



State Safety Oversight Program Standard

September 2021

Public Transportation Division

Table of Contents

Program Standard Approval.....	4
Document Revision Record.....	5
Section 1: Program Management.....	6
1.1 Purpose and Organization of State Safety Oversight Program.....	6
1.2 SSOA Authority.....	6
1.3 Allegations of Noncompliance from Sources Other Than Audits or Inspections.....	7
1.4 SSOA Policies.....	8
1.5 Internal Agency Policies.....	8
1.6 SSOA Annual Report to FTA.....	9
1.7 TxDOT SSO Program Annual Status Report.....	10
1.8 TxDOT Monitoring of RTAs.....	10
1.9 TxDOT and RTA Communications.....	11
1.10 Public Transportation Safety Certification Training Program.....	11
Section 2: Program Standard Development.....	13
2.1 Program Standard Development.....	13
2.2 Program Standard Review and Revision.....	13
2.3 Program Standard Distribution.....	13
Section 3: Program Policy and Objectives.....	14
3.1 SSO Agency Policy for RTA Safety.....	14
3.2 SSO Agency Objective for RTA Safety.....	14
Section 4: Public Transportation Agency Safety Plans.....	15
4.1 Public Transportation Agency Safety Plans (PTASP).....	15
4.2 PTASP General Requirements.....	15
4.3 Safety Management Systems.....	16
4.4 PTASP Review.....	16
4.5 PTASP Initial Submittals for New Rail Systems.....	17
4.6 Ensuring Safety in New or Modified Rail Systems.....	17
4.7 RTA Internal Safety Reviews.....	18
Section 5: Triennial SSO Agency Audits.....	20
5.1 SSOA Triennial Audit Schedule.....	20
5.2 SSOA Triennial Audit Activities.....	20
5.3 SSO Agency Triennial Audit Report.....	21
Section 6: Safety Event Definitions and Notification Requirements.....	22
6.1 FTA and SSO Accident Notification Requirements and Method.....	22
6.2 Accident Notification Procedure.....	23
6.3 Incident and Occurrence Tracking and Reporting.....	24
6.4 FRA Notifications.....	24

Section 7: Accident Investigations.....	25
7.1 Accident Investigation Process.....	25
7.2 Accident Investigation Procedures.....	26
7.3 Accident Investigation Report.....	26
7.4 SSO and NTD Safety Event Reconciliation.....	27
Section 8: Hazard Management.....	29
8.1 RTA Hazard Management Process.....	29
8.2 RTA Hazard Identification, Assessment, and Resolution.....	29
8.3 RTA Hazard Coordination with TxDOT.....	30
8.4 Initial Hazard Notification and Assessment.....	31
8.5 Hazard Corrective Action Plan.....	31
8.6 Final Hazard Report and Assessment.....	31
8.7 Monitoring of RTA Hazards.....	31
Section 9: Corrective Actions.....	33
9.1 CAP Development.....	33
9.2 CAP Submission.....	33
9.3 TxDOT Review and Approval of Proposed Corrective Action Plans.....	34
9.4 CAP Implementation and Closure.....	34
9.5 Monitoring of Open Corrective Action Plans.....	35
Section 10: Escalation of Enforcement Action.....	36
10.1 Escalation of Enforcement Action.....	36
Appendix A: State Safety Oversight Definitions.....	37
Appendix B: State Safety Oversight Abbreviations.....	40
Appendix C: TxDOT Organizational Charts.....	41
Appendix D: PTASP Review Checklist.....	44
Appendix E: Safety and Security Certification Plan Common Elements.....	48

Program Standard Approval

DocuSigned by:
Eric Gleason
C570CB3DE9C24B0...
Eric L. Gleason
Director, Public Transportation Division

8/30/2021
Date

Section 1: Program Management

1.1 Purpose and Organization of State Safety Oversight Program

The Texas Department of Transportation (TxDOT) is designated as the State Safety Oversight Agency (SSOA) in Texas responsible for carrying out the functions of the federal State Safety Oversight Program. The purpose of the Program Standard is to describe TxDOT's program for carrying out its primary responsibility for overseeing and enforcing the safety of the rail transit agencies (RTA) within Texas. The Standard will clarify roles and responsibilities of TxDOT and each RTA for implementing Program requirements. Additional supplemental information including guidance, forms, and checklists are provided in Appendices referenced throughout the Standard.

1.2 SSOA Authority

In 1997, the Texas Legislature, with enactment of Senate Bill (S.B.) 735 designated the Texas Department of Transportation (TxDOT) as the SSOA. TxDOT derives its authority through Texas Transportation Code, Chapter 455, General Powers and Duties of Department of Transportation Regarding Mass Transportation.

During the 85th Regular Legislative Session, S.B. 1523 was enacted on June 1, 2017. This statute provides TxDOT the authority to establish and enforce minimum standards for the safety of all RTA within its oversight. These standards are consistent with the National Public Transportation Safety Plan, Public Transportation Safety Certification Training Program, rules for Public Transportation Agency Safety Plans, and all other applicable federal and state laws.

Chapter 7, Subchapter E. - Rail Fixed Guideway System State Safety Oversight Program, of the Texas Administrative Code (TAC) describes how TxDOT will carry out its SSO Program responsibilities consistent with both State and Federal requirements. It provides a legal framework, consistent with the Program Standard, for each RTA in Texas to follow to create, implement, and administer program requirements for their respective agencies. In particular, it includes provisions for requiring immediate and milestone-based corrective action plans to resolve identified deficiencies in the RTA's implementation of the Agency Safety Plan and to address identified hazards and safety concerns that require mitigation.

SSO program oversight applies to each RTA, operated for public transportation, located within the state of Texas that is not subject to the jurisdiction of the Federal Railroad Administration (FRA), or any such system in engineering or construction. RTA public transportation systems include rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

The RTAs in Texas qualifying for SSO oversight include:

- Dallas Area Rapid Transit (DART)
- City of Dallas - Dallas Streetcar
- McKinney Avenue Transit Authority
- Houston METRO

City of Galveston – Galveston Trolley
City of El Paso – El Paso Streetcar

The TxDOT SSO program:

- Is financially and legally independent from any RTA overseen;
- Does not directly provide public transportation services in an area with a RTA;
- Does not employ any individual who is also responsible for administering a RTA;
- Has authority to audit, review, approve, oversee, and enforce the public transportation agency safety plan for a RTA;
- Has investigative and enforcement authority with respect to the safety of all RTA within the State of Texas.

More specifically, TxDOT has the enforcement and investigative authority to:

- Enforce federal and state laws on all RTA in the state of Texas;
- Review, approve, oversee, and enforce the required public transportation agency safety plan;
- Oversee the implementation of an RTA PTASP;
- Investigate and enforce the safety programs of the RTA during announced and unannounced site visits or inspections by TxDOT employees and its contractors;
- Coordinate all enforcement responsibilities with other governmental entities as needed;
- Issue an emergency order to temporarily shut-down RTA operations in response to an imminent threat to the safety of the general public
- Issue an emergency order to a RTA to remove persons, equipment, or facilities from service.
- Seek a temporary injunction to enforce an emergency order.

Resolution of identified RTA deficiencies will rely on timely implementation of comprehensive agency corrective action plans agreed to by both the SSO and RTA. In the event of non-responsiveness the escalation procedure described in Section 10 will be applied.

1.3 Allegations of Noncompliance from Sources Other Than Audits or Inspections

TxDOT has primary responsibility for the investigation of any allegation of noncompliance with an RTA Agency Safety Plan. Any person may submit an allegation electronically via email or by telephone as follows:

Allegations Reported by Email

Send allegations directly to TxDOT by emailing sso_reporting@txdot.gov.

Allegations Reported by Telephone

Allegations may also be submitted to TxDOT by telephoning the TxDOT Public Transportation Division office at (512) 486-5977.

1. You will be connected with a State Safety Oversight Program Manager who will receive your information.

2. Persons notifying TxDOT of allegations of non-compliance may do so anonymously, but are encouraged to provide contact information in case TxDOT needs additional information to investigate the allegation.
3. Allegations of non-compliance must contain sufficient detail for TxDOT staff to determine whether TxDOT SSO has jurisdiction over the allegation and determine the pertinent facts of the allegation.

No later than 10 days after receipt of the allegation, the TxDOT State Safety Oversight will acknowledge receipt of the allegation, inform the reporting person if TxDOT has oversight authority of the allegation, and how the allegation will be investigated.

Allegations involving entities in which TxDOT has oversight authority may be investigated by TxDOT or referred to the affected agency's Chief Safety Officer for investigation. In either case, a thorough, impartial investigation will be completed and an investigation report drafted no later than 30 days after the acknowledgement of the allegation. RTA's that have been delegated responsibility for investigating an allegation of non-compliance must submit the investigation report to TxDOT within the 30 days of TxDOT's acknowledgement of the allegation.

The investigation report shall identify the individuals conducting the investigation, summarize the allegation, describe the process used to conduct the investigation, a determination of facts, whether allegations were substantiated, and any corrective actions that resulted from the investigation.

All parties involved will be formally notified of the disposition of the allegation no later than 15 days after the issuance of the investigation report.

1.4 SSOA Policies

Organization

The SSO Program is managed by two SSO Program Managers who work in the Administration and Program Support Section of the TxDOT Public Transportation Division (PTN). The SSO Program Managers report to the Administration and Program Support Section Director, who in turn reports to the PTN Division Director. The PTN Division Director reports to the Deputy Executive Director of TxDOT.

Appendix C includes an organizational chart showing the various reporting relationships under the TxDOT Executive Director – the highest-ranking State Transportation agency official in Texas.

1.5 Internal Agency Policies

Conflict of Interest

No individual or entity may provide services to both the SSOA and the RTA when there is a conflict of interest or an appearance of a conflict. A conflict of interest occurs when an individual or entity

performing work for an SSOA or the RTA is unable, or potentially unable, to render impartial assistance or advice on the development or implementation of the standards and provisions or to objectively perform such work without bias. A third-party contractor to the FTA, SSOA or an RTA may not have an unfair competitive advantage over other contractors. Each contractor is subject to full disclosure on all present and potential conflicts of interest in its activities or relationships prior to the award of a contract with FTA, TxDOT or an RTA.

