U.S. Department
of Transportation

**Federal Transit
Administration**

Transition Roadmap:

Guidance on Using SSPPs to Develop PTASPs

INTRODUCTION

The Federal Transit Administration (FTA) created this Roadmap to help Rail Transit Agencies (RTA) transition their safety plans from the requirements for System Safety Program Plan (SSPP) under 49 CFR Part 659 (Part 659), to the requirements for Public Transportation Agency Safety Plan (PTASP) under 49 CFR Part 673 (Part 673). **FTA developed this Roadmap to provide guidance only; it is not a substitute for FTA's regulation.**

FTA published 49 CFR Part 673 on July 19, 2018, with an effective date of July 19, 2019. Each RTA must certify to FTA that it has established a comprehensive PTASP meeting 49 CFR Part 673 requirements by July 20, 2020. The State Safety Oversight Agency (SSOA) also must review and approve the PTASP for each RTA within its jurisdiction, as specified in 49 CFR Part 674, FTA's new State Safety Oversight (SSO) rule.

The PTASP, based on the Safety Management Systems (SMS) approach, builds on current RTA safety practices and activities detailed in the SSPP. While Part 673 requires new processes and activities, as discussed in the preamble to FTA's final rule, many elements of an existing SSPP can be used to build the new PTASP sections.

This Roadmap highlights similarities and differences between Part 659 and 49 Part 673 requirements to support RTAs in incorporating relevant SSPP elements into the PTASP. It also draws on the *SSPP-PTASP Crosswalk Matrix* (https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/PTSP_NPRM_SSPP_Side_by_Side.pdf)

that FTA released accompanying the notice of proposed rulemaking (NPRM) for Part 673. As highlighted in this matrix, the substantive elements of the SSPP required under Part 659 carry over into the SMS portions of the PTASP required under Part 673.

The PTASP requirements, except the emergency preparedness and response plan requirement, apply to all public transportation operations, except for modes regulated by the Federal Railroad Administration (FRA) or the United States Coast Guard (USCG). Each RTA will need to determine how to structure its PTASP to address, or create separate sections for, each public transportation mode.

PTASP Requirements

Each PTASP must address requirements of Part 673. Section 673.3, requires that each PTASP "incorporate SMS principles and methods tailored to the size, complexity, and scope of the public transportation system and the environment in which it operates." An SMS consists of four main components: (1) Safety Management Policy, (2) Safety Risk Management, (3) Safety Assurance, and (4) Safety Promotion.

The first component of SMS—**Safety Management Policy**—must clearly state the organization's safety objectives and sets forth the policies, procedures, and organizational structures necessary to accomplish the safety objectives. It plainly delineates management and employee responsibilities for safety and shows how safety is integrated throughout the organization. It also ensures that management is actively engaged in the oversight of the organization's safety performance.

The second component of SMS—**Safety Risk Management**—requires the development of processes and activities to help the organization better identify hazards associated with its operational systems. Once these hazards are identified, the RTA must evaluate the safety risk associated with their potential consequences and then institute mitigations, as necessary, to control the consequences or minimize the safety risk.

The third component of SMS—**Safety Assurance**—requires an organization to monitor and measure its safety performance to ensure that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of data. If the organization identifies safety risks through its safety performance assessments, then it must take action to correct any safety deficiencies.

The fourth component of SMS—**Safety Promotion**—involves safety training, awareness, and communication that support safety.

In addition to the incorporation of SMS principles and methods, each PTASP, and any subsequent update, must be signed by the RTA's designated Accountable Executive and approved by its Board of Directors, or an Equivalent Authority. Other requirements specified in Part 673 include the development of performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

An RTA must also make its safety performance targets available to States and Metropolitan Planning Organizations (MPO) to aid in the planning process and, to the maximum extent practicable, coordinate with States and MPOs in the selection of State and MPO safety performance targets. In addition, the PTASP must address all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and National Public Transportation Safety Plan.

The PTASP also must include, or incorporate by reference, an emergency preparedness and response plan for the rail operations not regulated by FRA. The PTASP must clarify that the RTA will maintain records associated with activities identified in the PTASP and must establish a process and timeline for conducting an annual review and update of the PTASP. Finally, on an ongoing basis, each RTA must certify compliance with Part 673 requirements through its annual Certifications and Assurances to FTA.

SSOA Role in PTASP Development and Approval

Unless otherwise specified by the SSOA, an RTA with multiple modes of public transportation service may develop one PTASP for all modes of its service, or it may develop a PTASP for each mode of service that is not subject to safety regulation by another Federal entity. If a single PTASP is developed for multiple modes, the SSOA is only required by FTA to review and approve the portion of the plan related to rail transit safety and the PTASP requirements.

The SSO rule, 49 CFR Part 674 (Part 674), requires each SSOA to develop a Program Standard, which establishes minimum safety standards for the safety of all RTAs within its jurisdiction, and to approve their RTAs' PTASPs. Each SSOA should review the RTA's safety plan, as it applies to rail, to ensure that it is compliant with the PTASP rule, the National Public Transportation Safety Plan, and its own program standard. Part 674 also requires SSOAs to oversee and enforce PTASP implementation for each RTA within its jurisdiction, using a variety of oversight tools defined by the SSOA, including audits, inspections, investigations, safety data and analysis, training, and meetings with the RTA.

SSOAs, in their Program Standards and based on their distinct authorities, also may impose additional requirements. This Roadmap includes prompts to encourage RTAs to review SSOA requirements when developing specific PTASP elements.

Each RTA must certify to FTA that it has established and approved its PTASP in order to receive FTA grant funds through its annual certifications and assurances process. FTA encourages the RTA and SSOA to work together to identify reasonable timeframes for review and approval that take into account the needs and considerations of both parties.

Through the SSO rule, FTA also addresses scenarios in which an SSOA does not approve a PTASP. Under Section 674.29(c), "[i]n an instance in which an SSOA does not approve a Public Transportation Agency Safety Plan, the SSOA must provide a written explanation, and allow the RTA an opportunity to modify and resubmit its Public Transportation Agency Safety Plan for the SSOA's approval." This mechanism should lead to negotiations that resolve disagreements between an SSOA and an RTA.

