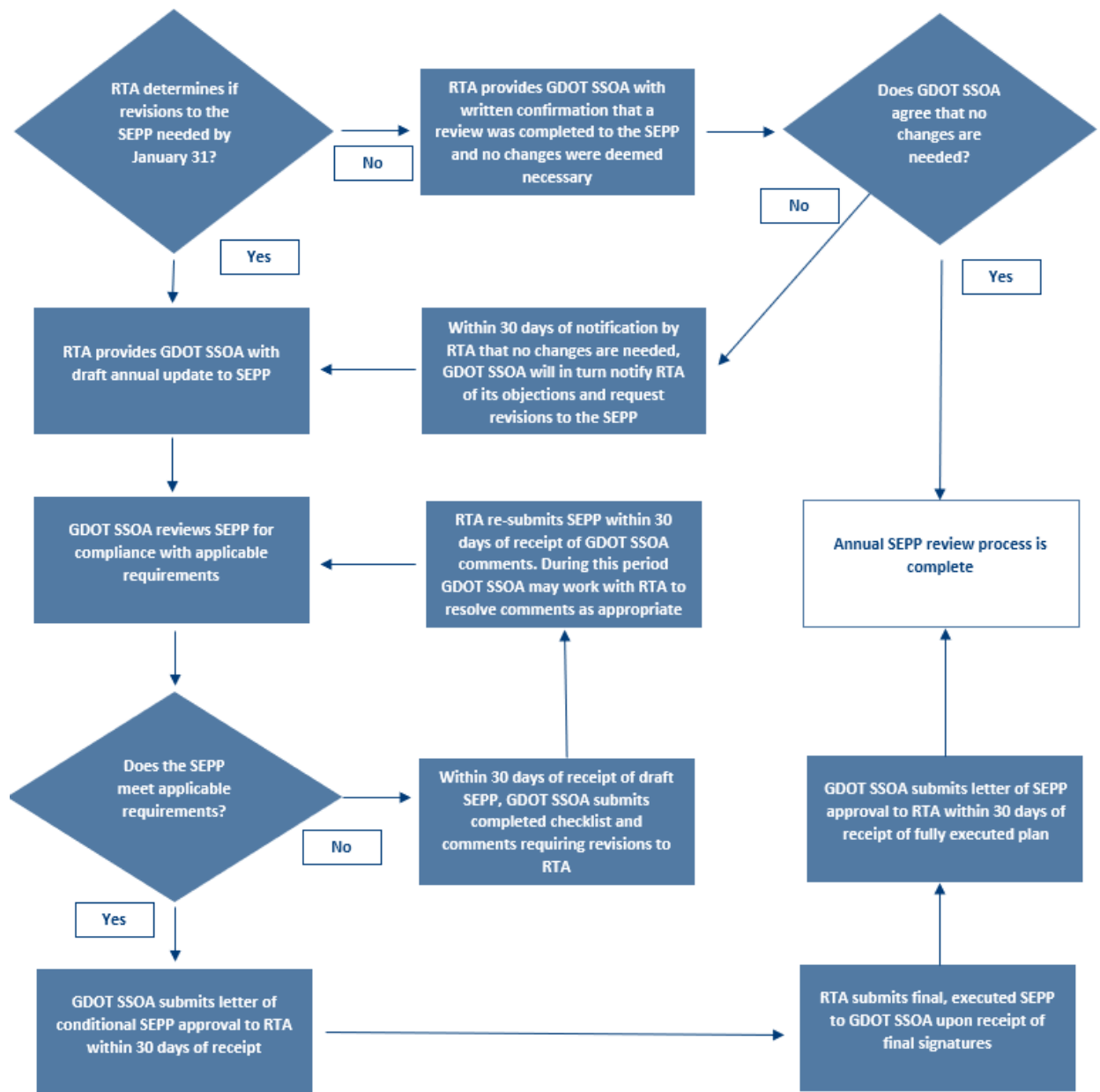
Section 4: RTA Internal Audits and Annual Certification

4.1 Purpose

Per § 674.27(a)(4), FTA requires that the GDOT SSOA oversees the RTA execution of internal safety audits of RTA's PTASP and ongoing safety program, which includes notification, audit activities, and reporting. The GDOT SSOA requires the RTA to develop and implement an internal process for conducting safety and security audits. This process must be documented in the RTA's PTASP and SEPP and reviewed and approved by GDOT. This section of the Program Standard details the requirement for internal audit programs and GDOT SSOA oversight.

4.2 Internal Audit Objectives

The GDOT SSOA program standard must explain the role of GDOT in overseeing RTA execution of its PTASP and any internal safety reviews. The internal audit program is intended to provide RTAs with a mechanism for assuring that plans are implemented, and procedures are performed in accordance with RTA and GDOT SSOA requirements. RTAs must ensure that internal audits are conducted by individuals independent from the function being audited and free of any conflict of interest and/or the appearance of a conflict of interest.

The key objectives of the internal audit program are as follows:
* Determine if programs described in the PTASP and SEPP are being implemented through audit techniques such as interviews, document reviews, field observations, and measurements
* Determine if hazards and areas of the PTASP and the SEPP that are non-compliant are being identified in a timely manner and appropriately tracked and mitigated using established safety risk management processes
* Issue findings when hazardous conditions or non-compliant practices are discovered, and recommendations or observations when processes or procedures can be improved
* Work with affected departments to address findings, mitigate deficiencies, or improve business practices through development and tracking of CAPs
* Determine whether the PTASP or the SEPP should be updated
* Ensure all components of the PTASP and the SEPP are reviewed in an ongoing manner and completed over a three-year cycle

4.3 Minimum Program Requirements

To ensure compliance with FTA's 49 CFR Part 674.27(a)(4), the RTA must develop an internal audit program for both safety and security programs that addresses the following:
* Audit Schedule/Annual Internal Audit Summary Report
  o A description of the process to develop and submit an internal safety and security audit schedule to GDOT, which addresses all required elements of the PTASP and SEPP, over a three-year cycle
  o A description of the process to provide, at a minimum, an annual internal audit annual report that also includes annual updates of this schedule
  o A description of the process to submit the internal triennial audit schedule with projected target dates to the GDOT SSOA by **December 31** each year
* Audit Procedures and Checklists
  o A description of the process to develop checklists and procedures for conducting the three-year audit cycle of the PTASP and SEPP
  o A description of the process to ensure that these materials include sufficient criteria to determine if all audited elements are performing as intended

- Audit Notification
  - A description of the process to notify GDOT not less than **30 calendar days** prior to the start of an internal safety or security audit
  - A description of the required notification content. The notification must include the time and location(s) of the internal audit as well as the name of the audited department
  - A description of the process to coordinate with GDOT in the event GDOT chooses to participate in an internal audit of which it is notified
  - A description of the process to provide to GDOT, at the time of notification, the checklists, and procedures relevant for the audit being conducted. These materials may be submitted to the GDOT point-of-contact in electronic copy via email
  - A description of the process established by the RTA to ensure the protection of SSI for security audits
- Internal Audit Report
  - A description of the process to prepare a written report documenting recommendations and any corrective actions identified as a result of each individual audit conducted
  - A description of the process to submit the internal audit report to the GDOT SSOA within **60 calendar days** of completion
- Audit Findings
  - A description of the process to develop CAPs for any identified deficiencies or findings of non-compliance. CAPs should be developed, implemented, and verified in according with Section 8 of this Program Standard

RTAs must adhere to the internal audit timeline as detailed in **Table 4.1** below.

Table 4.1: Timeline for RTA Internal Audits		
Task	Responsible Agency	Duration (Calendar Days)
Internal Audit Notification • Notifies the GDOT SSOA that on-site audit is scheduled.	RTA	30 days prior to audit
Conduct On-Site Audit • Conduct on-site audit and conclude with an exit briefing. • Conducts the on-site audit using the checklists transmitted to the RTA.	RTA	To be determined based on audit area
Transmit Final Report • Prepares and submits Final Report to the GDOT SSOA after conclusion of audit. The Final Report should include a summary of the audit methodology and any findings and recommendations identified during the review.	RTA	60 days

4.4 RTA Annual PTASP Certification and Internal Audit Report

In accordance with § 673.13, GDOT requires that RTAs submit a formal letter of certification, signed by the RTA's Accountable Executive, stating that the RTA is in compliance with its PTASP and SEPP, as well as the GDOT Program Standard and 49 CFR Parts 672, 673, and 674. This letter must be transmitted to the GDOT SSOA by **January 31**.

Enclosed with its annual certification, RTAs shall submit to the GDOT SSOA, a draft annual report for review and approval documenting all internal audit activities from the preceding calendar year, and the status of findings and CAPs associated with audits conducted. The annual internal audit report

may be delivered to GDOT via electronic mail or secure online file sharing service. After reviewing the draft annual report, the GDOT SSOA will issue a written response, either approving or rejecting the annual report. The GDOT SSOA will also review and approve or disapprove the activities proposed to close open findings. The GDOT SSOA will issue response within **30 calendar days** of receipt.

Section 5: Safety Risk Management Process

5.1 Purpose

Consistent with the general requirements in § 674.29, the GDOT SSOA requires the RTA to develop and implement safety risk management process integrated with a Safety Performance Monitoring and Measurements program as an integral part of RTA SMS programs. This section of the Program Standard describes the GDOT SSOA's ongoing role in overseeing the identification, assessment, and resolution of hazards, their associated safety risks, and their potential consequences. RTA procedures for developing strategies to reduce safety risks should utilize safety performance indicators, safety performance targets, and monitoring and documenting of resolution strategies.

5.2 Minimum Program Requirements

Covered RTAs must develop a comprehensive safety risk management process and document key components in its PTASP, including the methods used to:

- Identify safety concerns through various sources throughout the organization
- Determine what safety concerns meet thresholds that trigger the RTA's formal safety risk management process
- Assess safety risks and potential consequences of hazards in a manner that includes likelihood and severity, and consideration of existing mitigations and mitigations that can be practicably implemented
- Assign ratings to safety risks to facilitate the development of mitigations commensurate with the established requirements of each rating
- Identify, document, and assess current safety risk reduction strategies and mitigations for effectiveness to assure they are performing as intended
- Document the method for exchange of safety risk information between management and employees and vice versa
- Make provisions for the RTA to address time-sensitive safety concerns as soon as practicable
- Report required safety risk management activities and status updates to the GDOT SSOA, including both initial reporting and additional, ongoing, or periodic updates

Should the RTA's safety risk assessment determine that the safety risk is not acceptable without review, the RTA must include a discussion of the process to develop and implement safety risk mitigations to reduce the safety risk to the lowest practical level. This mitigation may be memorialized as mitigation monitoring plan, which may include an associated CAP. Refer to Section 8 of this Program Standard for additional information on corrective actions. Each safety risk mitigation should be tracked through the RTA's safety performance monitoring and measurement process.

GDOT requires the safety risk management process to address the following key elements:
- Hazard and Safety Risk Identification
  - The identification of hazards through investigations and through proactive processes aimed at identifying safety risks before they occur. RTAs must continually monitor and gather data on hazards and safety risks on an ongoing basis from a variety of sources, including, but not limited to
    - Employee or patron reports
    - Near miss/close call events
    - Capital projects/construction activity
    - Rule compliance reviews/efficiency checks
    - Audits/inspections
    - Drills/exercises
    - New systems testing

- Safety data trend analysis
- Event investigations
- Discussions and deliberations from formal and informal meetings
- Crime stats
- Reporting from the general public
- Hazard and Safety Risk Assessment and Tracking
  - The RTA's safety risk management process must detail its approach to safety risk assessment and meet the requirements of this Program Standard and GDOT notification and investigation requirements detailed in this Program Standard. The RTA must specify the type and extent of analysis and methodology used in assessing safety risk.
  - The RTA must establish methods or processes to assess the safety risks associated with the real and potential consequences of identified hazards. A safety risk assessment includes an assessment of the likelihood and severity of the consequences of the hazard, including existing mitigations, and prioritization of the hazards based on the safety risk.
  - The methodology must prioritize identified hazards based on safety risks and include determinations regarding what constitutes an acceptable and unacceptable safety risk. Additionally, the RTA must include a process for handling exceptions and/or variances to the established method of safety risk assessment. Based on the results of the RTA's assessment, the GDOT SSOA reserves the authority to require additional analyses or to conduct its own investigation of hazards and safety risks it deems significant.
  - The method for rating safety risks must be formalized and with normal determination made in advance as to what level safety risk is acceptable.
  - The categories of safety risk considered "Unacceptable" and subject to reporting and safety risk assessment in accordance with this Program Standard must be identified.
- Hazard and Safety Risk Mitigation
  - The safety risk mitigation process involves lowering the level of safety risk by reducing the severity of potential consequences, by reducing the likelihood of occurrence, and/or by reducing the exposure to the identified safety risk.

