



Chicago Transit Authority Agency Safety Plan



Safety Management System for Rail



Revision 3.0

June 2022

Transit Agency Information

Transit Agency Name	Chicago Transit Authority			
Transit Agency Address	567 W. Lake Street Chicago, IL 60661			
Name and Title of Accountable Executive	Dorval R. Carter, Jr. President			
Name of Chief Safety & Security Officer	Nancy-Ellen Zusman Chief Safety & Security Officer			
Mode(s) of Service Covered by This Plan	Rail System	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5337	
Mode(s) of Service Providing by the Transit Agency (Directly operated or contracted service)	The development and implementation of this safety plan applies to all Chicago Transit Authority directly operated and contracted activities related to rail systems.			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	NO <input checked="" type="checkbox"/>	Description of Arrangement(s)	N/A
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	N/A			



Agency Safety Plan Approvals

The individuals below, submitting and signing this Agency Safety Plan (ASP), verify that it was prepared in accordance with all applicable requirements set forth by the Federal Transit Administration (FTA), 49 CFR Part 673. As authorized representatives of the Chicago Transit Authority, their signatures attest that all items and conditions contained herein are understood, accepted and approved.

Approved:

 9/14/22
Chief Safety & Security Officer & Joint Safety Committee Chair Date of Signature

 9/16/22
Accountable Executive Date of Signature

 9/14/22
Board Chairman Date of Approval



Document Revision

The Chicago Transit Authority Public Transportation Agency Safety Plan will be reviewed on an annual basis as required by regulations.

Revision Number	Date Issued	Revision Description
1.0	12/6/2019	Initial draft
2.0	4/3/2020	Revised initial draft to incorporate review changes from CTA Leads and the IL-SSOA
3.0	03/1/2022	Revised to include changes of name from PTASP to ASP, meaningful edits to 2022 performance goals, updated Safety Management Policy Statement, added requirements of the Bipartisan Infrastructure Law, updated ASP approval process, updated Chief of Safety & Security Officer, facility maintenance and power & way changed to Infrastructure, specifications on 7000 series rail cars added, and various other edits to for accuracy or clarity, including the reorganization of the plan content.



Safety Management Policy Statement



CHICAGO TRANSIT AUTHORITY

567 West Lake Street
Chicago, Illinois 60661-1498
TEL 312 664-7200
www.transitchicago.com

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Safety Management Policy

Safety is a core value of the Chicago Transit Authority (CTA), and managing safety is a core business function of the Authority. CTA is committed to developing, implementing, maintaining, and continuously improving processes in order to ensure the safety of its customers, employees, and the public. To that end, CTA has developed two Agency Safety Plans (ASP), one for Rail and one for Bus, in accordance with federal regulations under 49 CFR Part 673, issued by the Federal Transit Administration (FTA). Consistent with continuous improvement, CTA annually reviews and updates the two ASPs.

The ASPs are the governing documents for the CTA safety program. The purpose of the ASPs is to describe the means by which the CTA manages its safety program, through the implementation of this Safety Management Policy, as well as Safety Risk Management, Safety Assurance, and Safety Promotion activities. The ASPs are intended to be an accurate reflection of resources and safety management practices currently in place at CTA.

This document, the Safety Management Policy, is contained in each of the ASPs. It is also posted on the Safety Communication Boards at each CTA facility, on video monitors, on the CTA Safety SharePoint site, and is incorporated into the New Hire Orientation. The Safety Management Policy will be reviewed on an annual basis.

The CTA has adopted a safety management approach which incorporates the concepts and principles of a Safety Management System (SMS) framework. CTA is committed to allocating resources to fulfill its safety objectives. Through the operation of its SMS, CTA will gain the information necessary to effectively allocate human and financial resources with a risk-based approach. The safety objectives include:

- Continue to institutionalize an organization-wide SMS;
- Verify adherence to operational and maintenance procedures, as well as safety recommendations;
- Identify, analyze, evaluate hazards and eliminate or mitigate their potential consequences through preventative measures;
- Conduct safety performance monitoring to determine trends, monitor effectiveness of safety risk mitigations, and implement corrective actions; and
- Promote a positive workplace culture.

All levels of management and all front-line employees are accountable for the delivery of the highest level of safety performance, starting with the President of the CTA. The Accountable Executive, the CTA President, has the ultimate authority and accountability for the management of safety and the allocation of resources. The President has the authority to make any necessary changes to ensure the management of safety during CTA transit service delivery operations.



The Chief Safety and Security Officer (CSSO) has the delegated authority and responsibility for implementing and operating CTA's SMS on a day-to-day basis. The CSSO is responsible for keeping the Accountable Executive informed on CTA's overall Safety performance. The CSSO also ensures that the CTA 's two ASPs comply with Federal regulations [49 CFR parts 670, 672, and 673], the Illinois Department of Transportation (IDOT) State Safety Oversight Program Standards Manual (PSM), and industry best practices.

The CTA Leadership and Executive Management role is to promote safe operations and provide appropriate resources to ensure safety management practice and to encourage effective employee safety reporting and communication.

The Safety Department's role is to assist departments in managing safety risks by providing Safety Risk Management expertise and by conducting and overseeing Safety Assurance activities. Each department or unit has the responsibility to take the lead in managing the safety risk resulting from the delivery of transit services. The Safety Department will also respond to incidents, conduct investigations and audits, as appropriate, as well as communicate and document findings to support the promotion of safe operations.

CTA employees are critical to the successful operation of the agency's SMS. Employees and contractors are encouraged to report safety concerns to their managers and the Safety Department. Employees and contractors are able to use the Safe Line to report safety concerns anonymously that they believe to be sensitive in nature. No action will be taken against any employee who communicates a safety concern unless such disclosure indicates an illegal act, gross misconduct/negligence, a deliberate or willful disregard of CTA rules, policies, and procedures, or intentionally false or misleading information.

CTA employees are expected to provide full support to the ASPs and the SMS, including proactively reporting safety concerns and upholding the CTA's commitment to a safety-focused culture.



Dorval R. Carter, Jr.
President

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1.0 Definitions & Acronyms

1.1 Definitions

Accident [Pursuant to [49 CFR Part 673](#)] means an event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

Accountable Executive [Pursuant to [49 CFR Part 673](#)] means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

Chief Safety Officer [Pursuant to [49 CFR Part 673](#)] means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

Corrective action plan [Pursuant to [49 CFR Part 674](#)] means a plan developed by a Rail Transit Agency that describes the actions the Rail Transit Agency will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions.

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

Hazard [Pursuant to [49 CFR Part 673](#)] means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Incident [Pursuant to [49 CFR Part 673](#)] means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, infrastructure that disrupts the operations of a transit agency.

Investigation [Pursuant to [49 CFR Part 673](#)] means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

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

Occurrence [Pursuant to [49 CFR Part 673](#)] means an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.



Operator of a public transportation system means a provider of a public transportation as defined under [49 U.S.C. 5302\(14\)](#)

Performance Measure [Pursuant to [49 CFR Part 673](#)] means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Performance targets [Pursuant to [49 CFR Part 673](#)] means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period

Public Transportation Agency Safety Plan [Pursuant to [49 CFR Part 673](#)] means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

Rail transit agency [Pursuant to [49 CFR Part 673](#)] means any entity that provides services on a rail fixed guideway public transportation system.

Risk [Pursuant to [49 CFR Part 673](#)] means the composite of predicted severity and likelihood of the potential effect of a hazard.

Risk Mitigation [Pursuant to [49 CFR Part 673](#)] means a method or methods to eliminate or reduce the effects of hazards.

Safety Assurance [Pursuant to [49 CFR Part 673](#)] means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigations, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Management Policy [Pursuant to [49 CFR Part 673](#)] is a transit agency's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees regarding safety.

Safety Management System [Pursuant to [49 CFR Part 673](#)] means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

Safety performance target [Pursuant to [49 CFR Part 673](#)] means a target related to safety management activities.

Safety Promotion [Pursuant to [49 CFR Part 673](#)] means a combination of communication of safety information to support SMS as applied to the transit agency's public transportation system.

Safety Risk Assessment [Pursuant to [49 CFR Part 673](#)] means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

Safety Risk Management [Pursuant to [49 CFR Part 673](#)] means a process within a transit agency's Public Transportation Agency Safety plan for identifying hazards and analyzing, assessing, and mitigating safety risk



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Serious Injury [Pursuant to [49 CFR Part 673](#)] means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fracture of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscles, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

State of good repair [Pursuant to [49 CFR Part 673](#)] means the condition in which a capital asset is able to operate at a full level of performance.

Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by [49 U.S.C. 5329\(e\)](#) and the regulations set forth in [49 CFR part 674](#).

Transit Asset Management (TAM) Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by [49 U.S.C. 5326](#) and [49 CFR part 625](#).



1.2 Acronyms and Abbreviation

APTA	American Public Transportation Association
ASP	Agency Safety Plan
CFR	Code of Federal Regulation
CSSO	Chief Safety & Security Officer
CAP	Corrective Action Plan
CTA	Chicago Transit Authority
FFA	Fitness for Duty
FTA	Federal Transit Administration
IDOT	Illinois Department of Transportation
IL-SSOA	IDOT State Safety Oversight
MIL-STD	Military Standard
NTD	National Transit Database
SCADA	Supervisory Control and Data Acquisition
SEPP	Security and Emergency Preparedness Plan
SME	Subject Matter Expert
SMS	Safety Management System
SOP	Standard Operating Procedure
SSOA	State Safety Oversight Agency
TAM	Transit Asset Management
TSSP	Transit Safety and Security Program
U.S.C.	United States Code



2.0 Agency Safety Plan

2.1 Introduction

Safety is a core value of the Chicago Transit Authority (CTA), and managing safety is a core business function of the Authority. CTA is committed to developing, implementing, maintaining, and continuously improving processes in order to ensure the safety of its customers, employees, and the public. This document is the Chicago Transit Authority Agency Safety Plan (ASP) for its Rail System.

2.2. Purpose

The purpose of an Agency Safety Plan is to establish the means by which the CTA manages its safety program, which is through the implementation of a Safety Management System (SMS). The SMS is a top – down, data driven, risk-based approach to managing safety that has been adopted by the Federal Transit Administration (FTA) as the basis for transit safety nationwide. It consists of four components that apply to all facets of the authority:

- A. Safety Management Policy,
- B. Safety Risk Management,
- C. Safety Assurance, and;
- D. Safety Promotion.

These four components are the means to achieve the highest level of safety for the Authority's employees, customers, contractors and the general public. CTA herein establishes and implements an SMS that is appropriately scaled to the size, scope, and complexity of CTA. This ASP is intended to be an accurate reflection of resources and safety management practices currently in place at CTA.



2.3 Safety Objectives

CTA is committed to allocating human and financial resources to fulfill its safety objectives. Through the operation of its Safety Management System CTA will gain the information it needs to effectively allocate its resources to reduce safety risk. The CTA’s safety objectives include:

- A. Institutionalizing a Safety Management System organization-wide;
- B. Verify adherence, operational and maintenance procedures and safety recommendations;
- C. Identify, analyze, evaluate hazards and eliminate or mitigate their potential consequences through preventative measures;
- D. Conduct safety performance monitoring to determine trends, monitor effectiveness of safety risk mitigations, and implement corrective actions;
- E. Promote a positive workplace culture.

2.4 Safety Performance Targets

The FTA's National Public Transportation Safety Plan established the following safety performance measures to be adopted by transit agencies and monitored against performance targets established by each agency.

To set performance targets, the CTA annually reviewed recent safety performance data, and considers existing or planned efforts to enhance safety as measured by the injuries, fatalities, safety events and system reliability. Each measure has two targets: a whole number and a rate per total vehicle revenue miles (in millions). The exception is System Reliability, which is the measured only as a rate: mean distance (miles) between major mechanical failures.

The prior year performance and 2022 targets¹ are summarized below:

Safety Performance Targets for Rail						
NSP Performance Measures ¹	2020 Total	2020 Rate ²	2021 Total	2021 Rate	Target 2022 Total	Target 2022 Rate
Injuries ³	54	.78	37	.53	< 46	< .65
Fatalities ⁴	9	.13	6	.09	0	0
Safety Events ⁵	56	.81	45	.65	< 48	< .7
System Reliability ⁶	n/a	188,376	n/a	155,335	n/a	> 150,000

1 Targets and performance calculations follow FTA guidance: “Safety Performance Targets Guide,” Version 2.0, June 2021. All contributing data results from required reporting to the National Transit Database (NTD).

2 Rates of injuries, fatalities and safety events are calculated per million vehicle revenue miles (VRM).

3 Injuries reported using the NTD “major” form, excluding injuries resulting from security events.

4 Fatalities reported to the NTD (deaths confirmed within 30 days) excluding trespassing and suicide related fatalities.

5 Total number of safety events (not security events) meeting an NTD “major” event reporting threshold.

6 System Reliability is expressed as the mean distance between major mechanical failures—failures that prevent a vehicle from.



2.5 Applicability

As an operator of a public transportation system that receives Federal financial assistance under Title 49 of the United States Code (USC) Chapter 53, CTA is subject to the requirements and guidelines set forth by the FTA, and this Public Transportation Agency Safety Plan (PTASP) is compliant with these requirements as well as with the requirements of the National Public Transportation Safety Plan (NSP). In addition, the CTA is a rail fixed guideway public transportation system which operates in the state of Illinois, is subject to the requirements and guidelines set forth by the Illinois Department of Transportation State Safety Oversight Agency (IL-SSOA). This PTASP is compliant with the IL-SSOA Program Standards Manual (PSM) Section 3 which sets forth the state of Illinois PTASP general requirements.

2.6 Policy

CTA's Public Transportation Agency Safety Plan, hereafter referred to as the "Agency Safety Plan" is an agency-wide safety plan that meets and is responsive to the FTA's PTASP requirements as set forth by [49 CFR Part 673](#). The ASP establishes the safety objectives, standards, and priorities of CTA, tailored to the size, complexity, and scope of its rail system and the environment in which it operates. Through the ASP, the CTA defines an approach to safety that incorporates the principles and methods Safety Management Systems, which FTA has established for enhancing the safety of public transportation nationwide. This ASP is in accordance with federal regulations under [49 CFR Parts 672](#) and 673, issued by the FTA; the National Public Transportation Safety Plan under 49 U.S.C. Chapter 53; and the State Safety Oversight Agency (SSOA) per [49 CFR Part 674](#).

2.7 Authority

2.7.1 Federal

Statutory mandates in the Moving Ahead for Progress in the 21st Century Act (Pub. L. 112–141; July 6, 2012) (MAP–21), reauthorized by the Fixing America's Surface Transportation Act (Pub. L. 114–94; December 4, 2015) and codified at [49 U.S.C. 5329\(d\)](#), are in place to strengthen the safety of public transportation systems that receive Federal financial assistance under U.S.C. Chapter 53. This legislation defines requirements for the adoption of SMS principles and methods; the development, certification, and update of PTASPs; and the coordination of PTASP elements with other FTA programs and proposed rules, as specified in 49 U.S.C. 5329.

In Section 20021 of MAP–21, Congress directed the FTA to establish a comprehensive Public Transportation Safety Program, one element of which is the requirement for Public Transportation Agency Safety Plans. Pursuant to 49 U.S.C. 5329(d), FTA issued a final rule requiring operators of public transportation systems that receive financial assistance under Chapter 53 to develop and certify Public Transportation Agency Safety Plans. Section 30012 of the Bipartisan Infrastructure Law (PUB. L. 117-58; November 15, 2021) (BIL), amended FTA's safety program at 49 U.S.C. 5329(d) by adding to the Public Transportation Agency Safety Plans requirements. FTA must update the National Transportation Safety Plan to include risk reduction performance measures prior to transit agency development of performance targets for their risk reduction program.

2.7.2 State Safety Oversight Program

The IL-SSOA is the designated by FTA as the State Safety Oversight (SSO) agency for rail fixed guideway safety oversight of the CTA rail system.

CTA is covered under the authority of the IL-SSOA program and it must develop and implement



a Safety Plan, Security Plan, and Emergency Operations Plan that comply with the IL-SSOA's requirements. These requirements, and the IL-SSOA's authority, are codified in the IL-SSOA PSM. Examples of IL-SSOA requirements include requiring CTA to establish certain specific features of its safety program and document them in this ASP. Examples of the IL-SSOA's authority include the authority to evaluate CTA's adherence to the ASP, such as through audits, inspections, or the authority to compel CTA to take certain actions based on safety concerns or compliance.