Compliance Deadline

RTAs have until July 20, 2020, to develop and implement their PTASPs. FTA does not expect that all RTAs will have a fully mature SMS one year after the effective date. However, FTA expects that RTAs will have the processes and procedures put in place for SMS, and will have begun implementing those processes and procedures, including hazard identification, risk analysis, and the Safety Assurance procedures, as outlined in Part 673. To fully realize the safety benefits of SMS, an RTA must focus on the continuous improvement of its SMS. FTA will provide more guidance on how an SMS matures and evolves over time.

Overview of Roadmap

This Roadmap includes two tables to support RTAs as they transition from the SSPP required under Section 659.19 to the PTASP required under Part 673.

Recommended Considerations to Transition the SSPP to the PTASP include:

- **A side-by-side comparison** of each Part 673 requirement along with the relevant Part 659 requirement;

- **Discussion of key similarities and differences** between the Part 673 and Part 659 requirements;

- Considerations regarding how these differences potentially could be addressed through the modification of existing SSPP text to support development of a new PTASP; and

- **Prompts to check with the SSOA** regarding additional requirements or clarifications that may be included in the SSOA Program Standard and may affect a new PTASP.

Comparison of Definitions: Part 673 versus Part 659, located in a separate document, compares definitions used in Part 673 and Part 659, and highlights changes that affect PTASP development.

RECOMMENDED CONSIDERATIONS TO TRANSITION THE SSPP TO THE PTASP

Applicability

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.1(a)

This part applies to any State, local governmental authority, and any other operator of a public transportation system that receives Federal financial assistance under 49 U.S.C. Chapter 53.

§659 System Safety Program Plan (SSPP) Elements – 659.17(a)

The oversight agency shall require the rail transit agency to develop and implement a written system safety program plan that complies with requirements in this part and the oversight agency's program standard.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.1(b)

This part does not apply to an operator of a public transportation system that only receives Federal financial assistance under 49 U.S.C. 5310, 49 U.S.C. 5311, or both 49 U.S.C. 5310 and 49 U.S.C. 5311.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.1(a) & 673.1(b)

Part 673 references applicability, whereas Part 659 references the responsibility of an SSOA to require an RTA to develop and implement and SSPP.

Policy

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.3

The Federal Transit Administration (FTA) has adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing the safety of public transportation in the United States. FTA will follow the principles and methods of SMS in its development of rules, regulations, policies, guidance, best practices, and technical assistance administered under the authority of 49 U.S.C. 5329. This part sets standards for the Public Transportation

Agency Safety Plan, which will be responsive to FTA's Public Transportation Safety Program, and reflect the specific safety objectives, standards, and priorities of each transit agency. Each Public Transportation Agency Safety Plan will incorporate SMS principles and methods tailored to the size, complexity, and scope of the public transportation system and the environment in which it operates.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.3

Part 659 was based in principles of system safety. The PTASP final rule is based in SMS principles. Unless an RTA has gone beyond Part 659 requirements, there likely will not be an explicit discussion of SMS principles and methods in the SSPP. The role of SMS as the basis for Part 673 and FTA's Safety Program is new information that the RTA may choose to include or reference in the PTASP.

Safety Plans – General Requirements

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)

A transit agency must, within one calendar year after July 19, 2019, establish a Public Transportation Agency Safety Plan that meets the requirements of this part and, at a minimum, consists of the following elements: [see below]

§659 System Safety Program Plan (SSPP) Elements – 659.15(b)(8)

This section shall specify the minimum requirements to be contained in the rail transit agency's system safety program plan. The contents of the system safety plan are discussed in more detail in § 659.19 of this part...This section shall also describe the process and timeframe through which the oversight agency must receive, review, and approve the rail transit agency system safety program plan.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)

Depending on the SSOA's Program Standard, timeframes for PTASP review and approval by the SSOA may be similar to existing SSPP language. The requirement for certification to FTA is new. In the PTASP, the RTA may want to consider revising SSPP text to explain that its PTASP responds to both FTA's requirements at Part 673 and its SSOA's Program Standard. As appropriate, the RTA also may consider updating or referencing timeframes

for PTASP development, certification to FTA through the Annual Certifications and Assurance process, and review and approval by the SSOA to reflect the new requirements set by FTA and the SSOA.

RTAs must develop and implement their PTASP by July 20, 2020.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)(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.

§659 System Safety Program Plan (SSPP) Elements – 659.19(a)

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the system safety program plan.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(1)

In the PTASP, the Accountable Executive must sign and the Board of Directors must approve the entire plan, as opposed to the CEO signing the policy statement only. The RTA may choose to acknowledge that the accountability for the contents and implementation of the PTASP is now formally elevated to the Accountable Executive and Board of Directors. This is different from the requirement to issue the policy statement under Section 659.19(a) and is discussed in detail in the preamble to Part 673. The RTA also could amend or prepare signature blocks and any formal adoption memorandum or other documents that may need to be attached to the PTASP to demonstrate the required signature from the Accountable Executive and approvals from the Board of Directors or an Equivalent Authority.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)(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 this Part.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(2)

SMS is a new requirement for RTAs. Unless an SSOA and/or the RTA has gone beyond Part 659 requirements, the SSPP likely will not contain a discussion of how the RTA will develop and implement an SMS. An RTA may consider introducing SMS and explaining that the PTASP requirements fit into the four key components of SMS: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. This section also provides the opportunity for the RTA to describe the scale of the SMS it will be developing to address its unique operating environment and to clarify its approach to documenting and implementing its SMS processes and activities. The RTA also could acknowledge any steps it plans to take to support the development and maturation of the its internal SMS processes, including an SMS gap analysis or internal assessment, the development of any new committees or departments, or the creation of any new information management and analysis capabilities.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(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.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(3)

Setting safety performance targets is a new requirement for RTAs. Part 673 requires RTAs to develop their own performance targets and regularly monitor the performance of their systems to ensure that they are meeting their targets and improving safety outcomes. FTA expects transit agencies to evaluate their safety performance and determine whether they should change their safety performance targets at least annually when the transit agencies are reviewing and updating their PTASPs. An RTA's safety performance targets, must address, at minimum, the four safety performance measures specified in the National Public Transportation Safety Plan:

- **Fatalities**: Total number of reportable fatalities and rate per total unlinked passenger trips, by mode;
- **Injurie**s: Total number of reportable injuries and rate per total unlinked passenger trips, by mode;

- **Safety Events**: Total number of reportable events and rate per total vehicle miles, by mode; and

- **System Reliability**: Mean distance between failures, by mode.