5.3 Hazard and Safety Risk Tracking

RTAs must identify methods for documenting hazard and safety risk data from across all affected agency departments in either the PTASP or a supporting document referenced in the PTASP. This could include, but is not necessarily limited to, spreadsheets, databases, meeting minutes, open items list, and specialized software applications.

At a minimum, RTA PTASPs or supporting materials should describe:
- How hazard and safety risk data are tracked across all relevant departments
- The roles and responsibilities of RTA personnel who collect and maintain the hazard and safety risk information across all relevant departments
- How the collected hazard and safety risk data are analyzed for severity and probability to determine the level of risk (the "rating") in accordance with the RTA's safety risk assessment process, and who is responsible for performing this analysis

RTAs are encouraged to refer to the following FTA guidance on the development of a Safety Risk Register for rail transit agencies. The RTA hazard and safety risk tracking log shall include an identification code/number, the type of hazard or safety risk, the source from which it was identified, or the element of the agency's operation affected by the hazard or safety risk (i.e., facilities, vehicles, track and signal, communications, training and procedures, etc.).

At least quarterly, RTAs shall make available to the GDOT SSOA a hazard tracking report that includes

information regarding:
- Any newly discovered hazards and safety risks for which RTAs have determined that mitigation is necessary
- Status update(s) on any ongoing hazard and safety risk mitigation activities

The log will be reviewed along with other RTA activities at quarterly meetings. Additionally, all hazard and safety risk tracking data across all affected departments must be accessible to the GDOT SSOA and made available upon request within a reasonable amount of time to be agreed upon on a case-by-case basis.

5.4 Unacceptable Hazards

5.4.1 Notification of Unacceptable Hazards
The RTA will notify GDOT of all unacceptable hazards that affect the immediate safety and security of the rail transit system.

At a minimum, should the RTA determine via a safety risk assessment if the hazard identified is "unacceptable" using the criteria and assessment process specified in its PTASP, the RTA will notify the GDOT 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." The RTA will transmit an electronic copy via email of the appropriately completed worksheets, forms, or other materials documenting the unacceptable hazard.

5.4.2 Investigation of Unacceptable Hazards
The RTA must investigate a hazard reported to GDOT as unacceptable in accordance with the provisions specified by the RTA in its PTASP and Safety Risk Management Plan submitted to and approved by GDOT. The RTA should maintain appropriate reports and supporting documents and make available to GDOT for review and evaluation.

The RTA will submit to the GDOT point-of-contact a Preliminary Report of the unacceptable hazard within **48 hours** of the hazard being reported to the GDOT point-of-contact. The RTA must submit the report in electronic copy via email or a secure file sharing and storage system.

The RTA will submit to the GDOT point-of-contact status reports of the unacceptable hazard investigation at least **monthly** until the investigation is completed. The RTA must transit these status reports in electronic copy via email or secure file sharing and storage system. Upon completing the investigation of the unacceptable hazard, the RTA will prepare and submit to the GDOT for review and approval a final report that includes a description of activities, findings, identified causal factors, and a CAP (if required).

The RTA will transmit an electronic copy of the final investigation report to GDOT via email. Within **30 calendar days** of receiving a report designated as final, GDOT will review the report, using the process specified in Section 6 of this document and will issue to the RTA written approval of the report. In the event that GDOT does not accept the RTA's report, GDOT 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.

5.4.3 Corrective Action Plans
If required, the RTA will develop a CAP to correct those elements or activities identified as deficient as a result of the investigation. In addition, GDOT may, during the course of an investigation, identify

conditions that require corrective action(s) to avoid or minimize the reoccurrence of the hazard or address a related, systemic problem. Procedures associated with the development, submission, review, and approval of CAP(s) are the subject of Section 8 of this document. At any time during an investigation, GDOT reserves the right to request a full briefing from the RTA on the known circumstances of the investigation, including corrective action(s)

Section 6: Event Notification, Investigation, and Reporting

6.1 Purpose

In accordance with § 674.27(7), the GDOT SSOA Program Standard must identify thresholds for accidents that require RTAs to conduct an investigation; address how RTAs will oversee an internal investigation; the role of the GDOT SSOA in supporting investigations conducted or any findings made by the FTA or National Transportation Safety Board (NTSB); and procedures for protecting the confidentiality of investigation reports. This section of the Program Standard defines event notification requirements for which RTAs must notify the GDOT SSOA and the FTA.

6.2 Accident Investigation Plan Requirements

RTAs must develop, implement, and maintain a written Accident Investigation Plan (AIP) that complies with the program requirements specified in this section.

The AIP must:
- Describe the authority for developing and implementing the plan, including requirements stipulated by the GDOT SSOA and FTA
- Identify the purpose of the plan and introduce the concepts for event investigation procedures used by the RTA
- Describe the scope, policies, criteria, and thresholds for conducting the RTA event/hazard investigations including those which are reportable, non-reportable, joint and independent. Identify the goals and objectives of the event/hazard investigation plan endorsed by the RTA management
- Provide a list of acronyms and definitions of important terms used in event/hazard investigations to the RTA
- Describe the methods, including timing, of the internal notification process and information to be provided to field personnel, Operations Control Center, emergency responders, and points of contact in the departments responsible for system safety and system security for accident, incidents, hazards and other emergencies impacting the RTA
- Describe the objectives, processes, and responsibilities of field personnel that conduct the initial response/onsite investigation for accidents, incidents, and hazards at the RTA
- Describe the process to ensure the preservation of the accident scene until the arrival of the designated event/hazard investigators, including the safety and security response team of the RTA, GDOT, FTA, or NTSB (in the event of a GDOT, FTA, or NTSB-led investigation)
- Describe the individuals, teams, processes and responsibilities of the Off-Site Investigator(s) of the RTA and participating agencies for accidents, incidents, and hazards
- Describe the requirements of the RTA's post-event/hazard investigation procedures including assessments, inspections, tests, research, analysis, briefings, and reporting
- Describe the process used to review, revise and approve the Accident/Incident Investigation Plan

6.3 Event Notification Requirements

6.3.1 Event Notification Thresholds

In accordance with § 674.33 and the Appendix to 49 CFR 674, RTAs are required to notify the GDOT SSOA within two (2) hours of any event that meets specified criteria as a reportable accident (see **Table 6.1** for criteria). Accidents, incidents, and occurrences are collectively referred to as events under 49 CFR Part 674. RTA shall use the criteria listed below to determine the classification of a safety event.

Table 6.1 Event Notification Thresholds
ACCIDENTS (Two-Hour Reportable)
Criteria for GDOT-Reportable Accidents
A loss of life. Loss of life means a fatality at the scene or within 30 days following the accident

A report of serious injury to a person. Serious injury means any injury which:
    1. Requires hospitalization for more than 48 hours, commencing within seven (7) days from the date of the injury was received
    2. Results in a fracture of any bone (except simple fractures of fingers, toes, or nose)
    3. Causes severe hemorrhages, nerve, muscle, or tendon damage
    4. Involves any internal organ
    5. Or involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface

A collision involving two or more rail transit vehicles, and all collisions involving at least one rail transit vehicle at grade crossing, with a person, or with an object that results in substantial property damage, serious injury or fatality *(see Note 1)*
A runaway train
An evacuation for life safety reasons
Any derailment of a rail transit vehicle, at any location, at any time, whatever the cause
Any criminal act that results in death or serious bodily injury *(see Note 2)*
Any right-of-way fire and smoke event that occurs in a tunnel, at a station, or in confined space environment
INCIDENTS (Submitted to GDOT SSOA on a quarterly basis)
Criteria for GDOT-Reportable Incidents
A personal injury that is not a serious injury
One or more injuries requiring medical transport
Split or trailed switches without derailment
Damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of an RTA
A maintenance-related evacuation of a train into the right-of-way or onto adjacent track; or customer self-evacuation
Certain low-speed collisions involving a rail transit vehicle that result in a non-serious injury or property damage
Damage to catenary equipment that disrupts transit operations
Any right-of-way fire in an open track environment, excluding tunnels, stations, and confined spaces
OCCURRENCES (Submitted to GDOT SSOA upon request)
Criteria for GDOT-Reportable Occurrences
Non-collision related damage to equipment, rolling stock, or infrastructure that does not disrupt the operations of the RTA
Close calls/Near misses
Safety policy and rule violations
Red signal overruns
Broken crossing gate
Vandalism of rail transit vehicle (e.g., broken window, offensive graffiti) that does not require removal of the vehicle from revenue service

Note 1: Substantial damage is any physical damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure. Substantial damage includes damages which adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment rolling stock, or infrastructure requiring towing, rescue, onsite maintenance, or immediate removal prior to safety operation. Substantial damage excludes damage such as cracked windows, dented, bent or small punctured holes in the body, broken lights, mirrors, or removal from service for minor repair or maintenance, testing or video and event recorder download. See the FTA Two-Hour Accident Notification Guide posted on the FTA website. (https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide-0)

Note 2: FTA two-hour notification is not required for criminal acts that result in death or serious bodily injury.

The RTA is required to develop and maintain the Event Tracking Report, which identifies all events including their status. This log will be submitted **no less than quarterly** to the GDOT secured file sharing and storage system.

6.3.2 Event Notification Procedures

6.3.2.1 GDOT Notification Procedures
Initial Notification. The RTA will provide initial notification to the GDOT SSOA by telephone at **404.631.1325** within **two (2) hours** of a reportable accidents.

The RTA will provide as much of the following information as possible in the message:
- US Department of Transportation Operations Center
- Name and job title of person reporting
- Name of the RTA
- Event type (fatality, injuries, property damage, evacuation, derailment or other)
- Location, date and time of event
- Initial assessment of the extent of fatalities, injuries
- Preliminary estimate of property damage
- Whether notification to FTA, FRA, NTSB – as applicable, is required

In addition, GDOT requires Initial Email Notifications, Preliminary Reports, Status Reports, and Final Reports sent to gdotsso@dot.ga.gov. RTAs must also provide any additional information to the GDOT SSOA regarding a reportable accident upon request.

6.3.2.2 Federal Transit Administration Notification Procedures
In accordance with § 674.33, RTAs must provide notification to FTA of any Accident within two hours. The RTA will notify the FTA Office of Transit Safety and Oversight within two hours for events that meet the FTA reporting thresholds via email provided below and copy the GDOT SSOA when the email is sent out. No phone notifications to FTA will be accepted, as the GDOT requires validation that reporting has occurred.

Email Notification:
- US Department of Transportation Operations Center
  - TOC-01@dot.gov

6.3.2.3 National Transportation Safety Board
The RTA will notify the NTSB Response Operations Center at **844.373.9922** at the earliest practicable time following any one of the following accidents as stipulated by Title 49 CFR Part 840.3:
- No later than **2 hours** after an accident which results in:
  - 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

- No later than **4 hours** after an accident which does not involve any of the circumstances enumerated in the 2 hours notification paragraph 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

6.3.2.4 Federal Railroad Administration
Each RTA that shares track with a general railroad system and is subject to the FRA notification requirements will notify the GDOT SSOA within **2 hours** of an incident for which the RTA must notify the FRA.

6.4 Investigation of Reportable Accident
In accordance with § 674.35, the GDOT SSOA must investigate or require an investigation of any accident meeting the thresholds identified in **Table 6.1**. Per § 674.35, GDOT is ultimately responsible for the sufficiency and thoroughness of all investigations, whether conducted by GDOT or the RTA.

In conducting these investigations, GDOT may authorize the following investigation approaches:
- RTA may conduct an investigation on behalf of GDOT
- GDOT may conduct its own independent investigation
- GDOT may conduct a joint investigation with the RTA
- Or GDOT may join the investigation through alongside the FTA or the NTSB's Party System, if the NTSB is investigating the accident

In any instance in which 1) an RTA is conducting its own internal investigation, 2) GDOT is conducting an independent investigation, or 3) GDOT is conducting a joint investigation, GDOT will conduct an independent review of the findings of causation.

6.4.1 RTA Investigations
It is the intent of GDOT for the RTA to investigate every reportable accident on behalf of the state of Georgia. GDOT's authorization for the RTA to investigate reportable accidents on behalf of GDOT is contingent upon GDOT's review and approval of the RTA's Accident Investigation Procedure At any time, GDOT may participate in the investigation process. The terms of participation must be specified in the RTA's PTASP and the RTA's AIP. For all investigations conducted by the RTA on behalf of GDOT, GDOT and the RTA must use the investigation procedures that have been reviewed and approved by the GDOT SSOA. Investigation participants are expected not to withhold information from the Investigator-In-Charge nor disclose information to parties outside the investigation especially the media. If the state decides to participate in the investigation, GDOT's point-of-contact will notify the RTA's safety or security point-of-contact by telephone or email and follow up with written notice.