On-Site Visit Provisions and RTA Right of Way Worker Protection

TxDOT employees and contractors will be accompanied by an RTA employee during any on-site inspection in areas not publicly accessible. If right of way worker protection training is required, then the RTA shall provide such training and issue an agency identification badge or card to TxDOT employees and contractors. TxDOT employees and contractors will be required to display their identification badges or cards while on RTA controlled property.

SSOA Confidentiality

Investigation reports; security documents and reports; audit reports; operational reports; and security plans and reports submitted by each RTA to TxDOT are confidential and not subject to disclosure, inspection, or copying under Chapter 552, Texas Government Code. These documents may not be admitted in evidence or used for any purpose in any action or proceeding arising out of any matter referred to in an investigation except in an action or a proceeding instituted by the State of Texas.

1.6 SSOA Annual Report to FTA

By March 15th of each year TxDOT shall submit an Annual Report to FTA in compliance with 49 CFR 674.39 State Safety Oversight Agency Annual Reporting to FTA. TxDOT will submit the annual report data and documentation to FTA using FTA's State Safety Oversight Reporting System (SSOR System). In the event of an SSOR System outage TxDOT will coordinate with its FTA Program Manager to ensure timely submission of the Annual Report.

The following items shall be submitted as part of the Annual Report to FTA:

- The SSO program standard adopted in accordance with 49 CFR Part 674.27, with an indication of any changes to the program standard during the preceding twelve months;
- Evidence that TxDOT employees and contractors have completed the requirements of the Public Transportation Safety Certification Training Program, or if in progress, the anticipated completion date of the training;
- A report that summarizes its oversight activities for the preceding twelve months, describes the causal factors of accidents identified through investigation, and identifies the status of corrective actions, changes to PTASPs, and the level of effort by TxDOT in carrying out its oversight activities;
- A summary of the Triennial Audits completed during the preceding twelve months, and the RTA progress in carrying out CAPs arising from the audits;

- Evidence that TxDOT has reviewed and approved any changes to the PTASPs during the preceding twelve months;
- Certification that TxDOT is in compliance with the requirements 49 CFR 674;
- Any additional data, information, or documentation requested by FTA; which may include the PTASP, Internal Safety Review Report, Accident Investigation Procedures, and a certification that the RTA is compliance with its PTASP.

By January 15th, TxDOT will complete a review of required items and notify the RTA Safety Staff of any missing or outdated documents, or data that must be corrected prior to TxDOT submitting the annual report to FTA.

No later than February 1st, the RTA must make all requested data corrections and submit any requested documentation to TxDOT. TxDOT SSO Program Managers will coordinate with RTA staff until all document and data requests are completed so that TxDOT may submit the annual report by FTA's March 15th deadline.

1.7 TxDOT SSO Program Annual Status Report

By May 31st of each calendar year, TxDOT shall report the status of the safety of each RTA system to the Governor, the lieutenant governor, the speaker of the [Texas] house of representatives, FTA, and the governing body of each RTA system under the oversight of the department. The report will summarize the activities of TxDOT's SSO Program in addressing state and federal safety regulations during the previous calendar year. The report shall be submitted to FTA through the reporting system specified by FTA, emailed to the RTA Chief Safety Officer and Board, and posted online at www.txdot.gov/inside-txdot/division/public-transportation/state-safety-oversight.html.

1.8 TxDOT Monitoring of RTAs

TxDOT will monitor each RTA's execution of its Public Transportation Agency Safety Plan RTAs using methods such as quarterly desk reviews or onsite reviews, periodic inspections, and audits. The focus of monitoring activities include areas such as:

- Safety Management Policy,
- Safety Risk Management,
- Safety Assurance, and
- Safety Promotion.

Within 30 days of monitoring, TxDOT will provide a report to the RTA's Chief Safety Officer which includes a summary of monitoring activities completed and findings discovered. TxDOT may also include best practice recommendations within the monitoring report.

1.9 TxDOT and RTA Communications

TxDOT will continue to engage in and encourage proactive two-way communication with current and future RTA, and federal and state elected officials. The Public Transportation Division – SSO Program staff will serve as the focal point for those communications. Communication methods include, but are not limited to: United States Postal Service (USPS) mail, electronic mail, telephone calls, online meetings, and conference calls. TxDOT will host annual or semi-annual Business Meetings with the RTAs to review program requirements, updates, and provide an opportunity for the exchange of information among all parties.

1.10 Public Transportation Safety Certification Training Program

FTA developed requirements for the certification and training of federal, state, and other designated personnel who conduct rail safety audits and examinations, and rail transit system personnel with direct safety oversight responsibility. The training requirements are found within 49 CFR Part 672 Public Transportation Safety Certification Training Program (PTSCTP).

Designation of RTA Staff Directly Responsible for Safety

In accordance with 49 CFR 672.13, RTAs within the State Safety Oversight program must designate personnel subject to the PTSCTP training requirements. Designated RTA personnel must include staff who are directly responsible for safety oversight. Each RTA must list designated personnel or positions within their PTASP.

Training Requirements for Designated RTA Staff

As specified in 49 CFR 672, FTA requires designated RTA staff to complete required training requirements within three (3) years of their initial designation. Due to the COVID-19 public health emergency, FTA has issued a Notice of Enforcement Discretion stating that FTA will refrain from taking enforcement action until August 21, 2022, To the extent practical, designated staff are encouraged to minimize time needed to complete the PTSCTP requirements.

Required Curriculum for RTA Designated Staff

Course Name	Course Length
SMS Awareness	1 hr
Safety Assurance	2 hrs
SMS Principles for Transit	20 hrs
TSSP Curriculum:	
- Rail System Safety	36 hrs
- Effectively Managing Transit Emergencies	32 hrs
- Rail Incident Investigation	36 hrs

Evaluation of Prior Certification and Training

Designated personnel may request FTA to evaluate previous safety training or certification from another entity to determine if the training satisfies the 49 CFR 672 training requirements. Designated staff must coordinate an evaluation of prior training and certification with FTA by emailing: FTASafetyPromotion@dot.gov

Refresher Training Requirements

Designated RTA staff must complete refresher training every 2-years, and must include at a minimum, one (1) hour of safety oversight training. It is the responsibility of the RTA to determine appropriate refresher training requirements, document those requirements within the PTASP, and ensure refresher training is completed.

Record Keeping

In accordance with 49 CFR 672.21, each RTA must ensure designated personnel enroll in the PTSCTP, create an Individual Training Plan, and maintain updated their individual training record as training is completed. Information on PTSCTP requirements and instructions to enrol in the PTSCTP and creating an Individual Training Plan are located on the FTA Transit Safety Training webpage at: <https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training>

SSO Training Requirements

TxDOT SSO Program Managers and support contractors are designated staff, and therefore will complete the PTSCTP training requirements within three (3) years of their initial designation.

Designated TxDOT staff and support contractors may satisfy the refresher training requirement found within 49 CFR 672 Subpart B by attendance at the FTA Joint SSO-RTA Workshop or completion of TxDOT's Public Transportation Safety Certification Training Program SSO Refresher training. Refresher training will be documented through a completion certificate or other documentation confirming refresher training completion.

Section 2: Program Standard Development

The TxDOT SSO Program Standard is consistent with the National Public Transportation Safety Plan and 49 CFR Part 674. The standard includes an explanation of TxDOT's processes for developing, reviewing, adopting, and revising minimum standards for safety, and distributing those standards to the RTA in Texas. These processes will provide reasonable opportunities for open and transparent communication, with the expectation that each RTA shall fully implement the TxDOT Program Standard in compliance with both federal and state law.

2.1 Program Standard Development

The focus of the Program Standard is to establish and clearly communicate the minimum safety standards established by 49 CFR Parts 672, 673, and 674, the Texas Administrative Code, and FTA SSO program guidance.

This Program Standard was reviewed and discussed with RTAs under TxDOT oversight; with opportunities provided for comment throughout development, including the RTA Accountable Executives, Chief Safety Officers, and Rail Safety employees.

2.2 Program Standard Review and Revision

Annually, by August 31st, the SSO Program Standard will be reviewed and updated, including changes to minimum safety standards. All RTAs will have an opportunity to review and comment on those proposed changes as appropriate and necessary. The PTN Division Director will approve all updates to the SSO Program Standard, on recommendation by the PTN Section Director. By March 15th each year TxDOT will report to FTA, in accordance with § 674.27, of changes made to the program standard during the preceding twelve months.

2.3 Program Standard Distribution

The SSO Program Standard is available electronically for download from the TxDOT website (www.TxDOT.gov). The current version of the Standard will be available for downloading, except when necessary to upload updated versions, or during routine website maintenance activities. Revisions to the TxDOT SSO Program Standard are communicated via email to the RTA Accountable Executives, Chief Safety Officers, and designated safety employees. RTA Accountable Executives and Chief Safety Officers will receive an electronic version of the Program Standard following each annual update.

Section 3: Program Policy and Objectives

3.1 SSO Agency Policy for RTA Safety

The Mission of the Texas Department of Transportation is: *Connecting You with Texas*. Two overarching goals of the Department related to the SSO responsibility are to *Promote Safety* and to *Foster Stewardship*.

The Public Transportation Division's focus is to: *Work with others to create safe, reliable mobility options for people who use alternatives to driving alone*. Additionally, the Division has the explicit goal to: *Perform the FTA State Safety Program Functions*.

The Program Standard provides the commitment to actions that TxDOT is authorized and prepared to take to oversee and enforce RTA implementation of the Agency Safety Plans. It was created to establish minimum standards, procedures, and technical assistance for the current RTAs operating within Texas, and those in engineering and construction. As such, the Program Standard communicates expectations, roles and responsibilities of the Department and RTA in carrying out safety requirements of 49 CFR 674.

3.2 SSO Agency Objective for RTA Safety

Each RTA shall comply with all requirements of the Program Standard. At a minimum, each RTA shall:

- Notify appropriate parties of safety events that meet designated thresholds
- Conduct accident investigations;
- Prepare accident investigation reports;
- Investigate unacceptable hazardous conditions;
- Prepare unacceptable hazardous condition reports;
- Implement a hazard management process;
- Prepare and submit corrective action plans;
- Coordinate hazard management program activities with state oversight;
- Maintain safety data; and
- Make submissions to TxDOT and FTA on an annual and as needed basis.