If the RTA has additional performance measures or is working to develop a new program for safety performance monitoring, the RTA could mention or reference it here.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)(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.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(4)

Since the SSPP pre-dates the National Public Transportation Safety Plan and the FTA's Public Transportation Safety Program, there is no comparable section in the SSPP. The RTA must address any applicable requirements from the FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)(5)

Each transit agency must establish a process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

§659 System Safety Program Plan (SSPP) Elements – 659.19(d)

The process used to control changes to the system safety program plan, including:

(1) Specifying an annual assessment of whether the system safety program plan should be updated; and

(2) Required coordination with the oversight agency, including timeframes for submission, revision, and approval.

§659 System Safety Program Plan (SSPP) Elements – 659.25(a)

The oversight agency shall require the rail transit agency to conduct an annual review of its system safety program plan and system security plan.

§659 System Safety Program Plan (SSPP) Elements – 659.25(b)

In the event the rail transit agency's system safety program plan is modified, the rail transit agency must submit the modified plan and any subsequently modified procedures to the oversight agency for review and approval.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(5)

There are similarities between the processes documented in the SSPP and the new process for the PTASP. The RTA may consider modifying its current SSPP text (or developing new text) to:

- Reflect that the plan is now called a PTASP instead of an SSPP;
- Update the content of existing processes and procedures that will now guide the annual review and update of the PTASP;
- Ensure coordination with the requirement to have the Board of Directors review and approve the updated PTASP and the Accountable Executive sign the updated PTASP; and
- Ensure compliance with the annual review and update requirements specified by the SSOA in its Program Standard.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(a)(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.

§659 System Safety Program Plan (SSPP) Elements – 659.19(k)

A description of the process used by the rail transit agency to develop an approved, coordinated schedule for all emergency management program activities, which include:

(1) Meetings with external agencies;

(2) Emergency planning responsibilities and requirements;

(3) Process used to evaluate emergency preparedness, such as annual emergency field exercises;

(4) After action reports and implementation of findings;

(5) Revision and distribution of emergency response procedures;

(6) Familiarization training for public safety organizations; and

(7) Employee training.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(a)(6)

Part 659 required RTAs to have emergency preparedness plans. To address this section, the RTA should consider including as an appendix, or incorporating by reference, its emergency preparedness and response plan, which, at a minimum, defines employee roles and responsibilities during emergencies and documents coordination with Federal, State, regional and local officials. FTA recommends that an RTA review the SSOA's Program Standard to identify any other requirements regarding how the PTASP should address the emergency preparedness and response plan or procedures, and review its internal policies to identify any specific considerations that should be in place to manage Sensitive Security Information (SSI).

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(b)

A transit agency may develop one Public Transportation Agency Safety Plan for all modes of service, or may develop a Public Transportation Agency Safety Plan for each mode of service not subject to safety regulation by another Federal entity.

§659 System Safety Program Plan (SSPP) Elements – 659.17

(a) The oversight agency shall require the rail transit agency to develop and implement a written system safety program plan that complies with requirements in this part and the oversight agency's program standard.

(b) The oversight agency shall review and approve the rail transit agency system safety program plan.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(b)

Unless otherwise specified by the SSOA, an RTA with multiple modes of public transportation service may develop one PTASP for all modes of its service, it may develop a PTASP for each mode of service that is not subject to safety regulation by another Federal

entity, or a combination of both. FTA recommends that the RTA review the SSOA's Program Standard to identify any requirements regarding the scope of the PTASP.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(c)

A transit agency must maintain its Public Transportation Agency Safety Plan in accordance with the recordkeeping requirements in subpart D of this part.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(c)

Recordkeeping is a new requirement under the PTASP final rule. It is discussed further under Part 673.31.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(d)

A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that agency notifies the State that it will draft its own plan. In each instance, the transit agency must carry out the plan. If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(d)

This section does not apply to RTAs and SSOAs.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(e)

Any rail fixed guideway public transportation system that had a System Safety Program Plan compliant with 49 CFR Part 659 as of October 1, 2012, may keep that plan in effect until one year after the effective date of this final rule.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(e)

RTAs are allowed to keep their SSPP in place for up to one year after the effective date of the final rule, until July 20, 2020, while they develop their PTASP. In the PTASP, the RTA may choose to discuss the SSPP, and how the SSPP has informed the PTASP. However, there is no requirement to reference the SSPP or Part 659 in the PTASP.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.11(f)

Agencies that operate passenger ferries regulated by the United States Coast Guard (USCG) or rail fixed guideway public transportation service regulated by the Federal Railroad Administration (FRA) are not required to develop agency safety plans for those modes of service.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.11(f)

A transit agency with these modes, in addition to a rail transit system, may choose to explain which modes of its service require a PTASP and which modes are covered by other requirements.

Certification of Compliance

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.13(a)

Each transit agency, or State as authorized in § 673.11(d), must certify that it has established a Public Transportation Agency Safety Plan meeting the requirements of this part one year after July 19, 2019. A State Safety Oversight Agency must review and approve a Public Transportation Agency Safety Plan developed by rail fixed guideway system, as authorized in 49 U.S.C. 5329(e) and its implementing regulations at 49 CFR part 674

§659 System Safety Program Plan (SSPP) Elements–659.17(b)

The oversight agency shall review and approve the rail transit agency system safety program plan

§659 System Safety Program Plan (SSPP) Elements–659.17(c)

After approval, the oversight agency shall issue a formal letter of approval to the rail transit agency, including the checklist used to conduct the review.

§659 System Safety Program Plan (SSPP) Elements–659.25(b)

In the event the rail transit agency's system safety program plan is modified, the rail transit agency must submit the modified plan and any subsequently modified procedures to the oversight agency for review and approval.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.13(a)

These sections are similar, with some small differences. Part 659 does include the requirement for SSOAs to review and approve the SSPP. To address this section, the RTA could revise existing SSPP text to describe the organization's approach for:

- Certifying its initial compliance with Part 673 to FTA through the FTA's Certification and Assurance process (by July 20, 2020); and
- Submitting the PTASP to its SSOA for review and approval, including addressing any timeframes and new requirements specified in the SSOA's Program Standard.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.13(b)

On an annual basis, a transit agency, direct recipient, or State must certify its compliance with this part.