2.8 CTA ASP Certification of Compliance

CTA will certify the ASP in accordance with 49 CFR Part 673. CTA shall certify initially and annually and update the ASP through the FTA's Certification and Assurance process as necessary to ensure the plan remains current. CTA's Accountable Executive shall provide FTA annual certification of its compliance with the ASP by February 1 of every year.

2.9 ASP Annual Review

CTA shall conduct an annual review of the Agency Safety Plan as required by 49 CFR Part 673, and interim modifications will be made as necessary, and as required by 49 CFR Part 674.

2.9.1 Conditional Review and Approval

The CSSO will designate an ASP Lead to coordinate the annual review and update process each year. The CSSO will require the Executive Safety Committee, Joint Labor Safety Committee, and Key Staff as identified in [Section 3.2.4](#), to review the current ASP and provide comments and revisions, or affirm accuracy of the current wording to the ASP Lead. The ASP Lead will record all responses and conduct the drafting of the revision to account for each party's review responses. The ASP Lead will submit the draft ASP revision to the CSSO for review and submission to the IL-SSOA. The IL-SSOA requires CTA to transmit the draft ASP revision with an explanation of any and all changes by February 1 of each year. See [Section 2.11](#) below for IL-SSOA approval.

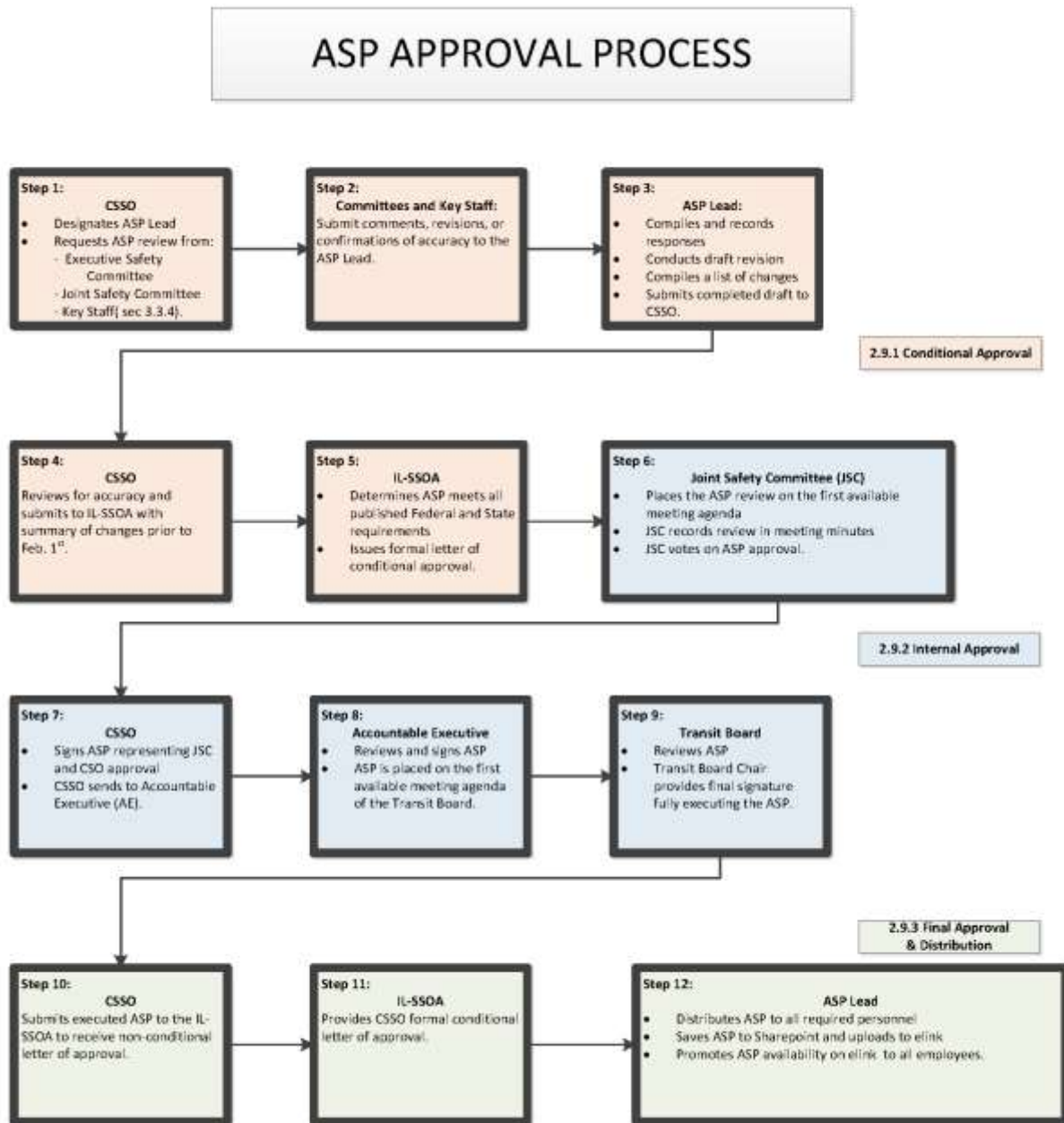
2.9.2 Internal Approval

Upon receipt of the IL-SSOA written letter of conditional approval CTA will initiate the internal ASP approval process. The conditionally approved ASP revision will first be put on the first available agenda for the Joint Labor Safety Committee. The Joint Safety Committee will document their review and approval process in their meeting minutes. The CSSO will then sign the revised ASP in both the capacity of the CSSO and the Chair of the Joint Safety Committee. The ASP revision will then be transmitted to the Accountable Executive (CTA President) for signature. Once the Accountable Executive has signed the ASP revision it will be submitted to the Transit Board to be placed on the agenda for the next practicable Transit Board Meeting. The Transit Board will review the ASP revision and the Chairman of the Transit Board will provide the final signature of the revised ASP. Once the revised ASP receives the Chairman of the Transit Board's signature it will be fully executed.

2.9.3 Full Approval and Distribution

The fully executed ASP will be submitted back to the IL-SSOA to provide full approval. Once the IL-SSOA has received the fully executed ASP it will issue a formal non-conditional letter of approval. Upon CTA receipt of IL-SSOA's letter, the ASP Lead will be responsible for coordinating the distribution of the new ASP throughout the agency. This will include promoting its availability to all CTA employees through the eLink intranet website. The ASP is maintained in electronic format and available to personnel on Safety's SharePoint.





2.10 Interim ASP Modifications

In addition to annual updates, interim changes may be requested to this plan based on:

- The approach to mitigating safety deficiencies is determined ineffective,
- Significant changes to service delivery are made,
- New processes or procedures that may impact safety are introduced,
- Resources available to support SMS are changed or re-prioritized, and/or
- Significant changes are made to the organization structure.

CTA Safety shall incorporate necessary changes in the ASP and submit changes to IL- SSOA for



approval within 30 calendar days before the effective date of the change. Once IL-SSOA provides conditional approval of the interim modifications, the ASP approval process will proceed according to Sections 2.9.2 and 2.9.3. IL-SSOA may request interim modifications to the ASP based on:

- A. Audits report results,
- B. On-site reviews and investigations,
- C. Trends in accident data,
- D. Directives from FTA.

CTA Safety shall submit a revised ASP within 30 calendar days or state objections to the requested modification and suggest alternatives to the request within 15 calendar days. IL-SSOA and CTA Safety shall review the objections and suggested alternatives and agree to an appropriate course of action within 15 calendar days. The revised and updated ASP shall be submitted to IL-SSOA for review and approval within 30 calendar days after agreement on a course of action.

2.11 IL-SSOA Approval

The IL-SSOA program standards manual requires CTA to review its ASP annually and update it as necessary to ensure the plan remains current. The revised ASP draft will be submitted to the IL-SSOA for approval by February 1 each year. In the event the annual review of the ASP determines no updates are required, CTA Safety will submit a formal correspondence notifying IL-SSOA of this determination also by February 1.

The IL-SSOA will review the revised ASP using a PTASP checklist and it provide CTA with a written response within 30 days of the revised ASP's transmittal. When the IL-SSOA has determined the revised ASP meets published Federal and State requirements, the IL-SSOA will provide a written conditional approval letter and copy of its completed checklist. If the IL-SSOA determines the revised ASP does not meet the IL-SSOA's published standards, it will notify CTA in writing, along with a description of the changes necessary to gain approval, which will typically be made up of a completed checklist, and additional narrative memo. CTA will have 30 days to make the necessary changes, unless otherwise specified in the IL-SSOA correspondence. CTA may request to meet with the IL-SSOA if it deems it necessary or provide written notice as set forth in the IL-SSOA PSM. CTA will not advance the ASP for Joint Safety Committee approval, Accountable Executive Signature, or Transit Board approval until it has received IL-SSOA conditional approval.

Once the IL-SSOA receives the revised ASP which has been executed by the CSSO, Accountable Executive, and the Transit Board Chairman it will issue a non-conditional letter of approval, and the ASP can be distributed throughout the agency.

2.12 Metropolitan, Statewide, & Non-Metropolitan Planning Coordination

The CTA shares its Transit Asset Management Plan- and its National Safety Plan safety performance targets with the Chicago Metropolitan Agency for Planning (CMAP). As the established Metropolitan Planning Organization (MPO) for the Chicago metro area, CMAP uses the information to inform regional infrastructure planning and policy coordination



Target Type	Entity Name	Date Targets Transmitted
Targets Transmitted to the State	Illinois Department of Transportation (IL-SSOA)	March, 2022
Targets Transmitted to the Metropolitan Planning Organization(s)	Chicago Metropolitan Agency for Planning (CMAP)	March, 2022

2.13 Local, State & Federal Interfaces

Applicable local, state and federal requirements include, but not limited to, requirements described below in this section.

2.13.1 Local

CTA is subject to local ordinances of the communities in which it operates. Local requirements that pertain to safety generally include fire and building codes, and emergency planning and procedures.

- A. Local environmental requirements may apply, such as rules established by the Metropolitan Water Reclamation District that pertain to wastewater and CTA property.
- B. Fire Departments fulfill the role of fire protection and emergency medical services. Fire Departments review plans for new facilities and inspect new facilities prior to occupancy.
- C. Police Departments provide security support to the CTA transit system. The Police Departments enforce traffic laws applying to CTA operations. The City's Office of Emergency Management and Communications (OEMC) coordinates planning for major City of Chicago events, as well as response to major emergencies or catastrophes. OEMC also coordinates with adjacent suburbs individually or collectively through the Cook County Sheriff, when necessary for emergencies.

2.13.2 State

49 U.S.C. 5329 sets forth the State Safety Oversight Agency requirements for the rail fixed guideway systems. CTA rail operations receive State Safety Oversight through the IL-SSOA, which is seated in the Office of Intermodal Project Implementation of the Illinois Department of Transportation (IDOT). CTA coordinates with the IDOT District 1 Division of Highways when building or rehabilitating rail lines or rail right of way adjacent to state highways (and likewise when IDOT is carrying out its duties of designing, constructing, operating or maintaining state highways adjacent to CTA infrastructure).

Other state level agencies and requirements affecting CTA include:

- A. The Illinois Commerce Commission (ICC) regulates railroad grade crossings in Illinois. The ICC reviews engineering documentation for CTA grade crossing rehabilitation.
- B. The Illinois Environmental Protection Agency (**IEPA**) develops and enforces environmental regulations regarding air, water and noise pollution and hazardous materials regulation, pursuant to 415 ILCS 5.
- C. The Illinois Department of Labor (IDOL), sometimes referred to as IL-OSHA, pursuant to the Illinois Safety Inspection and Education Act (820 ILCS 220) and the Illinois Health and Safety Act (820 ILCS 225), promotes and protects the rights, working conditions, safety and health of employees in any occupation, business or enterprise in the state.



2.13.3 Federal

- A. At the federal level, the United States Department of Transportation (DOT) issues regulations affecting transit operations including those related to the Americans with Disabilities Act (ADA) and drug and alcohol testing of employees.
- B. The Federal Transit Administration (FTA) is a branch of the DOT and is responsible for federal funding of capital projects for transit authorities and oversight of how those funds are expended. FTA's responsibilities extend to safety. Note: The Federal Railroad Administration (FRA) develops and enforces federal regulations governing the safety of the intrastate railroad network, but the CTA rail system does not fall within FRA jurisdiction.
- C. Occupational Safety and Health Administration (OSHA) develops and enforces federal regulations related to workplace safety including maintenance shops, offices and field activities.
- D. The National Transportation Safety Board (NTSB) is an independent federal agency that investigates transportation accidents and makes recommendations to prevent similar accidents from recurring.
- E. Center for Disease Control (CDC) In the event of an emergency, as defined by 49 U.S.C. 5324(a), that includes risk of exposure to infectious diseases, and as result of which the Governor of Illinois has declared an emergency and the Secretary has concurred, CTA will engage strategies to minimize the exposure which are consistent with the Centers for Disease Control and Prevention or a State health authority guidelines. CTA will apply its safety risk management process to identify mitigations and strategies to minimize exposure to infectious diseases that are consistent with this ASP.

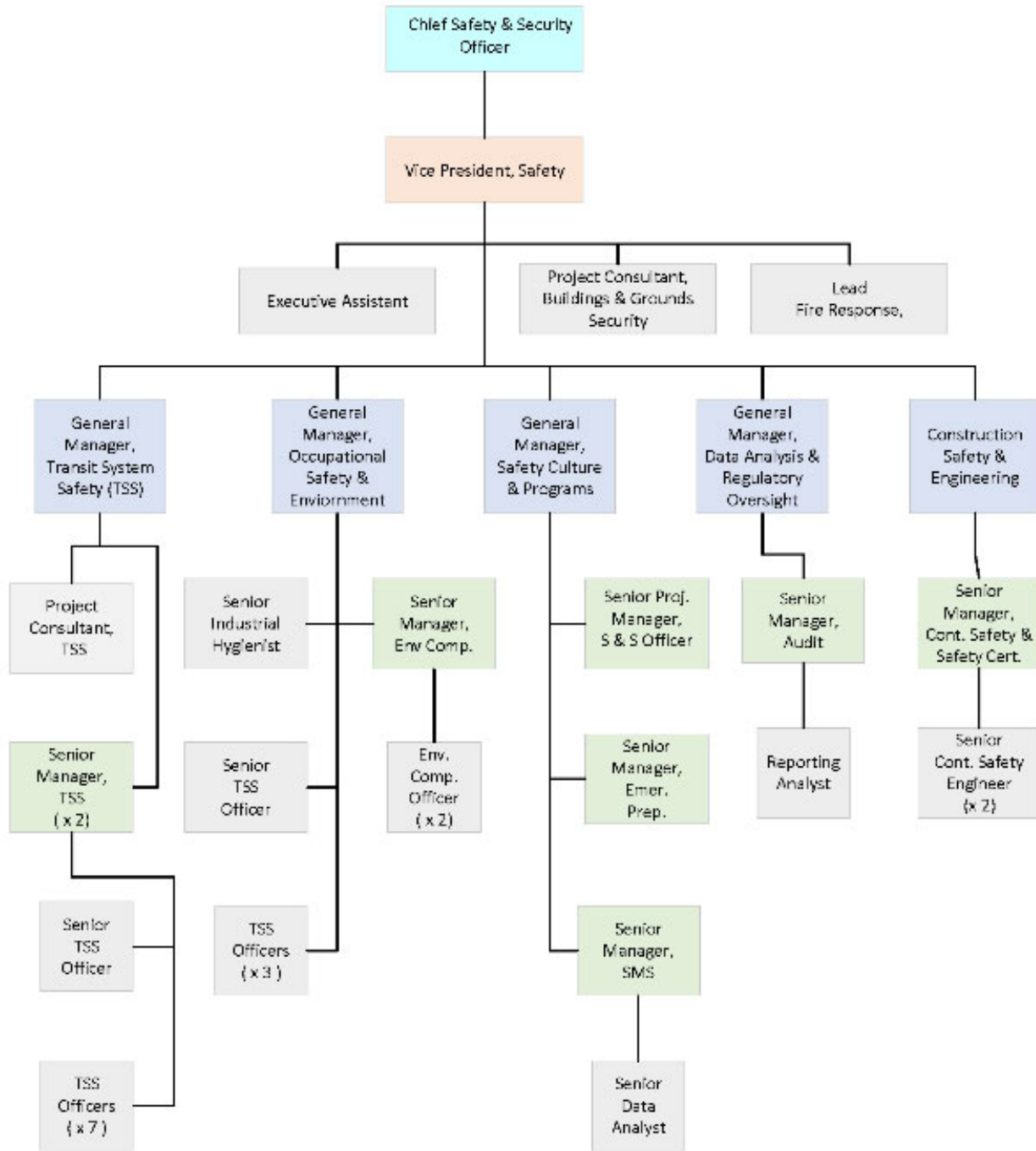
2.14 Rail System Description

For over 70 years, the CTA has operated fixed route bus and rail transit services in Chicago. It is the second largest public transportation system in the United States and the third busiest heavy rail service, providing an average of over 740,000 weekday passengers. CTA's rail system connects eight rail lines, named by color, that extend in all directions from downtown Chicago, providing service to both of Chicago's international airports with two lines that operate 24 hours a day, seven days a week.

