

## Crosswalk Matrix:

### 49 CFR Part 659.19 System Safety Program Plan Requirements with Proposed Requirements for Public Transportation Agency Safety Plans

\*Please note, this document is intended to compare the current requirements for an SSPP with the proposed requirements for a PTASP. This document does not reflect the differences in approach to how a rail transit agency would carry out each plan. FTA has proposed that transit agencies develop and implement a Safety Management System as part of a PTASP. For more information on how each proposed requirement of a PTASP would be carried out under an SMS approach, please review the SMS Framework, which is in chapter II of the proposed National Public Transportation Safety Plan and available at [http://www.fta.dot.gov/documents/National\\_Public\\_Transportation\\_Safety\\_Plan.pdf](http://www.fta.dot.gov/documents/National_Public_Transportation_Safety_Plan.pdf).

<b>Current Rule</b> <b>49 CFR Part 659</b> 70 Fed. Reg. 22562 (Apr. 29, 2005). <b>Rail Fixed Guideway Systems; State Safety Oversight</b>		<b>Proposed Rule</b> <b>49 CFR Part 673</b> 81 Fed. Reg. 6343 (Feb. 5, 2016). <b>Public Transportation Agency Safety Plans (PTASP)</b>	
<b>49 CFR § 659.19 System Safety Program Plan (SSPP) Contents (21 Elements)</b>		<b>PTASP NPRM Subpart B Safety Plans &amp; Subpart D Safety Plan Documentation and Recordkeeping</b>	<b>PTASP NPRM Subpart C Safety Management Systems</b>
<b>1.</b>	<b>49 CFR § 659.19(a)</b>  A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the system safety program plan.	<b>49 CFR § 673.11(a)(1) General Requirements</b>  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 entity equivalent to a Board of Directors.	<b>49 CFR § 673.23(a) Safety Management Policy</b>  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.  <b>49 CFR § 673.23(c) Safety Management Policy</b>  The safety management policy must be communicated throughout the agency's organization.

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<p>2.</p>	<p><b>49 CFR § 659.19(b)</b></p> <p>A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure they are achieved.</p>	<p><b>49 CFR § 673.11(a)(3) General Requirements</b></p> <p>The Public Transportation Agency Safety Plan must include performance targets based on the safety performance criteria established under the National Public Transportation Safety Plan, and the state of good repair standards established in the regulations that implement the National Transit Asset Management System and are included in the National Public Transportation Safety Plan.</p>	<p><b>49 CFR § 673.23(d) Safety Management Policy</b></p> <p>The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety amongst the following individuals within its organization, as they relate to the development and management of the transit agency’s Safety Management System (SMS):</p> <p>(1)Accountable Executive. The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the agency’s SMS is effectively implemented, throughout the agency’s public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency’s SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency’s safety performance cannot be delegated and always rests with the Accountable Executive.</p> <p>(2)Chief Safety Officer or Safety Management System (SMS) Executive. The Accountable Executive may designate a Chief Safety Officer or SMS Executive who may be given authority and responsibility for day-to-day implementation and operation of an agency’s SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive.</p> <p>(3)Agency Leadership and Executive Management. A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency’s SMS.</p> <p>(4)Key Staff. A transit agency may designate key staff,</p>
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			<p>groups of staff, or committees to support the Accountable Executive, Chief Safety Officer, or SMS Executive in developing, implementing, and operating the agency's SMS.</p>
			<p><b>49 CFR § 673.23(b) Safety Management Policy</b></p> <p>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>
<p><b>3.</b></p>	<p><b>49 CFR § 659.19(c)</b></p> <p>An overview of the management structure of the rail transit agency, including:</p> <ul style="list-style-type: none"> <li>(1) An organization chart;</li> <li>(2) A description of how the safety function is integrated into the rest of the rail transit organization; and</li> <li>(3) Clear identification of the lines of authority used by the rail transit agency to manage safety issues.</li> </ul>		<p><b>49 CFR § 673.23(d) Safety Management Policy</b></p> <p>The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety amongst the following individuals within its organization, as they relate to the development and management of the transit agency's Safety Management System (SMS):</p> <ul style="list-style-type: none"> <li>(1) Accountable Executive. The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the agency's SMS is effectively implemented, throughout the agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the Accountable Executive.</li> <li>(2) Chief Safety Officer or Safety Management System (SMS) Executive. The Accountable Executive may designate a</li> </ul>