§659 System Safety Program Plan (SSPP) Elements–659.27(g)

The annual report must be accompanied by a formal letter of certification signed by the rail transit agency's chief executive, indicating that the rail transit agency is in compliance with its system safety program plan and system security plan.

§659 System Safety Program Plan (SSPP) Elements–659.27(h)

If the rail transit agency determines that findings from its internal safety and security reviews indicate that the rail transit agency is not in compliance with its system safety program plan or system security plan, the chief executive must identify the activities the rail transit agency will take to achieve compliance.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.13(b)

Depending on the SSOA's Program Standard, the SSPP language describing how the RTA should certify compliance with the PTASP to the SSOA may adequately address the Program Standard requirements. The RTA could add additional language addressing the requirement for annual certification to the FTA through the Certification and Assurance process, especially if completion of this certification will be tied to activities (e.g., special meetings, briefings or preparation of memorandum or other documentation documenting the results of internal and external reviews demonstrating general compliance with PTASP provisions) required to obtain the signature of the Accountable Executive and the approval of the Board of Directors.

Coordination with Metropolitan, Statewide, and Non-metropolitan Planning Processes

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.15(a)

A State or transit agency must make its safety performance targets available to States and Metropolitan Planning Organizations to aid in the planning process.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.15(b)

To the maximum extent practicable, a State or transit agency must coordinate with States and Metropolitan Planning Organizations in the selection of State and MPO safety performance targets

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.15(a) and (b)

This is a new requirement. The RTA may document the process through which the transit agency shares its safety performance targets with its State and MPOs. In addition, the RTA may consider indicating if it has representation on the MPO Board, either directly or indirectly (e.g., elected officials serving on both the MPO board and the transit agency board), and briefly describing how this representation can support the agency's process for making safety performance targets available to the MPO and State. The RTA also could reference relevant transportation planning documentation or legislation.

Safety Management Systems – General Requirements

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –**673.21**

Each transit agency must establish and implement a Safety Management System under this part. A transit agency Safety Management System must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements:

 (a) Safety Management Policy 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.

§659 System Safety Program Plan (SSPP) Elements–

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.21

SMS is a new requirement for the transit industry. This section outlines the SMS elements that each transit agency must establish in its Public Transportation Agency Safety Plan. Through a PTASP, each transit agency must implement an SMS, and each transit agency should scale the SMS to the size, scope, and complexity of its operations. Each transit agency must establish processes and procedures which include the four main components of SMS: (1) Safety Management Policy, (2) Safety Risk Management, (3) Safety Assurance,

and (4) Safety Promotion. FTA expects that the scope and detail for each activity will vary based on the size and complexity of the system.

Safety Management Systems – Safety Management Policy

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(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.

§659 System Safety Program Plan (SSPP) Elements–659.19(a)

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the system safety program plan.

§659 System Safety Program Plan (SSPP) Elements–659.19(b)

A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure they are achieved.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.23(a)

This section specifies that the PTASP Safety Management Policy must establish the transit organization's accountabilities and responsibilities for the SMS and must contain the transit agency's safety objectives. Organizational accountabilities and responsibilities in an SMS, as discussed in the FTA's National Safety Plan, typically focus on leadership commitment to allocate necessary human and financial resources to fulfill the transit organization's safety objectives, as well as leadership commitment to establish and carry out an employee safety reporting program. Safety objectives typically include a broad description of the agency's overarching safety goals, which would be based upon that agency's unique needs.

In addressing these requirements, the RTA may consider revising its existing policy statement and/or SSPP language to describe any new organizational accountabilities and responsibilities that reflect requirements in Part 673, including all activities related to the implementation of SMS. The RTA also may choose to revise the safety objectives listed within its SSPP to reflect prioritized safety objectives and the goal of continuous improvement in safety performance.

Additional details regarding specific accountabilities and responsibilities are provided under the discussion of Section 673.23(d), below.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(b)

A transit agency must establish and implement 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

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.23(b)

This is a new requirement, although many RTAs have safety hotlines or other systems for collecting information from employees. The employee safety reporting program required in Part 673 allows employees who identify safety hazards and risks in their day-to-day duties to directly notify senior personnel, without fear of reprisal, so that the hazards and risks can be mitigated or eliminated. In addressing these requirements, RTAs can modify their existing employee safety reporting systems and documents to assure they meet FTA's employee safety reporting expectations, including comprehensiveness and accessibility, and that they address protections for employees who report safety conditions, as well as identify behaviors that would result in disciplinary action.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –**673.23(c)**

The safety management policy must be communicated throughout the agency's organization.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.23(c)

This is a new requirement. In the PTASP, the RTA must document its practice to communicate the Safety Management Policy to all employees and contractors. The RTA may want to clarify how updates or revisions to the Safety Management Policy will be communicated with employees and contractors.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(d)

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): [see below]

§659 System Safety Program Plan (SSPP) Elements–659.19(b)

A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure they are achieved.

§659 System Safety Program Plan (SSPP) Elements–659.19(c)

An overview of the management structure of the rail transit agency, including:

(8) An organization chart;

(9) A description of how the safety function is integrated into the rest of the rail transit organization; and

(10)   Clear identification of the lines of authority used by the rail transit agency to manage safety issues.

§659 System Safety Program Plan (SSPP) Elements–659.19(e)

A description of the specific activities required to implement the system safety program, including:

(1) Tasks to be performed by the rail transit safety function, by position and management accountability, specified in matrices and/or narrative format; and

(2) Safety-related tasks to be performed by other rail transit departments, by position and management accountability, specified in matrices and/or narrative format.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(d)(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

§659 System Safety Program Plan (SSPP) Elements

See 659.19(b), 659.19(c), and 659.19(e) above.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(d)(2)

Chief Safety Officer or Safety Management System (SMS) Executive. The Accountable Executive must designate a Chief Safety Officer or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of 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.

§659 System Safety Program Plan (SSPP) Elements

See 659.19(b), 659.19(c), and 659.19(e) above.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(d)(3)

Agency Leadership and Executive Management. A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Chief Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS.