GDOT requires a preliminary and a final report from the RTA for every investigation of a reportable accident. In addition, for investigations that take more than **30 calendar days** to complete, GDOT requires **monthly** status reports. All reports may be transmitted to GDOT in electronic copy via email or secure file sharing and storage system. All reports must be signed by the individual responsible for conducting the investigation.

Preliminary Report

Within **48 Hours** of a reportable event, the RTA must provide an update via email to the GDOT SSOA of the initial findings of fact; its investigation plans; FTA, FRA or NTSB involvement in the investigation; and whether an ad hoc investigation committee will be convened. The preliminary report must contain the following information:

- Notification Time (GDOT, FTA, FRA, NTSB – as applicable)
- Name and job title of person reporting
- Name of RTA
- Accident type (fatality, injuries, property damage, evacuation, derailment or other),
- Location, date and time of event
- Fatalities
- Injuries (number, severity)
- Rail transit vehicle(s) involved (type, number)
- Other vehicles involved (describe)
- Preliminary estimate of property damage
- Is accident NTSB reportable and will NTSB investigate
- Is accident FRA reportable and will FRA investigate
- RTA primary person (i.e., Chief Investigator) conducting the investigation (name, title, cell, office numbers, email address)
- Description of event
- Implemented and/or planned corrective actions
- Ongoing investigation activities

Status Reports

Until the investigation is completed, the RTA will prepare and submit an investigation status report every **30 calendar days**.

The investigation status report at a minimum will include:

- Minutes of any meeting held by an RTA's ad hoc reportable accident investigation committee or contractor
- Disclosure of any immediate actions the RTA has taken, planned or completed
- Principal issues or items currently being evaluated
- And overall progress and status of the investigation

At its discretion, GDOT may require the RTA to prepare a summary report of ongoing investigations related to identified trends. At any time during an investigation, the RTA must be prepared to provide a full briefing on the known circumstances of the event, status of the RTA, FTA, FRA or NTSB investigation, and investigation activities.

Draft Final Report

Each RTA investigation conducted on behalf of GDOT must be documented in a draft final report that includes a description of investigation activities, findings, identified causal factors, and CAPs (if required). GDOT requires RTAs to separate its investigation reports into two parts:

1. Description of investigation activities, investigation findings, and determination of the most probable cause and any additional contributing causes
2. Recommendations to prevent recurrence and CAP(s), if required

The RTA may utilize investigations from its safety department or from frontline departments such as operations and maintenance; however, identification of findings of causation must be made and report content requirements listed in this Section must be met.

6.4.1.1 GDOT SSOA Review and Approval Process

Upon receipt of the RTA's Draft Final Report, GDOT will review the report in accordance with the checklist specified in **Appendix G** of this document. In the event that GDOT has feedback or would like additional information to be included in the Final Report, GDOT will communicate in writing to the RTA's safety and/or security point-of-contact. GDOT will work with the RTA to address these issues in the RTA's Final Report. In the event that agreement cannot be reached on these issues, GDOT will utilize the Dispute Resolution process outlined in the SSO Program Overview and Management section of this Program Standard.

GDOT will review and approve or provide feedback on RTA Final Reports within **30 calendar days** of receipt. If the review will take longer than 30 calendar days, GDOT will notify the RTA in writing on or before **30 calendar days** from receipt and provide a revised date for the completion of the review checklist.

6.4.1.2 Documentation Sensitivity and Retention

Reports and records of accident investigations submitted to GDOT by the RTA, as well as related reports and records produced by both GDOT and the RTA, will be treated as confidential information, and will be released in compliance with state and federal law.

With the exception of the RTA's Accident Investigation Final Report, all investigation material (e.g., audio and video files, physical evidence from the scene) that the RTA provides to GDOT for review purposes will be considered confidential property of the RTA and will be returned to the safety or security point-of-contact or will be reviewed onsite. GDOT will not maintain copies of this material.

6.4.2 GDOT Investigations

The GDOT SSOA may conduct an independent investigation of any accident reported by an RTA. The GDOT SSOA will inform the RTA of its intention to conduct an investigation or participate in an investigation of a reported accident no later than **seven (7) calendar days** following receipt of the initial event notification.

The GDOT SSOA will advise the RTA of the following:
- Investigation processes
- Identity of individual(s) conducting the investigation
- Tentative schedule of investigation activities

RTAs shall assist the investigators by providing required information and resources necessary for conducting the investigation. The GDOT SSOA will complete a report that includes a description of investigation activities, findings, identified causal factors, and proposed CAP(s) as warranted. The draft final report will be completed within **30 calendar days** after completion of the investigation and will be formally transmitted to the RTA.

If the RTA does not concur with GDOT's draft final investigation report, the RTA may submit a written dissent for inclusion as an attachment or appendix to the final report. Written dissent must be submitted to GDOT within **15 calendar days** of receipt of GDOT's draft final investigation report. The GDOT SSOA will transmit the final investigation report to the RTA within **30 calendar days** of issuing the draft final report.

6.4.3 NTSB Investigations

The NTSB may investigate a safety 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 cause or causes; and recommendations to reduce the likelihood of recurrence.

In the event of an NTSB investigation at an RTA, the RTA shall be responsible for the timely notification of the GDOT SSOA and for providing information on NTSB activities including meetings, interviews, requests for data, functional testing, examination of equipment, and the results of drug and alcohol tests. The GDOT SSOA will assist the NTSB by providing information requested about RTA practices and other matters as appropriate. If the NTSB releases preliminary findings and recommendations, the GDOT SSOA is authorized to participate in any discussions and reviews with RTAs and the NTSB.

The GDOT SSOA and RTAs will review any NTSB findings, draft, and final reports and make a determination of whether or not to adopt the NTSB recommendation(s). Should the NTSB recommendation(s) be adopted, RTAs shall prepare CAPs to address the findings in accordance with the procedure detailed in Section 8 of this Program Standard.

Section 7: GDOT SSOA Audits and Inspections

7.1 Purpose

This section addresses GDOT's procedure to conduct triennial safety and security audits performed onsite at the RTA as required in § 674.31. The audit will assess an RTA's compliance with written safety and security plans, policies, and procedures as well as applicable federal, state, and local requirements. This section also provides details of GDOT's ongoing inspection program, including risk-based inspections.

7.2 Minimum Program Requirements

In conducting the three-year safety and security audit, GDOT will establish an audit team and prepare a schedule, procedures, and checklists to guide the audit process. Criteria will be established through which GDOT can evaluate the RTA's compliance with its plans, policies, and procedures.

At the conclusion of the audit, GDOT will prepare and issue a report containing evaluation assessment results from the audit, which will analyze the effectiveness of the PTASP or SEPP. Recommendations for improvements and corrective actions required as a result of the audit will be managed through the process described in Section 8 of this document.

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

7.3 Triennial Audit Process and Procedures

7.3.1 Pre-Audit Activities

The GDOT point-of-contact will establish a schedule and determine staffing for conducting the audit at the RTA operating within the state's jurisdiction. This schedule will include milestones for the development of checklists to guide the audit; notification to the RTA regarding the audit; request for documentation; details of audit activities; preparation of a draft report for RTA review and comment; issuance of a final report; and the receipt, review, approval, and tracking through implementation of CAPs, if required.

GDOT will formally notify the RTA's safety and security point-of-contact of the upcoming audit, no less than **60 days** before the audit is scheduled. This notification will occur via email or via secure file sharing and storage system. GDOT and the RTA may choose to schedule a pre-audit meeting to review any questions or concerns, and coordinate audit schedules.

7.3.2 Audit Activities

Triennial safety and security audits will include an evaluation of all elements identified in RTA's PTASP and SEPP. Audits will begin with an entrance briefing that describes the review process. Activities will include reviewing records, reports, procedures, practices, or conditions to ensure they comply with PTASP and SEPP procedures. The GDOT SSOA will provide an exit briefing at the conclusion of audit activities and will include a preliminary indication of the audit's findings and observations.

Verification methods include:
- Document Review: Sampling of RTA's PTASP and any referenced and/or supporting procedures to ensure that each required element of the Program Standard and FTA requirements are addressed; and
- Rules Review: Sampling RTA's operating rules, bulletins, maintenance rules, and procedures to determine if they have been reviewed and updated on a regular basis, if they have been distributed

to appropriate RTA personnel as specified in the PTASP, if training has been offered, and if this process has been documented and tracked

- **Records Review**: Sampling of RTA's records for evidence of implementation of the PTASP and any referenced or supporting procedures. Records reviewed and/or sampled may include safety data inventory, training records, records of employee rules compliance checks, internal safety audit reports, maintenance inspection reports, minutes of safety committee meetings, etc.
- **Interviews with RTA Senior Management**: Discussions with senior RTA management, to assess their knowledge of RTA's safety and security program, as specified in the PTASP and the SEPP referenced or supporting procedures, and to gauge their commitment to the safety and security program
- **Interviews with RTA Safety Personnel**: Discussions held with RTA personnel, including the Chief Safety Officer, to assess implementation of the RTA's safety program, to identify issues in its implementation and to highlight areas of deficiency with the GDOT SSOA program, federal, or state requirements
- **Interviews with Other RTA Personnel**: Discussions held with other RTA personnel to verify their understanding of requirements specified in the PTASP, SEPP, and any referenced or supporting procedures
- **Field Observations**: Observations and sampling conducted at RTA to observe implementation of the processes and procedures described in the PTASP, the SEPP, and supporting or referenced documents, procedures, and materials related to RTA's safety and security program
- **Inspections and Measurements**: Measurements and inspections conducted at RTA to ensure that RTA's infrastructure and equipment are maintained to the specifications identified in RTA's standards, procedures, and manuals and applicable industry standards

7.3.3 Review Criteria
GDOT will assess each audit component according to the following evaluation criteria:

- **Compliant**: Audit items that receive a Meets Criteria designation demonstrate the RTA has effective practices and is in compliance with established criteria. No CAP is required.
- **Observation**: Audit items that receive an observation are conditions whereby the RTA may technically be conducting business in compliance with applicable internal and external requirements, but they may not be compliant with industry best practices. Observations may also be commendations of RTA best practices that the authors found noteworthy.
- **Finding of Non-compliance**: Finding of non-compliance are instances where the RTA is operating out of compliance or out of accordance with an applicable internal or external written requirement, plan, policy, rule, standard, or procedure. Findings of non-compliance may be safety or security-critical in nature. If non-compliance is found to exist, GDOT will issue a finding and the RTA is required to develop an appropriate CAP. Depending on the severity of the deficiency, the RTA may be required to develop immediate or emergency corrective actions.

7.3.4 Triennial Audit Reports
Following the completion of the onsite audit, the GDOT team will prepare a draft report, which will provide:

- Verification that the PTASP or SEPP are integral parts of the RTA's overall management, engineering, operating, and maintenance practices, and/or identification of deficiencies or areas requiring improvement
- Verification that the PTASP or 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 the RTA regularly monitors compliance with the PTASP or SEPP through a continuous and ongoing internal safety and security audit process, and/or identification of

deficiencies or areas requiring improvement

- Verification that the RTA identifies potentially serious conditions, hazards, threats, and vulnerabilities, and those 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 the RTA, and/or identification of deficiencies or areas requiring improvement
- Verification that the RTA's emergency preparedness and terrorism preparedness programs are being implemented as specified in the PTASP or SEPP, and/or identification of deficiencies or areas requiring improvement
- Verification that specific activities and tasks identified in the PTASP or SEPP are being carried out as specified in these plans, and/or identification of deficiencies or areas requiring improvement
- Verification that the RTA is compliant with its own operations and maintenance plans, policies as procedures
- Recommendations when a gap is identified between industry best practices and RTA plans, policies, and procedures

The draft report will be delivered to the RTA's safety or security points-of-contact via email or via secure file sharing and storage system no more than **60 calendar days** after the conclusion of the onsite audit. GDOT will make every effort to expedite its analysis; however, if the report will take longer than **60 calendar days** due to the complexity and/or volume of the final report and supporting documentation, or other extenuating circumstances, GDOT will notify the covered RTA in writing and provide a revised date for the completion of the report.

The RTA will have **30 calendar days** to respond to the draft report with any factual corrections and to prepare draft corrective actions as requested by GDOT in the draft report to address any identified findings, recommendations, or concerns. Upon receipt of the RTA's response, GDOT will make any required revisions to the draft and issue the final report.