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			<p>Chief Safety Officer or SMS Executive who may be given authority and responsibility for day-to-day implementation and operation of an agency’s SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive.</p> <p>(3)Agency Leadership and Executive Management. A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency’s SMS.</p> <p>(4)Key Staff. A transit agency may designate key staff, groups of staff, or committees to support the Accountable Executive, Chief Safety Officer, or SMS Executive in developing, implementing, and operating the agency’s SMS.</p>
<p><b>4.</b></p>	<p><b>49 CFR § 659.19(d)</b></p> <p>The process used to control changes to the system safety program plan, including:</p> <p>(1) Specifying an annual assessment of whether the system safety program plan should be updated; and</p> <p>(2) Required coordination with the oversight agency, including timeframes for submission, revision, and approval.</p>	<p><b>49 CFR § 673.11(a)(5) General Requirements</b></p> <p>Each transit agency must establish a process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</p>	
<p><b>5.</b></p>	<p><b>49 CFR § 659.19(e)</b></p> <p>A description of the specific activities required to implement the system safety program, including:</p> <p>(1) Tasks to be performed by the rail transit safety function, by position and management accountability, specified in matrices and/or</p>		<p><b>49 CFR § 673.21(a)-(d) SMS General Requirements</b></p> <p>Each transit agency must establish and implement a Safety Management System under this part. A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of transit agency and include the following elements:</p>

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	<p>narrative format; and                  (2) Safety-related tasks to be performed by other rail transit departments, by position and management accountability, specified in matrices and/or narrative format.</p>		<p>(a) Safety Management Policy as described in Section § 673.23 of this subpart;                  (b) Safety Risk Management as described in Section § 673.25 of this subpart;                  (c) Safety Assurance as described in Section § 673.27 of this subpart; and                  (d) Safety Promotion as described in Section § 673.29 of this subpart.</p>
<p><b>6.</b></p>	<p><b>49 CFR § 659.19(f)</b></p> <p>A description of the process used by the rail transit agency to implement its hazard management program, including activities for:                  (1) Hazard identification;                  (2) Hazard investigation, evaluation and analysis;                  (3) Hazard control and elimination;                  (4) Hazard tracking; and                  (5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.</p> <p>Note: Please also see FTA’s proposed State Safety Oversight Rule at 49 CFR Part 674 for requirements related to “on-going reporting to the oversight agency relating to hazard management.”</p>		<p><b>49 CFR § 673.25(a)-(d) Safety Risk Management</b></p> <p>(a) 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: identification of safety hazards, analysis of safety hazards, safety risk evaluation, and safety risk mitigation.                  (b) Safety hazard identification and analysis.                  (1) A transit agency must establish a process for hazard identification and analysis.                  (2) A transit agency must include, as a source for hazard identification and analysis, data, and information provided by an oversight authority and the FTA.                  (c) Safety risk evaluation and mitigation.                  (1) A transit agency must establish activities to evaluate and prioritize the safety risk associated with the potential consequences of safety hazards. Safety risks must be evaluated in terms of probability and severity and take into account mitigations already in place to reduce the probability or severity of the potential consequence(s) analyzed.                  (2) A transit agency must establish criteria for the development of safety risk mitigations that are necessary based on the results of the agency’s safety risk evaluation.</p>

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<p><b>7.</b></p>	<p><b>49 CFR § 659.19(g)</b></p> <p>A description of the process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have safety impacts.</p>		<p><b>49 CFR § 673.25(a)-(d) Safety Risk Management</b></p> <p>(a)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: identification of safety hazards, analysis of safety hazards, safety risk evaluation, and safety risk mitigation.</p> <p>(b)Safety hazard identification and analysis.</p> <p>(1)A transit agency must establish a process for hazard identification and analysis.</p> <p>(2)A transit agency must include, as a source for hazard identification and analysis, data, and information provided by an oversight authority and the FTA.</p> <p>(c)Safety risk evaluation and mitigation.</p> <p>(1)A transit agency must establish activities to evaluate and prioritize the safety risk associated with the potential consequences of safety hazards. Safety risks must be evaluated in terms of probability and severity and take into account mitigations already in place to reduce the probability or severity of the potential consequence(s) analyzed.</p> <p>(2)A transit agency must establish criteria for the development of safety risk mitigations that are necessary based on the results of the agency’s safety risk evaluation.</p>
	<p><b>49 CFR § 673.27(c) Safety Assurance</b></p> <p>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.</p> <p>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.</p>		