§659 System Safety Program Plan (SSPP) Elements

See 659.19(b), 659.19(c), and 659.19(e) above.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.23(d)(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.

§659 System Safety Program Plan (SSPP) Elements

See 659.19(b), 659.19(c), and 659.19(e) above.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.23(d)–673.23(d)(4)

The PTASP rule requires the transit agency to establish the necessary authorities, accountabilities, and responsibilities for the *management of safety*, as opposed to the SSPP provisions focused on identifying and describing roles and responsibilities *in managing specific safety activities*. Under Part 659, determination of responsibilities for managing safety activities is left up to the individual positions and the transit agency, whereas Part 673 defines specific authorities, accountabilities and responsibilities that must be assumed by the Accountable Executive, Chief Safety Officer, Agency Leadership and Executive Management, and Key Staff for the management of safety across the transit agency. To address this

difference, the RTA may consider modifying (and potentially adding to) current SSPP text and matrices to address all authorities, accountabilities, and responsibilities for management of safety. This includes the processes, activities, tools, and agency structures that will support SMS. At a minimum, the RTA must explicitly document authorities, accountabilities, and responsibilities for the following key positions:

- **Accountable Executive** – Each transit operator must identify an Accountable Executive within its organization. An Accountable Executive is the single individual who has the ultimate responsibility and accountability for the implementation and maintenance of the SMS of a public transportation agency; responsibility for carrying out the agency's transit asset management plan; control or direction over the human and capital resources needed to develop and maintain both the agency's public transportation agency safety plan and the agency's transit asset management plan; and responsibility for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS. This individual is the primary decision-maker who is ultimately responsible for both safety and transit asset management. It is a basic management tenet that accountabilities flow top-down. Therefore, as a management system, safety and transit asset management require that accountability reside with an operator's top executive.

- **Chief Safety Officer or SMS Executive** – The Chief Safety Officer (or SMS Executive) must have the authority and responsibility for day-to-day implementation and operation of an agency's SMS and must have a direct line of reporting to the Accountable Executive. FTA expects the Chief Safety Officer or SMS Executive at a rail transit agency to be devoted full-time to this critical safety role. Given the more complex operating environments of rail transit systems and the increased safety risks in these environments, Part 673 prohibits the RTA's Chief Safety Officer from having additional operational and maintenance responsibilities; it is necessary to have a single individual wholly dedicated to ensuring safety. FTA believes that this role should be a full-time responsibility at rail transit agencies, unless a rail transit agency petitions FTA to allow its Chief Safety Officer to serve multiple roles given administrative and financial hardships with having a single, dedicated, and full-time Chief Safety Officer.

- **Agency Leadership and Executive Management** – An RTA must identify those members of its leadership or executive management, other than an Accountable Executive and Chief Safety Officer (or SMS Executive), in rail and other modes not regulated by FRA, such as the Chief Operating Officer, who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS. These authorities or responsibilities can be presented in a narrative or matrix format, in keeping with the structure established in the SSPP.

- **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. The authorities or responsibilities of

these staff, groups of staff, or committees can be presented in a narrative or matrix format, in keeping with the structure established in the SSPP.

Safety Management Systems – Safety Risk Management

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(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.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)

A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(a)

Part 673 proposes a more comprehensive process for identifying and managing safety risks. It encourages the use of new safety analysis tools by adequately staffed and trained safety personnel and RTA departments, groups and committees, and subject matter experts. Also, safety risk management feeds into the SMS safety assurance process to ensure that safety risk mitigations are evaluated for effectiveness over time. In addressing these new requirements, the transit agency can update its SSPP language describing its hazard management process to reflect the new approach to safety risk management, including definitions and criteria related to safety risk management terms and activities (to be consistent with SMS concepts and terms under Section 673.5). The SSPP section also can be revised to include the new organizational and reporting structure developed for safety risk management, the new tools used to support safety risk analysis and evaluation, the new roles of the adequately trained and staffed safety or SMS department in supporting and conducting safety risk analysis, and any new requirements for coordinating

with and reporting to the SSOA regarding the implementation and results of the safety risk management process.

At a minimum, FTA expects each transit agency to apply its safety risk management process to its existing operations and maintenance procedures, the design of a new public transportation system and other capital projects, changes to its existing public transportation system, new operations of service to the public, new operations or maintenance procedures, organizational changes, and changes to operations or maintenance procedures. Additionally, FTA expects each transit agency to develop measures to ensure that safety principles, requirements, and representatives are included in the transit agency's procurement process.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(b)(1)

Safety hazard identification. A transit agency must establish methods or processes to identify hazards and consequences of the hazards.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)

A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(b)(1)

Part 659 requires RTAs to identify the sources of hazards. It does not require the RTAs "to establish methods or processes" to identify hazards and the consequences of the hazards. While most SSPPs contain a list of sources used to identify hazards, they do not address formal methods, processes, or analysis tools that can be used to ensure a comprehensive and ongoing program of hazard identification. Therefore, SSPP language can be updated to include proactive and reactive activities to collect and review data and information from identified sources, as well as a description of new tools used by the transit agency to analyze this data and information. The role of the new Employee Safety Reporting Program in support of identifying hazards and their consequences also can be addressed.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(b)(2)

A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(b)(2)

This is a new requirement for transit agencies. The sources for hazard identification data and information may be documented in an SSPP, but if not, then the RTA must draft new text that includes both FTA and its SSOA data and information as sources for hazard identification. The RTA should also review SSOA requirements in the Program Standard (and perhaps also meet with its SSOA) to clarify how the RTA will receive and manage hazard identification, data, and information from an SSOA through its safety risk management process.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(c)(1)

Safety risk assessment. A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)

A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(c)(1)

SSPPs are more narrowly focused on *hazards* as opposed to *safety risk management*. Therefore, to address the Part 673 provisions, the RTA can review the SSPP sections devoted to hazard investigation, evaluation and analysis (659.19(f)(2)), and hazard control

and elimination (659.19(f)(3)), and update, as appropriate, to describe the methods or processes, including the activities, roles, and participation of different agency departments, used in the assessment and prioritization of safety risks. This includes the identification of when SMEs will be involved in the safety risk assessment process. Also, this section may reference or explain the levels of management that have authority to make decisions as a function of the level of safety risk(s) evaluated, including when decisions should be elevated.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(c)(2)

A safety risk assessment includes the 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.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)

A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(c)(2)

RTAs can use existing SSPP text to address many of the requirements of this section. When reviewing and potentially updating this text, the RTA may consider how well the existing SSPP text ensures:

- Potential consequences for hazards are identified;

- Existing mitigations are identified and assessed for the **current** effectiveness in addressing the potential consequences (note: it is possible that existing mitigations may not be working as intended); and

- Both the likelihood and severity of the potential consequences of the hazard are established (with current mitigations included).