7.3.5 Triennial Audit Timeline
The GDOT SSOA will follow the timeline outlined in **Table 7.1** when conducting a triennial audit.

Table 7.1 Timeline for Triennial Audit Timeline		
Task	Responsible Agency	Duration (Calendar Days)
Triennial Audit Notification	GDOT	60 days prior to audit
Conduct Onsite Audit & exit briefing	GDOT	To be determined based on audit area
Prepare Draft Report	GDOT	60 days after audit
Review Draft Report & CAP Development	RTA	30 days
Response to the RTA comments & Transmit Final Report	GDOT	30 days

7.4 Other GDOT Audits
At its discretion, GDOT may conduct audits, inspections, reviews or special assessments of issues related to system safety and system security at the RTA system. 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 assessment, GDOT may issue a report containing findings and observations that will be subject to the CAP process described in Section 8 of this Program Standard.

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

7.5 Onsite and Risk-Based Inspections

GDOT will work to develop and implement a risk-based inspection program that is consistent with FTA Special Directive 22-29, which was issued on October 21, 2022. Once finalized, the program will be documented in a GDOT SOP that will be reviewed on updated on an annual basis alongside this Program Standard or as needed. This section of the Program Standard serves to summarize how GDOT efficiently uses limited inspection resources to maximize safety impact by identifying areas of higher safety risk and targeting inspections in these areas.

7.5.1 Inspection Authority

As stated in § 674.37, GDOT may monitor the RTA's progress in carrying out CAPs through unannounced, onsite inspections. GDOT may conduct announced and unannounced risk-based inspections of RTAs within its jurisdiction. GDOT requires the RTA to assist and cooperate with announced and unannounced risk-based inspection activities.

7.5.2 Inspection Notification

For announced inspections, GDOT will formally notify the RTA of the upcoming risk-based inspection no less than **7 calendar days** before the inspection is scheduled and assign a team of subject matter experts with expertise relevant to the system elements subject to inspection. GDOT will coordinate with the RTA for proper planning and protocols for inspection activities.

7.5.3 Inspection Data Sources

GDOT may require the RTA to provide data from a variety of sources for safety risk assessments to inform inspections. These sources include but are not limited to:

- RTA reporting to the SSOA, including details from events, CAPs, and hazards
- RTA reporting to the National Transit Database including service, financial, asset inventory, and event data
- RTA data systems, including internal data such as inspection and maintenance records and logs, event investigations, and dispatch / controls center logs
- GDOT ongoing operations, stations, and facilities reviews

In addition to the information gathered by GDOT as outlined in **Table 1.6.1**, including the Quarterly Hazard Management Meetings and documentation from the Triennial Onsite Audit process, GDOT may request additional information from the RTA as part of the Risk Based Inspection process.

7.5.4 Inspection Risk Assessment

GDOT may conduct announced or unannounced risk-based inspections in response to the safety risk assessments of individual rail safety events such as accidents, incidents, occurrence, hazard, or trends of such events. GDOT may prioritize its announced and unannounced risk-based inspections based on safety risk assessments of safety critical elements, such as equipment, rolling stock, infrastructure, and facilities.

7.5.5 Inspection Reporting

Upon completing an announced or unannounced risk-based inspection, GDOT may issue a letter or report to the RTA to address findings found during the inspection. If the inspection is performed as

part of a Triennial Onsite Audit, GDOT may capture the findings in the Draft Report and/or a letter following the conclusion of the onsite portion of the audit.

Section 8: Corrective Action Plans

8.1 Purpose

As defined in § 674.37, in any instance in which an RTA must develop and carry out a CAP, the SSOA must review and approve the CAP before the RTA carries out the plan. This section of the Program Standard addresses GDOT's requirements to ensure that a CAP program is developed and describes the RTA's process to develop and implement CAPs identified through event investigations, the safety risk management process, audits of the RTA's implementation of its PTASP and SEPP, or recommendations identified by the GDOT SSOA.

This section also addresses GDOT's requirements to ensure that CAPs describe actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking actions, and the individuals responsible. Lastly, this section defines the CAP reporting requirements by the RTA to GDOT on its progress in carrying out the CAP and policies for the verification and tracking of CAP implementation.

8.2 Minimum CAP Program Requirements

The RTA must develop, implement, and maintain a written requirements related to its CAP program that comply 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, FRA, 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 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 the RTA's internal safety and security audit final reports.
    - Hazards and Safety Risks: CAPs or mitigations will be developed to correct those elements or activities identified as deficient as a result of hazard and safety risk investigations. In addition, GDOT may identify corrective actions to avoid or minimize the reoccurrence of an unsafe condition or address a related, systemic problem. CAPs will also be developed to address findings and recommendations from formal hazard analyses.
    - Event Investigations: CAPs will be developed when the results of the RTA's investigations identify causal or contributing factors that can be minimized, controlled, or corrected such that the identical or similar situations will not reoccur ("reactive").
    - Triennial Onsite Safety and Security Audits: CAPs will be developed for deficiencies and areas of concern resulting from a GDOT Triennial Onsite Safety and Security Audit
    - 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 minimum requirements identified in **Table 8.1** below.
- A description of the CAP internal and external notification process, including coordination with the RTA's safety and security points-of-contact and GDOT.

- A description of the CAP internal and external review and approval process, including coordination with the RTA's safety and security points-of-contact and GDOT. The plan must also describe the process for the RTA to resolve disagreements with GDOT regarding CAP development, approval, implementation, monitoring, or tracking.
- A description of the CAP monitoring and tracking process, including a sample CAP Tracking Report.

8.3 CAP Development and Notification Process

8.3.1 CAP Development and Notification Requirements

GDOT requires that the RTA will develop a CAP with the intent of addressing the hazard or deficiency as a result of an accident investigation, the hazard management process, or the internal safety and security audit reviews performed by the RTA, or external reviews performed by FTA, FRA, GDOT, or other parties.

The RTA will notify GDOT that a CAP will be developed and must submit a CAP to GDOT within **30 calendar days** after the need for the corrective action has been identified by the RTA or GDOT. Depending on the complexity of the issue requiring corrective action, and at GDOT's discretion, additional time may be granted to the RTA to prepare the CAP.

Per § 674.37, an exception may be made for emergency corrective actions that must be taken to ensure immediate safety, provided that GDOT has been given timely notification. The RTA will provide initial notification to the GDOT point-of-contact within **24 hours or by 5:00 p.m. on the next business day** following the determination of the need for immediate or emergency corrective actions taken.

8.4 CAP Review and Approval Process

8.4.1 Review and Approval Process

In accordance with § 674.37(a), in any instance in which an RTA must develop and carry out a CAP, the GDOT SSOA must review and approve the CAP before implementation of the plan. The GDOT SSOA will notify RTAs in writing of its approval or rejection of a CAP within **30 calendar days** of receiving the proposed CAP. In the event the GDOT SSOA rejects a CAP, GDOT will state its reasons in writing and recommend revisions. RTAs shall submit a revised CAP to the GDOT SSOA no later than **30 calendar days** following the rejection. The GDOT SSOA and RTA will work in cooperation to discuss the noted deficiencies, which could include a meeting.

For emergency corrective actions, GDOT SSOA will review the information submitted by the RTA and communicate its approval or further information in writing within **five (5) business days** of receiving notification of an immediate or emergency CAP.

If the GDOT SSOA and RTA cannot come to an agreement regarding appropriate CAPs or CAP resolution, GDOT will utilize the Dispute Resolution process outlined in the SSO Program Overview and Management section of this Program Standard.

8.5 CAP Monitoring and Tracking

8.5.1 CAP Tracking

The RTA will develop and maintain a CAP Tracking Report, which identifies all CAPs approved by GDOT and presents their status. The RTA is also required to develop and maintain a CAP Tracking Log which includes the status of CAPs from all sources such as the accident investigation, internal audits, safety risk management and other sources as applicable. An electronic copy of the CAP tracking report and log will be submitted **no less than quarterly** to the GDOT point-of-contact via

email or secure file sharing and storage system within the first **15 calendar days** of the next quarter. As CAPs are closed, the RTA must submit verification that the corrective action(s) has been implemented as described in the CAP or that a proposed alternative action(s) has been implemented. This verification must be submitted via email or secure file sharing and storage system **no less than quarterly** with the CAP Report electronic copy. In the CAP tracking log, the RTA must also inform GDOT concerning any alternative actions for implementing a CAP. RTAs may elect to maintain two separate logs for safety and security efforts. RTA CAP Reports must include the required information in **Table 8.1**.

Table 8.1 Corrective Action Plan (CAP) Tracking Report	
Element	**Description**
CAP SYNOPSIS	
CAP: Source	Refers to CAP source identified in the RTA's Corrective Action Program Plan (CAPP).
CAP: ID Number	Refers to the CAP number assigned to the event by the RTA, if different from the event number.
CAP: Identified Action	Refers to the description of the corrective action, if required, by the RTA to address the finding.
CAP: SSOA Approval	Refers to a yes or no response provided by GDOT on the approval of the corrective action plan.
CAP: Proposed Implementation Date	Refers to the estimated date of completion of the corrective action plan.
CAP: Actual Implementation Date (closed	Refers to the actual date of completion of the corrective action plan.
CAP: Individual Responsible for Implementation	Refers to the individual (name and title) assigned responsibility for implementation of the CAP.
CAP: Department Responsible for Implementation	Refers to department assigned responsibility for implementation of the CAP.
CAP: Status	Refers to the status of the CAP provided by GDOT. Status may be designated as open or closed.
CAP: Implementation Verified?(closed only)	Refers to a yes or no response provided by the RTA that verifies that the RTA's safety department verified the implementation of the CAP.
CAP: Issues Preventing Resolution (open only)	Refers to issues that prevent the timely and adequate resolution to identified CAP.
CAP: Status Updates	Refers to the periodic updates provided by the responsible individual/department to implement the agreed upon CAP.
Other: CAP Alternative	If the RTA wishes to modify an open action, the proposed alternative must be described in sufficient detail so that GDOT can determine its acceptability as a substitute for the originally approved CAP.
SAFETY ASSURANCE – PERFORMANCE MONITORING / MEASUREMENT	
SA: Effective, Appropriate, Implemented as Intended	Refers to a yes or no response provided by the safety department of the RTA. A yes response must be based on an assessment of the performance outcomes of the safety risk mitigation following closure of the CAP. A no response must be accompanied with a detailed explanation and a proposed alternative CAP.
SA: Safety Performance Monitoring and Measurement	Refers to a brief narrative summary of the process used by the RTA to assess safety performance.

At its discretion, GDOT may increase the frequency of the submittal requirements for the CAP Report in response to a given internal or external audit finding, hazard, accident, or trend of such events, or other systemic safety related issues.

Within **30 calendar days** of receiving a **quarterly** CAP Report, GDOT will review using the checklist provided in **Appendix H**, and provide a copy of the completed checklist to the RTA.

8.5.2 CAP Verification

The RTA will notify the GDOT SSOA in writing when a CAP has been fully implemented. As required by § 674.37(a), the RTA's CAP will be subject to independent GDOT verification.

The GDOT SSOA will conduct verification activities through one or more of the following means:
- Field observation
- Photographs and/or video provided by RTA
- Receipt of new or revised document (e.g., signed, executed bulletin or SOP)
- Work order or similar document showing full completion
- Written verification through email or internal memo
- Audit of RTA records

Due to the sensitive nature of security related information and the requirements to protect confidential and/or Sensitive Security Information (SSI) to verify the implementation of safety- or security-related CAPs, GDOT may review safety and security reports onsite at the RTA as a means of verifying the implementation of such CAPs.

Only GDOT has the authority to close a CAP. Upon receipt or confirmation of appropriate verification from an RTA, the GDOT SSO Program Administrator or designee(s) will provide written confirmation that the CAP is closed to RTA personnel. **Figure 8.1** details the CAP submittal, review, approval, implementation, and verification process.