CTA's governing arm is the Chicago Transit Board, which consists of seven members, four appointed by the Mayor of Chicago and three by the Governor of Illinois. The CTA is an independent governmental organization created by State of Illinois legislation in 1945. Chicago Transit Authority's operational system is further summarized in [Appendix B](#).



2.15 Organizational Chart



Additional CTA organizational charts are available in [Appendix F](#)

2.16 SMS Implementation Strategy

CTA adoption of the SMS approach is in accordance with the statutory language of the Moving Ahead for Progress in the 21st Century (MAP-21) which called for the sunset the System Safety requirements prescribed under 49 CFR, Part 659 and directed the FTA to establish the risk-based, data driven, scalable SMS approach prescribed in 49 CFR Part 673. The implementation of SMS requires a shift in safety culture and management infrastructure



which will take CTA multiple years to fully establish and implement in its entirety. CTA has established a four-phase strategy which address the core CTA objectives identified to establish and transition to a fully operational SMS program. CTA will review and revise the SMS strategy annually in coordination with the annual review of the ASP. CTA's implementation strategy is as follows:

PHASE 1: PLANNING, ORGANIZATION AND POLICY DEVELOPMENT

- A. Draft a PTASP in accordance with federal and state regulation
- B. Update the SMS Policy in accordance with the federal and state regulation
- C. Establish agency's safety objective
- D. Establish/Identify SMS authorities, accountabilities, and responsibilities for the management of safety
- E. Implement a Non-Punitive Employee Safety Reporting Program

PHASE 2: SAFETY RISK MANAGEMENT

- A. Refine the Safety Risk Management process
- B. Establish sources of hazard identification
- C. Enhance employee safety reporting
- D. Refine criteria of safety elevation of safety risk to executive management
- E. Promote the employee safety reporting program to frontline employees

PHASE 3: SAFETY ASSURANCE

- A. Refine safety performance monitoring and measurement activities
- B. Refine and enhance safety assurance activities
- C. Update the Event Investigation Procedures
- D. Develop criteria for SMS Management of Change
- E. Develop criteria for SMS Continuous Improvement

PHASE 4: SAFETY PROMOTION

- A. Identify safety management personnel in accordance with Public Transportation Safety Certification Training Program for federal regulations
- B. Develop criteria for refresher training for the Public Transportation Safety Certification Training Program
- C. Develop communication to frontline employees regarding hazards
- D. Develop communication for employee safety reporting program



3.0 Safety Management Policy

Safety is a core value of the Chicago Transit Authority, and managing safety is a core business function of the Authority. CTA is committed to developing, implementing, maintaining, and continuously improving processes to ensure the safety of its customers, employees and the public. The CTA will use its safety risk management process to direct the prioritization of safety and allocate its organizational resources-people, processes, or technology in balance with its other core business functions. CTA aims to support a robust safety culture, and achieve the highest level of safety performance, meeting all established safety standards.

3.1 Safety Management Policy Statement

Every CTA employee and any outside contractor who serves CTA has the duty to adhere to the Agency Safety Plan; to recognize, report and correct hazards; to work in a safe manner; to promote safety awareness; and to actively assist in accident prevention. All CTA employees must carry out their assigned duties in a safe and efficient manner.

The CTA President accepts overall responsibility for safety at CTA. The CTA President fulfills the role referred to in the Federal transit safety regulations as the Accountable Executive. The CTA Chief Safety & Security Officer (CSSO) fulfills the role described in the regulations as the Chief Safety Officer. The signatures of the President, the CSSO, and Chicago Transit Board Chairman, included in the [Approvals section of this ASP](#), attest to the fact that this plan is understood, accepted and approved, and that management is committed to implementing its SMS and achieving its safety goals and objectives. Furthermore, The President has issued a [written statement of safety management policy](#) that includes CTA's safety objectives which is communicated throughout the agency and included in [Section 2.3](#).

3.1.1 Safety Management Policy Communication

CTA's Safety Management Policy Statement will be distributed to all employees and contractors through a variety of ways including, but not limited to, being posted on Safety Communication Boards and video monitors located at each CTA facility, via a quarterly newsletter, , being available on the CTA intranet site and being presented to new employees through New Employee Orientation.

3.2 SMS Authorities, Accountabilities, & Responsibilities

This section describes the necessary authorities, accountabilities, and responsibilities for CTA management, related to the development and implementation of CTA's Safety Management System (SMS):

3.2.1 Accountable Executive

- Bears ultimate authority and accountability for the management of safety and the associated allocation of resources.
- Exercises control and direction over the human and capital resources needed to develop and maintain both the Authority's safety program via the ASP and its management of transit assets and state of good repair via the TAM.
- Has authority to make any necessary changes to ensure the management of safety.
- Accountable for ensuring that CTA's SMS is effective, and for taking action, as necessary to address substandard performance of the SMS.
- Delegates specific responsibilities for the implementation of the SMS.
- Designates a Chief Safety Officer in accordance with 49 CFR 673, who has the authority and responsibility for day-to-day implementation and operation of the SMS.



3.2.2 Chief Safety & Security Officer

- Is authorized and responsible for leading the implementation and operation the SMS on a day-to-day basis, as delegated by the Accountable Executive.
- Responsible for keeping the Accountable Executive informed of CTA's overall safety performance.
- Ensures the CTA's safety program complies with Federal Regulations (49 CFR parts 670, 672 and 673) and the Illinois Department of Transportation (IL-SSOA) State Safety Oversight Program Standards Manual (PSM), and is appropriately documented in the ASP.
- Pursues continuous improvement of the SMS and the reduction of safety risk, such as by incorporating industry best practices.

3.2.3 *CTA Leaders and Executive Managers (direct reports of the Accountable Executive)

- Responsible for day-to-day implementation and operation of the SMS.
- Allocate resources within their line of responsibility to support the implementation of the SMS and the achievement of CTA's safety objectives.
- Enact, modify and enhance policies and procedures as needed to support the implementation of the SMS and the achievement of the CTA's safety objectives.

3.2.4 Key Staff

- Support in developing, implementing and operating CTA 's SMS.
- Accountable for compliance with programs and processes identified within the ASP.
- Responsibility in taking the lead in managing the safety risk resulting from the delivery of transit services.
- Investigate employee injuries/events and document findings of investigations.
- Attend and support safety committee meetings
 - General Manager, Occupational, Environmental Safety
 - General Manager, Transit Safety
 - General Manager Safety Programs & Culture
 - General Manager, Fire Protection, Emergency Preparedness
 - General Manager Construction Safety
 - Senior Manager, Emergency Preparedness
 - Senior Manager, Environmental Safety
 - Senior Manager, Safety Analysis & Compliance
 - Senior Manager, Safety Management System
 - Senior Manager, Transit Safety
 - Senior Project Manager, Vehicle Safety Certification
 - Senior Manager Construction Safety

These are staff members who directly oversee facility, craft, and all staff in the organization structure up to but not including Executive Management.

3.2.5 Safety Department members

- Accountable for promoting and assessing Authority-wide compliance with the ASP.
- Support development, implementation and operation of CTA's SMS.
- Support departments in managing risks by providing Safety Risk Management expertise and conducting and overseeing Safety Assurance activities.
- Investigating events to determine the probable cause and contributing factors of an



accident, incident, occurrence or hazard.

3.3 Employee Safety Reporting Program

CTA employees are critical to the successful operation of the agency's SMS. All CTA employees, consultants and contractors are encouraged to report any hazards, near misses, injuries and unsafe acts, equipment or condition to their immediate supervisor/manager, Control Center Operations and the Safety Department as described in the Safety SOP (SMS- SOP-2-20): [Employee Safety Reporting Procedures \(Appendix D\)](#). and the Safety Risk Management Plan. Employees, consultants and contractors can utilize the SafeLine to report safety concerns that they believe to be sensitive in nature, but not urgent. No disciplinary action will be taken against any employee who communicates a safety concern unless such disclosure indicates an illegal act, gross misconduct/negligence, a deliberate or willful disregard of CTA rules, policies, and procedures, or intentionally false or misleading information.

Reporting methods for employees to report safety concerns to management includes:

- A. Notification to immediate Supervisor/Manager or Local Safety Representative.
- B. Call the CTA SafeLine Hotline at 1(877) 411.4CTA (4282).
- C. Email SafeLine at Safeline@transitchicago.com.
- D. Formally submit a CTA SafeLine Event/Hazard/Incident/Near Miss Form.
- E. SafeLine Employee Reporting website at safety.ctadataportal.com.

Concerns or hazards that should be reported includes, but not limited to the following:

- A. Inoperable lighting
- B. Loose tactile
- C. Observation of others' close calls or near misses
- D. Blindsides or obstruction of clear view
- E. Platform overcrowding
- F. Observation of others' improper PPE
- G. Faulty equipment
- H. Unsafe conditions

Conditions under which a reporting employee is not protected from discipline includes, but not limited to the following:

- A. Operating violations (e.g., failure to stand as required while operating; unauthorized passing a scheduled station stop; allowing unauthorized passing a scheduled station stop; allowing unauthorized person in the motorcab; failure to observe platform; failure to hook safety chains/springs; improper berthing of vehicle);
- B. Unauthorized use or possession of portable electronic audio/video/communication devices while on duty;
- C. Ran a signal set a danger;
- D. Violation of CTA safety rules and procedures.

Safety personnel will be the gatekeeper of all concerns reported via SafeLine, which is monitored daily. Safety personnel will maintain a data log of reported concerns for analysis and expedited retrieval of information. Employees reporting safety concerns are welcome to make suggested mitigations and to request feedback regarding their concern to further promote safety culture change.

The Control Center Operations, department Managers, and on duty Supervisors will determine the need to stop work in order to correct an unsafe act, equipment or condition, and will need to



inspect and verify when it is safe to resume work.

3.4 Emergency Preparedness and Response Plan

The Chicago Transit Authority's Emergency Procedures Plan (EPP) identifies the emergency response objectives, defines the roles and responsibilities of CTA employees and codifies the CTA's interagency coordination with federal, regional, state and local officials. The EPP establishes an integrated response within the organization's chain of command that provides the highest state of readiness to minimize injury, loss of life, to protect property and maintain or restore service during emergencies.

The EPP is designed for managing emergencies that would require coordination by the Accountable Executive and Executive Management of various functional departments, and catastrophic incidents that would require assistance and coordination with City, County, State, and Federal partners. The need for coordinated emergency operations in conjunction with public safety partners is what distinguishes the major emergencies and catastrophes that this plan is designed to address from the emergencies that occur on a daily or routine basis.

The EPP establishes the command and control process and structure based on the current Chicago Transit Authority (CTA) chain of command for 24-hour a day coverage to address internal, large-scale and external emergencies, disasters and catastrophic events.

3.4.1 Purpose:

Upon declaration of an emergency by the Accountable Executive or designee the plan will:

- A. Set forth the fundamental policies, situations and assumptions, a concept of operations for response and restoration of service, as well as the responsibilities of departments during emergencies.
- B. Organize the roles and responsibilities of departments that become involved in internal and external large-scale emergencies, and catastrophic events.
- C. Require management and exempt employees to provide 24-hour coverage on two, twelve-hour shifts, seven days a week until the emergency has concluded, and the CTA returns to normal service as detailed in the Continuity of Operations Plan (COOP).
- D. Describe the process to be utilized by departments during response and recovery (restoration of normal service) operations.
- E. Require the utilization of the Incident Command System (ICS) for internal emergencies as well as Unified Command (UC) for external emergencies involving outside agencies and governmental bodies.
- F. Serve as the foundation for the development of detailed supplemental plans and procedures such as the CTA Winter Plan, CTA Central Business District Evacuation Plan and Airport Evacuation Plans.
- G. Provide the connection between CTA emergency operations and NIMS and the National Response Framework as promulgated by the Department of Homeland Security as well as the City of Chicago Emergency Procedures Plan.

3.4.2 Internal Roles & Responsibilities

The EPP describes the roles and responsibilities of all departments which may become involved in an internal large-scale or external emergency. The responsibilities of each department follow the current lines of corporate responsibility but can be flexible depending on the operational phase and variables specific to the emergency. The ICS/UC structure will provide protocols and guidance to determine operational responsibilities depending upon which department has the



responsibility, authority or expertise required by an emergency.

All Employees and Departments should:

- A. Assist with accomplishing objectives established by Executive Management, requesting and managing resources, and providing Situational Awareness and Damage Assessment reports as required;
- B. Assign incident-specific roles to team members based upon the nature of the emergency, and develop a team roster to ensure staffing coverage for the anticipated duration of the emergency;
- C. Have a recorded log of decisions made, and the context and basis under which the decision was made;
- D. Receive objectives from Executive Management and put in place an organizational structure, operations plan, timetable, and resource requirements list, as required to accomplish the work;
- E. Provide progress updates at time intervals to be established by Situation Room Participants when the CTA Emergency Operations Center is activated;

For more specific CTA Departmental Responsibilities, please see the Chicago Transit Authority's Departmental Responsibilities section of the CTA Emergency Procedure Plan.

The Lead, Fire Response is a key CTA representative when an emergency occurs, and external coordination is required. The Lead, Fire Response shall respond to:

- A. Events received from the Control Center or event notifications from but not limited to Infrastructure, Rail/Bus Operations, Security, Fire, Police, MABAS, Airport Operations Center, OEMC, Municipalities, etc.
- B. Events which V.P. Safety & CSSO deem necessary.
- C. Events the General Manager of Fire Protection, Emergency Response deems necessary. This response is in association with the proactive approach to any situation that is observed or reported on.
- D. All derailments.
- E. All evacuations.
- F. Trapped trains when the Fire Departments are responding.
- G. Reports of fire or smoke of major significance in the subway are an automatic response.
- H. All CTA equipment fires where flames are confirmed on in service CTA buses, trains, or in the passenger area.
- I. Fire or smoke in CTA structures. Including all fire alarm activation regardless if it is from malicious, accidental, or surges in the system that do not warrant a response, but visible smoke or fire would require one.
- J. Occurrences adjacent to the right-of-way which may have an impact on service or safety. Such as a fire or building collapse.
- K. Persons under or trapped by a train or bus.
- L. Events in which a person contacts with the 3rd rail
- M. Events where vehicle has struck a train.
- N. Events that will have a major impact on CTA service.

3.4.3 External Roles and Responsibilities

External coordination is required for use during internal large-scale and external emergencies, but not limited to natural disasters, transportation or technological incidents/accidents, threats or realization of terrorism, severe property damage, multiple injuries and loss of life.



The CTA coordinates emergency preparedness with a variety of local emergency management agencies that may share responsibility in the event of an emergency or other cross-jurisdictional event. These agencies include:

City of Chicago Office of Emergency Management and Communications (OEMC) performs 911 and 311 Operations; coordinate the City's Homeland Security planning and response efforts; provide logistics and resource management; provide traffic management; coordinate financial reimbursement processes via IEMA; lead the City's recovery efforts.