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.25(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.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)

A description of the process used by the rail transit agency to implement its hazard management program, including activities for:

(1) Hazard identification;

(2) Hazard investigation, evaluation and analysis;

(3) Hazard control and elimination;

(4) Hazard tracking; and

(5) Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.25(d)

Part 659 is more narrowly focused on the control and elimination of individual hazards that may be identified as opposed to establishment of "methods or processes" to manage safety risk agency wide. The RTA should consider reviewing its existing SSPP language and potentially updating or expanding it to describe how it identifies when mitigations or strategies may be necessary to reduce the likelihood or severity of consequences. For example, the transit agency may decide that the criteria for developing safety risk mitigations could be the identification of a safety risk, benefit-cost analysis, a system level change (such as the addition of new technology on a vehicle), a change to operational procedures, or the expansion of service. To further illustrate these examples, the agency may color code different levels of safety risk ("red" as high, "yellow" as medium, and "green" as minor) and develop different types of safety risk mitigations to correspond to those levels.

The transit agency may review how the existing SSPP text describes its activities for evaluating existing versus proposed mitigations to ensure the agency is not unknowingly assuming increased safety risk or misallocating safety resources in the case that similar mitigations exist. The transit agency also may wish to consider reviewing and/or revising, as appropriate, current text to ensure it defines participation by SMEs during mitigation development. This review should include descriptions of how the agency makes decisions to prioritize and assign resources to address safety risks.

In addition, the transit agency could ensure that the PTASP documents how mitigations will be implemented and monitored, including:

- Mitigation to be implemented,

- Responsible party (individual and/or department),

- Timeframe for implementation, and

- Safety performance target.

This information will directly support mitigation monitoring for effectiveness under Section 673.27(b)(2).

Safety Management Systems – Safety Assurance

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(a))

Safety assurance process. A transit agency must develop and implement a safety assurance process, consistent with this subpart. A rail fixed guideway public transportation system, and a recipient or subrecipient of Federal financial assistance under 49 U.S.C. Chapter 53 that operates more than one hundred vehicles in peak revenue service, must include in its safety assurance process each of the requirements in (b), (c), and (d) of this section. A small public transportation provider only must include in its safety assurance process the requirements in (b) of this section.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(a)

The SSPP does not discuss the nexus between safety performance and the condition of transit assets or compliance with operating rules. Instead, inspection and monitoring activities are documented as separate programs managed by different departments (e.g., track inspections by the track department, rules compliance reviews by the operations department). Results of these programs are only considered from a safety perspective when they are "entered into the hazard management process."

In the opening of this section of its PTASP, the transit agency may consider developing text to address the role of safety assurance in ensuring ongoing, integrated assessment of the agency's safety performance across departments and functions. Each transit agency's safety assurance activities should be scaled to the size and complexity of its operations. Through these activities, each transit agency should accurately determine whether it is meeting its safety objectives and safety performance targets, as well as the extent to which it is effectively implementing its SMS. Each transit agency must conduct an annual review of the effectiveness of its safety risk mitigations.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(b)(1)

Safety performance monitoring and measurement. A transit agency must establish activities to:

  (1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;

§659 System Safety Program Plan (SSPP) Elements–659.19(i)

A description of the process used to collect, maintain, analyze, and distribute safety data, to ensure that the safety function within the rail transit organization receives the necessary information to support implementation of the system safety program.

§659 System Safety Program Plan (SSPP) Elements–659.19(m)

A description of the process used by the rail transit agency to develop, maintain, and ensure compliance with rules and procedures having a safety impact, including:

(1) Identification of operating and maintenance rules and procedures subject to review;

(2) Techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing;

(3) Techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules

(4) Process for documenting results and incorporating them into the hazard management program.

§659 System Safety Program Plan (SSPP) Elements–659.19(n)

A description of the process used for facilities and equipment safety inspections, including:

(1) Identification of the facilities and equipment subject to regular safety-related inspection and testing;

(2) Techniques used to conduct inspections and testing;

(3) Inspection schedules and procedures; and

(4) Description of how results are entered into the hazard management process.

§659 System Safety Program Plan (SSPP) Elements–659.19(o)

A description of the maintenance audits and inspections program, including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.

§659 System Safety Program Plan (SSPP) Elements–659.19(u)

A description of the measures, controls, and assurances in place to ensure that safety principles, requirements and representatives are included in the rail transit agency's procurement process.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(b)(1)

The SSPP does not require the collection of data and safety information to assess compliance with and sufficiency of maintenance and operations procedures, whereas the PTASP does. This is an important distinction from Part 659, and the transit agency may consider modifying language from the SSPP to indicate that data and information will be used to support safety performance monitoring and measurement activities for operations and maintenance. The RTA may want to briefly describe its new activities related to operations and maintenance.

For example, to support this section, the RTA reviews SSPP language at Section 659.19(i) and identifies sources for safety data that will support safety performance monitoring for operations and maintenance activities. The RTA also describes how it will develop, document, and monitor safety performance data. This includes the development of safety performance targets related to operations and maintenance compliance with procedures and sufficiency of procedures. Finally, the RTA defines activities and criteria for analyzing data to address shortcomings in meeting safety performance targets, related to operations and maintenance, such that safety performance targets can be revised, as appropriate, and any issues or concerns can be addressed through the safety risk management process if warranted.