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<p><b>8.</b></p>	<p><b>49 CFR § 659.19(h)</b></p> <p>A description of the safety certification process required by the rail transit agency to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for New Starts and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.</p>		<p><b>49 CFR § 673.27(c) Safety Assurance</b></p> <p>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. 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.</p>
<p><b>9.</b></p>	<p><b>49 CFR § 659.19(i)</b></p> <p>A description of the process used to collect, maintain, analyze, and distribute safety data, to ensure that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program.</p>		<p><b>49 CFR § 673.23(b) Safety Management Policy</b></p> <p>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> <p><b>49 CFR § 673.25(b)(2) Safety Risk Management</b></p> <p>A transit agency must include, as a source for hazard identification and analysis, data, and information provided by an oversight authority and the FTA.</p> <p><b>49 CFR § 673.27(a)-(b) Safety Assurance</b></p> <p>(a)Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(b)Safety performance monitoring and measurement. A transit agency must establish activities to:</p> <p>(1)Monitor its system for compliance with, and sufficiency of, the agency’s procedures for operations and maintenance;</p> <p>(2)Monitor its operations to identify hazards not identified through the Safety Risk Management process established in</p>



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			<p>Section§ 673.25 of this subpart;                  (3)Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;                  (4)Investigate safety events to identify causal factors; and                  (5)Monitor information reported through any internal safety reporting programs.</p>
<p><b>10.</b></p>	<p><b>49 CFR § 659.19(j)</b></p> <p>A description of the process used by the rail transit agency to perform accident notification, investigation and reporting, including:                  (1) Notification thresholds for internal and external organizations;                  (2) Accident investigation process and references to procedures;                  (3) The process used to develop, implement, and track corrective actions that address investigation findings;                  (4) Reporting to internal and external organizations; and                  (5) Coordination with the oversight agency.</p> <p>Note: Please also see FTA’s proposed State Safety Oversight Rule at 49 CFR Part 674 for requirements related to “the process used by the rail transit agency to perform accident notification, investigation and reporting.”</p>		<p><b>49 CFR § 673.27(a)-(b) Safety Assurance</b></p> <p>(a)Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(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 hazards not identified through the Safety Risk Management process established in Section§ 673.25 of this subpart;                  (3)Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;                  (4)Investigate safety events to identify causal factors; and                  (5)Monitor information reported through any internal safety reporting programs.</p>
<p><b>11.</b></p>	<p><b>49 CFR § 659.19(k)</b></p> <p>A description of the process used by the rail transit agency to develop an approved, coordinated schedule for all emergency management program activities, which include:</p>	<p><b>49 CFR § 673.11(a)(6) General Requirements</b></p> <p>A rail transit agency also must include in its Public Transportation Agency Safety Plan an emergency preparedness and response plan or procedures that addresses, at a minimum, the assignment of employee</p>	



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	<p>(1) Meetings with external agencies;                  (2) Emergency planning responsibilities and requirements;                  (3) Process used to evaluate emergency preparedness, such as annual emergency field exercises;                  (4) After action reports and implementation of findings;                  (5) Revision and distribution of emergency response procedures;                  (6) Familiarization training for public safety organizations; and                  (7) Employee training.</p>	<p>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.</p>	
<p><b>12.</b></p>	<p><b>49 CFR § 659.19(l)</b></p> <p>A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including:</p> <p>(1) Identification of departments and functions subject to review;                  (2) Responsibility for scheduling reviews;                  (3) Process for conducting reviews, including the development of checklists and procedures and the issuing of findings;                  (4) Review of reporting requirements;                  (5) Tracking the status of implemented recommendations; and                  (6) Coordination with the oversight agency.</p> <p>Note: Please also see FTA’s proposed State Safety Oversight Rule at 49 CFR Part 674 for requirements related to “[c]oordination with the oversight agency.”</p>		<p><b>49 CFR § 673.23(a) Safety Management Policy</b></p> <p>A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of safety policy that includes the agency’s safety objectives and safety performance targets.</p> <hr/> <p><b>49 CFR § 673.27(d) Safety Assurance</b></p> <p>(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.</p>