Local Municipal Fire Departments perform fire suppression and investigation, search & rescue operations, triage, treatment & transport; assist in population protection; mitigate hazardous material incidents. CTA coordinates fire response and emergency activities with the fire departments of Chicago, Cicero, Evanston, Forest Park, Oak Park, Rosemont, Skokie, and Wilmette.

Local Municipal Police Departments provide law enforcement, public safety & security, and population protection services. CTA coordinates law enforcement activities with the police departments of Chicago, Cicero, Evanston, Forest Park, Oak Park, Rosemont, Skokie, and Wilmette.

Chicago Department of Streets and Sanitation provides traffic services, heavy equipment and manpower support; perform damage assessment and debris management.

Illinois Department of Transportation (IDOT) District 1 provides resources on debris removal and coordination of some highway or street closures.

Illinois Emergency Management Agency prepares the State of Illinois for natural, manmade or technological disasters, hazards, or acts of terrorism. IEMA coordinates the State's disaster mitigation, preparedness, response and recovery programs and activities, functions as the State Emergency Response Commission, and maintains a 24-hour Communication Center and State Emergency Operations Center (SEOC).

Illinois Terrorism Task Force is the local representatives of the FBI who analyze intelligence from dozens of U.S. law enforcement agencies in the investigation and analysis of domestic and international terrorism. They then communicate to the CPD Mass Transit unit and through CTA Security Services to provide updates or alerts.

3.4.4 Emergency Communications

The CTA Control Center Operations (CCO) Department manages the communication and traction power distribution for the CTA. The CCO is also responsible for the direction of operation and communications with all CTA vehicles in revenue service and can communicate with all CTA resources system wide. In addition, the Control Center Operations is responsible for maintaining, removing and restoring the 600-volt traction power throughout the CTA Rail System and the Supervisory Control and Data Acquisition (SCADA) system. During an emergency, CCO serves as the nerve center for the Situation Room Team and the location for disseminating warnings and information to the public. Communications between the Situation Room and CTA, the scene, transfer points will be conducted by radio, telephone, Internet, or Everbridge.

During normal daily operations each department operates under the supervision of its Executive, Manager or Supervisor. When an emergency occurs, the Accountable Executive



is ultimately responsible for the management of the Authority as outlined in Section 27 of the Metropolitan Transit Authority Act (70 ILCS 3605/27). During an emergency the department heads continue to provide direction to their employees.

3.4.5 Threat and Vulnerability Management

A TVA is an analytical process which provides additional hazard and risk data for CTA's EPP. The TVA identifies mitigations to reduce the risk of terrorism or impact of natural hazards. TVA assessment uses a combination of quantitative and qualitative techniques to identify security requirements, including historical analysis of past events, intelligence assessments, physical surveys and subject matter expertise. The TVA follows an 8-step process. The product of the TVA feeds into the CTA Safety Risk Management process and follows this continuum until the hazard or vulnerability is mitigated or eliminated.

3.4.6 Emergency Preparedness Training, Drill & Exercises, & Evaluation

Training:

The EPP codifies the Emergency Management training NIMS/Incident Command System (ICS) requirements for all CTA employees. The National Incident Management System (NIMS) is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines. It is intended to:

- A. Be applicable across a full spectrum of potential incidents, hazards, and impacts regardless of size, location or complexity;
- B. Improve coordination and cooperation between the CTA, State, Local and private entities in a variety of incident management activities;
- C. Provide a common standard for overall incident management.

CTA Standard Operation Procedures require that all operational and managerial employees adhere to the ICS when responding to incidents involving the CTA only or in complex incidents. Each of the required ICS training courses can be taken online through the FEMA website or by the CTA Training and Workforce Development Department.

Drills & Exercises:

Drills and exercises are a set of tools that help the Chicago Transit Authority ensure that plans and procedures are tailored to the unique needs of internal and external CTA Shareholders for hazards most likely to be exposed. Drills or exercises shall be coordinated by the Senior Manager of Emergency Preparedness or at the discretion of either the Chief Safety & Security Officer or Vice President of Safety.

An exercise is an event designed to practice and test procedures, which may be used in an actual emergency, in order to improve performance and identify deficiencies. Examples of exercises include tabletop, functional, and full-scale events. When a drill or exercise is used to prepare staff in emergency response as a part of the CTA's overall preparedness plans, the following shall be considered:

- A. The testing plans and SOPs already in place;
- B. To prove capabilities and resources are present for that part of the plan;
- C. Collaboratively planning, drills or exercise practices in coordination with all responding agencies and groups including the CTA Fire/Life Safety and Security Committee;
- D. Designing of high-quality drill or exercise objectives;
- E. Proactively engaging IL-SSOA in drill activities and sharing After Action Results;
- F. Conducting evacuation drills across multiple working shifts.



After Action Review

Following significant events or exercises the Safety Department facilitates an After-Action Review (AAR). These lessons learned during exercises or following events can be used to develop and enhance emergency management plans and, consequently, better ensure the safety and preparedness of the entire organization. Once the AAR is completed, a draft summary report is developed. Any hazards or corrective actions identified will be assigned to the responsible party and tracked through the SRM or Corrective Action process respectively.

After Action Review should include:

- A. Feedback from both drill participants and evaluators;
- B. Assist executives and departments analyze how employees, passengers and first responders' function during an actual emergency;
- C. Provide situational data with which to identify gaps or weaknesses of the response process;
- D. Contribute to continual improvement of future drills and plan updates.

3.4.7 System Security

Security, within the Safety Department, is responsible for the administration of the CTA's Security and Emergency Preparedness Plan. The plan includes specific system security tasks and responsibilities and describes how CTA provides for and monitors security activities throughout the transit system.

3.4.8 Office of Security

Security investigates system events and works closely with the Chicago Police Department and suburban police departments. Through staffing and data sharing agreement, Security participates in analyzing crime trends and determining appropriate police and patrol activities. Security also manages contracted security personnel the CTA hires to monitor entry and exit at bus garages, as well as provide a security presence at CTA facilities, rail yards and stations.

3.4.9 Police Department Security

The Chicago Police Department provides law enforcement services to the CTA and is primarily responsible for enforcement and mitigation and prevention. Officers from the Chicago's (22) Police Districts provide the bulk of service directed at Bus Operations and routes. These services are also supported by CTA funded overtime Voluntary Special Employment Program (VSEP), administered by the Mass Transit Unit of the Chicago Police Department. Personnel volunteer for the overtime and are assigned to various locations and posts throughout the system. Officers assigned to Mass Transit and/or the VSEP may be assigned in the following manner:

- A. Riding buses and/or rail cars;
- B. Assigned to specific routes (CTA funded vehicles);
- C. High visibility uniform patrols;
- D. Plain-clothes enforcement missions;
- E. Crime analysis and manpower assignments; and
- F. Homeland Security missions.

3.4.10 Contracted Security Guards

The CTA hires security guards to help protect employees, passengers and equipment at stations and at certain CTA facilities, including bus garages. Guards monitor and control access to CTA property and summon reinforcements or exert force as necessary. These security guards are not police and they are unarmed.



3.4.11 Security Cameras

The CTA has a robust camera infrastructure which acts as a crime deterrent and provides information used by Safety and Security, as well as Claims, Law and Transit Operations Departments for investigative and learning purposes. The camera program includes the use of cameras on board buses, in bus garages, rail stations and in other CTA facilities throughout the system. The CTA assists police departments by providing video for investigations of events that may not directly concern CTA.

3.5 Safety Plan Documentation

CTA will maintain documents for a minimum of three years after they are created that set forth the ASP, in whole, or by reference, programs; policies; and procedures including those related to the implementation of Safety Management System (SMS); and results from SMS processes and activities. These documents will be made available upon request by the Federal Transit Administration or other Federal entity, or IL-SSOA (State Safety Oversight Agency) who have jurisdiction

3.5.1 Safety Department Training Documentation

CTA Safety Department will track and maintain designated personnel certification in the employee record file.

3.5.2 Training Documentation Throughout the Authority

CTA tracks training throughout the Authority in various locations and formats depending on the Department, type of training, and job title.



4.0 Safety Risk Management

Chicago Transit Authority employs the Safety Risk Management process using the MIL- STD- 882E as a reference. Safety Risk Management is incorporated into all aspects of the life cycle of the systems, practices, equipment, facilities, and infrastructure. The Safety Risk Management Plan is accessible to all levels of CTA employees (via CTA Safety's SharePoint and summarized in Appendix E) and is the avenue by which hazards are identified, analyzed and assessed for potential impacts on the transit system and mitigated in a manner acceptable to management.

4.1 Safety Risk Management Process

This process involves identifying, analyzing, assessing or mitigating hazards through various activities. Including Safety Hazard Identification, Safety Risk Assessment and Safety Risk Mitigation.

The CTA identifies hazards, assess the risk of potential consequences and put mitigations in place at the lowest, most local, level. Hazards that cannot be addressed at this level, such as at a facility location or within a work group, will be escalated to a monthly hazard log meeting. The meeting is chaired by the Safety Department and includes the following but not limited to, Operations, Vehicle Maintenance, Infrastructure, Power & Way Maintenance and Training and Workforce Developments.

The Safety Department maintains a hazard log of identified hazards, assigns each a level in coordination with the originating department, and tracks progress against the hazard on a monthly basis until it is eliminated or reduced to the lowest acceptable level.

If hazards cannot be addressed in the monthly hazard log, they are further escalated to the Executive Safety Committee.

4.2 Safety Hazard Identification

Identification of hazards is the responsibility of all CTA employees, consultants and contractors. The process of managing risk is to identify potential risks. Risks are composite of predicted severity and likelihood of the potential consequences of a hazard. Safety Risk identification starts with assessing safety risks and potential consequences of hazards.

Types of hazards may be identified in, including, but not limited to:

- A. Physical (fire and explosion, heat, cold, radiation, noise)
- B. Chemical (dust, metals, liquids, vapor, fumes, gases)
- C. Biological (bacteria, viruses, mold, insects, birds, animals, blood and other body fluids)
- D. Ergonomic (posture or workflow, repetitive motion, twisting and lifting, poor equipment design of workstation, manual handling, vibration)
- E. Psychosocial (bullying, violence, work-related fatigue)
- F. Safety (slipping/tripping, electrical, mechanical, equipment malfunctions, confined space, heights)

Types of sources may be identified, including, but not limited to:

- A. Reports provided by personnel to their managers.
- B. Reports made by personnel to the Safety Department via SafeLine.
- C. Reports from passengers and other individuals through contact with the CTA Customer Service Department.
- D. Inspections, audits and observations performed by Safety Department personnel.



- E. Inspections, audits & observations performed by Transit Operations, Infrastructure, or other departments.
- F. Job-Hazard Analysis.
- G. Events or near miss incidents that are reported by CTA personnel or the public to operational departments, the Safety Department and the Control Center Operations.
- H. Investigations and reviews of events by Safety Department personnel.
- I. Preliminary Hazard Analysis conducted at the beginning of major capital projects.
- J. Review of the drawings and specifications for new or modified equipment or facilities by Transit Operations, Safety Department or other departments.
- K. Data Analysis.
- L. Findings or recommendations made as a result of internal and external audits.
- M. After Action Review reports following an emergency event or exercise.
- N. Data and information provided by the IL-SSO and FTA in their inspection, investigation, observation and audit reports.

4.3 Safety Risk Assessment

The CTA uses a safety risk assessment process to rate and prioritize safety risk and determine mitigations bring the risks down to an acceptable level. Once a hazard has been identified, a safety risk assessment includes an assessment of the likelihood and severity of all consequences of the hazards, including existing mitigation; and prioritization of the hazards based on the level of safety risk.

The CTA uses the following categories for Levels of Severity:

Criteria	Severity Category
<ul style="list-style-type: none"> • Death • Permanent total disability to employees, customers, contractors, or public at large • Irreversible severe environmental damage that violates law or regulation • Permanent loss of equipment or infrastructure 	<p>Catastrophic</p> <p>(1)</p>
<ul style="list-style-type: none"> • Permanent partial disability • Injuries or illness that may result in hospitalization of at least 3 people • Reversible environmental damage causing a violation of law or regulation • Partial loss of equipment or infrastructure 	<p>Critical</p> <p>(2)</p>
<ul style="list-style-type: none"> • Injury or illness resulting in one or more lost work/normal activity day • Mitigation of environmental damage without violation of law or regulation when restoration activities can be accomplished • Marginal loss of equipment • Major to severe damage to system environment 	<p>Marginal</p> <p>(3)</p>
<ul style="list-style-type: none"> • Injury or illness not resulting in a lost work/normal activity day • Minimal environmental damage that does not violate law or regulation 	<p>Negligible</p> <p>(4)</p>



The CTA uses the following categories and definitions for Levels of Likelihood:

Data / Experience	Likelihood
<ul style="list-style-type: none"> Likely to occur often in the life of an item Continuously experienced in a fleet Will occur in < 1,000 Revenue Hours 	(A) Frequent (Daily)
<ul style="list-style-type: none"> Will occur several times in the life of an item Will likely occur in a fleet Will occur in 1,000 – 100,000 Revenue Hours 	(B) Probable (Weekly)
<ul style="list-style-type: none"> Likely to occur sometime in the life of an item Will occur several times in a fleet Will occur in 100,000 – 1,000,000 Revenue Hours 	(C) Occasional (Monthly)
<ul style="list-style-type: none"> Unlikely but possible to occur in the life of an item Unlikely but can reasonably be expected to occur in a fleet May occur in 1,000,000 – 100,000,000 Revenue Hours 	(D) Remote
<ul style="list-style-type: none"> So unlikely it can be assumed occurrence may not be experienced Unlikely to be exposed, but possible in a fleet May occur in > 100,000,000 Revenue Hours 	(E) Improbable
<ul style="list-style-type: none"> The hazard has been removed from the system 	(F) Eliminated

The Safety Department may determine that even though a hazard does not meet one of the above categories, it may warrant an assessment and mitigation.

4.4 Risk Assessment Value Matrix

Likelihood of Occurrence	Hazard Categories			
	1	2	3	4
	Catastrophic	Critical	Marginal	Negligible
(A) Frequent	1A - UA	2A - UA	3A - UA	4A – AC/WR
(B) Probable	1B - UA	2B - UA	3B - UD	4B – AC/WR
(C) Occasional	1C - UA	2C - UD	3C - UD	4C - AC
(D) Remote	1D - UD	2D - UD	3D – AC/WR	4D - AC
(E) Improbable	1E – AC/WR	2E – AC/WR	3E – AC/WR	4E - AC
(F) Eliminated	Eliminated			



	Hazard Risk Index	Acceptance Criteria
	1A, 1B, 1C, 2B, 3A	UA - Unacceptable
	1D, 2C, 2D, 3B, 3C	UD – Undesirable Management decision required
	1E, 2E, 3D, 3E, 4A, 4B	AC/WR – Acceptable with management review
	4C, 4D, 4E	AC – Acceptable without management review

For safety risks that rate as undesirable or unacceptable, the Safety Department works with subject matter experts for recommendations on the most effective mitigation. The Safety Department also monitors and verifies progress on the effectiveness, as evidenced by how the safety risk is assessed after the mitigation steps are complete.

4.5 Safety Risk Mitigation

Safety risks can be mitigated in a variety of ways. CTA may choose to accept and continue the activity, adopt a mitigation strategy or seek to eliminate the hazard. The CTA's risk mitigation includes, but are not limited to the following, which are presented in order of preference:

- A. Eliminate hazard through design.
- B. Reduce risk through design; mitigate the likelihood and/or severity of the potential consequence through redesign.
- C. Incorporate safety devices.
- D. Provide warning systems.
- E. Apply administrative mitigations.
- F. Employ signage, procedures, training and personal protective equipment.

Some other safety risk mitigation strategies include:

- A. Safety Risk Avoidance - Eliminate, withdraw from or not become involved.
- B. Safety Risk Reduction - Optimize, mitigate.
- C. Safety Risk Acceptance - Accept and budget.

4.6 Coordination with State Safety Oversight Agency and the Federal Transit Administration

The CTA Safety reviews hazards and potential hazards with the State Safety Oversight Agency (IL-SSOA) in a variety of settings including informal and formal communications. As required by the IDOT's State Safety Oversight Program Standards Manual, the CTA notifies the IL-SSOA and FTA of certain rail system hazards.