After an overview of its process for monitoring operations and maintenance compliance with procedures and sufficiency of procedures, the transit agency could consider reviewing and revising existing SSPP text that responds to Sections 659.19(m), 659.19(n), 659.19(o), and 659.19(u) to ensure that its PTASP addresses the following:

- Identification of all operations and maintenance procedures (safety standards and requirements, both internal to the agency as well as in recognition of any SSOA or FTA safety standards and requirements) subject to this section;

- Activities for reviewing safety standards and requirements to ensure they are current;

- Activities a transit agency will implement to monitor compliance with documented safety standards and requirements;

- Activities a transit agency will implement to monitor compliance with its safety policies, procedures and protocols related to operations and service delivery;

- Methods for collecting and compiling information regarding compliance monitoring activities to support the SMS;

- Criteria for documenting and reporting non-compliance;

- Criteria for when non-compliance findings or other results of monitoring activities would be evaluated through the Safety Risk Management process; and

- Processes for assessing non-compliance and the results of monitoring to ensure the sufficiency of transit agency procedures.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.27(b)(2)

Safety performance monitoring and measurement. A transit agency must establish activities to:

(2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.27(b)(2)

The SSPP does not require the RTA to establish safety performance targets, or to conduct other activities to identify safety risk mitigations that are not working as intended. To address this new requirement, the transit agency must document its activities to assess the effectiveness of safety risk mitigations, which can be done, in part, using safety performance targets. The transit agency could describe its approach to:

- Establishing a plan for monitoring safety risk mitigations;

- Defining how ineffective or inappropriate safety risk mitigations will be reassessed and documented;

- Defining criteria for elevating information related to ineffective or inappropriate safety risk mitigations; and

- Communicating with its SSOA regarding actions being taken to address ineffective or inappropriate safety risk mitigations.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(b)(3)

Safety performance monitoring and measurement. A transit agency must establish activities to:

(3) Conduct investigations of safety events to identify causal factors; and

§659 System Safety Program Plan (SSPP) Elements–659.19(j)

A description of the process used by the rail transit agency to perform accident notification, investigation and reporting, including:

(1) Notification thresholds for internal and external organizations;

(2) Accident investigation process and references to procedures;

(3) The process used to develop, implement, and track corrective actions that address investigation findings;

(4) Reporting to internal and external organizations; and

(5) Coordination with the oversight agency.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(b)(3)

An RTA's investigation processes may proceed as it did under Part 659, with a few notable exceptions. First, the thresholds for notification and reporting safety events have changed and are now included in Section 674.7 and Appendix A to Part 674. Second, RTAs must notify FTA at the same time they notify their SSOAs of any accident meeting thresholds specified in Part 674. Third, SSOAs may have additional requirements, issued in their Program Standards, that must be incorporated into the PTASP. Finally, Section 673.27(b)(3) requires the RTA to identify "causal factors" in its investigations.

To address these changes, the RTA could revise its current SSPP (and related accident investigation procedures) to incorporate language and definitions that align with the definitions of Event, Accident, Incident, Occurrence, and Investigation. The RTA also could review and potentially expand (as appropriate) its accident investigation procedures and description of activities to align with Section 674.35 and as required in the SSOA Program Standard.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(b)(4)

Safety performance monitoring and measurement. A transit agency must establish activities to:

(4) Monitor information reported through any internal safety reporting programs

§659 System Safety Program Plan (SSPP) Elements–659.19(l)

A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including:

(1) Identification of departments and functions subject to review;

(2) Responsibility for scheduling reviews;

(3) Process for conducting reviews, including the development of checklists and procedures and the issuing of findings;

(4) Review of reporting requirements;

(5) Tracking the status of implemented recommendations; and

(6) Coordination with the oversight agency.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(b)(4)

The RTA should review the internal safety review process, as specified in its SSPP, to make sure it addresses Section 674.27(a)(4), which requires the SSOA's Program Standard to explain the role of the SSOA in overseeing an RTA's execution of its PTASP and any related internal safety reviews conducted by the RTA. The Program Standard also must describe the process whereby the SSOA will receive and evaluate all material submitted under the signature of an RTA's accountable executive. In addition, the Program Standard must establish a procedure whereby an RTA will notify the SSOA before the RTA conducts an internal review of any aspect of the safety of its system. Finally, this section also has been expanded to include "any" internal safety reporting programs, such as an Employee Safety Reporting Program.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(c)(1)

Management of change. 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.

§659 System Safety Program Plan (SSPP) Elements–659.19(g)

A description of the process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have safety impacts.

§659 System Safety Program Plan (SSPP) Elements–659.19(h)

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

§659 System Safety Program Plan (SSPP) Elements–659.19(q)

A description of the configuration management control process, including:

(1) The authority to make configuration changes;

(2) Process for making changes; and

(3) Assurances necessary for formally notifying all involved departments.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(c)(1)

The Part 673 requirements are broader and apply to all types of change. To address this section, the transit agency could review its SSPP, and revise or develop new text (as appropriate) that addresses a comprehensive approach to identification of change. Revisions could include:

- Identification of internal and external sources of change;

- Documentation of communication and coordination activities to ensure appropriate departments/individuals receive notifications of change;

- Use of documented field activities to help identify changes in the operational environment that may not have been planned;

- Development and use of criteria to identify and determine the extent of changes in the operational environment that would trigger the initiation of management of change activities; and

- Use of documented criteria to ensure that information regarding management of change activity is distributed to all relevant service delivery functions.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.27(c)(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

§659 System Safety Program Plan (SSPP) Elements–659.19(g)

A description of the process used by the rail transit agency to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have safety impacts.

§659 System Safety Program Plan (SSPP) Elements–659.19(h)

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

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations –673.27(c)(2)

This section requires the RTA to look at how changes affect safety performance within the system. These changes could include changes to scheduling, operations, or maintenance procedures, changes to service, the design and construction of major capital projects (such as New Starts and Small Starts projects and associated certifications), organizational changes, and any other changes to a transit agency's system that may impact safety performance. It also requires the transit agency to ensure that it has a process for incorporating identified changes that may impact safety performance into the Safety Risk Management process.

In addressing these requirements, the RTA could review and revise existing SSPP text to address the use of documented criteria for determining when changes must be assessed through the Safety Risk Management process, prior to implementation. The transit agency should ensure that accepted levels of safety performance are not jeopardized or diminished. The agency may want to include specific language that ensures no changes can be made or implemented that may pose a safety impact until the agency conducts a safety risk assessment.