Section 4: Public Transportation Agency Safety Plans

4.1 Public Transportation Agency Safety Plans (PTASP)

Each RTA must have a TxDOT-approved PTASP no later than July 20, 2020. TxDOT will review each PTASP using the PTASP review checklist provided in Appendix D.

4.2 PTASP General Requirements

The PTASP must comply with 49 CFR 673.11 General Requirements; which include the following elements:

- (1) The Public Transportation Agency Safety Plan, and subsequent updates, must be signed by the Accountable Executive and approved by the agency's Board of Directors, or an Equivalent Authority.
- (2) The Public Transportation Agency Safety Plan must document the processes and activities related to Safety Management System (SMS) implementation, as required under Subpart C of 49 CFR 673.
- (3) The Public Transportation Agency Safety Plan must include performance targets based on the safety performance measures established under the National Public Transportation Safety Plan. *NOTE: the RTA must coordinate with their MPO and State to communicate their safety performance measures*
- (4) The Public Transportation Agency Safety Plan must address all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. Compliance with the minimum safety performance standards authorized under 49 U.S.C. 5329(b)(2)(C) is not required until standards have been established through the public notice and comment process.
- (5) Each transit agency must establish a process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.
- (6) A rail transit agency must include or incorporate by reference in its Public Transportation Agency Safety Plan an emergency preparedness and response plan or procedures that addresses, at a minimum, 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 transit agency's service area.

4.3 Safety Management Systems

Each transit agency must establish and implement a Safety Management System as required by 49 CFR 673. A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements:

- (a) Safety Management Policy as described in §673.23;
- (b) Safety Risk Management as described in §673.25;
- (c) Safety Assurance as described in §673.27; and
- (d) Safety Promotion as described in §673.29.

4.4 PTASP Review

TxDOT will review and evaluate each PTASP for compliance with 49 CFR Part 673, the TxDOT Program Standard, and the National Public Transportation Safety Plan. At the time the PTASP is submitted for initial approval and for subsequent updates, the RTA may be required to submit referenced materials and supporting procedures to document each required element is addressed. Examples of referenced materials and supporting procedures include, but are not limited to: standard operating procedures; training plans; rule books and bulletins; hazard management plans; maintenance rules and procedures; emergency response plans and agreements; and compliance programs. On-site meetings and teleconferences may be conducted to address issues identified during the review of the PTASP. The PTASP and supporting procedures shall be submitted by email or via a method specified by TxDOT.

PTASP Review Sequence and Approval

- TxDOT will acknowledge receipt of a PTASP submission within 10 days.
- TxDOT will complete the PTASP review and provide review comments, including areas requiring revisions, to the RTA within 30 days of PTASP receipt.
- TxDOT and the RTA will reach a mutually agreeable date for the resubmission of PTASPs that require revisions. Upon receipt of requested revisions the process will continue.
- Upon approval, TxDOT will send an approval letter via email to the Accountable Executive and the Chief Safety Officer.

Annual PTASP Review

No later than December 1st each year, each RTA shall conduct a review of its PTASP and notify TxDOT via email if the PTASP is current or requires an update. If the RTA determines that PTASP must be updated, the notification shall summarize the areas requiring an update and the anticipated date the revised PTASP will be submitted to TxDOT. The revised PTASP must be submitted to TxDOT no later than February 1st.

4.5 PTASP Initial Submittals for New Rail Systems

Each new RTA entering the SSO program shall make submit their initial PTASP and all referenced materials and supporting procedures a minimum of 180 days prior to the target date of pre-revenue operations.

TxDOT will review the initial PTASP submission according to process outlined in Section 4.4. While conducting its initial PTASP review, TxDOT may request additional information, clarifications, or revisions to the PTASP and referenced materials and supporting procedures. Upon approval of the initial PTASP submission TxDOT will issue a formal letter of approval to the Accountable Executive.

4.6 Ensuring Safety in New or Modified Rail Systems

Each RTA shall ensure safety concerns and impacts are documented, analysed, and addressed in accordance with TxDOT and RTA policies and procedures for new or modified systems, which may include vehicles, equipment, system extensions, or other areas of change.

Notification of New Rail System or Modified Rail System

TxDOT requires the RTA Chief Safety Officer or delegate to email their respective SSO Program Manager notification of the RTA's intent to begin a new rail system or modification to an existing rail system. This notification must occur prior to entry into the preliminary engineering phase of a new or modified system project. Upon receipt of notification, the SSO Program Manager will coordinate with the Chief Safety Officer or delegate to ensure TxDOT requirements, including those below, are satisfied.

New or Modified Rail System Requirements

TxDOT requires RTAs to develop and submit a safety and security certification plan (SSCP), no later than the preliminary engineering phase, for TxDOT approval for new or modified rail systems. The SSCP is a scalable, project specific plan which describes the activities the RTA will complete to ensure safety concerns and hazards are adequately addressed prior to the initiation of revenue operations. TxDOT will review the SSCP within 30 days of submission.

TxDOT will coordinate with the RTA and provide technical assistance, as needed, during the development of the SSCP. FTA has developed resources such as the Handbook for Transit Safety and Security Certification (November 2002), to provide guidelines and recommendations for the development of safety and security certification plan. The FTA Handbook for Transit Safety and Security Certification is located at: <https://www.transit.dot.gov/regulations-and-guidance/safety/publications>. See Appendix E for a summary of common elements found within an SSCP.

TxDOT will monitor the RTA's project implementation and compliance with the SSCP. In addition, TxDOT will conduct on-site pre-revenue review activities, including an on-site pre-revenue review. The pre-revenue review period will evaluate the RTA's readiness for passenger operations and access the RTA's implementation of its PTASP during pre-revenue and passenger operations. On-site meetings and

teleconferences may be conducted to address any issues identified during the pre-revenue review period.

4.7 RTA Internal Safety Reviews

Each RTA shall develop and implement a process for the performance of on-going internal safety reviews (ISRs). This process evaluates the PTASP implementation, effectiveness, and serves as an internal tool to ascertain if the plan or supporting documents or procedures should be updated. At the discretion of TxDOT, TxDOT employees, or contractors may observe the review onsite.

Each RTA shall develop and annually submit to TxDOT, for approval, a review package which addresses the areas of the PTASP over a three-year cycle. This review package shall be submitted in time to receive TxDOT approval not less than 60 days prior to conducting the ISR. The review package shall include the following information:

- Identify the departments, employees, and contractors responsible for scheduling, managing, and conducting the annual review;
- Identify the departments and functions subject to review;
- At a minimum, the annual approval request shall identify the RTA personnel participating in the review, include contact information, interview schedules, and a listing of the on-site audit locations;
- Develop templates, checklists, and procedures for conducting the ISR. These materials shall include sufficient criteria to determine if all audited elements are implemented as intended.

RTA Internal Safety Review Package Approval Sequence

- RTA submits ISR packet at least 60 days before the planned ISR date.
- TxDOT will review and provide comments to the RTA within 10 business days.
- In the event revisions are needed, TxDOT and the RTA will reach a mutually agreeable date for the resubmission of revised items. Upon receipt of the requested revision the review process will continue.
- TxDOT approval of the ISR packet will be made via a formal letter to the Chief Safety Officer.

RTA Internal Safety Review Report

Each RTA shall submit the ISR final report to TxDOT within 30 days of report completion. In no case shall the RTA submit the ISR final report later than February 1st.

TxDOT requires the following two items to be submitted by the above referenced deadlines:

1. A formal letter signed by the RTA's Accountable Executive, that:
 - certifies the RTA is in compliance with its agency safety plan, *or*
 - states the RTA, as indicated through the ISR final report, is not in compliance with its agency safety plan. If the RTA cannot certify compliance then this letter must specify each noncompliance issue, the activities that the RTA will take to achieve compliance,

the date that those activities will be completed, and the projected date that compliance will be achieved.

2. The ISR final report, must contain the following content:
 - A listing of the safety elements conducted during the calendar year;
 - Identification of the departments and functions reviewed;
 - An update of the RTA' three-year schedule ISR schedule;
 - Findings of noncompliance

All findings shall be tracked by the RTA until closure or resolution.

Section 5: Triennial SSO Agency Audits

5.1 SSOA Triennial Audit Schedule

At least once every three years, TxDOT shall conduct a Triennial Audit of the RTA implementation of its PTASP. The triennial is considered conducted as of the date TxDOT holds an audit exit debrief with the RTA. It will be at TxDOT's discretion whether the Triennial Audit will be conducted as a single on-site assessment or in an on-going manner over the three-year cycle.

5.2 SSOA Triennial Audit Activities

TxDOT, or its designated contractor, will prepare the audit checklists based on the RTA's PTASP and supporting procedures, records, and plans. Verification of checklist items will occur through interviews, document reviews, data analysis, field observations, testing, measurements, spot checks, and demonstrations provided by the RTA employees and contractors. To assess compliance with the agency's safety program the audit team will sample accident reports, internal review reports, the hazard management program, corrective action plans in relation to 49 CFR Part 674 and the TxDOT SSO Program Standard. The audit team may also use Drug and Alcohol Audits, Triennial Reviews, and Safety and Security Readiness Reviews to support its assessment of compliance in areas previously investigated and audited by FTA.

Whether TxDOT conducts the Triennial Audit as a single on-site assessment or in an on-going manner over the three-year cycle, the following steps will be employed by TxDOT and its contractors before, during, and after the audit.

Triennial Audit Planning and Coordination

- Notify the RTA Accountable Executive and Chief Safety Officer of intent to conduct the Triennial Audit.
- Coordinate with the RTA safety points of contact to develop the audit schedule no less than 60 days before the audit is scheduled;
- Finalize the interview schedule in coordination with the RTA points-of-contact, no less than 30 days prior to the audit;
- Designate a TxDOT audit team leader and team members;
- Prepare an audit plan that includes all elements identified in the RTA's PTASP and supporting documents and procedures;
- Request and review RTA safety documents;
- Prepare audit checklists and templates based on the RTA's PTASP and supporting documents prior to the on-site audit;
- Identify methods of verification appropriate to each checklist item.