4.7 State of Good Repair

The State of Good Repair (SGR) standards are defined by 49 CFR Part 625. These set forth conditions when safety risk analysis must be performed on capital assets such as equipment, rolling stock, infrastructure and facilities. CTA documents safety performance objectives in the



Transit Asset Management Plan.

4.8 Hazardous Material Program

The CTA Safety Department is responsible for the development of policies and procedures for the purchase, handling, usage and disposal of hazard materials. CTA actively manages and tracks hazardous materials from the time they are generated or acquired until they are properly stored. CTA also follows the elements associated with Safety Management System (SMS) in its management of hazardous materials. CTA uses hazardous materials as part of the everyday operations, such as cleaning products and for vehicles and facilities, automotive fluids, fuels, pesticides, deicers and other chemicals

4.8.1 Procurement

CTA monitors and regulates hazardous materials that are used by CTA personnel and contractors. Contractors are required to submit a list of all products and chemicals that will be used on CTA property, as required in contract specifications.

As part of the procurement process, Safety reviews all new chemicals proposed for use by CTA, to determine potential health or safety risks to CTA personnel, customers, the public or property. Products that present a significant risk to any of these entities is rejected unless a solution can be developed to reduce the risk. The Safety Department reviews existing chemicals and products to determine if safer products exist or products that have less of an environmental impact.

4.8.2 Usage

CTA has a Hazardous Communication Program, which is delivered as part of the New Employee Orientation. Employees are instructed on how to locate the safety data sheets (SOS) which are located on the Safety SharePoint site. Employees are instructed to click on the SDS tab and retrieve the desired SDS. The most current version of the SDS is located on the Safety SharePoint site. Hard copies of the SOS are no longer required to be maintained in facilities. CTA also utilizes instructors and forepersons to instruct personnel in the proper use of hazardous chemicals.

4.8.3 Disposal

CTA has clear policies and requirements in the way of bulletins and SOPs regarding the handling and disposal of hazardous waste. CTA maintains compliance with all federal, state, and local requirements that pertain to the disposal of hazardous materials. (Environmental Awareness Training).

As part of its quarterly audits, the Safety Department's Occupational and Environmental Safety team verifies that all hazardous waste is properly stored and labeled. The team verifies that no hazardous waste has been stored on site for more than 90 days. CTA maintains a website that manages all waste manifests and waste disposal records that are available for review within CTA and to regulatory agencies.

CTA provides annual awareness refresher training to managers, concerning recordkeeping requirements for hazardous waste and reports. CTA looks for alternatives to the generation of hazardous waste to reduce its environmental footprint.



4.9 Procurement Process

4.9.1 Purchasing

The CTA's procurement function supports the management of safety through several component processes. First, the procurement of all items and services must follow established procedures of Purchasing and Supply Chain Operations as designated in the CTA's Procurement Policies and Procedures, which is accessible to CTA personnel and the public on the CTA's intranet site and the CTA website.

All awarded services must obtain prior approval by Purchasing and the management of the department who initiated the request. Purchasing interacts with other CTA operational and maintenance departments as needed to understand the implications of requested purchases. Purchasing departments are responsible for identifying a purchase that may have safety consequences, and for requesting a review by the Safety Department.

4.9.2 Specification Engineering and Quality Inspections

The Specification Engineering group within Infrastructure Engineering is responsible for development and update of procurement specifications, including those for hazardous materials, personal protective equipment and other safety items and services. Safety sensitive inventory items are identified, as applicable, within the specification requirements established by the various CTA Engineering groups and the Safety Department.

The Quality Inspections group, also within Infrastructure Engineering, inspects, and completes the documentation for, items that have been coded for inspection. Only items manufactured from a source authorized by the engineering group within Vehicle Maintenance, or Infrastructure, as appropriate, will pass inspection and be placed into inventory. All non-compliant or unauthorized materials will be returned to the vendor, at their expense, unless the respective engineering group approves a one-time acceptance authorization with Specifications & Inspections. Approved parts may not be substituted without prior authorization by the respective engineering group and coordinated with the Quality Assurance group. Substitutions cannot be made if they will adversely affect the safety of CTA workers or the public, or the safe performance of CTA transit system components.

4.9.3 Safety

The CTA requires vendors who provide hazardous materials to adhere to safety procedures relating to hazardous material acquisition, handling, labeling, storage, disposal and record keeping. These requirements are identified in the relevant CTA procurement specifications and items descriptions. During delivery, the vendor must adhere to all local, state and federal regulations related to hazardous materials transportation.

In relation to the procurement of hazardous goods, the Safety Department is responsible for the following:

- A. Reviewing Safety Data Sheets (SOS) for all new or replacement chemicals, as part of the specifications process, to make sure the materials are safe for use and waste disposal.
 - a. Investigating the substitution of hazardous materials with less hazardous products.
 - b. Providing technical support to procurement administrators and buyers to assist in the proper evaluation of vendor bids on safety goods, hazardous materials and services.
 - c. Maintaining and updating electronic files of SDS for all chemical products used within the CTA. SDSs are readily available to any employee within CTA vehicle



maintenance shops, supply chain operations, and technical service facilities, via the Safety Department SharePoint (intranet) site. Paper files may be kept at work locations, but these should be checked against the electronic, centrally maintained files to ensure accuracy.

- d. Assisting Specifications & Inspections in preparing or revising specifications required for the purchase of safety-related goods, hazardous materials, and safety-related contractual services.

4.9.4 Supply Chain Operations

Supply Chain Operations operates two main warehouses (the Central Material Distribution Center and the Lower Yard Warehouse), two additional warehouses (at West Shops and Beverly Shops), two heavy maintenance storerooms and fifteen stockrooms. Stockroom inventory is replenished from the two main warehouses.

All assets are securely housed and electronically tracked from receipt to issue. The inventory items with the highest activity are stored in a stockroom located at each maintenance facility. Stockrooms are manned by stockroom clerks during vehicle repair hours.

The Lower Yard warehouse is the main stock and distribution location for track and facility maintenance material and hazardous material. Most flammable material is stored in an explosive containment building and hazardous material cabinets, according to requirements. Non-flammable and non-combustible material are stored on spill containment pallets located inside the warehouse. SOS documentation is available for all hazardous material assigned to the warehouse. The on-site supervisor at the Lower Yard is a Manager of Supply Chain Operations.

Warehouse workers and Senior Stockroom Clerks receive the CTA's Environmental Awareness Training. Warehouse and stockroom personnel who operate forklifts are required to be CTA forklift qualified and re-trained every three years. CTA requires warehouse workers to be trained in fall protection and to wear five-point harnesses when working higher than five feet.

All Rail Stockroom Clerks and warehouse workers who work at the Lower Yard must attend Rail System Safety Training every three years.

All warehouse locations that include stockrooms and storerooms are subject to safety audits and procedural audits. These audits are typically conducted by a manager within Purchasing and Supply Chain. Checklists document the procedural and safety audits. All findings are delegated to the on-site supervisor to mitigate, and it is a manager's responsibility to conduct a follow-up investigation to abate unsafe conditions. Procedural and safety audits are conducted every month at each location.



5.0 Safety Assurance

The purpose of the CTA's Safety Assurance program is to determine whether safety risk mitigations are in place and effective, and whether the CTA is meeting its safety objectives. Safety Assurance consists of activities to collect and analyze safety information, in order to ensure that safety actions are working. Through Safety Assurance the CTA evaluates safety risk mitigations, such as by checking adherence to rules and procedures, and assessing whether existing rules and procedures are sufficient to mitigate safety risk. It also examines safety failures and studies safety reports. Safety Assurance serves to validate the completion of corrective action plans and identifies the need for corrective actions. Safety Assurance also is where the CTA assesses changes to determine if and how they affect safety and judges the progress of CTA's overall safety performance. Auditing, investigation and data analysis are Safety Assurance techniques. In accordance with 49 CFR Part 673.27 and the IDOT Program Standard Manual, Safety Assurance consists of three main processes. With the first process, Safety Performance Monitoring and Measurement, the CTA examines agency practices to evaluate compliance with operations and maintenance procedures, and to see whether existing rules and procedures are sufficient for controlling safety risk. Safety Performance Monitoring and Measurement is used to assess new mitigations too, to make sure the mitigations work, are appropriate, and have been implemented as intended. The process reinforces the discipline of Safety Risk Management, by formally identifying the expected reduction in safety risk from a given mitigation and systematically pursuing information about whether the mitigation is effective or whether an adjustment is in order. Safety Performance Monitoring and Measurement activities also include investigating safety events to identify causal factors, and analyzing the information from safety reporting, including data about safety failures, defects or conditions.

Safety Performance Monitoring and Measurement activities may result in the identification of hazards. In that case, they are addressed through CTA's Safety Risk Management Process. These activities also may result in the identification of areas of non-compliance or defects that merit corrective action. Safety Assurance is the process that validates when those actions have been implemented.

Management of Change is the second main Safety Assurance process. Its purpose is to identify proposed changes to CTA systems and assess whether an identified change could introduce new hazards or affect the CTA's safety performance. If so, the change must be evaluated through the CTA's Safety Risk Management process. Finally, Safety Assurance includes a Continuous Improvement process, which exists to assess the CTA's overall safety performance. By this process, the CTA establishes a select number of key safety performance indicators and monitors them to assess progress toward agency-wide safety objectives. If safety performance is deficient, the Continuous Improvement process involves developing and carrying out a plan to address it, under the direction of the Accountable Executive.

The CTA's Internal Safety Audit Program exists both within and beside Safety Assurance. Internal safety auditing shares techniques, resources and information with both the Safety Performance Monitoring and Measurement process and the process of Continuous Improvement. Internal auditing additionally examines the functioning of the processes that are defined under Safety Assurance, as well as Safety Risk Management, and the other processes and practices established by and referenced in this Agency Safety Plan. It evaluates adherence to the plan, and the effectiveness of the component safety practices. Internal safety audits may result in the identification of hazards or areas of non-compliance, and may identify opportunities to improve safety processes, practices or outcomes.



5.1 Safety Performance Monitoring & Measurement

Checking Adherence to Safety Rules and Procedures

The CTA has established a wide variety of rules and procedures. Some exist specifically to communicate a safety objective, such as equipment lockout-tagout procedures or drug and alcohol program testing procedures. In many other cases, safety considerations are an important part of an otherwise-existing operational or maintenance procedure, such as stinging a train, inspecting track gauge, calibrating equipment, or verifying radio operability. All CTA activities that affect the safety of personnel, customers, property or the public shall be documented.

CTA Executive Managers are accountable for ensuring the documentation of all safety rules and safety procedures, whether these are stand-alone procedures or safety elements of other procedures. Executive Managers also are accountable for establishing and implementing processes to check adherence to these rules and procedures, defining managerial and supervisory responsibilities and qualifications for conducting the checks, ensuring checks are conducted, and committing the resources necessary to maintain the program of checks.

The Chief Safety & Security Officer is accountable for ensuring that compliance checks are carried out, in accordance with this Agency Safety Plan, and the Safety Assurance Procedure, Safety Oversight of Safety Rules and Procedures Compliance Checks. Departments that are accountable for conducting compliance checks under Safety Oversight of Safety Rules and Procedures Compliance Checks are responsible for developing and maintaining a documented rules and procedures compliance check program that includes the following:

- A. A description of the process used to determine which rules and procedures are included in the program, based on their importance to safety,
- B. Procedures or techniques for conducting each check,
- C. The frequency of each check and a description of the basis for determining that standard,
- D. Checklists or forms used in conducting each check,
- E. A description of how the results are documented and shared within the CTA, and
- F. Any training or instruction required by those that perform the check.

The Vice President of Safety will approve the document along with the relevant Executive Manager. The Vice President of Safety requires departments to share the results of compliance checks, using a predetermined format, on a schedule established in the department's approved program for safety rules and procedure compliance checks. The Safety Department thus will maintain an Authority-wide account of the rules and procedures subject to compliance checks, and it will conduct checks independently as part of its Safety Assurance oversight activities, such as internal safety audits.

5.2 Monitoring the Sufficiency of Safety Rules & Procedures

In addition to monitoring adherence to safety rules and procedures, the CTA will monitor the sufficiency of those rules and procedures via regular review by subject matter experts and stakeholders. The CTA additionally will evaluate the sufficiency of its safety rules and procedures by monitoring outcomes, such as through the above compliance checks, monitoring safety reports, investigating safety failures, and conducting safety audits. All these Safety Assurance activities provide the CTA with information about whether its rules and procedures are sufficient to mitigate safety risk, alone or in combination with other mitigations.

Departments that issue rule books are required to develop and implement a review and update process for that rule book. This requirement applies at least to the Rail System Rule Book, for which the Vice President of Rail Operations is accountable and the Safety Rule Book, for which the Vice President of Safety is accountable. The Executive Manager is accountable for ensuring



the review and update process is documented and keeping records to demonstrate that it has been followed. The process document will reference that it is required by this ASP, and changes to it will be considered by the Management of Change process. It will define roles and responsibilities, establish a regular review schedule and a process for making interim changes, assign authority to approve updates, and describe the distribution process, including the conditions that would require specific communication and training for those subject to comply with the updated rule book.

Likewise, departments that issue standard operating procedures (SOPs) or bulletins are required to establish, implement and adhere to a review and update schedule for those documents, with the purpose of ensuring they are sufficient to protect the safety of the CTA system, its personnel, customers and the public within the context of that procedure. This requirement also applies to other libraries or series of documents maintained by particular CTA departments to convey CTA safety practices, where the information is retained for active reference by employees. Examples include safety toolbox talk messages, and documents such as maintenance plans. Each Executive Manager is accountable for ensuring that a regular review and update procedure is documented, and that it references being a requirement of this ASP. The document will formalize the regular review and update of the SOPs, bulletins or other documents managed by that department, including:

- A. The roles and responsibilities of subject matter experts and stakeholders, including any required qualifications or review authorities,
- B. A regular review cycle, sufficient to capture the normal pace of procedural changes within the department,
- C. Forms or checklists to be used by reviewers, especially for the purpose of reviewing the safety aspects of the procedure,
- D. Any expectations and authorities to field test an SOP or bulletin as part of the review of its safety sufficiency,
- E. A standard distribution process and the conditions that would require specific communication or training associated with reissuing an SOP or bulletin.

If the procedure documented per this ASP applies only to SOPs or bulletins that a department has determined to affect safety, and not all the SOPs or bulletins issued by the managing department, the procedure must describe the managing department's process for determining which SOPs or bulletins are subject to this requirement.

5.3 Assessing Mitigations

Unlike corrective actions, which are put in place to address compliance issues and short-term defects, safety risk mitigations are ongoing, often for as long as the originating hazard or safety concern exists. Therefore, ongoing monitoring and measurement is needed to make sure mitigations remain in place and are effective. If a reoccurring safety failure stops occurring after a mitigation has been implemented, CTA cannot assume the mitigation has proved effective; it may be that the conditions that enabled the safety failure to have not reoccurred. CTA's process for assessing mitigations therefore goes beyond monitoring hazards and failures and includes monitoring indicators that a problem can still occur or monitoring the CTA's efforts to prevent it. In order to sustain the mitigation and evaluate its effectiveness, the process allows for the establishment of targets, which are desired levels of safety performance, desired levels of improvement, or levels of intervention CTA expects will lower safety risk.

This assessment of mitigations is for both new mitigations, which are those that emerge from the safety risk management process, and existing mitigations, which are engineered systems and



procedures that originated to reduce safety risk and that remain in place with the intent to keep safety risk at an acceptable level.

Once the CTA's Safety Risk Management process has identified the need for a mitigation, Safety Performance Monitoring and Measurement takes over to validate that the mitigation has been carried out as designed, and to assess the mitigation ongoing. Defining the terms of that assessment is a process shared by Safety Risk Management and Safety Assurance. The Safety Assurance Procedure, *Procedure for the Use of Mitigation Monitoring* describes how the CTA develops and documents plans to monitor and measure new mitigations. At a minimum, a formal mitigation monitoring and measurement plan is required for any mitigation that is applied to a safety risk that has been rated "Unacceptable" through the Safety Risk Management process. In such cases, the mitigation monitoring and measurement plan will include one or more safety performance indicators and corresponding safety performance targets.