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<p><b>13.</b></p>	<p><b>49 CFR § 659.19(m)</b></p> <p>A description of the process used by the rail transit agency to develop, maintain, and ensure compliance with rules and procedures having a safety impact, including:</p> <p>(1) Identification of operating and maintenance rules and procedures subject to review;</p> <p>(2) Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing;</p> <p>(3) Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules; and</p> <p>(4) Process for documenting results and incorporating them into the hazard management program.</p>		<p><b>49 CFR § 673.27(a)-(d) Safety Assurance</b></p> <p>(a) Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(b) Safety performance monitoring and measurement. A transit agency must establish activities to:</p> <p>(1) Monitor its system for compliance with, and sufficiency of, the agency’s procedures for operations and maintenance;</p> <p>(2) Monitor its operations to identify hazards not identified through the Safety Risk Management process established in Section § 673.25 of this subpart;</p> <p>(3) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;</p> <p>(4) Investigate safety events to identify causal factors; and</p> <p>(5) Monitor information reported through any internal safety reporting programs.</p> <p>(c) Management of change.</p> <p>(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.</p> <p>(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.</p> <p>(d) Continuous improvement.</p> <p>(1) A transit agency must establish a process to assess its safety performance.</p> <p>(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.</p>
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<p><b>14.</b></p>	<p><b>49 CFR § 659.19(n)</b></p> <p>A description of the process used for facilities and equipment safety inspections, including:</p> <ul style="list-style-type: none"><li>(1) Identification of the facilities and equipment subject to regular safety-related inspection and testing;</li><li>(2) Techniques used to conduct inspections and testing;</li><li>(3) Inspection schedules and procedures; and</li><li>(4) Description of how results are entered into the hazard management process.</li></ul>		<p><b>49 CFR § 673.25(a)-(d) Safety Risk Management</b></p> <p>(a) 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: identification of safety hazards, analysis of safety hazards, safety risk evaluation, and safety risk mitigation.</p> <p>(b) Safety hazard identification and analysis.</p> <p>(1) A transit agency must establish a process for hazard identification and analysis.</p> <p>(2) A transit agency must include, as a source for hazard identification and analysis, data, and information provided by an oversight authority and the FTA.</p> <p>(c) Safety risk evaluation and mitigation.</p> <p>(1) A transit agency must establish activities to evaluate and prioritize the safety risk associated with the potential consequences of safety hazards. Safety risks must be evaluated in terms of probability and severity and take into account mitigations already in place to reduce the probability or severity of the potential consequence(s) analyzed.</p> <p>(2) A transit agency must establish criteria for the development of safety risk mitigations that are necessary based on the results of the agency's safety risk evaluation.</p>
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			<p><b>49 CFR § 673.27(a)-(d) Safety Assurance</b></p> <p>(a) Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(b) Safety performance monitoring and measurement. A transit agency must establish activities to:</p> <ul style="list-style-type: none"><li>(1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;</li><li>(2) Monitor its operations to identify hazards not identified through the Safety Risk Management process established in Section § 673.25 of this subpart;</li><li>(3) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;</li><li>(4) Investigate safety events to identify causal factors; and</li><li>(5) Monitor information reported through any internal safety reporting programs.</li></ul> <p>(c) Management of change.</p> <ul style="list-style-type: none"><li>(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.</li><li>(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.</li></ul> <p>(d) Continuous improvement.</p> <ul style="list-style-type: none"><li>(1) A transit agency must establish a process to assess its safety performance.</li><li>(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.</li></ul>
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<p><b>15. 49 CFR § 659.19(o)</b></p> <p>A description of the maintenance audits and inspections program, including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.</p>	<p><b>49 CFR § 673.25(a)-(d) Safety Risk Management</b></p> <p>(a) 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: identification of safety hazards, analysis of safety hazards, safety risk evaluation, and safety risk mitigation.</p> <p>(b) Safety hazard identification and analysis.</p> <p>(1) A transit agency must establish a process for hazard identification and analysis.</p> <p>(2) A transit agency must include, as a source for hazard identification and analysis, data, and information provided by an oversight authority and the FTA.</p> <p>(c) Safety risk evaluation and mitigation.</p> <p>(1) A transit agency must establish activities to evaluate and prioritize the safety risk associated with the potential consequences of safety hazards. Safety risks must be evaluated in terms of probability and severity and take into account mitigations already in place to reduce the probability or severity of the potential consequence(s) analyzed.</p> <p>(2) A transit agency must establish criteria for the development of safety risk mitigations that are necessary based on the results of the agency's safety risk evaluation.</p>
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		<p><b>49 CFR § 673.27(a)-(d) Safety Assurance</b></p> <p>(a) Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(b) Safety performance monitoring and measurement. A transit agency must establish activities to:</p> <ul style="list-style-type: none"><li>(1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;</li><li>(2) Monitor its operations to identify hazards not identified through the Safety Risk Management process established in Section § 673.25 of this subpart;</li><li>(3) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;</li><li>(4) Investigate safety events to identify causal factors; and</li><li>(5) Monitor information reported through any internal safety reporting programs.</li></ul> <p>(c) Management of change.</p> <ul style="list-style-type: none"><li>(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.</li><li>(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.</li></ul> <p>(d) Continuous improvement.</p> <ul style="list-style-type: none"><li>(1) A transit agency must establish a process to assess its safety performance.</li><li>(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.</li></ul>
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<p><b>16.</b></p>	<p><b>49 CFR § 659.19(p)</b></p> <p>A description of the training and certification program for employees and contractors, including:</p> <ul style="list-style-type: none"> <li>(1) Categories of safety-related work requiring training and certification;</li> <li>(2) A description of the training and certification program for employees and contractors in safety-related positions;</li> <li>(3) Process used to maintain and access employee and contractor training records; and</li> <li>(4) Process used to assess compliance with training and certification requirements.</li> </ul>	<p><b>49 CFR § 673.33(c) Safety Plan Records</b></p> <p>In addition to any documents or records required elsewhere in this part, a transit agency must maintain records of the following items:</p> <ul style="list-style-type: none"> <li>(c)Employee safety training taken for purposes of compliance with this part and the Public Transportation Agency Safety Training Certification Program.</li> </ul>	<p><b>49 CFR § 673.29(a) Safety Promotion</b></p> <p>Competencies and training. A transit agency must establish a comprehensive safety training program for all agency employees and contractors directly responsible for the management of safety in the agency’s public transportation system. The training program must include refresher training, as necessary.</p>
<p><b>17.</b></p>	<p><b>49 CFR § 659.19(q)</b></p> <p>A description of the configuration management control process, including:</p> <ul style="list-style-type: none"> <li>(1) The authority to make configuration changes;</li> <li>(2) Process for making changes; and</li> <li>(3) Assurances necessary for formally notifying all involved departments.</li> </ul>		<p><b>49 CFR § 673.27(c) Safety Assurance</b></p> <ul style="list-style-type: none"> <li>(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.</li> <li>(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.</li> </ul>