Conducting the Triennial Audit

- Conduct an entrance meeting with the RTA Accountable Executive, Operations management, Chief Safety Officer, and Rail Safety employees;
- Conduct interviews with appropriate RTA employees and contractors;

- Evaluate documents and data maintained on-site;
- Observe on-site operations of the RTA;
- Take measurements and conduct spot checks as appropriate;
- Rate checklist items for compliance;
- Conduct an exit debriefing with RTA management at the conclusion of the audit to provide an overview of initial findings and observations.

Triennial Audit Report Shall

- Cite authority and purpose of the audit;
- State principal findings and observations;
- Evaluate the implementation of the PTASP and supporting procedures;
- Identify findings which shall be addressed by the RTA;
- Make recommendations to the RTA to update its PTASP and supporting procedures.

Final Report Submission and Audit Closeout

- Issue a draft audit report within 60 days of the completion of the on-site audit and submit to the RTA for comment;
- RTA shall submit comments within 30 days. Comments may be factored into the final audit report;
- Issue a cover letter along with the final audit report and submit to the Accountable Executive within 15 days;
- Require the RTA to submit CAPs to address findings within 45 days of report issuance;
- Review the RTA corrective action plan submission within 30 days of receipt;
- Upon approval of the CAP notify the RTA points-of-contact;
- Monitor RTA's progress on implementing CAPs and closing the audit findings;
- TxDOT will notify the RTA when all findings have been addressed and the audit is closed.

5.3 SSO Agency Triennial Audit Report

TxDOT shall issue a Triennial Audit which shall include, at minimum, findings and recommendations, an analysis of the effectiveness of the PTASP and supporting documentation and procedures.

Findings will be issued for areas in which the RTA is not in compliance with federal and state requirements or the PTASP policies or procedures.

Recommendations can include areas that, while in compliance with applicable requirements and standards, may be improved based upon the review team's professional judgment and knowledge of best practices. Recommendations do not require a corrective action plan.

Section 6: Safety Event Definitions and Notification Requirements

6.1 FTA and SSO Accident Notification Requirements and Method

The RTA is required to notify the FTA and TxDOT within two (2) hours of any accident that meets one or more of the following criteria:

- A loss of life;
- A report of a serious injury to a person;
- A collision involving a rail transit vehicle resulting in substantial damage, serious injury, or fatality. (See below for substantial damage and serious injury criteria)
- A runaway train;
- An evacuation due to life safety reasons (See below for evacuation criteria)
- Any derailment of a rail transit vehicle, at any location, at any time, whatever the cause

NOTE: The two-hour window starts at the time the accident occurred

FTA, in its Two-Hour Accident Notification Guide, issued February 2018, further clarified that RTA's are required to provide two-hour notification of all collisions 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.

Substantial damage is defined as damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the rail transit agency and adversely affects the structural strength, performance, or operating characteristics of the property, requiring towing, rescue, on-site maintenance, or immediate removal prior to safe operation.

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; or
- Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

An evacuation for a life safety reason occurs when a person departs from a transit vehicle or facility due to a threat to their life or limb. A life safety reason may include, but is not limited to, a fire, the presence of smoke or noxious fumes, a fuel leak, a vehicle fuel leak, an electrical hazard, a bomb threat, discharge of a weapon, a suspicious item, or other situation that constitutes a potential danger. An evacuation for a life safety reason may be transit-directed or passenger self-evacuations.

As clarified by FTA in their February 2018 Two-Hour Accident Notification Guide, RTAs are not to provide two-hour notifications due to mechanical breakdown, loss of power, track obstructions, or any other situation that does not involve a potential danger to life safety.

RTA staff must use their best judgment in determining if an evacuation for a life safety reason occurred. If unsure, RTAs are advised to provide an initial two-hour notification to TxDOT and FTA.

6.2 Accident Notification Procedure

The RTA must provide the two-hour initial accident notification to FTA by contacting the U.S. DOT Transportation Operations Center (TOC) by email or phone:

EMAIL: (preferred)	TOC-01@DOT.GOV	TxDOT SSO Program Manager MUST be copied on all FTA notifications sent via email.
PHONE:	(202) 366-1863	The date and time of the phone call must be documented

FTA notifications must include:

- Summary of the event
- Location
- Number of fatalities
- Number of serious injuries (include type of injury if known)
- Primary and secondary event types (e.g., collision, derailment, fire, etc.)
- Point of contact for follow-up inquiries

The RTA must also report the accident to TxDOT using the SSO Tracker reporting system within the two (2) hour reporting requirement. The SSO Track reporting system allows RTA's to complete the accident notification three different ways, which include the SSO Tracker App, SSO Tracker Website, and the SSO Tracker Public Webform.

In the event of SSO Tracker reporting difficulties entirely out of the control of the RTA, agencies may notify TxDOT through a telephone phone or email notification to their SSO Program Manager using the contact information below.

Quentin Huckaby: quentin.huckaby@txdot.gov (512) 574-3742

Carter Sieber: carter.sieber@txdot.gov (512) 486-5961

Accident notification to FTA and TxDOT, whether made by phone, email, or the SSO Tracker system, must meet the two-hour notification requirement, and must include a summary of the event, location, injuries or fatalities, and a name and contact information for a point of contact.

In addition, an RTA must complete an SSO Tracker notification with 24 hours of issue resolution for any notifications made through phone or email.

Please refer to the SSO Tracker User Manual for detailed instructions on using the SSO Tracker system. The SSO Tracker User Manual is located on the TxDOT SSO Program webpage at: www.txdot.gov/inside-txdot/division/public-transportation/state-safety-oversight.html

6.3 Incident and Occurrence Tracking and Reporting

Rail agencies shall report incidents to FTA via the National Transit Database (NTD) within 30 days.

Incidents are defined as:

- A personal injury that is not a serious injury;
- One or more injuries requiring medical transport, damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency.

Occurrences shall be tracked by the RTA and made available to TxDOT and to FTA for review, as requested.

Occurrences are defined as:

- an event without any personal injury
- damage to facilities, equipment, rolling stock, or infrastructure that does not disrupt the operations of a RTA.

6.4 FRA Notifications

In any instance in which an RTA shall notify the FRA of an accident as defined by 49 CFR Part 225.5 (i.e., shared use of the general railroad system track or corridors), the RTA shall also notify TxDOT and FTA of the accident within the same time frame as required by the FRA.

Section 7: Accident Investigations

7.1 Accident Investigation Process

TxDOT must investigate, or cause to be investigated, at a minimum, any accident meeting the notification thresholds identified in the Program Standard Section 6, Safety Event Definitions and Notification Requirements. The FTA Administrator may conduct an independent investigation of any accident or a review of an SSOA's or an RTA' findings of causation of an accident. TxDOT will support the Administrator's independent accident investigation or findings and recommendations resulting from an independent investigation. TxDOT will evaluate whether the findings or recommendations by the FTA require a corrective action plan by the RTA. If so, TxDOT will require the RTA to develop and carry out a corrective action plan. TxDOT has delegated investigative responsibility to each RTA but reserves the right to conduct independent investigations at its discretion. TxDOT will support external investigations conducted by the National Transportation Safety Board or the Federal Transit Administration.

Independent TxDOT Investigations

TxDOT, at its discretion, may choose to conduct an independent investigation of any event meeting the thresholds specified in Program Standard Section 6.1, FTA and SSOA Accident Notification Requirements and Method.

TxDOT will notify the RTA as to the personnel who will be conducting the independent investigation, and provide a preliminary schedule as to the investigation process. TxDOT personnel and contractors, certified in the Public Transportation Safety Certification Program, are granted authority under the SSO program to conduct an investigation and evaluate records, materials, data, analysis, and other information that is pertinent to the investigation. The TxDOT investigation team will incorporate the American Public Transportation Association (APTA) *Standard for Rail Transit Accident/Incident Investigation* (APTA RT-OP-S-002-02 Rev 3) operating practice as applicable. The RTA will provide to the TxDOT investigation team the resources and information necessary to conduct the investigation in an effective and efficient fashion. The TxDOT investigation report will be submitted to the RTA within 45 days of the completion of the investigation.

National Transportation Safety Board Investigations

The NTSB is an independent Federal agency charged by Congress with investigating every civil aviation accident in the United States and significant accidents in the other modes of transportation including railroad, highway, marine, and pipeline and issuing safety recommendations aimed at preventing future accidents.

The NTSB is responsible for the investigation; the determination of facts; the cause or probable cause; and recommendations to reduce the likelihood of recurrence. TxDOT will support the NTSB as a member of its Party System. The RTA shall be responsible for timely briefing of TxDOT on all activities including meetings, interviews, requests for data, functional testing, examination of equipment, and the results of drug and alcohol tests. The RTA shall provide TxDOT with a copy of all written

correspondence to the NTSB and shall provide a copy of all NTSB reports and any recommendations concerning the event or its investigation, upon receipt by the RTA. TxDOT will assist the NTSB by providing information requested about the RTA practices and other matters as appropriate. TxDOT is authorized to participate in any discussions and reviews with the RTA and NTSB. TxDOT will evaluate whether the findings or recommendations by the NTSB require a corrective action plan by the RTA. If so, TxDOT will require the RTA to develop and carry out a corrective action plan.

7.2 Accident Investigation Procedures

TxDOT has authorized each RTA to conduct the on-site investigation on its behalf, and reserves the option to participate in the investigation process. All personnel and contractors that conduct investigations on behalf of TxDOT shall be trained to perform their functions in accordance with the Public Transportation Safety Certification Training Program. The RTA shall use accident investigation procedures approved by TxDOT. The accident investigation procedures shall adequately address the necessary activities to discern root cause and contributing factors and be procedurally oriented so as to not allow supposition or conjecture during the investigation. The procedures shall succinctly describe the roles and responsibilities of each RTA department; such as safety, operations, and transportation, during the on-scene investigation as well as define the process for completing and issuing the final report to TxDOT for review and adoption. TxDOT encourages the RTA's to review the accident investigation procedures at least annually. Subsequent updates and revisions to the accident investigation procedures shall be submitted to TxDOT for approval.