5.4 Event Notification, Investigation, & Reporting

Event investigation is the process of determining the probable cause and contributing factors of an accident, incident, occurrence or hazard, for the purpose of preventing recurrence and mitigating safety risk. In accordance with CTA Event Investigation Procedures), this guide is intended for the Chicago Transit Authority to investigate events in an organized manner to collect the information needed to knowledgeably establish probable causes and contributing factors and make effective corrective actions.

The Safety Department is responsible for thoroughly investigating all applicable events involving CTA employees, vehicles and service, in accordance with the Illinois Department of Transportation State Safety Oversight Program Standards Manual. The purpose of any investigation is to gather and assess data in order to determine cause(s) and to identify corrective measures to prevent recurrence. Investigations are not intended to affix blame or to recommend disciplinary actions. Investigation results shall be used to evaluate safety risks in all areas of the organization and to reduce risk by correcting hazardous conditions and behaviors.

5.4.1 Event Notification

Communication of a rail incident typically begins when a CTA employee involved with the event notifies the CTA Control Center Operations. CTA employees are obligated to report events and hazards to the Control Center Operations and to seek direction for exceptions to normal operations and operating conditions, equipment performance, scheduling changes or personnel movements. The Control Center Operations manages these needs directly, such as by controlling power to rail system or helping an operator to troubleshoot a problem. The Control Center Operations also is charged with communicating the facts of an event, emergency response needs, the whereabouts of responding personnel, service restoration decisions, safety advisories and other messages to predetermined groups and individuals responsible by role.

5.4.2 Event Investigation

The CTA Control Center Operations notifies CTA responders and city agency emergency personnel of all events, including but not limited to:

- A. Unknown/unexpected crisis (extreme weather, threats etc.);
- B. High visibility events regardless of type and/or severity that result in significant media, political, or regulatory interest;
- C. Fire or police events affecting CTA services or property;



- D. A fatality at the scene;
- E. Employee and/or customer injuries;
- F. Damage to CTA vehicle s, property or facilities;
- G. Evacuation of CTA vehicle or facility;
- H. Derailments and/or collisions;
- I. Near-miss events that involve potential employee or customer contact with transit vehicle;
- J. Fire/Suspicious packages/Explosions on any CTA property;
- K. Employee Safety and/or Operating Rule violation(s);
- L. Elevator/Escalator events;
- M. Passenger or community exposures to hazardous substances;
- N. Spills of hazardous materials into the ground or sewer regardless of quantity; and
- O. Crime.

The CTA Control Center Operations notifies the Safety Department of events and hazardous conditions which may or may not lead to a formal investigation. The Safety Department requests active notification of the following types of rail transit event thresholds, including but not limited to:

- A. Collision of a CTA rail vehicle and an object;
- B. Collision of a CTA rail vehicle and a person;
- C. Collision of a CTA vehicle and other vehicle;
- D. Derailment;
- E. Fire, resulting in substantial damage; the unloading or evacuation of passengers from a transit vehicle while in service or onto the right-of-way, evacuation of a subway facility and/or transit system station for life safety reasons;
- F. Electrocution from contact with the third rail;
- G. Substantial damage to a CTA revenue and/or non-revenue vehicle or transit equipment;
- H. Improper operation of a CTA revenue and/or non-revenue vehicle;
- I. A hazardous condition or near miss identified or report by CTA employees or customers or as directed by CTA Management;
- J. Infrastructure/facility issues;
- K. Other events as determined by CTA Management.

5.4.3 IL-SSOA Notification -State Safety Oversight Agency

The Safety Department must [notify IL-SSOA](#) of any reportable event within two hours. Reportable events are those defined in 49 CFR Part 674 as Accidents.

Accidents involving:

- A. Fatality involving a passenger, patron, CTA employee, and/or contractor (occurring at the scene or within 30 days following the accident);
- B. One or more persons suffering serious injury (the notification is based on information available to the transit agency at the time);
- C. A collision involving a rail transit vehicle with any other rail transit vehicle;
- D. A collision resulting in a fatality, serious injury, or substantial damage;
- E. Any collision at a grade crossing;
- F. A runaway train;
- G. An evacuation for life safety reasons; or
- H. Any derailment of a rail transit vehicle (yard or mainline).

Incidents involving:



- A. A personal injury that is not a serious injury;
- B. One or more injuries requiring medical transportation away from the event;
- C. Non-collision related damage to equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency;
- D. A maintenance-related evacuation of a train into the right-of-way or onto adjacent track or platform; or customer self-evacuation

Occurrences involving:

- A. Non-collision-related damage to equipment, rolling stock, or infrastructure that does not disrupt the operations of a transit agency;
- B. Close calls/near misses (of which the transit agency is made aware)
- C. Safety rule violations;
- D. Violations of safety policies;
- E. Damage to traction power electrification equipment that does not disrupt operations;
- F. Vandalism/theft.

In addition to the above list, the CTA must [notify IL-SSOA](#) whenever it determines any hazards or safety risks identified as "Unacceptable" through investigations and are addressed through the Safety Risk Management process.

5.4.4 Federal Transit Administration (FTA) Notification

The CTA must notify FTA of any reportable accident as defined above, within two hours, by contacting the U.S. Department of Transportation Crisis Management Center.

5.4.5 National Transportation Safety Board (NTSB) Notification

Acting in accordance with [49 CFR Part 840.3](#), the CTA notifies the NTSB, via the National Response Center as follows:

No later than two hours after a rail event that involves:

- A. A passenger or employee fatality or serious injury to two or more crew members or passengers requiring admission to a hospital.
- B. The evacuation of a passenger train along the right-of-way.
- C. A fatality at a grade crossing.

No later than four hours after a rail event which does not involve any of the circumstances above, but which results in:

- A. Damage (based on a preliminary gross estimate) of \$150,000 or more for repairs, or the current replacement cost to railroad and non-rail railroad property.
- B. Damage of \$25,000 or more to a passenger train and railroad and non-railroad property.

The CTA must notify whenever the NTSB determines it will investigate an incident on the CTA rail system, and CTA must provide this information as soon as the Authority becomes aware of the NTSB's determination.

5.4.6 Illinois Department of Labor (IDOL) Notification

In accordance with the Illinois Administrative Code ([title 56, section 350.410](#)), within eight hours after the death of any employee from a work-related incident, CTA notifies the Illinois Department of Labor (IDOL) by phone. CTA also notifies IDOL within 24 hours after the in-patient hospitalization of one or more employees, or an employee's amputation, or an



employee' s loss of an eye, as a result of a work-related incident.

5.4.7 Event Investigation Process and Procedures

The Chicago Transit Authority shall investigate events involving CTA vehicles, personnel, equipment and infrastructure. When requested, representatives of other departments will contribute information to the Safety Department's investigation from their respective area of training and expertise.

5.4.8 Two stage investigation:

Fact Finding Investigation:

Incident date/time/location, description of event, employee name and job title, badge number, entered service date, scheduled days off, shift start time, did they work the previous day if so what hours, hours of sleep prior to shift start time, any over the counter medications, any distractions, how was equipment operating, any reported defects, approximate speed at the time of event and previous safety violations.

Full Investigation within 10 Calendar Days:

All documentation to complete a full investigation (e.g.) Event Report, Toxicology, Employee Records, Photos, Technical Services Reports, Probable Cause, Corrective Actions, Audio Visual, Control Center Reports, Employee Statements, and Witness Statements.

All CTA Departments will conduct a fact-finding investigation associated with their departments. Safety can adopt other department's investigations or can conduct an independent investigation.

5.4.9 Developing, Implementing and Tracking Corrective Actions

The Safety Department final investigation report communicates the facts and events in a logical sequence, identifying the probable causes and contributing factors of the incident. When applicable, a final report may include corrective actions to prevent similar events from occurring or to manage hazards identified by the investigation. In that case, the Safety Department presents the corrective action to the relevant stakeholders within the CTA (or externally as the case may be) and works with them to develop CAPs. The Safety Department logs each CAP and tracks progress until each is complete. CTA provides status reports to IL-SSOA concerning each CAP.

5.4.10 IL-SSOA Reporting-State Safety Oversight

CTA Safety Department will notify IL-SSOA as soon as practicable and no later than two hours by phone of any safety or security accident/incident that meets specified criteria. Unacceptable hazardous conditions will also be reported to IL-SSOA within one business day of discovery. CTA will make all phone notifications to the IL-SSOA through the IDOT District 1 Communications Center at 847-705-4612. CTA is required to send a [one-day notification](#) to IL-SSOA by 5pm the next day of a reportable incident.

5.4.11 Federal Transit Administration (FTA) Reporting

The CTA is required to report safety and security data monthly to the FTA using the National Transit Database (NTD). The CTA is required to complete a detailed report of events that qualify as rail system accidents and periodic summary information that qualify as rail system incidents.



5.5 Corrective Action Plans (CAPs)

CTA develops corrective action plans to address the causes(s) of non-conformities with rules, procedures, allocation of resources and established requirements in general as described in [Safety SOP \(SMS-SOP-1-20\): Corrective Action Plans](#) (summarized in Appendix D). Corrective actions are a product of safety assurance practice and are generated to address deviation and non-conformities in the implementation of safety risk mitigations. Internal or external audit findings may generate CAPs as an effective means of achieving operational effectiveness and to close non-conformities between established rules, SOPs, and activities and actual practice in the user departments. During the course of an event investigation, the Safety Department may assign corrective actions as a means to foster collaboration and SME participation in order to improve the performance of safety risk mitigation.

The Safety Department will manage the overall CAP process and work with the affected department to develop, carry out, and close corrective action plans (CAPs). CTA Department Managers assigned corrective action will keep the Safety Department informed of the status of corrective action(s) and when the planned actions have been implemented. The Safety Department manages a CAP tracking system and provides management with the status of the CAPs and the documentation to verify that appropriate actions are completed to close the log entry. Until the log entry is closed, follow-up actions are necessary to maintain a scheduled completion of the CAP.

5.6 Monitoring Internal Safety Reports

Safety Performance Monitoring and Measurement requires monitoring safety reports. The safety reports most relevant to Safety Assurance are those that either provide information about safety compliance or provide information about the effectiveness of efforts to manage safety risk. They generally contain information that has been processed or analyzed at the source level before being shared with other levels or units of the organization. Examples include a subway inspection report or a comparison of signal overruns on the Green Line versus the Orange Line. (Safety reports in the sense of hazard reports by employees are primarily inputs to the Safety Risk Management process and are discussed elsewhere in this Agency Safety Plan.)

The CTA collects a wide variety of information about the safety of the service it provides, and the work environment and facilities it maintains. This information, housed in various CTA systems, is generally utilized by the groups closest to the information, though it may be initially collected by another group, such as by Control Center Operations, or later analyzed by another group, such as Performance Management. This ASP establishes requirements to formalize CTA's accounting of safety data and the routines for its use, with an emphasis on sharing information for Safety Performance Monitoring and Measurement. Where safety data analysis leads to the identification of a new or lingering hazard, that hazard is taken up by the Safety Risk Management process. CTA Executive Managers will establish and implement processes to collect and analyze the data and information necessary to evaluate safety efforts within their area. CTA Executive Managers are accountable for ensuring that the safety knowledge gleaned from data and analysis about their area is shared within the safety management system, and in particular with the Safety Department. Executive Managers are responsible for committing or marshalling the resources necessary to carry out this assurance activity, which may require collaboration across departments or advocating for the reassignment or expansion of resources by the Accountable Executive.

The Chief Safety & Security Officer is accountable for ensuring that safety reports are generated and monitored, in accordance with this Agency Safety Plan, and the Safety Assurance Procedure,



Procedure for the Monitoring of Internal Safety Data and Reporting. Departments that are accountable for monitoring internal safety reports under the Procedure for the Monitoring of Internal Safety Data and Reporting will develop and maintain a documented safety data collection and analysis program that includes the following:

- A. A description of the safety data that exists as a direct result of the activities of that department,
- B. A description of the internal CTA safety information utilized by that department, and a reference to the sources of that information,
- C. A list of data the department considers essential to contextualizing the safety data, e.g. revenue mileage, staffing information, etc.,
- D. An accounting of the safety information shared within the department and the safety information shared with other CTA stakeholders, including:
 - a. The standard frequency of each report, and
 - b. The standard distribution of that information,
- E. Reference to data forms and systems managed by the department,
- F. Responsibilities within the department for collecting safety data, analyzing safety data, providing knowledge from safety data within and outside the department, and reporting hazards identified through the analysis of safety data and information.

The Safety Department will use this information as a guide in developing and implementing mitigation monitoring plans, and in conducting oversight safety assurance activities, such as the internal safety audit. This requirement applies to at least the following CTA business units: Rail Operations, Control Center Operations, Rail Car Maintenance, Infrastructure Maintenance and its operational business units, the Safety Department, Performance Management, Training and Workforce Development, Human Resources, Service Planning and Scheduling, Technology Engineering, Budgeting and Capital Finance.

5.7 Infrastructure Inspections

5.7.1 Infrastructure Maintenance

Infrastructure Maintenance Department inspects and maintains tracks, traction power, signals, structures, and subway safety features such as the ventilation system, each of which has its own maintenance, testing and inspection schedule. The Infrastructure Maintenance Plan provides an overview of this program while specific CTA Standards, bulletins and SOP's dictate exact policies, intervals and procedures. Infrastructure completes inspections using a time-based system and repairs using a priority- based system.

5.7.2 Facilities Maintenance

The Facility Maintenance Department within Infrastructure maintains buildings and grounds at rail stations, subway platforms, rail yards, rail shops, and other owned or leased property of the CTA. This group also responds to emergencies 24 hours a day, seven days a week and provides maintenance support vehicles. Janitorial Services cleans the rail stations and the right-of-way. The Facilities Maintenance Plan establishes the areas subject to inspection. Inspections are completed using a time-based system, generally dictated by code, standard or manufacturer's recommendation. Facilities Maintenance uses a priority-based system to manage repairs.

The Infrastructure Maintenance Division also is responsible for maintaining the CTA's non-revenue vehicle fleet, rail station escalators and elevators and shop equipment.

5.7.3 Technology Engineering

Technology Engineering, a unit of the Information Technology Department, maintains the CTA's



communications network and equipment. Annual checks are conducted on two-way radios, rail stations PA system, CCTV line of sight monitors and CCTV surveillance cameras. Quarterly checks are conducted on two-way radio transmission system and subway phones. SCADA has real time feedback, as well as, annual vendor checks.

5.7.4 Safety Inspections: Footwalk, Station, Subway, Facilities, Yard

Transit System Safety Officers conduct inspections of footwalks, stations, subways and CTA facilities such as shops and warehouses. This additional level of oversight enhances safety management and helps the CTA identify and address hazards in a timely manner. The Safety Department records deficiencies as work orders and provides feedback to location managers using inspection checklist. Quarterly inspections for facilities and yards. Semi- annual inspections for rail stations, subways and underpasses and annually for footwalk inspections.

5.8 Rail Vehicle Maintenance Audits & Inspections

The Rail Maintenance Department ensures a safe and mechanically reliable fleet of rail cars and non-revenue rail equipment. The CTA rail system relies on preventive maintenance programs, which involve performing the maintenance and service on vehicles at regularly scheduled intervals rather than waiting for components and systems to fail.

Rail shops associated with each rail line are responsible for the day-to-day maintenance and safety inspections of revenue rail vehicles. The Rail Heavy Maintenance Department (Skokie Shops) conducts major repairs and overhauls of revenue rail vehicles and components and is responsible for maintenance and inspections of non-revenue rail vehicles.

5.8.1 Schedule of Preventive Maintenance for Rail Vehicles

Adherence to preventive maintenance procedures and a comprehensive inspection schedule allows Rail Maintenance to closely monitor and enforce its procedures and ensures the effectiveness of its maintenance programs.

Rail cars used in revenue service and the rail cars used to operate the work trains are scheduled for periodic inspection in the following ways.

- A. Accumulated mileage: targets vary between 7,600 and 13,000 miles depending on the rail car series and route. Periodic inspections are to be performed at intervals to meet the established targets, plus or minus 1 000 miles.
- B. Elapsed time since the last inspection: 120 days maximum for revenue cars, 180 days maximum for 2400 series non-revenue work motors. At no time is a car inspection permitted to exceed this elapsed time threshold.