Figure 8.1 Corrective Action Plan Program – Review and Approval Process
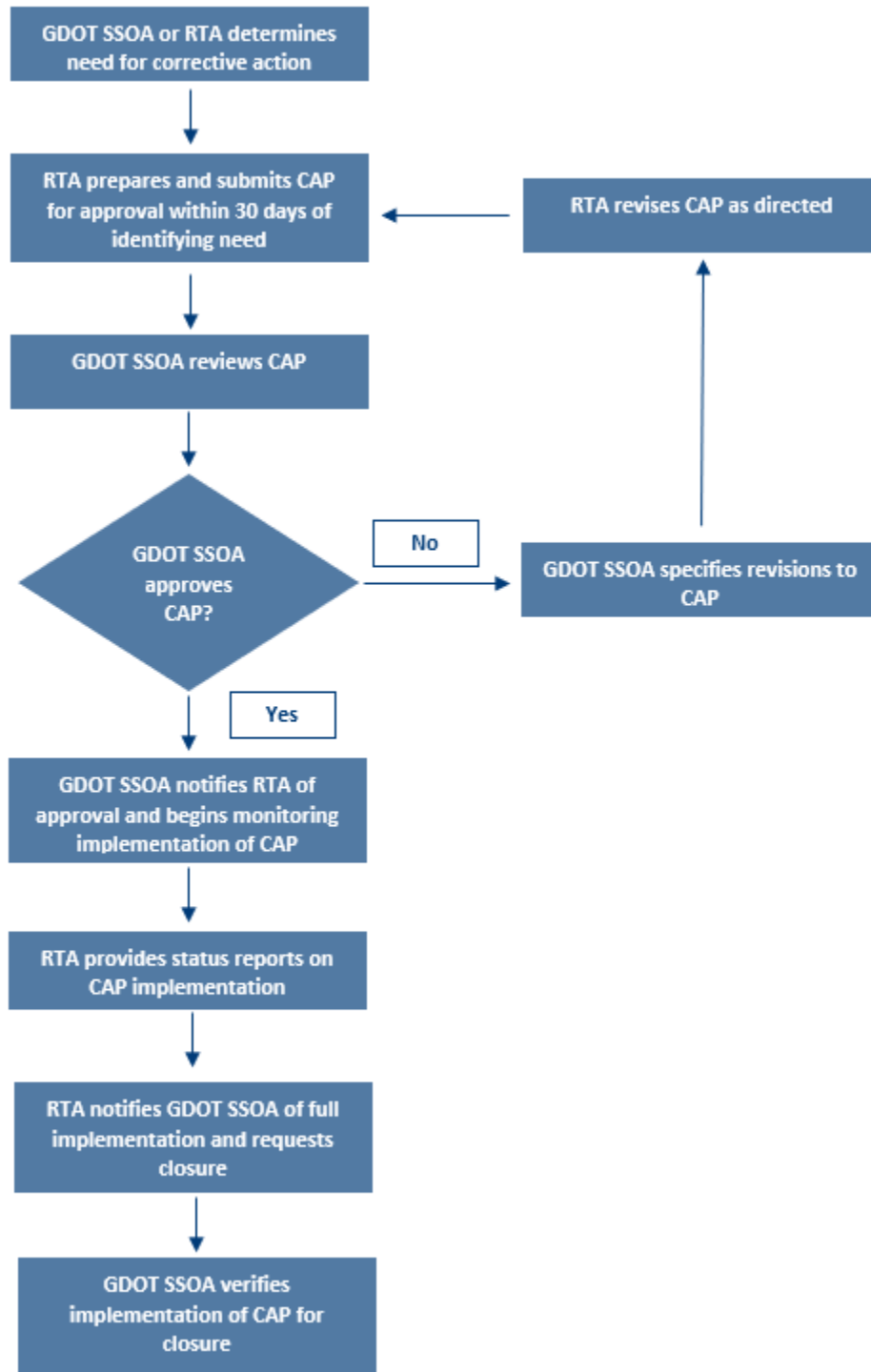
Section 9: Federal Transit Administration Coordination and Reporting

9.1 Purpose

This section addresses GDOT's procedure for making initial, annual, and periodic submissions to FTA's Office of Transit Safety and Oversight, in compliance with § 674.39. This section also describes the FTA's program to determine whether or not each SSO program meets the requirements of the 49 CFR Part 674, State Safety Oversight Rule.

9.2 FTA Reporting Requirements

9.2.1 Annual Reporting through State Safety Oversight Reporting (SSOR) Tool

GDOT will submit the following to FTA before **March 15** of each year:

- Program Standard adopted in accordance with § 674.27 and supporting procedures with an indication of any changes to the Program Standard during the preceding **12 months**
- Evidence that each of its employees and contractors has completed the requirements of the Public Transportation Safety Certification Training Program, or the anticipated completion date of the training, if in progress
- A publicly available annual report summarizing its oversight activities for the preceding **12 months**, including a description of the causal factors of investigated accidents, status of corrective actions, updates and modifications to the PTASP and SEPP of the RTA, and the level of effort used by GDOT to carry out its oversight activities
- A summary of triennial safety and security audit activities and whether one has been completed since the last annual report was submitted, along with the RTA's progress in carrying out any CAPs that arose from triennial audits conducted in accordance with § 674.31
- Evidence that any changes or modifications to the RTA's PTASP or SEPP have been reviewed and approved by GDOT

9.2.2 Annual Certification

With its annual submission, GDOT will certify to the FTA that it has complied with the requirements of 49 CFR 674. GDOT will submit this certification electronically to FTA using a reporting specified by FTA. GDOT will maintain a signed copy of each annual certification to FTA, which is subject to audit by FTA.

9.2.3 SSO Annual Safety Status Report

As specified in § 674.13(a)(7), GDOT must report the status of the safety of each rail fixed guideway public transportation system in the state to the governor, the FTA, and the board of directors, or equivalent entity, of the RTA at least once a year.

Annually, GDOT will prepare a written report summarizing significant changes and updates to the following SSO program areas:

- Federal, state, and local legislation
- Rail system
- Program Standard or PTASP
- SSO inspection program and RTA Internal Safety and Security Audits
- Safety Trend analysis of RTA and accomplishments and future work
- Training
- Major capital projects

At a minimum, GDOT will distribute the report to the:
- Associate Administrator/Chief Safety Officer for the FTA Office of Transit Safety and Oversight and other applicable FTA personnel
- Governor of the state of Georgia and the appropriate staff of the Office of the Governor
- Commissioner of GDOT
- RTA Board of Directors, and the Executive Manager to the Board
- RTA General Manager and Chief Executive Officer

For informational purposes, GDOT may distribute the SSO Annual Report to other stakeholders with a vested interest in the SSO Program.

9.3 FTA SSO Audits

FTA administers a national transit safety program and program compliance oversight process to advance safe, reliable, and equitable transit service throughout the United States. FTA's Office of Transit Safety & Oversight (TSO) is responsible for performing triennial audits of SSOA to determine compliance with 49 CFR Part 674, and its processes and requirements outlined in its Program Standard. The GDOT SSOA will assist the FTA in the audit by providing documentation, participating in interviews, and reviewing requested records. Upon finalization of FTA's audit, GDOT will work to develop and implement any corrective actions to identified findings, recommendations, or observations. This may include coordination and overseeing corrective actions at covered RTAs.

Section 10: Safety and Security Certification

10.1 Purpose

To address the need for an enhanced safety regulatory program, 49 U.S.C. 5329(e)(2) (A–B) directs states to assume oversight responsibility of a rail fixed guideway public transportation system in the engineering or construction phase of development. This section provides a general overview of the GDOT oversight activities related to Safety and Security Certification Plan (SSCP) requirements prior to passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

10.2 Safety and Security Certification Program Plan (SSCPP)

GDOT requires the RTA to develop and carry out an overall Safety and Security Certification Program Plan (SSCPP), which defines program activities for all rail transit capital improvement projects where full or modified safety and security certification (SSC) is required.

Full SSC generally refers to the process specified in FTA's Handbook for Transit Safety and Security Certification and typically will be required for new revenue vehicles, new rail transit systems and major extensions meeting FTA thresholds specified in 49 CFR Part 633.5. Whereas Modified SSC provides assurances that safety and security requirements have been addressed for smaller and State of Good Repair (SOGR) projects.

The SSCPP must explain how the RTA meets safety and security requirements specified by GDOT and FTA. SSCP is part of the full certification required in the SSCPP.

10.3 Project-Specific SSCP Notification Requirements

GDOT requires written notification be provided to the GDOT SSOA by the RTA when a rail fixed guideway project has entered the Preliminary Engineering (PE) phase. In response to written notification, GDOT will develop its project-specific oversight activities and maintain communication to meet the safety and security requirements in accordance with the GDOT Program Standard. **Appendix I** details GDOT review criteria for SSC projects.

10.4 Project-Specific SSCP Requirements

New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment in the engineering and construction phase are subject to 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, RTAs are required to prepare a Project Management Plan (PMP) including a Safety and Security Management Plan (SSMP) and SSCP and submit for GDOT review.

At a minimum, the SSCP must describe the process through which the RTA activity will provide documented verification that:

- A certifiable elements list is developed
- Safety and security design criteria are developed to identify concerns fitting for the project
- 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 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: PTASP, SEPP, Internal Audit Program Plan, Safety Risk Management Plan, AIP, and CAP 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

To develop the SSCP, GDOT requires the RTA to refer to the FTA Handbook for Transit Safety and Security Certification (November 2002) which provides guidelines and recommendations for the SSCP.

10.5 GDOT SSOA Review and Monitoring Process

GDOT will conduct reviews and perform verification of the RTA's SSCP compliance with all applicable requirements for all phases of applicable projects including planning, preliminary engineering, final design, procurement, construction, training, testing, pre-revenue, and revenue service. GDOT will review and monitor each of these phases to ensure that the RTA has considered and addressed safety-critical issues that may impact safety and security of the system.

Review materials include, but are not limited to the following:
- Project Management Plan (PMP)
- Safety and Security Management Plan (SSMP)
- Project-Specific SSCP
- Project Supporting Documentation
- Safety and Security Certification Verification Reports (SSCVRs)
- Other plans and/or procedures related to the FTA and GDOT requirements
- Threat and Vulnerability Assessment (TVA)
- Preliminary Hazard Analysis (PHA)
- System Integration Test Plan (SITP)
- Rail Activation Plan (RAP)
- Emergency drill and exercise materials
- Safety and Security Certification Conformance Checklists
- Plans or procedures including but not limited to operations & maintenance plan, training plan, configuration management plan, and other SOPs as applicable
- Rulebook
- Emergency Operating Procedures (EOPs)
- Maintenance and Inspection Procedures and Checklists
- Safety Open Items List (SOIL), Hazard Log, or similar tracking mechanism

In addition to the review activities discussed in this section, GDOT may attend the RTA's Safety and Security Certification Review Committee (SSCRC) and working group meetings to carry out safety

and security certification activities. GDOT will provide advanced notice and coordinate the RTA to perform participation in meetings, field reviews, and testing activities.

For operating RTA projects that are iterative in nature, such as signal system upgrades and railcar procurements, GDOT will assess a sample of the first assets to be tested and validated prior to passenger operations and continue to perform ongoing records review, periodic inspections and audits to ensure the RTA's compliance with the requirement. Depending on the structure of the project, this may include GDOT's review of overall project processes, checklists, certifications for design(s) and early production or installation, and then a separate review of production-focused processes, checklists, and certifications.

10.6 GDOT SSOA Pre-Revenue Service Review

Upon the transition from the testing phase to the pre-revenue operations phase, the GDOT SSOA will conduct a Pre-Revenue Service Review (PRSR) within **120 calendar days**, or **other mutually agreed upon timeframe**, prior to the scheduled start of revenue service. The timing is intended to align with the latter stages of integrated testing and pre-revenue operations, such that the GDOT SSOA will seek to verify readiness for revenue service.

GDOT SSOA's review is also intended to ensure that the safety and security certification process has been completed, or that there are appropriate workarounds in place for any unfinished certifiable elements and items that do not necessarily preclude the safe operation of the rail system.

Onsite review methodology including entrance briefing, audit activities, and exit briefing will follow GDOT triennial audit process, as described in Section 7 of this Program Standard. GDOT will review operational and maintenance readiness, as well as the completeness of training programs and modifications to RTA plans, policies, and procedures. Upon completion of the review, GDOT will issue a PRSR report documenting any unfinished items and potential hazards, findings, or observations.

If corrective actions are identified, the RTA is required to develop and manage corrective actions on a SOIL until successful mitigation is complete. The GDOT SSO Program Manager and the PRSR review team will track any open items to resolution in the period leading up to project revenue service initiation. At the discretion of the GDOT SSO Program Administrator or designee, the PRSR review team may arrange another on-site review to follow-up on findings and open items from the PRSR.

10.7 GDOT SSOA Concurrence

At the completion of the safety and security certification and prior to the start of revenue service (at least **30 calendar days** prior), GDOT requires the RTA to issue a Certificate of Conformance including the SSCVR for each certifiable element listed within the SSCP. The Certificate of Conformance will signify that a project complies with the established federal, state, and the RTA's safety and security criteria and standards. The Certificate of Conformance will also serve as official notice from the RTA to GDOT that the project has been successfully tested as "safe and secure" and is ready for public use.