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<p><b>18.</b></p>	<p><b>49 CFR § 659.19(r)</b></p> <p>A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including:</p> <p>(1) Safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency property; and</p> <p>(2) Processes for ensuring the employees and contractors know and follow the requirements.</p>		<p><b>49 CFR § 673.29(a)-(b) Safety Promotion</b></p> <p>(a) Competencies and training. A transit agency must establish a comprehensive safety training program for all agency employees and contractors directly responsible for the management of safety in the agency’s public transportation system. The training program must include refresher training, as necessary.</p> <p>(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.</p>
<p><b>19.</b></p>	<p><b>49 CFR § 659.19(s)</b></p> <p>A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements.</p>		<p><b>49 CFR § 673.29(a)-(b) Safety Promotion</b></p> <p>(a) Competencies and training. A transit agency must establish a comprehensive safety training program for all agency employees and contractors directly responsible for the management of safety in the agency’s public transportation system. The training program must include refresher training, as necessary.</p> <p>(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.</p>

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<p><b>20.</b></p>	<p><b>49 CFR § 659.19(t)</b></p> <p>A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.</p> <p>Note: Please also see FTA’s Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations Rule at 49 CFR Part 655.</p>		<p><b>49 CFR § 673.29(a)-(b) Safety Promotion</b></p> <p>(a) Competencies and training. A transit agency must establish a comprehensive safety training program for all agency employees and contractors directly responsible for the management of safety in the agency’s public transportation system. The training program must include refresher training, as necessary.</p> <p>(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.</p>
<p><b>21.</b></p>	<p><b>49 CFR § 659.19(u)</b></p> <p>A description of the measures, controls, and assurances in place to ensure that safety principles, requirements and representatives are included in the rail transit agency's procurement process.</p>		<p><b>49 CFR § 673.27(a)-(d) Safety Assurance</b></p> <p>(a) Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart.</p> <p>(b) Safety performance monitoring and measurement. A transit agency must establish activities to:</p> <p>(1) Monitor its system for compliance with, and sufficiency of, the agency’s procedures for operations and maintenance;</p> <p>(2) Monitor its operations to identify hazards not identified through the Safety Risk Management process established in Section § 673.25 of this subpart;</p> <p>(3) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;</p> <p>(4) Investigate safety events to identify causal factors; and</p> <p>(5) Monitor information reported through any internal safety reporting programs.</p> <p>(c) Management of change.</p> <p>(1) A transit agency must establish a process for identifying</p>

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			<p>and assessing changes that may introduce new hazards or impact the transit agency's safety performance.</p> <p>(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.</p> <p>(d) Continuous improvement.</p> <p>(1) A transit agency must establish a process to assess its safety performance.</p> <p>(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.</p>
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