TxDOT's Review Process for RTA's Accident Investigation Procedures:

- TxDOT will acknowledge the receipt of accident investigation procedures submission and complete a review within 15 business days
- After the review period, TxDOT will provide review comments to the RTA; including areas that require revisions to achieve compliance. TxDOT may also include best practice recommendations with review results.
- TxDOT will work with the RTA to establish a mutually agreeable timeline to receive procedures which have incorporated TxDOT's requested revisions.
- Upon approval, TxDOT will send an approval letter via email to the Chief Safety Officer.

7.3 Accident Investigation Report

Each RTA accident investigation conducted by the RTA on behalf of TxDOT must be documented in a final investigation report that includes a description of investigation activities, findings, identified causal factors, and a corrective action plan if necessary. The final investigation report shall be submitted to TxDOT, through SSO Tracker system, within 30 days of the occurrence of the accident. On a case by case basis, SSO Program Managers may grant extensions to the accident investigation due dates. Such extensions are coordinated between TxDOT and RTA through email or phone, and formally documented within the SSO Tracker system as part of the accident investigation report. Please refer to the: SSO Tracker User Manual for detailed instructions on using the SSO Tracker to submit an

accident investigation report. The SSO Tracker User Manual is located on the TxDOT SSO Program webpage at: www.txdot.gov/inside-txdot/division/public-transportation/state-safety-oversight.html

At any time during an investigation, the RTA shall be prepared to provide a written briefing on the known circumstances of the event and status of their investigation activities. The final investigative report must include supporting investigation documentation. This may include, but is not limited to, video, digital pictures, police reports, supervisor reports, accident scene diagrams, drug and alcohol decision forms, and internal testing reports. At TxDOT's discretion, accident documentation, data, or video may be required for submission as part of the accident investigation report.

No later than 15 business days after the RTA's submission of the final accident investigation report, TxDOT will review the report. The review will ensure the submitted investigation report is complete, accurate, reasonable given the accident circumstances, is compliant with the RTA accident investigation procedures, includes a description of investigation activities, findings, identified causal factors, and, if necessary, provides a corrective action plan.

If questions arise during the investigation review, TxDOT will seek clarification from RTA staff responsible for the investigation. Upon receipt of clarification or correction TxDOT will complete the accident investigation review. After the conclusion of the review, and resolution of questions or concerns, TxDOT shall adopt the RTA's accident investigation and close the investigation in the TxDOT SSO Tracker System.

In the event TxDOT and the RTA cannot reach agreement on the investigation report content or conclusions, TxDOT may issue its own accident investigation report consistent with the process described in the Independent TxDOT Investigations section of this chapter.

7.4 SSO and NTD Safety Event Reconciliation

No less than quarterly, TxDOT will compare and reconcile past accident data reported within the SSO Tracker System to RTA accident data reported to the National Transit Database (NTD). TxDOT completes the reconciliation using FTA's State Safety Oversight Reporting System (SSOR System). The SSOR System is a web-based data reporting system that is linked to the NTD. Any rail-related accidents, as defined by 49 CFR 674, reported by the RTA to the NTD are displayed in the SSOR system.

The data reconciliation review will ensure the RTA's accident investigation data submitted to both TxDOT, through the SSO Tracker system, and FTA, through the NTD, match. Examples of common issues discovered by a reconciliation review include errors in the number or type of injuries reported, the event time or location, and late notifications.

No later than 15 days after the end of quarter, TxDOT will complete the reconciliation review and inform each RTA of the results. If data revisions are required, the SSO Program Manager and/or the SSO

support contractors will state which safety event requires revision and why a revision is warranted. TxDOT may require a corrective action plan if the safety event reconciliation indicates non-compliance with accident reporting requirements.

Section 8: Hazard Management

8.1 RTA Hazard Management Process

Each RTA shall develop, document in the PTASP, and implement a hazard management process to identify and resolve hazards including, but not limited to, hazards resulting from subsequent system extensions or modifications, operational changes, or other changes within the rail transit environment, or hazards discovered during audits, inspections, or investigations. TxDOT may choose to participate in this process to oversee the identification, assessment, resolution, and tracking of hazards identified by the RTA or TxDOT.

The hazard management process shall, at a minimum:

- Define the RTA's approach to hazard management and the implementation of an integrated system-wide hazard resolution process;
- Specify the sources of, and the mechanisms to support, the on-going identification of hazards;
- Define the process by which identified hazards will be evaluated and prioritized for elimination or control;
- Identify the mechanism used to track through resolution the identified hazard(s);
- Define minimum thresholds for the notification and reporting of hazard(s), including required reportable hazards, to oversight agencies including TxDOT; and
- Specify the process by which the RTA will provide on-going reporting of hazard identification and hazard resolution activities to TxDOT.

8.2 RTA Hazard Identification, Assessment, and Resolution

A hazard means any real or potential condition 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.

Each RTA, in its PTASP, is required to specify its approach to identifying and assessing hazards. The PTASP shall include a description of the process used by the RTA to implement its hazard management program, including the following activities:

- Hazard identification;
- Hazard investigation, evaluation, and analysis;
- Hazard control and elimination;
- Hazard tracking; and
- Requirements for on-going reporting to TxDOT to hazard management activities and status.

In the hazard management process, an RTA may use a variety of methods to identify, analyse, and resolve hazards. Examples of formal hazard analysis include but are not limited to the following: trend analysis, hazard classification, and resolution using the Military Standard (Mil-Std) 882 process, hazard analyses using inductive processes (Preliminary Hazard Analysis, Failure Modes and Effects

Analysis, Job Hazard Analysis, etc.) and hazard analysis using deductive processes (Fault Tree Analysis).

Informal hazard analysis processes may be used to access current operations or for major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment. Informal processes may include reports from operations and maintenance personnel, results from rules compliance checks and employee evaluations, the mining of maintenance data, results from facilities and vehicles inspections, findings from internal safety and security reviews or audits, and daily review of the RTA's unusual occurrences log.

Whichever approach is selected by the RTA, there shall be clear documented set of criteria applied for assessing identified hazards. Assessment enables the RTA to evaluate the seriousness of the hazard and to prioritize its resolution. These criteria may be the hazard probability and severity rankings used in Mil-Std 882, or a qualitative or quantitative ranking scheme devised by the RTA. However, the RTA chooses to define its assessment process, in its PTASP, it shall indicate which criteria shall be met to trigger notification to TxDOT. FTA and TxDOT encourage each RTA to reflect its genuine practices, however informal or subjective they may be, rather than idealized techniques that may not actually be used in the event of a serious hazardous condition.

8.3 RTA Hazard Coordination with TxDOT

RTA's must coordinate with TxDOT on the management of the hazards that meet or exceed the reporting threshold established by each RTA. The SSO Tracker system is the required method for RTAs to report hazards, document hazard related corrective actions, and to keep TxDOT informed on the status of open hazards.

An overview of TxDOT and RTA coordination on reportable hazards includes the RTA: 1) submitting to TxDOT an initial hazard notification and assessment, 2) addressing the hazard with a corrective action plan, 3) completing a final hazard report including a final hazard assessment, and 4) tracking the status of open hazards.

Hazards that do not meet the RTA's threshold for reporting to TxDOT must be managed in compliance with each RTA's safety risk management processes described within the PTASP; including documenting, tracking, and if necessary, resolving the hazard through safety risk mitigation actions. TxDOT will coordinate with each RTA on non-TxDOT reportable hazards as described in section 8.7.

Please refer to the SSO Tracker User Manual for detailed instructions on using the SSO Tracker system to submit an initial hazard notification and final hazard report. The SSO Tracker User Manual is located on the TxDOT SSO Program webpage at: www.txdot.gov/inside-txdot/division/public-transportation/state-safety-oversight.html

8.4 Initial Hazard Notification and Assessment

The RTA shall define and document within the PTASP minimum hazard thresholds which require notification to TxDOT. Within 24 hours of occurrence or discovery of a hazard meeting the reportable threshold criteria specified in the PTASP, RTAs must notify TxDOT of the hazard using the SSO Tracker system. The notification shall include summarized details of the hazard and an initial assessment of probability and severity.

TxDOT strongly recommends each RTA incorporate within the PTASP the following hazardous conditions as SSO reportable:

- Unexpected service shutdown for all, or a portion of, the rail system due to a safety-related or hazardous condition;
- Stop signal violations or overruns;
- Roadway worker protection (or equivalent) rule violations, such as work zone encroachment;
- Malfunctions of safety-critical systems that could result, or have resulted in, catastrophic or single-point failure;
- Split switches;
- Automatic Grade Crossing Warning Device malfunction;
- Passenger door malfunction

8.5 Hazard Corrective Action Plan

All hazards reported to TxDOT will be addressed with a Corrective Action Plan. For information on the CAP process, including preparation, submission, and TxDOT approval requirements, please refer to Section 9: Corrective Action Plans. After implementation of the CAP, the RTA must complete a final hazard report and assessment.

8.6 Final Hazard Report and Assessment

After the implementation of a corrective action plan, the RTA must re-assess the hazard probability and severity to determine if the hazard has been addressed effectively. Effective hazard mitigation through the implementation of an appropriate corrective action plan should result in less frequent and less severe hazard consequences.

8.7 Monitoring of RTA Hazards

No less than quarterly, TxDOT will require each RTA to submit a consolidated hazard log or equivalent documentation for all open hazards, including those discovered during the preceding quarter. Equivalent documentation may include hazard management information system reports, file exports, or other documentation that contains the TxDOT required hazard information as described below.

The hazard tracking log or equivalent documentation must contain, at a minimum, the following information:

- Date hazard discovered
- Summary or description of hazard, including location.
- Hazard assessment including probability and severity
- Responsible RTA department or employee tasked with resolving the hazard
- Status of hazard resolution

TxDOT will complete a review of the hazard log within 15 days of each hazard log submission, and results will be provided to the RTA's Chief Safety Officer. TxDOT's hazard log review will focus on communication on RTA's internal hazards, and coordination as each RTA implements their safety risk management processes. TxDOT may require a corrective action plan if the hazard log review indicates non-compliance with hazard management requirements. The table below summarizes TxDOT's timeline for internal hazard log review and coordination.