In the event GDOT's review determines the SSCVR to be incomplete, GDOT will coordinate with appropriate stakeholders 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. Following the initiation of the project into revenue service, GDOT may conduct follow up and monitoring exercises to verify the close out of open items identified in the SSCVR.

At the time of passenger revenue service, open items affecting the safety, security or operations of a project may remain on certain facilities, systems, equipment, plans or procedures. GDOT requires that such open items be listed on a SOIL for the purpose of ongoing tracking and monitoring by GDOT and the RTA. GDOT also requires that the RTA provide the list of remaining open items and restrictions, their identified resolutions, and schedule for bringing these items to closure with the SSCVR.

Once all documentation has been reviewed and verified, and prior to revenue service, the RTA must receive written concurrence of all finalized SSC project components from GDOT. Once the RTA has received concurrence, revenue service operations will be permitted.

Section 11: Public Transportation Safety Certification Training Program

11.1 Purpose

In July 2018, the FTA issued the PTSCTP Final Rule, codified as 49 CFR Part 672. The rule established minimum training requirements for certain public transportation agency and SSOA personnel and their contractor support who conduct safety audits and examinations of public transportation systems. Additionally, SSOA personnel and contractors must develop and maintain a Technical Training Plan (TTP). GDOT's procedures for SSO training, as well as documentation of scheduled and completed training, will be maintained in the SSOA's TTP and in Individual Training Plans (ITPs) of SSO personnel and contractors, as needed. Training records will be retained for at least five (5) years from the date the record is created. This safety certification training requirement is designed to support FTA's adoption of SMS by enhancing the technical proficiency of rail transit safety personnel. In fulfillment of these requirements, GDOT and its covered RTAs ensure that personnel designated to conduct safety audits and examinations of rail transit agencies complete the mandatory coursework outlined below.

11.2 Designated Personnel

11.2.1 Identification of RTA Designated Personnel

In accordance with § 672.13, RTAs are responsible for designating RTA personnel subject to the requirements of 49 CFR Part 672. Designated personnel must include all roles holding responsibilities related to the following: 1) developing, implementing, maintaining and monitoring the PTASP, 2) implementing and executing requirements of the GDOT Program Standard at said RTA.

11.2.2 Identification of GDOT SSOA Designated Personnel

As required by § 672.11, GDOT is responsible for the identification of designated personnel who are required to have the technical knowledge or perform functions identified in the GDOT SSOA TTP as well as the appropriate managers and supervisors of such personnel.

GDOT maintains a written list of designated personnel and contractors that are required to have the technical knowledge and/or perform functions identified in the GDOT SSOA TTP. GDOT updates its list of state personnel periodically and when personnel changes such as new hires, transfers, or terminations occur. GDOT also updates the list of contractors providing SSO support on an as needed basis.

As specified in § 672.11, GDOT requires that designated personnel and contractors of the SSOA who are required to have the technical knowledge or perform functions identified in the GDOT TTP, complete the applicable initial training requirements within three (3) years of their initial designation.

11.3 Initial Training and Refresher Requirements

At a minimum, designated SSOA, contract support, and RTA personnel must complete the following curriculum within three (3) years of their initial designation.

The curriculum includes:
- One (1) hour course on SMS Awareness
- Two (2) hour courses on Safety Assurance
- Twenty (20) hour courses on SMS Principles for Transit
- Sixteen (16) hour courses on SMS Principles for SSO Programs (SSOA and contractor only)

- TSSP curriculum (minus Transit System Security (TSS) course. All required participants – credit will be provided if participant has a Course Completion Certificate of previously taken TSSP courses)
    - Rail System Safety (36 hours)
    - Effectively Managing Transit Emergencies (32 hours)
    - Rail Incident Investigation (36 hours)

As required by § 672.11, GDOT is responsible for the identification of designated personnel who are required to have the technical knowledge or perform functions identified in the GDOT SSOA TTP as well as the appropriate managers and supervisors of such personnel. Additional training requirements for RTA personnel may be identified by GDOT based on the needs of technical capabilities.

All GDOT SSOA and RTA designated personnel will be required to complete safety oversight refresher training every two (2) years. The refresher training requirements will be determined by the GDOT SSOA and RTAs and must include a minimum of one (1) hour of safety oversight training. GDOT SSOA may choose to provide in-house SSO familiarization training to designated staff or determine other relevant safety training to meet this requirement. The certificates of such training will be submitted to the FTA for verification ahead of the required recertification deadline.

11.4 RTA Training Documentation

RTAs must maintain training records for at least the last five (5) years. As appropriate, RTAs must have training records readily available to share with the GDOT SSOA, or other federal, state, or local agencies (e.g., FTA, NTSB, FRA). The GDOT SSOA requires RTAs to submit updated training records and supporting documents to the GDOT SSOA on a **quarterly basis**.

Appendices

Appendix A

Official Code of Georgia Annotated Title 32, Highways, Bridges, and Ferries Chapter 9, Mass Transportation Section 32-9-10. Implementation of Federal Transportation Safety Program

Universal Citation: GA Code § 32-9-10 (2020)

a) The purpose of this Code section is to implement the federal Public Transportation Safety Program, 49 U.S.C. Section 5329, 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;

   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.

g) Nothing in this Code section is intended to conflict with any provision of federal law; and, in case

of such conflict, such portion of this Code section as may be in conflict with such federal law is declared of no effect to the extent of the conflict.

h) The department is authorized to take the necessary steps to secure the full benefit of the federal-aid program and meet any contingencies not provided for in this Code section, abiding at all times by a fundamental purpose to perform all acts which are necessary, proper, or incidental to the efficient and safe operation and development of the department and the state highway system and of other modes and systems of transportation.

(Code 1981, §32-9-10, enacted by Ga. L. 1993, p. 1362, § 1; Ga. L. 2015, p. 1072, § 4/SB 169.)
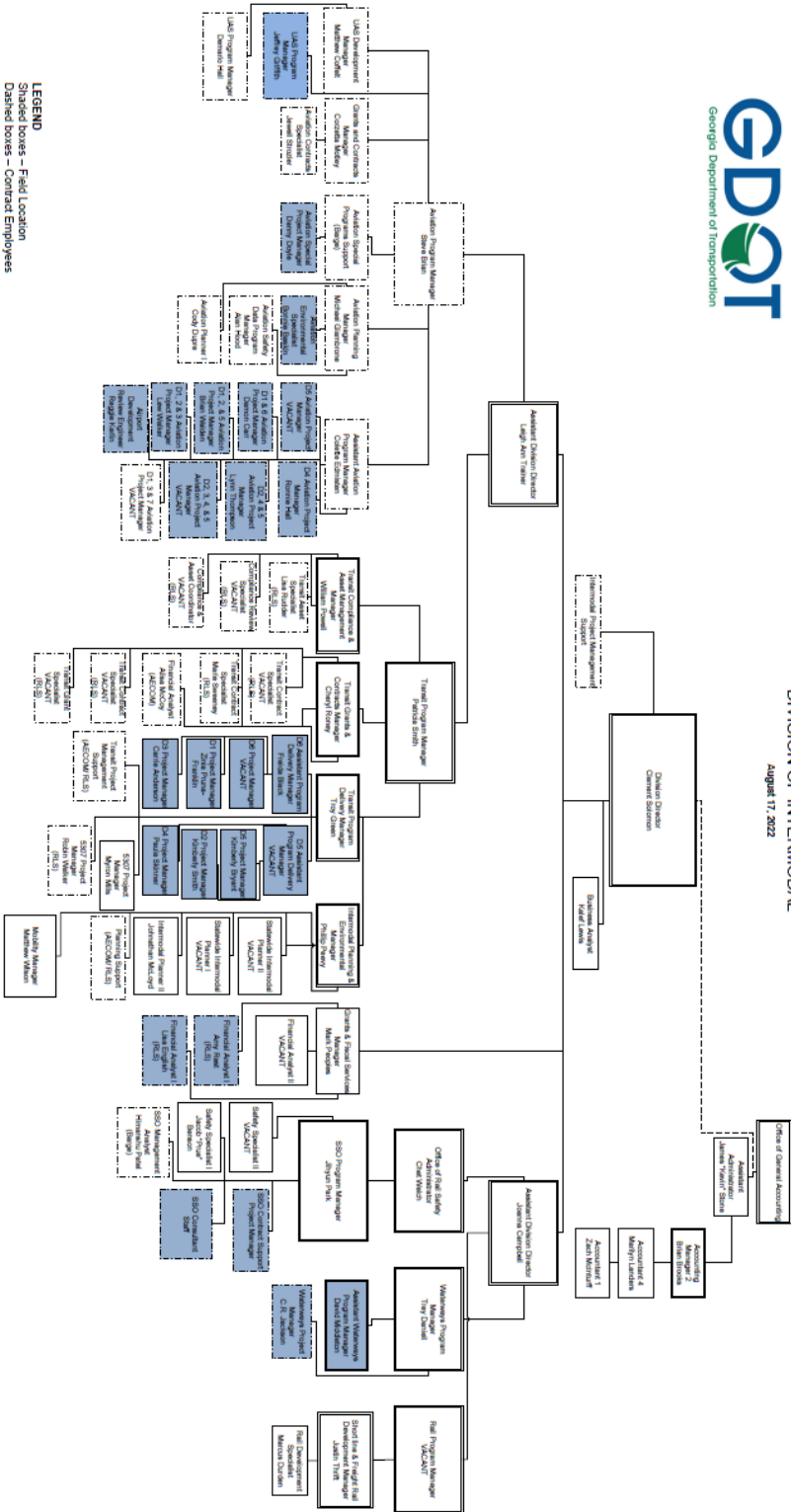
Code Commission notes.
- Pursuant to Code Section 28-9-5, in 1996, a comma was deleted following "Code section" near the end of paragraph (e)(1).

Appendix B

Georgia Department of Transportation Division of Intermodal Organizational Chart

GDOT Georgia Department of Transportation

DIVISION OF INTERMODAL
August 17, 2022

LEGEND
Shaded boxes – Field Location
Dashed boxes – Contract Employees

31 GDOT Positions
40 Contract Positions
2 Budgetary Support Positions

Division Director — Clement Solomon

Business Analyst — Kelvit Lewis

Intermodal Project Management Support

Assistant Division Director — Leigh Ann Trainer

Assistant — Administrator — James "Kelvin" Stone

Accounting Manager 2 — Brian Brosia

Accountant 4 — Marilyn Landera

Accountant 1 — Zach Muhlkuff

Office of General Accounting

Aviation
Aviation Program Manager — Steve Brian

Aviation Special Programs Support (Berge) — Aviation Special Project Manager — Denny Drew

Grants and Contracts — Aviation Contracts Specialist — Jewell Stocdar

UAS Development Manager — Matthew Coffel
UAS Program Manager — Jeffrey Griffin
UAS Program Manager — Dennis Hall

Aviation Planning Manager — Michael Glanzone
Aviation Data Program Manager — Alan Hood
Aviation Safety Specialist — Jeremy Griesch
Aviation Planner I — Cody Dupre
Aviation Environmental Specialist

Assistant Aviation Program Manager — Odette Edmisten
D6 Aviation Project Manager — Ronnie Hall
D3 Aviation Project Manager — VACANT
D1 & 6 Aviation Project Manager — Brian Wooten
D7, & 4 Aviation Project Manager — Lee Walker
Airport Development Program Engineer
D4 Aviation Project Manager — Lee Thornton
D2, 3, 4, & 5 Aviation Project Manager — VACANT
D1, 3, & 7 Aviation Project Manager — VACANT

Transit
Transit Program Manager — Patricia Smith

Transit Compliance & Asset Management Manager — William Powell
Compliance & Asset Coordinator (RLS)
Transit Asset Specialist — Lisa Roeder
Compliance Monitor Specialist (RLS)

Transit Grants & Contracts Manager — Cheryl Roney
Financial Analyst — Alisa McCory
Transit Contract Specialist — Mona Sweeney
Transit Project Specialist — VACANT
Transit Contract Specialist (AECOM)
Transit Contract Specialist (RLS)
Transit Project Management Support (AECOM RLS)

Transit Program Delivery Manager — Troy Green
D6 Assistant Program Delivery Manager — Freida Black
D3 Project Manager — Zina Phase-Franklin
D6 Project Manager — VACANT
D1 Project Manager — Carrie Anderson
D6 Assistant Program Delivery Manager — VACANT
D4 Project Manager — Pearia Skinner
D2 Project Manager — Kimberly Smith
D3 Project Manager — VACANT
5307 Project Manager (RLS)
5307 Project Manager — Myron Mills
5307 Project Manager — Robin Walker
Mobility Manager — Matthew Wilson