The Periodic Inspection includes the following:

- A. Removal of carbon dust, road salt and dust, etc., from all electrical components.
- B. Inspections of the truck frames, axle assemblies, trolley beams, drawbar, track brakes, friction brakes, axle spin test, metering and necessary lubrication.
- C. Inspection of the rail car body and interior.
- D. Inspection of electrical equipment, the control groups, field shunts, bypass panels, blower motor, electric couplers, inverter, knife switches, traction motors, auxiliary compartments and low voltage power supply, battery charger and batteries, and NC system.

In addition, an annual inspection is performed on each car every 315 to 365 days. An inspection contains all aspects of the periodic inspection plus a more in-depth inspection of certain



components.

Anytime a rail car goes into a maintenance shop for repair work or returns to a terminal shop from the heavy maintenance shop, a safety inspection is performed prior to its release for revenue service.

5.8.2 Quality Inspection Audits

On a monthly basis, the RETS Quality Inspection (QI) group performs a QI audit immediately after Rail Maintenance has performed the Periodic or Annual Inspection on a rail car. This audit is performed to verify compliance with existing standards. Any issues or defects identified by QI are categorized into three defect severity classifications:

- A. Critical - any condition that prevents the vehicle from performing its basic functions or presents a safety hazard.
- B. Major - any condition that causes a substantial reduction in the vehicle's reliability or is readily noticeable by the user.
- C. Minor - any condition other than critical or major that, while not affecting vehicle reliability, will require further maintenance.

The QI audits are documented and scored, and a report is provided to Rail Maintenance management. Each month, on randomly selected days and unannounced to the shops, a QI audit is performed on at least 2 cars from each of the inspection crews at each shop.

5.8.3 Prevent Maintenance and QI Inspection Findings

Maintenance Managers and General Managers of the rail lines monitor findings from all inspections. Findings identified during the inspection of rail cars are documented on the periodic inspection work order. If the observed issue cannot be immediately corrected, a service request is generated on the inspection follow-up work order. Critical and major conditions, as described above, result in a rail car being placed on hold if the condition cannot immediately be corrected.

The rail terminal shops must correct all observed critical conditions before the rail car is released for revenue service. Minor conditions must be corrected within 30 calendar days; the exception is instances in which there are no parts in inventory ("no material" items), which must be documented appropriately. All repairs are documented in the appropriate areas in the Maintenance Management Information System (MMIS). Upon completion of all repairs, the Maintenance Manager verifies the completion of the work and closes the follow-up work order in MMIS.

5.8.4 Checklists

The checklists for the preventive maintenance inspections for rail cars are located in MMIS, which is available at all rail maintenance shops. MMIS is a web-based asset management system that enables Rail Vehicle Maintenance to schedule work, order parts, capture and report labor.

5.8.5 Coordination with the Safety Risk Management Process

When a hazard is identified during the inspection process and more than a simple replacement or repair is required, Rail Engineering & Technical Services provides advice and mitigation for the appropriate repair. If RETS determines there is concern that the hazard may be present on other cars, it will direct the inspection of all possibly affected cars for the same hazard (a fleet check), and the hazard will be addressed on any affected cars. If the hazard exists on a significant number of cars and cannot immediately be addressed, or has the



potential to systematically reoccur, the issue will be elevated to the Safety Department for review in the Safety Risk Management process.

5.9 Management of Change

The Chicago Transit Authority utilizes an established process for managing changes identified as either Configuration Management or Change Management within Chicago Transit Authority's (CTA) business operations. The Management of Change (MOC) procedure [Safety SAP \(SMS-SAP-1-20\): Management of Change](#) uses the CTA Safety Risk Management Plan to identify risks arising from proposed changes that may introduce new hazards or impact the CTA's safety performance and to assess changes to existing CTA processes, procedures, policies and systems. For consistency, the CTA has selected to send all the hazards identified during the MOC process through the SRM process. The CTA Safety Policy mandates through this procedure that no changes can be made or implemented that may pose a safety impact until the Safety Department has conducted a safety risk assessment. CTA Leadership will ensure resources for safety risk mitigations are available.

The list below is not meant to be exhaustive or prescriptive. It is necessarily broad, in order to account for changes that may, through safety risk management, be found to have an effect on safety risk - because they introduce new hazards or because they worsen an existing condition. Examples of items which would be assessed using the MOC process include, but are not limited to:

- A. Changes to systems impacting operations;
- B. Changes to facilities, infrastructure or equipment infrastructure, track, switches, systems ' engineering, or power transmission components;
- C. Changes in the use of, or the application of chemicals or hazardous materials;
- D. Changes in the use of personal protection equipment;
- E. Change to business unit processes or to standard transit operating procedures including Vehicle Maintenance;
- F. Modification of existing technology or the introduction of new technology;
- G. Changes to vehicle systems or components;
- H. Employee generated safety enhancements;
- I. Configuration changes to system infrastructure or rolling stock;
- J. External change recommendations from Safety Oversight or FTA;
- K. Any changes that may impact safety performance the Safety Department deems appropriate.

The objective of the MOC process is to ensure that no new hazards are inadvertently introduced, and that existing safety risk is not increased. If a proposed change has the potential to affect safety performance, then the CTA will evaluate the proposed change using its SRM process. The CTA utilizes a decentralized approach in which CTA departments submit the proposed change and the Safety Department identifies the department affected by the change. Once the change has been assessed for safety risk and the hazards have been identified a Safety Performance Measurement & Monitoring Plan will be developed and the change will be communicated throughout the organization. The MOC process can be initiated from outside of the agency, if necessary, based on IL-SSOA or FTA guidance.

5.10 Drug & Alcohol Abuse Program

The CTA's drug and alcohol testing program (see Executive Orders 89-08 and 89-20) conforms to applicable US DOT and FTA regulations. These include 49 CFR Part 655, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," 49 CFR Part 40, "Procedures for



Transportation Workplace Drug and Alcohol Testing Programs. The CTA supplements these with a Substance Abuse Free Environment (SAFE) program, in compliance with 49 CFR Part 32, the Federal Drug Free Workplace Act.

The Drug and Alcohol Compliance (DAC) unit monitors compliance with the CTA's Drug and Alcohol Testing Program Policy, with a focus on employees in safety-sensitive functions. DAC manages drug and alcohol testing services conducted by a third party. DAC also conducts field audits of the drug and alcohol testing procedures, ensures appropriate documentation, and coaches operating departments in program compliance.

All CTA employees in "safety sensitive" positions are subject to pre-employment drug tests, random tests, testing as a result of reasonable suspicion, return-to-duty, follow-up and post-accident drug and alcohol testing. The CTA's Drug and Alcohol Testing Program Policy provides detail about these requirements. The CTA's testing program complies with all federal drug and alcohol testing laws and regulations for transportation workers in safety sensitive positions. The CTA's Human Resources Department determines, in consultation with other groups, which CTA positions qualify as safety sensitive.

DAC conducts training for CTA supervisors and other personnel authorized by the CTA to make a determination for Reasonable Suspicion Drug and Alcohol testing. The 120-minute training includes FTA rules and guidance, such as the signs and symptoms of drug use, confrontation procedures and more, and results in a "Certificate of Completion." In conjunction with Training and Workforce Development, DAC also creates, facilitates and manages curriculum materials for the required 60-minute Substance Abuse-Free Environment (SAFE) training program, provided to all newly hired employees in safety sensitive roles.

The CTA's Employee Assistance Program for Substance Abuse (EAP-SA) employees an opportunity to deal with drug- and alcohol-related problems. The EAP-SA is available to all CTA eligible employees and their families. Any eligible employee who voluntarily requests assistance in dealing with a personal drug or alcohol problem may do so through the EAP-SA in confidence and without jeopardizing their employment with the CTA. Other treatment programs are available to eligible employees through the health and welfare providers selected by the CTA. Employees must immediately discontinue the use of alcohol or drugs as a condition of participation in any treatment program. Although employees are encouraged to receive help for drug and alcohol problems, participation in EAP-SA does not excuse an employee's failure to comply with the requirements of the CTA's drug and alcohol prevention programs.

5.11 Fitness for Duty (FFD) Program

Currently the Human Resources Department assesses a candidate's fitness for duty according to the following established practices:

- A. **New Hire Assessment** which include a drug screen, FFD physical, and may include a vision/titmus test and/or Human Performance Evaluation (HPE) that would assess an employee's ability to perform the essential physical demands of the job. (E.g. lifting, standing, and bending).
- B. **Employees who transition** from non-safety sensitive positions must complete an FFD physical, drug screen, and vision/titmus test and/or HPE (if needed.).
- C. **Employees who are out of service for 7 to 89 consecutive days** must successfully complete a medical clearance/physical evaluation that addresses their ailment/injury upon returning to their safety/non-safety sensitive position.
- D. **Employees who are out of service for 90+ consecutive days** must successfully



complete a medical clearance/physical evaluation that addresses their ailment/injury as well as an FFD physical, drug screen, and vision/titmus test and/or HPE (if needed) upon returning to their safety/non-safety sensitive position.

5.12 Fatigue Management

CTA has partnered with the Transportation Safety Institute (TSI) to provide an online course for Fatigue and Sleep Apnea Awareness. It is required that all CTA employees working in safety-sensitive positions take the TSI Fatigue and Sleep Apnea Awareness course for Transit Employees. This training is also required to be complete prior to employment with the Chicago Transit Authority.

5.13 Safety Certification

Safety and Security Certification (SSC) encompasses a series of processes that collectively verify the safety and security readiness of a project for public use. SSC is required for all CTA projects that have a Full Funding Grant Agreement (FFGA) or are designated as a "Major Capital Project" as defined in 49 CFR Part 633.5 as well as projects deemed safety critical. A description of the safety certification process required by CTA 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 can be found in CTA's Safety and Security Certification Program Plan.

5.13.1 Determining the need for Safety and Security Certification

For those capital projects that are not funded under a Full Funding Grant Agreement (FFGA) or categorized as Major Projects (the typical threshold is \$300M), a formal safety and security certification process is not required. However, the CTA will verify 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.

For every project undertaken by the CTA, an analysis shall determine the project's impact. The results of analysis shall drive level of safety assurance required, ranging from no oversight for projects that have no safety impact to full safety and security certification for projects that are safety critical. A safety critical project includes elements, new to the CTA, whose unintended operation or failure may cause a condition that could lead to severe injury, severe illness or major property damage.

The CTA's application of safety and security certification and its various methodologies promotes an informed management decision-making process which begins in project design and proceeds through construction, testing, and initiation into revenue service.

The CTA has developed its safety and security certification process in accordance with FTA circular 5800.1. For applicable projects, a Safety and Security Management Plan (SSMP) is developed as part of the Project Management Plan (PMP) to describe how safety and security will be addressed throughout the life cycle of an individual project. Applicable projects include those that meet federal requirements as defined in 49 CFR Part 633.5 for safety and security certification, as well as projects CTA deems critical to the safety systems on its rail right of way.

A separate document, the Safety and Security Certification Plan (SSCP), is developed in tandem with the SSMP to describe the process of verifying that all safety and security requirements are incorporated into the project. The certification process begins during project development and continues through engineering, construction, integration testing, activation, and revenue service



which allows for early opportunity to incorporate milestone controls or hold points in connection with the completion of each project phase.

The SSC process as suggested by the FTA consists of the following ten major steps:

- Step 1: Identify safety and security related elements to be certified.
- Step 2: Establish safety and security design criteria.
- Step 3: Develop and complete checklists demonstrating conformance with safety and security design criteria.
- Step 4: Verify certifiable elements of as-built facilities and systems conform to design documents.
- Step 5: Identify additional safety and security test requirements.
- Step 6: Perform testing and validation for certifiable elements and develop emergency response procedures.
- Step 7: Manage integrated testing.
- Step 8: Resolve all open safety and security issues.
- Step 9: Verify operational readiness, including developing procedures, rules, and manuals and completing operations, maintenance and emergency responses training.
- Step 10: Conduct final review of all certification documentation and issue Safety and Security Certificate.

As part of the safety risk management requirements, a Preliminary Hazard Analysis (PHA) report is developed as the project design criteria are developed, approved, and periodically updated during the validation and intermediate design phases. The PHA is reviewed by the Safety and Security Review Committee (SSRC), (which is established for each applicable project), project design teams, and FTA's Project Management Oversight Consultant (PMOC) upon request. The Illinois Department of Transportation (IL-SSOA), State Safety Oversight Agency (SSOA) may also request to review the PHA report.

If at this time, any findings identified by IL-SSOAs final pre-revenue service report, the required Corrective Action Plan (CAP) will be implemented using existing CTA CAPs procedure.

After the project team certifies all elements of the project in accordance with the requirements specified in the Safety and Security Certification Plan, it will prepare a final Safety and Security Certification Verification Report, which the Safety Department will review and approve.

After the Safety and Security Certification Verification Report is approved and signed by the project team, it is presented to the Accountable Executive for final signature and transmitted to oversight agencies. Safety and Security Certification concludes with a final certification of readiness for the start of revenue operation.

5.14 Continuous Improvement

The CTA utilizes its Performance Management system for the continuous improvement of agency-wide safety. The purpose of the process is to provide an indication to the Accountable Executive of whether the CTA's safety objectives are being met and whether the safety management system is working to identify and address safety risks. At least annually, the Chief Safety & Security Officer and the Director of Performance Management are responsible for recommending a select number of key safety performance indicators, and corresponding safety



performance targets, that will be used by the agency to assess its overall safety performance. Generally, they will select these key performance indicators from among the performance measures routinely utilized by CTA departments to monitor core functions. They also may recommend establishing new indicators of agency-wide safety performance. The recommended indicators shall provide information about safety effectiveness overall and progress towards the CTA's safety objectives. The selected indicators and targets shall be presented for endorsement by the Executive Safety Committee and approval by the Accountable Executive. *Safety SAP (SMS-SAP-2-20): Continuous Safety Improvement* describes the process.

The Chief Safety & Security Officer is responsible for ensuring the regular review of overall agency safety performance using the selected indicators. The CTA shall share this performance data with IL-SSOA at least quarterly, in accordance with the IL-SSOA Program Standards Manual. The Chief Safety & Security Officer also is responsible for ensuring that safety deficiencies are a guide to action, to be developed and carried out under the direction of the Accountable Executive. Actions may include using the Safety Risk Management process to address an underlying hazard or conducting further analysis to better understand the data or the deficiency. The action may include adjusting the SMS itself, if the review process determines that the deficiency lies within the CTA's Safety Risk Management or Safety Assurance processes. In accordance with *Safety SAP (SMS-SAP-2-20): Continuous Safety Improvement*. The Continuous Improvement process allows for interim adjustments to the selected agency-wide safety indicators and contains direction for how the process is to be documented and communicated.

5.15 Internal Safety Auditing

The CTA performs internal safety audits to evaluate the implementation and effectiveness of the safety programs described or referenced in this ASP. Internal safety audits are a constant activity, encompassing the Safety Assurance oversight activities performed by the Safety Department, such as verifying that departments have conducted procedure compliance checks or independently conducting such checks. Additionally, the internal safety audit examines adherence to this ASP, other safety programs and documents it references, and requirements of the State Safety Oversight Agency program.

At a minimum, the CTA conducts an internal safety audit of all the safety functions identified in this ASP and the Security and Emergency Preparedness Plan over a three-year period. Internal safety audits may result in findings of non-compliance, which are subject to corrective action plans. Any hazards identified as a result of an internal safety audit will a) be submitted to the Safety Risk Management process, and b) lead to further examination of safety processes that are designed to identify such hazards. Finally, internal safety audits may identify the need to update this ASP or a referenced document or process.

Internal Safety Audit procedures detail the workings of the program, including IL-SSOA requirements pertaining to audit responsibilities, and its relationship to Safety Assurance. Specific audit activities are governed by the Internal Safety & Security Audit Procedure Manual.



6.0 Safety Promotion

Safety Promotion is critical to the success of Safety Management System by establishing a culture that recognizes safety as a core value, training all rail personnel and contractors, and allowing personnel and contractors to communicate safety concerns. The primary goal of safety promotion is to develop a positive safety culture.

6.1 Competencies & Training

The CTA incorporates safety instruction into training activities throughout the agency, via training curricula and Standard Operating Procedures (SOPs). The CTA departments that directly offer training related to the safety of rail operations and maintenance, and other safety related instruction include: Training and Workforce Development, Rail Vehicle Maintenance, Instruction, Infrastructure, the Control Center Operations and Human Resources. Below describe specific categories of training, as well as certification requirements and the means of documenting and auditing training programs.