Quarters	RTA Actions and Dates	SSO Actions and Dates
Qtr 1: Jan, Feb, Mar	RTA submits Qtr 1 log by Apr 15th	SSO reviews by Apr 30th
Qtr 2: Apr, May, Jun	RTA submits Qtr 2 log by Jul 15th	SSO reviews by Jul 30th
Qtr 3: Jul, Aug, Sept	RTA submits Qtr 3 log by Oct 15th	SSO reviews by Oct 30th
Qtr 4: Oct, Nov, Dec	RTA submits Qtr 4 logs by Jan 15th	SSO reviews by Jan 30th

Section 9: Corrective Actions

RTA's will coordinate with TxDOT on the management of the RTA's Corrective Action Plans. The SSO Tracker system is the required method for RTA's to submit CAPs for TxDOT review and approval, to request CAP closure, and to keep TxDOT informed on the status of open CAPs.

Please refer to the SSO Tracker User Manual for detailed instructions on using the SSO Tracker system to submit corrective action plans. The SSO Tracker User Manual is found on the TxDOT SSO webpage at: <https://www.txdot.gov/inside-txdot/division/public-transportation/state-safety-oversight.html>

9.1 CAP Development

RTA shall develop and implement corrective action plans (CAPs) to address risk and hazards identified through investigations, the hazard management process, audit findings, internal safety review findings, or recommendations specified internally. A CAP shall describe the actions the RTA will take to minimize, control, correct, or eliminate identified risks and hazards, the schedule for taking those actions, and the individual(s) and or department(s) responsible for taking those actions.

In any instance in which a safety event on the rail system is the subject of an investigation by the NTSB or FTA, TxDOT will evaluate whether the findings or recommendations require a CAP. If warranted, TxDOT shall order the RTA to develop and carry out a CAP.

Each RTA shall develop CAPs for the following:

- Results from safety event investigation in which identified causal and contributing factors are determined by the RTA or TxDOT as requiring corrective actions. Examples may include, but are not limited to, operator retraining in the event of human error, developing or revising a policy or procedure, or repair or corrective maintenance in the event equipment failure, damage, or poor maintenance
- Findings or deficiencies identified through RTA safety reviews or audits;
- SSO reportable hazards identified through the RTA hazard management process;
- Findings from the Triennial Audits and targeted safety audits performed by TxDOT;
- RTA risk assessments

9.2 CAP Submission

RTA's will submit CAPs through the SSO Tracker system within 30 days of discovering an issue requiring corrective action. Depending on the complexity of the issue, and at TxDOT's discretion, additional time may be granted to prepare the CAP. TxDOT must review and approve all proposed corrective actions before the RTA implements the CAP. An exception is made for immediate or emergency corrective actions that must be taken to ensure immediate safety, provided that TxDOT is notified within 48 hours of implementation.

The RTA CAP notification shall contain the following:

- Source of the CAP;
- Location, if applicable.
- Summary of issue requiring corrective action
- Proposed corrective actions,
- Is the CAP an immediate or emergency corrective action
- Date the issue requiring corrective action was discovered
- Estimated start date
- Estimated completion date
- Responsible Party and department(s) responsible;

TxDOT will review and approve both regular and emergency/immediate CAPs in accordance with the following section.

9.3 TxDOT Review and Approval of Proposed Corrective Action Plans

TxDOT will notify the RTA of its approval or rejection of a CAP within 30 days of receipt. In the event TxDOT rejects a CAP, TxDOT will state its reasons in writing and recommend revisions. The RTA shall submit a revised CAP to TxDOT no later than 10 business days following the rejection. TxDOT will work with the RTA to resolve any disputes relating either to the development or execution of the CAP or the findings of an investigation. In the event of a dispute concerning TxDOT's decision related to a CAP, no later than 30 days after receipt of the written decision, the RTA may request an on-site meeting or conference call with the TxDOT SSO Program Manager and Public Transportation Division leadership to discuss the proposed CAP. The goal of these discussions is to reach agreement on the CAP in dispute. The RTA may request an Administrative Review as specified in 43 TAC 7.92 to appeal the rejection or approval of a CAP. The Administrative Review will be decided by the TxDOT Executive Director or Deputy Executive Director and will be the final decision regarding the CAP.

9.4 CAP Implementation and Closure

RTAs may implement the corrective action plan once TxDOT approval is received. During CAP implementation, any significant changes to the approved CAP must be discussed with the SSO Program Manager or support contractor by telephone or email for approval. Upon SSO approval of proposed changes, the RTA must update the CAP within the SSO Tracker system. Significant changes may include changes to the identified actions, person or departments responsible for implementation or completion date.

The RTA must request TxDOT to close the CAP once identified actions have been fully implemented. TxDOT will verify that the CAP has been implemented in compliance with the approved plan, all required fields within the SSO Tracker are completed, and that evidence of CAP implementation is provided either as a description of actions taken, an attached document, or uploaded pictures. TxDOT will close the CAP upon verifying its implementation. TxDOT may also use site visits, RTA interviews, and

documentation review to verify CAP implementation. Documentation may include the following: construction records, safety committee reports, standard operating procedures; training plans; training records, rule books, and bulletins; hazard management plan; maintenance procedures; emergency response plans and agreements; rules compliance programs; or independent assessment.

Upon verification and acceptance by TxDOT, the SSO Program Manager will close the CAP.

9.5 Monitoring of Open Corrective Action Plans

The SSO Tracker system allows TxDOT to monitor and track the status of open CAPs in real time. RTAs must ensure all CAP information within the system is kept up to date. Should TxDOT develop concerns regarding the RTA's management of open CAPs then these concerns will be addressed through communication with the RTA's staff responsible for CAP management.

Section 10: Escalation of Enforcement Action

The escalation of enforcement action may be used if a RTA fails to comply with a corrective action plan, administrative action notification, or an emergency order.

10.1 Escalation of Enforcement Action

In instances of violation of federal or state regulation, TXDOT may initiate an administrative action; beginning with a written notification of violation provided to the RTA. The notification will specify violations, administrative actions to be taken by TXDOT, compliance action needed to address the violation, and information concerning administrative review of TXDOT's determination should the RTA disagree with the notification.

The RTA shall submit documentation to TXDOT to demonstrate compliance with the requested actions needed to address the violation or request administrative review to appeal TXDOT's determination. TXDOT will make a final determination of the appeal within 60 days of receipt of the appeal.

Failure to act as required will lead to escalation of enforcement action; which may include TXDOT rescinding approval of the RTA's agency safety plan, issuance of an emergency order to address imminent public safety, and seeking a temporary injunction to enforce emergency orders.

Complete information on the Administrative Actions, Administrative Review, and Escalation of Enforcement Action may be found in the Texas Administrative Code, Chapter 7, Subchapter E. - Rail Fixed Guideway System State Safety Oversight Program.

Appendix A: State Safety Oversight 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.

Accountable Executive means a single, identifiable individual who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

Administrator means the Federal Transit Administrator or the Administrator's designee.

Commission means the Texas Transportation Commission.

Contractor means an entity that performs tasks on behalf of FTA, a State Safety Oversight Agency, or a Rail Transit Agency, through contract or other agreement.

Corrective Action Plan means a plan developed by a Rail Transit Agency that describes the actions the Rail Transit Agency will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require a Rail Transit Agency to develop and carry out a corrective action plan.

Department means the Texas Department of Transportation.

Evacuation for a life safety reason occurs when a person departs from a transit vehicle or facility due to a threat to their life or limb.

Event means an Accident, Incident or Occurrence.

Fatality means a death occurring at the scene or within 30 days of the accident.

Finding is an instance in which the RTA is not in compliance with federal and state requirements or the PTASP policies or procedures.

FRA means the Federal Railroad Administration, an agency within the United States Department of Transportation.

FTA means the Federal Transit Administration, an agency within the United States Department of Transportation.

Hazard means any real or potential condition 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.

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 a rail transit agency. An incident must be reported to FTA's National Transit Database in accordance with the thresholds established by the NTD.

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.

NTSB means the National Transportation Safety Board, an independent Federal agency.

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 a rail transit agency.

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

Pre-revenue Operations—Operation of the rail fixed guideway public transportation system prior to revenue service that includes identification and performance of tests, drills, exercises, and audits designed to verify the functional capability and readiness of the system.

Public Transportation Agency Safety Plan (PTASP) means the comprehensive agency safety plan for a transit agency, including a Rail Transit Agency, that is required by 49 U.S.C. 5329(d) and based on a Safety Management System.

Public Transportation Safety Certification Training Program means either 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, established through interim provisions in accordance with 49 U.S.C. 5329(c)(2), or the program authorized by 49 U.S.C. 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. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

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

Revenue Service means the operation of the rail fixed guideway public transportation system to carry passengers that pay fares, provide payment through a contractual arrangement, or have the fares subsidized by public policy. Vehicles operated in fare free service are considered in revenue service.

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 risk management means a process within a Rail Transit Agency's Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

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

Serious injury means any injury which:

- (1) Requires hospitalization for more than 48 hours, commencing within 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; or
- (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

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 49 U.S.C. 5329(e) and the regulations set forth in this part.

SSOR system is a web-based system created by FTA for SSO Agencies to submit their annual report requirements to FTA.

Substantial damage is defined as damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the rail transit agency and adversely affects the structural strength, performance, or operating characteristics of the property, requiring towing, rescue, on-site maintenance, or immediate removal prior to safe operation.

System Safety Program Plan (SSPP) a document developed and adopted by a Rail Transit Agency describing its safety policies, objectives, responsibilities, and procedures. Upon FTA issuing a final rule the Public Transportation Agency Safety Plan will supersede the SSPP.

Vehicle means any rolling stock used on a rail fixed guideway public transportation system, including but not limited to passenger and maintenance vehicles.