Intermodal Environmental Planning — Phillip Peavy
Intermodal Planning & Environmental Planner II — VACANT
Intermodal Planner II — Johnathan McLoyd
Intermodal Planner II — VACANT
Statewide Intermodal Planner — VACANT
Statewide Intermodal Planner — VACANT
Planning Support (AECOM RLS)

Grants & Fiscal Services
Grants & Fiscal Services Manager — Mark Peoples
Financial Analyst II — VACANT
Financial Analyst II — Amy Real (RLS)
Financial Analyst II — Lisa English (RLS)

SSO
Office of Rail Safety — Chad Welsh
SSO Program Manager — Jihyun Park
SSO Management Analyst (Berge)
SSO Management II — VACANT
Safety Specialist II — VACANT
Safety Specialist II — Jacob "Phce" Berken
SSO Consultant Staff
SSO Contract Support Program Manager — VACANT
SSO Consultant Staff

Assistant Division Director — Joanna Campbell

Waterways / Rail
Waterways Program Manager — Trey Daniel
Assistant Waterways Program Manager — David McSwain
Waterways Project Manager — C.R. Jackson

Rail Program Manager — VACANT
Short Line & Freight Rail Development Manager — Justin Thrift
Rail Development Specialist — Marcus Durden

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Appendix C

GDOT SSOA Program Annual Submittal and Review Timelines

GDOT SSOA Program Annual Submittal and Review Timelines				
Required Submittal	Task	Responsible Agency	Duration	Target Date
Public Transportation Agency Safety Plans (PTASP)	RTA completes annual review and submits revised PTASP to GDOT SSOA.	RTA	--	Jan 31
	Provides response indicating conditional approval or rejection of PTASP and requests additional information.	GDOT	30 days	Mar 1
	RTA obtains signatures and approval by Accountable Executive and Board of Directors.	RTA	60 days	Apr 30
	GDOT provides final PTASP approval.	GDOT	30 days	May 31
Security Emergency Preparedness Plan (SEPP)	RTA completes annual review and submits revised SEPP to GDOT SSOA.	RTA	--	Jan 31
	Provides response indicating conditional approval or rejection of SEPP and requests additional information.	GDOT	30 days	Mar 1
	RTA obtains signatures and approval.	RTA	60 days	Apr 30
	GDOT provides final SEPP approval.	GDOT	30 days	May 31
Program Standard	GDOT completes annual review and submits revised Program Standard to RTA.	GDOT	--	Oct 1
	RTA reviews and provide questions and comments on any revisions.	RTA	30 days	Nov 1
	GDOT reviews comments and finalizes annual Program Standard revision.	GDOT	60 days	Dec 31

Appendix D

Program Standard Acknowledgement of Receipt

The undersigned:

- is the **Accountable Executive** or his/her designee of the **Metropolitan Atlanta Rapid Transit Authority (MARTA)**;

- has received a copy of the Program Standard, **Revision 13**, of the State of Georgia;

- has read and understands the requirements contained therein;

- hereby agrees to comply with the Program Standard; and

- understands that the Georgia Department of Transportation, the State Safety Oversight Agency, and **MARTA** are required by law to be legally and financially independent of each other and are subject to FTA requirements.

AUTHORIZED SIGNATURE:

Signature: _____

Name / Title: _____

Date: _____

Appendix E

GDOT PTASP Review Checklist

Part I.   General

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)	
Document Title	
Document Preparer	
Document Date/ Revision	
GDOT Reviewer Name(s)	
GDOT Review Dates	
RTA Response Date	
Review Comments	

Part II.   Review Comments

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
GENERAL REQUIREMENTS							
		Transit Agency Information	Transit agency name and address				
		Transit Agency Information	Mode(s) of transit service covered by the PTASP				
		Transit Agency Information	Identify an Accountable Executive who is accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's transit system and action is taken to address substandard performance in the agency's SMS				
		Transit Agency Information	Identify a Chief Safety Officer who is designated by the Accountable Executive, holds a direct line of reporting to the Accountable Executive, is adequately trained, has the authority and responsibility for day-to-day implementation and operation of the agency's SMS, and does not serve in other operation or maintenance capacities.				

PTASP REVIEW CHECKLIST

#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
GENERAL REQUIREMENTS							
		Approval	Approval of the plan by the Accountable Executive and Board of Directors or equivalent entity.				
		Approval	Certification of compliance with Part 673, including the name of the individual or entity that certifies the PTASP and date of certification.				
		Approval	Certification of compliance with the Program Standard established by the SSOA, including the name of the individual or entity that certifies compliance with the Program Standard and date of certification				
		Definitions and Acronyms	Includes applicable definitions and acronyms from Part 673, Part 674, and the SSOA Program Standard				
		Safety Management Systems	Description of the process to document the activities related to SMS implementation				
		Performance Targets	Performance targets based on the safety performance measures established under the National Public Transportation Safety Plan				
		Performance Targets	Performance targets are made available to the State and to the Metropolitan Planning Organizations (MPO) to aid in the planning process				
		Performance Targets	Coordination with the State and MPOs in the selection of State and MPO safety performance targets				
		National Public Transportation Safety Plan	All applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
GENERAL REQUIREMENTS							
		Plan Review and Modification	A process and timeline for conducting an annual review and update of the PTASP				
		Plan Review and Modification	An annual assessment of whether the Public Transportation Agency Safety Plan should be updated is specified.				
		Plan Review and Modification	The process used to control changes to the Public Transportation Agency Safety Plan is described.				
		Plan Review and Modification	Specific departments and persons responsible for initiating, developing, approving, and issuing changes to the PTASP 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 Public Transportation Agency Safety Plan is included.				
		Plan Implementation	The RTA's establishment and implementation of a Safety Management System				
		Plan Implementation	The SMS is appropriately scaled to the size, scope, and complexity of the RTA and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion				
		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.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
GENERAL REQUIREMENTS							
		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.				
		Delegated Contractor Duties	A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart				
		Delegated Contractor Duties	A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of the RTA on safety and security issues				
		Delegated Contractor Duties	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				
		Emergency Management Program	The emergency preparedness and response plan or procedures to address the assignment of employee responsibilities during an emergency				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
GENERAL REQUIREMENTS							
		Emergency Management Program	A description of the process used by the RTA to develop an approved, coordinated schedule for emergency management program activities is provided.				
		Emergency Management Program	Coordination with Federal, State, regional, and local officials with roles and responsibilities for emergency preparedness and response in the RTA's service area				
		Emergency Management Program	Required meetings with external agencies regarding the emergency management program is 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 Management Program	The process is explained to be used by the RTA for the revision and distribution of emergency response procedures.				
		Emergency Management Program	The RTA's responsibilities for providing employee training are identified.				
		Emergency Management Program	The RTA's responsibilities for providing familiarization training to local public safety organizations is identified.				
		Record keeping	The process to document key processes and procedures required to carry out the SMS that are not included or referenced elsewhere in the PTASP				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Record keeping	The process to maintain documents related to implementation of the PTASP and SMS, and results of SMS processes and activities				
		Recordkeeping	The process to maintain documents, included in whole or in reference, that describe the programs, policies, procedures used to implement the PTASP				
		Recordkeeping	The process to make PTASP and SMS documentation available to the FTA and SSOA upon request				
		Recordkeeping	The process to retain documents for a minimum of three years				
SAFETY MANAGEMENT POLICY							
		Policy Statement	A safety management policy statement is developed for the PTASP				
		Policy Statement	The policy statement describes the authority that establishes the Public Transportation Agency Safety Plan.				
		Policy Statement	The policy statement is signed and endorsed by the RTA's Accountable Executive.				
		Policy Statement	The process to communicate the safety management policy throughout the RTA				
		Employee Safety Reporting Program	Description of the process that allows employees to report safety conditions to senior management				
		Employee Safety Reporting Program	Description of the protections established for employees that report safety conditions to senior management				
		Employee Safety Reporting Program	Description of employee behaviors that may result in disciplinary action				
		Purpose, Goals, Objectives	The purpose of the PTASP is defined.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY MANAGEMENT POLICY							
		Purpose, Goals, Objectives	Goals are identified to ensure that the PTASP 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.				
		Management Structure	An overview of the management structure of the RTA is provided including an organization chart.				
		Management Structure	Necessary authorities, accountabilities, and responsibilities for the management of safety and the implementation of the RTA's SMS among the key safety roles within the organization including the Accountable Executive, Chief Safety Officer, Agency Leadership and Executive Management, and Key Staff.				
		Management Structure	Adequate methods to ensure implementation of PTASP by all employees, agents, and contractors				
		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 the RTA to manage safety issues is provided.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY RISK MANAGEMENT							
		Safety Risk Management Process	The process used by the RTA to implement a Safety Risk Management Process comprised of safety hazard identification, safety risk assessment, and safety risk mitigation for all system elements				
		Safety Risk Management Process	The process used by the RTA to implement its hazard management program, including the role of the oversight agency in providing on-going communication, is described.				
		Safety Risk Management Process	The safety risk management process includes activities for: hazard identification, hazard investigation, evaluation and analysis including consequences of hazards, hazard control and elimination, and hazard tracking.				
		Safety Risk Management Process	Process to include FTA, the SSOA, and other oversight authorities as sources for hazard information				
		Safety Risk Management Process	Requirements for on-going reporting to the oversight agency relating to safety risk management activities and status are specified.				
		Safety Risk Management Process	Process for assessing the safety risks associated with identified safety hazards, including an assessment of the likelihood and severity of the consequences for the hazards including existing mitigations				
		Safety Risk Management Process	Process to prioritize hazards based on the safety risk				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY RISK MANAGEMENT							
		Safety Risk Management Process	Process to identify mitigations or strategies necessary as a result of safety risk assessments to reduce the likelihood and severity of the consequences of hazards				
		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.				
		Event Notification, Investigation, and Reporting	A description is provided regarding the process used by the RTA to perform event notification, investigation, and reporting.				
		Event Notification, Investigation, and Reporting	Criteria for determining what events require investigation, and who is responsible to conduct specific investigations are developed.				
		Event 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.				
		Event Notification, Investigation, and Reporting	How the RTA will work with the SSOA when conducting its own internal investigation of a safety event				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY RISK MANAGEMENT							
		Event Notification, Investigation, and Reporting	Notification thresholds for internal departments / functions are defined.				
		Event Notification, Investigation, and Reporting	Criteria are specified for notifying external agencies (NTSB, state oversight agency) of accidents and incidents.				
		Event Notification, Investigation, and Reporting	Procedures are established for documenting and reporting on accident investigations.				
		Event Notification, Investigation, and Reporting	Process used to develop, implement, and track corrective actions that address investigation findings is specified.				
		Event Notification, Investigation, and Reporting	Coordination with the oversight agency is specified including the process through which the RTA will review investigation reports developed by the SSOA and submit written dissent, as appropriate				
		Event Notification, Investigation, and Reporting	Training Requirements for all personnel and contractors that conduct investigations on behalf of an SSOA in accordance with the Public Transportation Safety Certification Program				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Transit Asset Management	A description of the 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 to develop a transit asset management plan; - a requirement to report on the condition of the system and provide a description of any change in condition since the last report; and - 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				
		Corrective Action Plans	When the RTA must develop and carry out a CAP				
		Corrective Action Plans	How the RTA will submit CAPs to the SSOA for review and approval				
		Corrective Action Plans	How the RTA will manage immediate or emergency corrective actions				
		Corrective Action Plans	The required contents of a CAP, including describing the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY RISK MANAGEMENT							
		Corrective Action Plans	How the RTA must periodically report to the SSOA on its progress in carrying out CAPs				
SAFETY ASSURANCE							
		Safety Assurance	Develop and implement a Safety Assurance process covering Safety Performance Monitoring and Measurement, Management of Change, and Continuous Improvement				
		Safety Performance Monitoring and Measurement	The process to monitor compliance with the RTA's operations and maintenance procedures				
		Safety Performance Monitoring and Measurement	The process to monitor safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended				
		Safety Performance Monitoring and Measurement	The process to monitor information reported through any internal safety reporting programs				
		Management of Change	The process to identify and assess changes that may introduce new hazards or impact the RTA's safety performance				
		Management of Change	The process to evaluate proposed changes that may impact safety performance through the Safety Risk Management process				
		Continuous Improvement	The process for the RTA to assess its safety performance including notifying the SSOA before conducting any internal safety review and submitting materials regarding the conduct and results of internal safety reviews to the SSOA under the Accountable Executive's signature.				