In addition, the RTA could document how monitoring activities will be updated, as necessary, to address changes that do not go through the Safety Risk Management process, thus ensuring the change and related mitigations perform as intended so as not to negatively impact safety performance.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.27(d)(1)

Continuous Improvement. A transit agency must establish a process to assess

§659 System Safety Program Plan (SSPP) Elements–659.19(l)

A description of the process used by the rail transit agency to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the system safety program plan, including:

  (1) Identification of departments and functions subject to review;

  (2) Responsibility for scheduling reviews;

  (3) Process for conducting reviews, including the development of checklists and procedures and the issuing of findings;

  (4) Review of reporting requirements;

  (5) Tracking the status of implemented recommendations; and

  (6) Coordination with the oversight agency its safety performance.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.27(d)(1)

FTA expects each transit agency to conduct a safety performance assessment at least annually, and the safety performance assessment can be completed in conjunction with the annual review and update to its overall safety plan. This annual assessment is focused on safety performance as opposed to safety plan compliance. To address this requirement, the RTA could consider developing new text defining its processes and procedures to:

- Assess agency safety performance;

- Establish and use safety performance assessment criteria;

- Ensure compliance with PTASP SMS requirements;

- Review assessment results to identify if continuous improvement is being achieved by the SMS; and

- Coordinate activities with its SSOA.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.27(d)(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

§659 System Safety Program Plan (SSPP) Elements–659.37

(c) The oversight agency must, at a minimum, require the development of a corrective action plan for the following:

(1) Results from investigations, in which identified causal and contributing factors are determined by the rail transit agency or oversight agency as requiring corrective actions; and

(2) Findings from safety and security reviews performed by the oversight agency.

§659 System Safety Program Plan (SSPP) Elements–659.39(c)

Annual submission. Before March 15 of each year, the oversight agency must submit the following to FTA:

(1) A publicly available annual report summarizing its oversight activities for the preceding twelve months, including a description of the causal factors of investigated accidents, status of corrective actions, updates and modifications to rail transit agency program documentation, and the level of effort used by the oversight agency to carry out its oversight activities.

(2) A report documenting and tracking findings from three-year safety review activities, and whether a three-year safety review has been completed since the last annual report was submitted.

(3) Program standard and supporting procedures that have changed during the preceding year.

(4) Certification that any changes or modifications to the rail transit agency system safety program plan or system security plan have been reviewed and approved by the oversight agency.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.27(d)(2)

This requirement clarifies the transit agency's obligation to address deficiencies identified as part of its annual safety performance assessment. To address this requirement, the RTA could review and revise, as appropriate, related SSPP text to incorporate the management of deficiencies found during its safety performance assessment, including developing and carrying out a plan to address the identified safety deficiencies, under direction from the Accountable Executive. Findings from this safety performance assessment, and any related corrective action plans, must be coordinated with the SSOA as specified in Section 674.27(a)(4), which requires the SSOA's Program Standard to explain the role of the SSOA in overseeing an RTA's execution of its PTASP and any related internal safety reviews conducted by the RTA.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section – 673.29(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.

§659 System Safety Program Plan (SSPP) Elements–659.19(p)

A description of the training and certification program for employees and contractors, including:

(1) Categories of safety-related work requiring training and certification;

(2) A description of the training and certification program for employees and contractors in safety- related positions;

(3) Process used to maintain and access employee and contractor training records; and

(4) Process used to assess compliance with training and certification requirements.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.29(a)

The training requirement is enhanced in Part 673 such that each transit agency must establish a comprehensive safety training program. Through the safety training program, each transit agency must require each employee that has responsibilities for safety to complete training, including refresher training.

To address these requirements, the RTA could consider reviewing and updating its existing SSPP training section to ensure that safety training for all employees and contractors is adequately covered, including refresher training. In addition to technical training on safety competencies by job description, this section also could include SMS training required by job position and any refresher training. Any new training records or processes for assessing compliance with training and certification requirements also should be documented.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.29(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.

§659 System Safety Program Plan (SSPP) Elements–659.19(f)(5)

Requirements for on-going reporting to the oversight agency relating to hazard management activities and status.

§659 System Safety Program Plan (SSPP) Elements–659.19(r)

A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including:

(1) Safety requirements that employees and contractors must follow when working on, or in close proximity to, rail transit agency property; and

(2) Processes for ensuring the employees and contractors know and follow the requirements.

§659 System Safety Program Plan (SSPP) Elements–659.19(s)

A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements.

§659 System Safety Program Plan (SSPP) Elements–659.19(t)

A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.29(b)

FTA expects that each transit agency would define the means and mechanisms for effective safety communication based on its organization, structure, and size of operations. Based on existing requirements identified in the SSPP and the new Part 673 requirements, the RTA could review and revise (or develop as appropriate) its plans, policies, and procedures related to the communication of safety. The RTA could provide a brief overview regarding the organizational arrangements (committees, groups, panels, etc.) established to implement and operate the SMS and ensure communications agency-wide regarding safety and safety performance issues and information. Revised RTA documentation could update the organization's approach to communicating safety and safety performance information throughout the organization and with the SSOA (and the FTA, when required). Also, this new information could explain how the transit agency will inform employees of safety actions taken in response to reports submitted through an employee safety reporting program.

§673 Public Transportation Agency Safety Plan (PTASP) Rule Section –673.31

Safety plan documentation. At all times, a transit agency must maintain documents that set forth its Public Transportation Agency Safety Plan, including those related to the implementation of its Safety Management System (SMS), and results from SMS processes and activities. A transit agency must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its Public Transportation Agency Safety Plan. These documents must be made available upon request by the Federal Transit Administration or other Federal entity, or a State Safety Oversight Agency having jurisdiction. A transit agency must maintain these documents for a minimum of three years after they are created.

§659 System Safety Program Plan (SSPP) Elements

Not applicable.

Differences between PTASP and SSPP Requirements and Considerations for Transitioning SSPP Text to the PTASP – Requirements and Transition Considerations – 673.31

This is a new requirement for transit agencies. Transit agencies must keep their PTASP and related SMS documents and make them available to FTA, or other Federal entities, and the SSOA. In addressing this new requirement, the RTA could identify the gaps between

current safety program documentation and the PTASP rule requirements. The RTA also could review and revise (or develop new) policies and/or procedures that pertain to the documentation of the PTASP and the results of its SMS processes and activities, as well as the control of these documents. Finally, the RTA could include information explaining how it ensures that documents are maintained and provided to FTA or the SSOA.