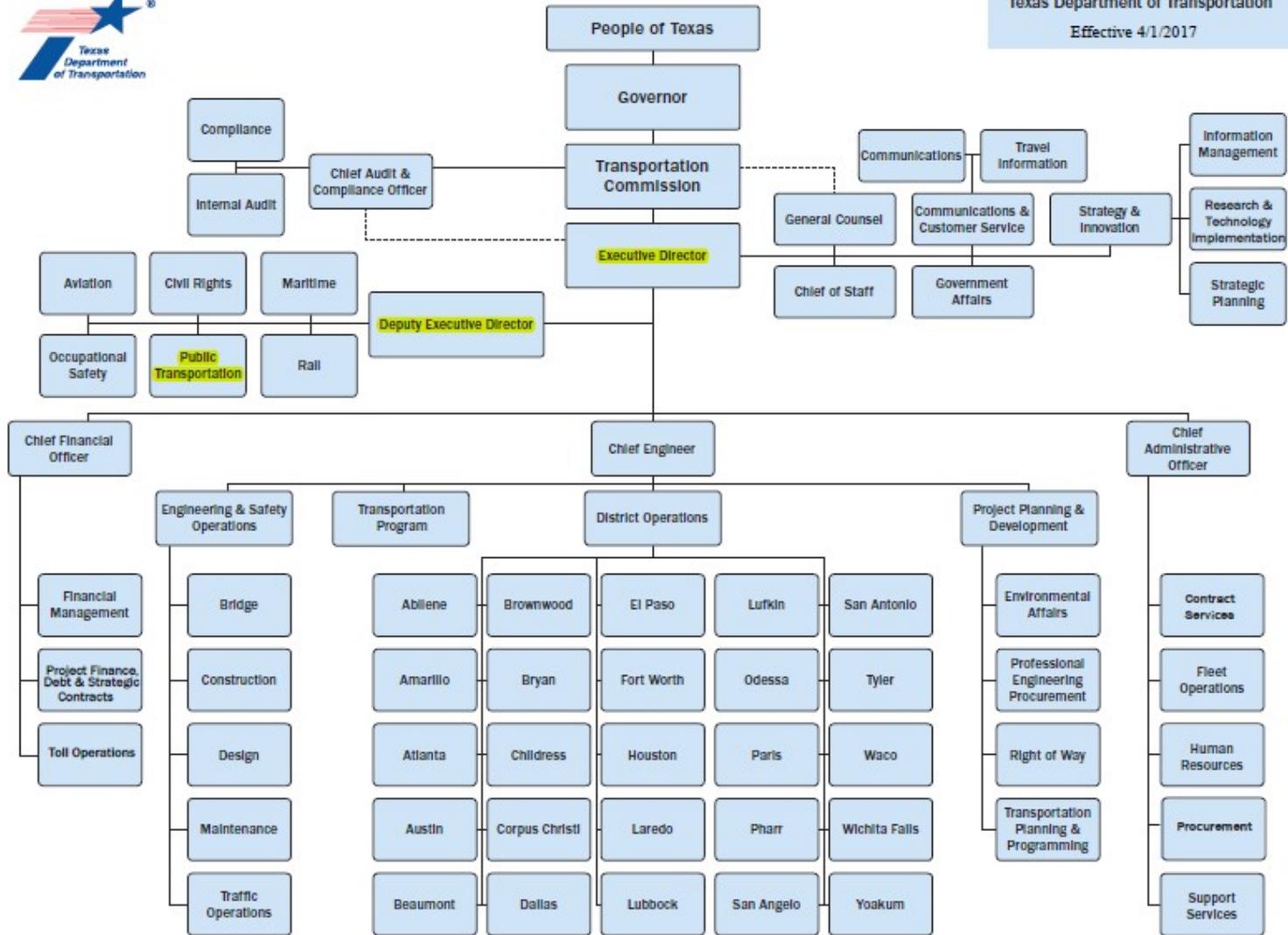
Appendix B: State Safety Oversight Abbreviations

APTA	American Public Transportation Association
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
ISR	Internal Safety Review
LRV	Light Rail Vehicle
MAP-21	Moving Ahead for Progress in the 21st Century
Mil-Std	Military Standard
N/A	Non Applicable
NTD	National Transit Database
NTSB	National Transportation Safety Board
POV	Privately Operated Vehicle
PTN	Public Transportation Division
PTASP	Public Transportation Agency Safety Plan
PTSCTP	Public Transportation Safety Certification Training Program
RFGPTS	Rail Fixed Guideway Public Transportation System
ROW	Right-Of-Way
RTA	Rail Transit Agency
RWP	Right-of-way Worker Protection
SB	Senate Bill
SMS	Safety Management System
SSO	State Safety Oversight
SSOA	SSOA State Safety Oversight Agency
SSOR	State Safety Oversight Reporting system
SSP	System Safety Plan
SSPP	System Safety Program Plan
TAC	Texas Administrative Code
TSI	Transportation Safety Institute
TSSP	Transit Safety and Security Program
TTP	Technical Training Plan
TxDOT	Texas Department of Transportation
U.S.C.	United States Code
USPS	United States Postal Service

Appendix C: TxDOT Organization Chart



Texas Department of Transportation
Effective 4/1/2017



Functional Separation of Responsibilities

Administrative and Program Support (11 FTE's)

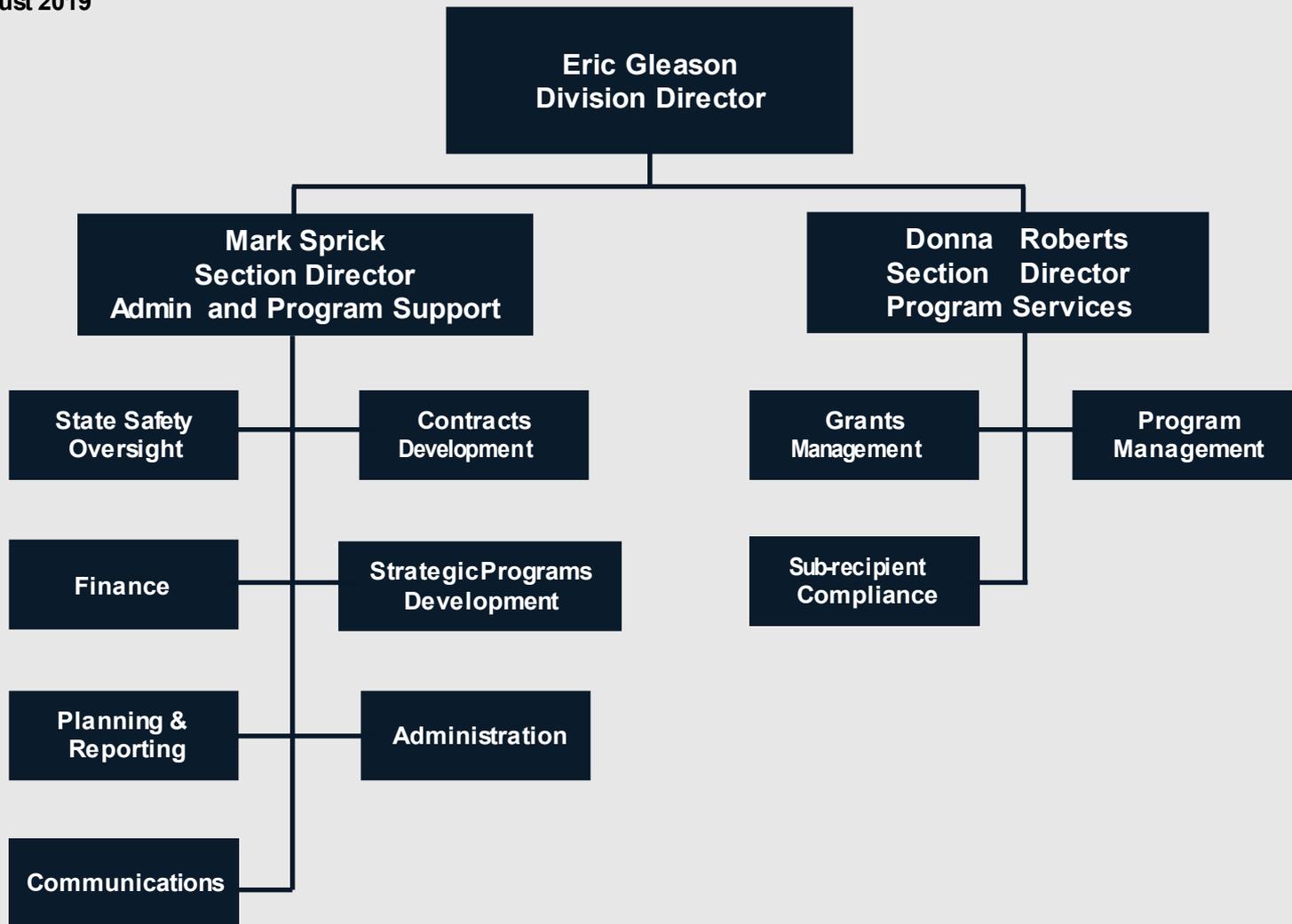
- State Safety Oversight Program
- Finance / Budget
- Division Strategic Plan
- Division Contracts / Agreements
- Policy/Performance Analysis
- Legislative Coordination / Requirements
- Planning & Programming
- Reporting Requirements
- Public Transportation Advisory Committee (PTAC)
- Open Records Requests
- Communications
- Training/Technical Assistance
- eGrants Management
- Division Strategic Programs Development
- Administration

Program Services (36 FTE's)

- FTA Program SME / Recommended Program Awards
- State Management Plan/State Management Review
- Sub-recipient Grant Project Management
- Sub-recipient Monitoring/Compliance/Financial Reviews
- Asset Inventory and Management
- Partnerships/Coordination Planning
- Standard Operating Procedures
- Outreach/Stakeholder Engagement
- TxDOT Bicycle/Pedestrian Program Coordination
 - Bicycle Advisory Committee (BAC)
 - FHWA Transportation Alternatives Program (TAP) and Transportation Alternatives Set-Aside

TXDOT Public Transportation Division Organization Chart

Effective August 2019



Appendix D: Public Transportation Agency Safety Plan Review Checklist

RAIL FIXED GUIDEWAY SYSTEM: _____

SAFETY PLAN TITLE: _____

REVIEWER: _____

REVIEW DATE: _____

Each RTA must establish a Public Transportation Agency Safety Plan (PTASP) that is in compliance with 49 CFR 673 and TxDOT's Program Standard.