#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
PTASP REVIEW CHECKLIST							
SAFETY ASSURANCE							
		Continuous Improvement	The process to develop and carry out corrective actions to address identified safety deficiencies under the signature of the Accountable Executive				
		Safety Certification Process	A description of the safety certification process required by the RTA 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 the RTA 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.				
		Internal Safety Audit Program	A description of the process used by the RTA to ensure that planned and scheduled internal safety audits are performed to evaluate compliance with the PTASP 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 PTASP elements are reviewed during the audit cycle				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY ASSURANCE							
		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 PTASP 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 are 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 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.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY ASSURANCE							
		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.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY ASSURANCE							
		Maintenance Audit and Inspection Program	Use of a written checklist for conducting maintenance audits is required.				
		Configuration Management Process	A description of the configuration management control process is provided, and appropriate references are made to other the RTA 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.				
		Procurement	A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the RTA procurement process.				
SAFETY PROMOTION							
		Competencies and Training	A description of the refresher training program				
		Safety Communication	A description of the program to communicate safety and safety performance information throughout the RTA, including information on hazards, safety risks, and actions taken in response to employee safety reporting 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.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY PROMOTION							
		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	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.				
		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, the RTA controlled properties are identified.				
		Compliance with Local, State, and Federal Safety Requirements	Processes for ensuring the employees and contractors know and follow the requirements are described.				
		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.				

PTASP REVIEW CHECKLIST							
#	PTASP Section, Title, Summary	PTASP Required Element Title	PTASP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
SAFETY PROMOTION							
		Review of Initial Submission (if applicable)	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, and rules compliance program must be submitted for review.				

PART III.   Additional Questions, Comments

PART IV.   Approvals

This PTASP is:

Approved
Not Approved
Pending/Clarification Required

_____

GDOT SSO Program Manager   Date

_____

GDOT SSO Program Administrator   Date

Appendix F

GDOT SEPP Review Checklist

PART I.   General

SECURITY AND EMERGENCY PREPAREDNESS PLAN (SEPP)	
Document Title:	
Document Preparer:	
Document Date/Revision:	
GDOT Reviewer Name(s):	
GDOT Review Dates:	
RTA Response Date:	
Review Comments	*Note: 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 SEPP (or SEPP) to address the required element and no further discussion is required.*

PART II.   Review Comments

SEPP REVIEW CHECKLIST							
#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Policy Statement	The policy statement is signed and endorsed by the RTA's Accountable Executive.				
		Policy Statement	A policy statement should be developed for the SEPP.				
		Policy Statement	The policy statement should describe the authority that establishes the SEPP, including statutory requirements and the RTA'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 SEPP.				
		Purpose	The SEPP should introduce the concept of "system security."				

#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Integration with Other Plans	Describe how the SEPP integrates with other plans and programs maintained by the RTA.				
		Purpose	The SEPP should identify the purpose of the security program endorsed by the agency's Accountable Executive.				
		Goals and Objectives	The SEPP should identify the goals of the program endorsed by the agency's Accountable Executive.				
		Goals and Objectives	The SEPP should identify the objectives of the program endorsed by the agency's Accountable Executive.				
		Scope	Describe the scope of the SEPP.				
		Management Authority and Legal Aspects	Describe the authority which oversees the operation and management of the RTA, including its security /police function.				
		Passengers	Provide a description of the RTA's ridership.				
		Services and Operations	Describe the RTA's operations and services.				
		Operating Environment	Describe the RTA'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 the RTA.				

SEPP REVIEW CHECKLIST							
#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Current Security Conditions	Description of the current security conditions at the RTA 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 SEPP related responsibilities of the personnel who work within the transit agency security/police function.				
		Management of the SEPP Program	Identification of the person(s) with overall responsibility for transit security and emergency preparedness, including day- to-day operations, SEPP related internal communications, liaison with external organizations, and identifying and resolving SEPP related concerns.				
		Division of Security Responsibility	Listing of SEPP related responsibilities of other departments / functions, including their relationship to the security/police function.				
		Division of Security Responsibility	Listing of security-related responsibilities for other (non- security / police) RTA employees, including their relationship to the employee's other duties.				

SEPP REVIEW CHECKLIST							
#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Division of Security Responsibility	An 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 SEPP development and implementation should be identified.				
		Delegated Contractor Duties	A description of the roles and responsibilities of the delegated duties and responsibilities to the contractor organization, including an organizational chart				
		Delegated Contractor Duties	A description of the authorization to specific contractors to make notifications, to make reports, to submit corrective actions, and to speak on behalf of the RTA on safety and security issues				
		Delegated Contractor Duties	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				
		Government Involvement	Describe how the SEPP interfaces with local, state and federal authorities to ensure security and emergency preparedness for the system.				

	SEPP REVIEW CHECKLIST						
#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		Security and Law Enforcement	Describe the security and law enforcement functions that manage and support implementation of the SEPP.				
		Planning	Identification of SEPP activities and programs in place at the RTA to support planning for system security and emergency preparedness.				
		Organization	Identification of the organization of 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 SEPP program.				
		Training and Procedures	Description of SEPP related training and procedures available to ensure employee proficiency.				
		Exercises and Evaluation	Description of SEPP related activities to ensure the conduct of emergency exercises and evaluation.				
		Threat and Vulnerability Identification	Description of the RTA's activities to identify security and terrorism-related threats and vulnerabilities.				
		Threat and Vulnerability Assessment	Description of the RTA's activities to assess the likely impacts of identified threats and vulnerabilities on the system and to identify vulnerabilities which require resolution.				

SEPP REVIEW CHECKLIST

#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	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 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 SEPP 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).				

SEPP REVIEW CHECKLIST							
#	SEPP Section, Title, Summary	SEPP Required Element Title	SEPP Required Element Description	Included? Y-N	SSO Review Comments	RTA Responses	Status
		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 SEPP.				
		Review of Initial Submission (if applicable)	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, and rules compliance program must be submitted for review.				

PART III.   Additional Questions, Comments

PART IV.   Approvals

This SEPP is:

Approved
Not Approved
Pending/Clarification Required

_____

GDOT SSO Program Manager   Date

_____

GDOT SSO Program Administrator   Date

Appendix G

Accident Investigation Review Checklist

CONFIDENTIAL:
Warning this document may contain confidential and/or Sensitive Security Information (SSI). In keeping with the mandates found in 49 U.S.C. Section 5329(e), it is the policy of GDOT to protect confidential accident and incident investigation information from public disclosure.

Event Investigation Final Report Review Checklist

PART I.   General Information

Rail Transit Agency (RTA)
Accident/Incident No
Event Description
Event Date
Final Report Date
Review Date
Reviewer(s)

PART II.   Reviewer Comments

A.   Notification

Notification Requirements	Yes / No	Comments / Questions
For accidents/incidents, did the RTA notify the GDOT point-of-contact within 2 hours upon determination that the accident/incident was an SSO- reportable event?		
For unacceptable hazards, did the RTA notify the GDOT point-of-contact within 24 hours or by 5:00 p.m. 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 of the appropriately completed worksheets, forms, or other materials documenting the hazard to GDOT?		
Other? (specify)		

B.   Preliminary Report

Preliminary Report Requirements	Yes/No	Comments/Questions
Did the RTA report initial findings of fact; its investigation plans; NTSB involvement in the investigation; and whether an ad hoc investigation committee was convened within forty-eight (48) hours of the reportable event?		

Other? (specify)		

C. Status Report

Status Report Requirements	Yes/No	Comments/Questions
Did the investigation take more than 30 calendar days to complete?		
Did the RTA prepare and submit a monthly status investigation report by email or regular mail?		
Did the status report include: • Minutes of any meeting held by the RTA's ad hoc reportable event investigation committee or contractor?		
Did the status report include: • Disclosure of any immediate actions the RTA has taken, planned or completed?		
Did the status report include: • Principal issues or items currently being evaluated?		
Did the status report include: • Overall progress and status of the investigation?		
Other? (specify)		

D. Final Report

Final Report Elements		Yes/No	Comments/Questions
Facts/Sequence of Events	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		
Analysis	Are analytic methods and results identified?		
	Does analysis support inferences and guide judgment by validity, consistency and logic?		

Final Report Elements		Yes/No	Comments/Questions
	Have facts, conditions, circumstance and inferences been properly reviewed and evaluated?		
	Were people, procedures, equipment, facilities, and environmental factors considered in the analysis?		
Recommendations	Are they feasible and supported by findings?		
	Are they itemized / specific enough to facilitate corrective actions?		
	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?		
Appendices	Supporting documentation		
	Drawings, photographs		
	Interviews		
Other (specify)			

PART III.   Additional Comments, Questions, or Requirements

PART IV.   Approvals

This Investigation Report is:

Approved
Not Approved
Pending/Clarification Required

_____

GDOT SSO Program Manager   Date

_____

GDOT SSO Program Administrator   Date

Appendix H

CAP Report Review Checklist

Corrective Action Plan (CAP) Report Review Checklist

PART I. General Information

Rail Transit Agency (RTA)
Date Received by SSO
Method Received by SSO
Period Ending Date
Review Date
Reviewer(s)

PART II. Reviewer Comments

CAP REPORT REVIEW CHECKLIST		
CAP Report Requirements	Yes/No	Comments/Questions
Did the RTA transmit CAP Report via email or regular mail within the first 15 calendar days of the next quarter?		
Did GDOT acknowledge receipt in writing?		
Does CAP Report summarize the status of all open corrective actions related to the state oversight program and all actions closed since the last submittal?		
Does CAP Report include the following information for changes and close-outs: • If the RTA wishes to modify an open action, the proposed alternative must be described in sufficient detail so that GDOT can determine its acceptability as a substitute for the originally approved CAP? • When and how the RTA verified implementation for CAPs closed since the last submittal?		
Does the CAP Report include open items from the following categories: • Accident investigations? • Security incident investigations? • Hazard investigations? • Internal safety and security audits? • FTA Three-Year On-Site Reviews? • GDOT Three-Year On-Site Reviews? • GDOT on-site monitoring exercises?		

CAP REPORT REVIEW CHECKLIST		
CAP Report Requirements	Yes/No	Comments/Questions
Did the RTA submit the applicable completed internal audit reports with the CAP Report?		
Other? (specify)		

PART III. Additional Comments, Questions, or Requirements

PART IV. Approvals

This CAP Report is:

Approved
Not Approved
Pending/Clarification Required

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GDOT SSO Program Manager   Date

_____

GDOT SSO Program Administrator   Date

Appendix I

SSC Project-Specific Review Checklist

Project-Specific Safety and Security Certification Review Checklist

PART I.   General Information

Rail Transit Agency (RTA):	
Document Title:	
SSC Project No.:	
SSC Project Name:	
GDOT Review Date	
Reviewer(s)	

PART II.   Reviewer Comments

SSC Project Process Requirements	Required Documents Available? (Yes/No/Not Applicable)	GDOT Review Comments	RTA Response	Status
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.				

SSC Project Process Requirements	Required Documents Available? (Yes/No/Not Applicable)	GDOT Review Comments	RTA Response	Status
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.				
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.				

PART III.   Approvals

This SSCP Report is:

Approved
Not Approved
Pending/Clarification Required

_____

GDOT SSO Program Manager   Date

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GDOT SSO Program Administrator   Date

Appendix J

SSCPP Review Checklist

MARTA Annual Plan Update Review Checklist
Safety and Security Certification Program Plan (SSCPP)

PART I.   General Information

Rail Transit Agency (RTA):
Document Title:
Document Revision No.:
GDOT Review Date
Reviewer(s)

PART II.   Review Comments

SSCP Process Requirements	Included? (Y/N)	GDOT Review Comments	RTA 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?				

SSCP Process Requirements	Included? (Y/N)	GDOT Review Comments	RTA Response	Status
Does the SSCP describe the process to provide training classes to the RTA'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 the RTA's field, OCC, management personnel?				
Does the SSCP describe the process to train field, OCC, and / or management personnel on rules and procedures?				
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 the RTA's project is safe and secure for revenue service?				
Does the SSCP describe the process to prepare and transmit the Safety and Security Certification Verification Report as appropriate to the RTA management and GDOT personnel?				

PART III.   Approvals

This SSCPP Report is:

Approved
Not Approved
Pending/Clarification Required

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| |
| |

_____

GDOT SSO Program Manager   Date

_____

GDOT SSO Program Administrator   Date

Georgia Department of Transportation State Safety Oversight

One Georgia Center
600 West Peachtree NW
Atlanta, Georgia 30308