FEDERAL AND STATE REQUIREMENT	PTASP REQUIREMENTS	REVIEW QUESTION:	PAGE #	COMPLIANT: Y/N	COMMENTS
673.11(a)(1)	(a)(1) The PTASP must be signed by the Accountable Executive and approved by the agency's Board of Directors, or an Equivalent Authority.	Is the plan: a. signed by the accountable executive, b. approved by agency board or equivalent authority. <i>Board or equivalent authority approval must be documented with resolution, proclamation, meeting minutes, or other official action which evidences formal approval.</i>			
673.5	49 CFR 673.5 includes definitions.	Does the plan: a. contain definitions consistent with CFR 673? <i>Definitions used in the PTASP and associated documentation must be consistent with CFR 673, FTA, and TxDOT guidance.</i>			
673.11(a)(5) (PS, Sec 11)	Each transit agency must establish a process and timeline for conducting an annual review and update of the PTASP.	Does the plan include: a. process for conducting the annual review, b. timeline for conducting annual review, c. annual review/update completed by Dec 1 st . <i>TxDOT requires the PTASP to be reviewed and, if necessary, updated by Feb 1st each year.</i>			
673.11(a)(6)	A rail transit agency must include or incorporate by reference in its PTASP an emergency preparedness and response plan or procedures that addresses, at a minimum, 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 transit agency's service area.	Is the emergency preparedness and response plan or procedures included within the plan or incorporated by reference? <ul style="list-style-type: none"> ┆ include in plan, or ┆ incorporated by reference. Does the emergency preparedness and response plan or procedures address the following areas: a. assignment of employee responsibilities during an emergency, b. coordination with local, regional, state, and federal officials with roles/responsibilities for emergency preparedness and response in the agency's service area.			

FEDERAL AND STATE REQUIREMENT	PTASP REQUIREMENTS	REVIEW QUESTION:	PAGE #	COMPLIANT: Y/N	COMMENTS
673.11(a)(3)	(a)(3) The Public Transportation Agency Safety Plan must include performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.	<p>Does the plan include:</p> <p>a. performance targets based on the safety performance measures established under the National Public Transportation Safety Plan?</p> <p><i>The National Public Transportation Safety Plan can be found at: https://www.transit.dot.gov/regulations-and-guidance/safety/national-public-transportation-safety-plan</i></p>			
673.15(a) 673.15(b)	<p>(a) A State or transit agency must make its safety performance targets available to States and Metropolitan Planning Organizations to aid in the planning process.</p> <p>(b) To the maximum extent practicable, a State or transit agency must coordinate with States and Metropolitan Planning Organizations in the selection of State and MPO safety performance targets.</p>	<p>Does the plan include:</p> <p>a. process to coordinate with and make safety performance targets available to the state and MPO.</p> <p><i>This section must include specific information on the process including who is responsible for making the targets available, to whom the targets are provided to, and when the targets are provided.</i></p>			
673.23(a)	(a) A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of safety management policy that includes the agency's safety objectives and safety performance targets.	<p>Does the plan contain:</p> <p>a. statement of safety management policy</p> <p>b. including the agency's safety objectives, and</p> <p>c. safety performance targets.</p> <p><i>Sample Safety Management Policy Statement can be found within Appendix B of the National Public Transportation Safety Plan.</i></p> <p><i>The National Public Transportation Safety Plan can be found at: https://www.transit.dot.gov/regulations-and-guidance/safety/national-public-transportation-safety-plan</i></p>			
673.23(b)	(b) A transit agency must establish a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action.	<p>Does the plan contain:</p> <p>a. process that allows employees to report safety conditions to senior management,</p> <p>b. protections for employees who report safety conditions to senior management, and</p> <p>c. description of employee behaviors that may result in disciplinary action.</p>			
673.23(c)	(c) The safety management policy must be communicated throughout the agency's organization.	<p>Does the plan contain:</p> <p>a. process or description of how the safety management policy is communicated throughout the agency.</p>			

FEDERAL AND STATE REQUIREMENT	PTASP REQUIREMENTS	REVIEW QUESTION:	PAGE #	COMPLIANT: Y/N	COMMENTS
673.23(d)	<p>(d) The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety among the following individuals within its organization, as they relate to the development and management of the transit agency's Safety Management System (SMS), including....</p> <ul style="list-style-type: none"> a. accountable executive b. chief safety officer or safety management system (SMS) executive c. agency leadership or executives d. key staff 	<p>Does the plan:</p> <ul style="list-style-type: none"> a. Establish the necessary authorities, accountabilities, and responsibilities for the management of safety among the following individuals within its organization, as they relate to the development and management of the transit agency's Safety Management System (SMS) b. list the following by position: <ul style="list-style-type: none"> - accountable executive, - chief safety officer or SMS executive, - agency leadership or executives with day-to-day SMS implementation duties, - key staff, groups, or committees with responsibilities in developing, implementing, and operating the agency's SMS. 			
673.35(a)	<p>(a) Safety Risk Management process. A transit agency must develop and implement a Safety Risk Management process for all elements of its public transportation system. The Safety Risk Management process must be comprised of the following activities: Safety hazard identification, safety risk assessment, and safety risk mitigation.</p>	<p>Does the plan:</p> <ul style="list-style-type: none"> a. Document a safety risk management process for all elements of its system? Including: <ul style="list-style-type: none"> - safety hazard identification - safety risk assessment - safety risk mitigation 			
673.25(b)(1) and (2)	<p>(b) Safety hazard identification.</p> <p>(1) A transit agency must establish methods or processes to identify hazards and consequences of the hazards.</p> <p>(2) A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA.</p>	<p>Does the plan:</p> <ul style="list-style-type: none"> a. document methods or processes to identify hazards and consequences of hazards. b. include as a source for hazard identification, data and information provide an oversight authority and the FTA. 			
673.25(c)(1) and (2)	<p>(c) Safety Risk Assessment</p> <p>(1) A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards.</p> <p>(2) A safety risk assessment includes an 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</p>	<p>Does the plan:</p> <ul style="list-style-type: none"> a. describe methods or processes to assess safety risks associated with identified safety hazards b. does the safety risk assessment include: <ul style="list-style-type: none"> a. assessment of likelihood (b. severity c. existing mitigations, d. prioritizations of hazards based on safety risk 			
673.25(d)	<p>(d) Safety risk mitigation. A transit agency must establish methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences.</p>	<p>Does the plan:</p> <ul style="list-style-type: none"> a. include methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment? 			
673.27(a)	<p>Safety assurance process. A transit agency must develop and implement a safety assurance process that meets the requirements of sections (b), (c), and (d).</p>	<p>Does the plan include:</p> <ul style="list-style-type: none"> a. safety assurance process that meets the requirements of sections (b), (c), and (d) listed below? 			

FEDERAL AND STATE REQUIREMENT	PTASP REQUIREMENTS	REVIEW QUESTION:	PAGE #	COMPLIANT: Y/N	COMMENTS
673.27(b)	(b) Safety performance monitoring and measurement. A transit agency must establish activities to: (1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance; (2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended; (3) Conduct investigations of safety events to identify causal factors; and (4) Monitor information reported through any internal safety reporting programs	Does the plan include activities to: a. monitor its system for compliance/sufficiency of procedures for operations and maintenance, b. monitor operations to identify any safety risk mitigations that are ineffective, inappropriate, or not implemented as intended, c. conduct investigations of safety events to identify the causes, d. monitor information through any internal safety reporting programs.			
673.27(c)	c) Management of change. (1) A transit agency must establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. (2) If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process	Does the plan include: a. process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance b. process to evaluate changes that may impact safety performance through the safety risk management process.			
673.27(d)(1) and (2)	(d) Continuous improvement. (1) A transit agency must establish a process to assess its safety performance. (2) If a transit agency identifies any deficiencies as part of its safety performance assessment, then the transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.	Does the plan include: a. process to assess its safety performance? b. Does the process include a requirement to address deficiencies through the development and carrying out of a plan to address identified deficiencies. <i>Section 4.5 of the TxDOT Program Standard requires RTA's to complete an annual internal safety review.</i>			
673.29(a)	(a) Competencies and training. A transit agency must establish and implement a comprehensive safety training program for all agency employees and contractors directly responsible for safety in the agency's public transportation system. The training program must include refresher training, as necessary.	Does the plan include or reference: a. a comprehensive safety training program for all employees and contractors directly responsible for safety? b. does the training program include refresher training, as necessary?			
673.29(b)	(b) Safety communication. A transit agency must communicate safety and safety performance information throughout the agency's organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through an employee safety reporting program.	Does the plan include: a. a process to strategies to communicate safety and safety performance information throughout the agency, which at a minimum: a. conveys info on hazards and safety risks relevant to employees roles and responsibilities. b. informs employees of safety actions taken in response to reports submitted through the employee safety reporting program			

Appendix E: Safety and Security Certification Plan Common Elements

The SSCP is a scalable, project specific plan which describes the activities the RTA will complete to ensure safety concerns and hazards are adequately addressed prior to the initiation of revenue operations.

Key areas to address in a Safety and Security Certification Plan include tasks such as:

- Project description.
- Certifiable elements list.
- Design criteria are developed to identify specifications that must be met.
- Design Conformance Checklists are completed to verify compliance of the design criteria.
- Integrated tests are completed to verify all systems and components function as intended.
- Operations and maintenance manuals are developed.
- Training is developed and provided to transit operations and maintenance staff.
- Agency staff are trained on rules, procedures, safety, and emergency operations.
- Public safety personnel are familiarized and trained to manage their activities safely.
- Emergency preparedness drills and exercises are conducted.
- Hazard and vulnerability assessments are performed to track and resolve safety concerns.
- PTASP development and approval by TxDOT.
- Safety and Security Certification Verification Report is prepared to document the transit project successfully complies with identified safety and security requirements.
- RTA issued “Certificate of Safety” is completed to verify the project is safe for revenue service.
- Completion of a TxDOT led on-site pre-revenue review.