6.1.1 New Employee Orientation Training

CTA's Training and Workforce Development is responsible for conducting and documenting the New Employee Orientation (NEO) training, completed the first day of a new employee's employment, provides onboarding training including familiarization to the organization and key departments.

This training includes:

- A. CTA's Mission and Vision;
- B. The Accountable Executive Priorities;
- C. SMS and Overall Safety;
- D. Leave Management;
- E. Drug and Alcohol;
- F. Equal Employment Opportunity (EEO); and
- G. Employee Engagement

In addition, NEO includes engaging presentations with discussions, icebreakers and group activities.

6.1.2 Safety Management System Training Refresher

Refresher training consist of a video review on Safety Management System overview through Training and Workforce Development. This training will occur every two years during re-certification for Operation employees. Every year during safety training for Maintenance employees. Every three years for office personnel; and every year for contractors during Rail System Safety Training.

6.1.3 Rail Operations Classifications

Training for Rail Operations staff is a function of Training and Workforce Development (TWD) which includes the Workforce Partnerships, Training and Instruction and Learning and Support Departments. Training is delivered by Rail Instruction, within TWD – Training and Instruction. The curriculum materials-trainee guides, instructor guides and SOPs, are managed by TWD - Learning and Support. Rail Instruction manages the certification and re-certification processes and maintains employee training records. Students are required to pass written tests and performance examinations. They must successfully perform the tasks of the role under supervision, known as "line instruction," before they qualify in a job classification.



Once an employee begins as a Flagger, they must successfully complete that training program, as well as the Rapid Transit Operator training that follows, until achieving the culminating qualification of either Switch Worker or Tower Worker. Failure at any stage in that progression may result in termination and is at the discretion of Rail Operations Leadership. Customer Service Assistants (CSA) and Customer Service Representatives (CSR) also are Rail Operations personnel; CSAs constitute the primary pool of candidates for Flagger.

Rail Operations personnel also may receive training to recertify for prior qualifications, retraining as a result of job performance, and group refresher training on certain topics.

6.1.4 Flagger Training

Qualifying as a Flagger is necessary to later qualifying as a Rapid Transit Operator and is part of the Track Maintainers Qualification Program. Flagger candidates receive ten (10) days of training administered by Rail Instructors. The training includes classroom instruction, testing and practice operation in the field. It includes familiarization with specific safety-related CTA rules, and SOPs, such as Flagging on the Right-of-Way, Safety on Rapid Transit Tracks, Workers Ahead Warning System, as well as service bulletins issued by Rail Operations.

6.1.5 Rapid Transit Operator (RTO) Training

The Rapid Transit Operator (RTO) classification comes next after Flagger. The RTO training program is 35 days. Formal instruction takes place both in the field and in the classroom with periodic tests administered by Rail Instructors. The CTA requires classroom instruction days 1 through 6 and day 11 of training program. The classroom portion of the training includes discussions, short lecture, guest speakers, activities and various learning formats. Days 7-33 occur at the trainee's assigned terminal so they become familiar with the routes, terminals and type of rail cars they will be operating. During this stage of training, trainees complete line instruction from days 24-33 under the supervision of a Line Instructor. On days 34 and 35, three final written tests are administered in the areas of RTO Certification Exam, Signal Exam and Troubleshooting Exam.

Trainees must successfully complete the final written examinations with a minimum of 80% on the RTO Certification and Troubleshooting Exams and a minimum of 100% on the Signal Exam in order to move onto the qualifications. After day 35 and successful completion of written exams, each trainee will be assigned practical evaluation qualification dates and times. During the practical qualification, the trainee must successfully perform all duties of an RTO while being observed and evaluated by a Rail Instructor.

Trainees are qualified to work as RTOs once they pass the written evaluations and demonstrate the ability to perform the duties of the classification to the satisfaction of the Rail Instructor during practical evaluation.

6.1.6 Switch Worker and Tower Worker Training

The Switch Worker or Tower Worker classification comes after RTO. Prior to qualification, a student Switch Worker receive formal instruction, a performance evaluation and training on routes for which they have not previously been trained. A student Tower Worker receive formal instruction and a performance evaluation prior to qualification.

Formal instruction takes place in the field and in the classroom. It features periodic tests that are based on a grading scale from 0 to 100 points, with 80 points (80%) being the minimum for a



passing score. Practice operation hours must also be completed, with a Line Instructor, in each yard or tower for which the employee has been trained, before the student becomes eligible to qualify for the classification of Switch Worker or Tower Worker.

6.1.7 Customer Service Assistant

A qualified Customer Service Assistant (CSA) may elect to remain a CSA rather than enter the mandatory progression of qualifications that begins with Flagger. CSA candidates receive eleven (11) days of training, which consists of classroom instruction and field instruction. Specific safety elements of the training include Rail Safety Training (detailed below), Incident Command modules and All-Hazard Awareness Training and the duties of the job with respect to ensuring their own safety and the safety of customers while in rail stations.

All CTA-non operating employees who are assigned to work on or adjacent to CTA's rail system Right-of-Way must have successfully completed the Rail System Safety Training and must carry a valid Rail System Safety Training Identification Card. Trainees must successfully complete a course exam evaluating their knowledge on information learned.

6.1.8 Re-Certification and Other Rail Operations Training Recertification

In order to ensure that employees maintain sufficient operating skills and job knowledge to provide safe transit service, the CTA requires rail system employees who operate in-service vehicles to recertify every two years. The CTA's approach is consistent with safety recommendations issued by the NTSB, and with the CTA's labor contract with the Amalgamated Transit Union Local 308, which requires that all employees qualified to operate trains have an eight (8) hour recertification course.

Re-certification consists of a written test on rail system rules, SOPs, signal operations, equipment operation and troubleshooting. It applies to Rail Operations' Managers, Rail Supervisors, Rail Instructors, Switch Worker, Tower Worker, Rapid Transit Operators and Flagger. Candidates for recertification must exhibit safety critical knowledge related to, for instance, track safety, reading switch points and safe train operation.

Rail Operations administrative staff for each rail line tracks recertification dates and expirations for respective staff, in conjunction with TWD - Training and Instruction; Rail Instruction, so employees are notified of the need to recertify and scheduled for recertification training.

6.1.9 Rail Operations Retraining

Retraining is provided, at a Manager' s request, to operating employees following accidents, safety violations, injuries and other unusual occurrences. Retraining is intended to ensure adequate instruction to prevent future incidents or violations, and to help determine when an employee is ready to return to work. TWD - Training and Instruction; Rail Instruction maintains records of this training for Rail Operations personnel, as does the work location of each employee, in the employee's work location file.

6.1.10 Rail Operations Refresher Training

Ongoing refresher training for Rail Operations employees is provided by all Rail Instructors at rail terminals to groups of employees, as CTA operational and safety needs dictate. Refresher training consists of reviewing bulletins, SOPs and Train Lines (topical brochures on subjects such as seasonal procedures, two-way radios, etc.). The CTA uses refresher training as a means of informing employees about hazards and the appropriate methods of controlling hazards. Rail Instruction maintains the records of refresher training.



Training-for-Change also is conducted based on need. It takes place when the CTA introduces new equipment procedures or techniques and involves providing employees new training and reference material. SOP 8076 Standard Terms for Completing the Instructor's Time Report further describes the CTA's refresher training procedure.

6.1.11 Rail System Safety Training

The CTA requires all CTA employees, CTA contractors, and employees of outside agencies who will potentially work on or near the Right-of-Way or in CTA rail yards to successfully complete an eight (8) hour Rail System Safety Training. In order to demonstrate rail safety proficiency, trainees are required to complete a final, written evaluation with a minimum score of 80% to successfully pass the Rail System Safety Training course and earn certification. TWO - Training and Instruction; Rail Instruction conducts the training and provides the certification, a Rail System Safety Training Identification Card. As applicable, some contractors also receive a decal indicating the expiration date of the certification, which is to be worn on one's hard hat.

The card and decal are valid for three years for CTA employees and one year for Contractors. The validity of the card and the decal for Contractors is not related to the length of contract. Rail Operations employees receive this training during their job classification instruction period and demonstrate the competency as part of their recertification in their respective training program qualifications. Others must re-certify specifically for Rail System Safety Training by completing a video review and demonstrating the training in the field with a Rail Instructor.

CTA employees and their reporting departments are responsible for maintaining up to date Rail System Safety Training Identification Cards. CTA Project Managers are responsible for the coordination of outside workers obtaining and maintaining the necessary certification. CTA's Safety Department audits Contractor compliance via field checks.

6.1.12 Rail Maintenance Training

The Rail Maintenance Department under Transit Operations has a training specific group responsible for administering and tracking the departments technical training. Instructors directly provide a variety of instruction to rail vehicle maintenance personnel. Training for new Rail Car Repairers is conducted using the excel program, which is a contractual agreement between the CTA and the Rail Car Repairers' Union. During the first 42 months of employment, Rail Car Repairers are periodically provided instruction in the different base classifications of repairer including: Truck Shop Repairer, Car Body Inspector, Controls Inspector and HVAC Repairer.

Upon successful completion of all courses, an employee is qualified as a Rail Car Repairer and is eligible to choose among the specific further qualifications in the progression, in accordance with seniority and rules. A qualified Rail Car Repairer may choose to request training for other positions including Technician, Leader and Instructor. This enhance training is scheduled as needed to fill vacancies. Classes for the various job classifications vary in length, depending on the course, from two weeks to six weeks. This training includes classroom instruction followed by on-the-job training.

CTA Car Servicers receive Car Servicer Training, and Car Servicer Apprentices receive Car Servicer Apprentice Training. Newly hired Rail Car Repairers, Car Servicers, and Craftsmen all receive Rail Maintenance Orientation Training.

The Rail Maintenance Training staff updates or creates new training programs when necessary,



such as when changes in rail car components result in changes to the maintenance of the system, or when a trend in rail car defects suggests the need to examine the instruction program for that process. Rail Maintenance Training staff also provide one-on-one retraining to address performance needs or requests, and refresher training for certain groups of employees, as requested by Maintenance Managers.

Craftsmen that work at Skokie Shops must have five years of craft experience before being hired at the CTA. After being hired by the CTA, these craftsmen receive further on-the-job training particular to working on CTA vehicles and components.

Rail Terminal Shop and Yard Safety classes are conducted by Rail Maintenance Instructors when employees begin working at a new facility. This is done to familiarize the employees with particular shop or yard layout and special equipment at that location. All Rail Maintenance Managers, Repairers, Car Servicers, and Car Servicer Apprentices are rail safety certified.

When new equipment is purchased, the CTA requires the vendor to provide training on the operation and maintenance of the new equipment. The vendor training includes providing training materials, conducting Train-the-Trainer courses, and conducting additional courses for Repairers and Craftsmen covering the various systems.

Rail Maintenance Training tracks the training it provides and evaluates it through regular management activities and observation.

6.1.13 Control Center Operations Training

Training for Control Center Operations staff is a combined function of Training and Workforce Development and the Control Center Operations. Training for positions in the Control Center Operations is delivered by the Control Center Leadership with support from TWO - Training and Instruction and Learning and Support and internal/external guest speakers as appropriate to each role. The curriculum materials - trainee guides, instructor guides and Transit Operations SOPs, - are managed by the TWO - Learning and Support. Control Center management administers the certification and recertification processes.

All personnel training records are maintained in employee work files for two years at the Control Center Operations, transferred to their permanent work file with the Employee Records Department after two years, and are recorded and tracked in a database maintained by the Control Center Operations. The database identifies a recertification schedule for all Controllers every two years.

6.1.14 Rail Controller Training

A student Rail Controller receives 15 days of formal classroom instruction administered by Control Center Leadership. Following the successful completion of the formal instruction (a score of 80% or better), the student receives 20 days of line instruction administered by the Control Center Leadership and facilitated by qualified Rail Controller(s).

Upon successful completion of the required classroom training and line instruction, a Rail Controller student is given an eight (8) hour qualification and observation period. The student is tested on all tasks, duties and responsibilities of the role. If the student performs the duties of the classification and meets the standards of qualification to the satisfaction of the Control Center Leadership and Training Facilitator(s) and passes the written tests, the student is qualified to work as a Rail Controller. Control Center Leadership reviews the new Controller's performance at the



end of a 90-day probationary period.

6.1.15 Rail Customer Service Representative/Security Controller Training

A student Rail Customer Service Representative /Security Controller receives 15 days of formal classroom instruction, followed by 20 days of line instruction administered by the Control Center Leadership and facilitated by qualified Rail Customer service Representative /Security Controller(s).

Upon completion of the required training and line instruction, a Rail Customer Service Representative/Security Controller student is given an eight (8) hour qualification and observation period. The student is tested on all tasks, duties and responsibilities. If the student performs the duties of the classification and meets the standards of qualification to the satisfaction of the Control Center Leadership and Training Facilitator(s) and passes the written tests with a score of 80% or better, the student is qualified to work as a Rail Customer Service Representative/Security Controller. Control Center Leadership reviews the new Controller's performance at the end of a 90-day probationary period.

6.1.16 Power Controller Training

A student Power Controller receives 15 days of formal classroom instruction administered by the Control Center Leadership. Following the successful completion of the formal instruction, the student receives 25 days of line instruction administered by the Control Center Leadership and facilitated by qualified Power Controller(s). Line instruction includes monitoring the operations of power-related systems and personnel that responsible for system maintenance. After successfully completing line instruction, a Power Controller student is eligible to qualify.

The Power Controller student is given an eight (8) hour qualification and observation period. The student is tested on all tasks, duties and responsibilities. If the student performs the duties of the classification and meets the standards of qualification to the satisfaction of the Control Center Leadership and Training Facilitator(s) and passes the written tests with a score of 80% or better (100% is required for power removal and restoration), the student is qualified to work as a Power Controller.

Control Center Leadership pairs a newly trained Power Controller with an existing qualified Power Controller to continue to mentor them and monitor their progress. Control Center Leadership reviews the new Controller's performance at the end of a 90-day probationary period.

6.1.17 Coordinator, Control Center Communications Training

An individual hired for the position of Coordinator, Control Center Communications receives five (5) days of formal classroom instruction administered by the Control Center Leadership, followed by 15 days of line instruction administered by the Control Center Leadership and facilitated by qualified Coordinator(s), Control Center Communications. The line instruction includes monitoring service delays and disruptions and conveying the information to the public via various electronic mediums such as: public address announcements, 2-way radio broadcasts, email, text and social media alerts. The position of Coordinator, Control Center Communications is a non-bargained for role, meaning individuals are hired directly into the role, not covered by collective bargaining agreement and not required to re-certify their training.

6.1.18 Coordinator, Control Center Communications Recertification Training

The CTA requires recertification every two years to assure that Controllers responsible for monitoring the operation of service and transit vehicles possess sufficient skills and job knowledge



to provide safe, efficient and dependable transit service. This standard is consistent with recommendations made by the NTSB. The recertification consists of a written test on system rules, SOPs, restoration of service and equipment troubleshooting.

6.1.19 Coordinator, Control Center Communications Retraining

Retraining is provided to Controllers who have been referred for training following rule violation(s), poor work performance, return from leave (30-60 days off work) and/or extended leave (60+ days off work). Retraining is intended to ensure adequate instruction to prevent future violations, improve performance and/or to determine an employee satisfactorily meets all position requirements necessary to return to work. The length and nature of retraining (classroom, line instruction) is determined for each case. Retraining records are maintained in employee work files for two years at the Control Center Operations, transferred to a permanent work file with the Employee Records Department after two years and recorded and tracked in a database maintained by the Control Center Operations.

6.1.20 Power & Way Maintenance Training

Power & Way Maintenance employees are required to successfully complete training according to their established job function. There are four training programs in Power & Way Maintenance, Track Maintenance, Signal Maintenance, Traction Power Maintenance, and Structure Maintenance, and they are recorded in Infor and maintained by the Power & Way Maintenance Senior Manager. The CTA conducts this training directly or oversees training provided by vendors. Task-specific training is associated with each departmental discipline. The Power & Way Maintenance Department updates training material when needed to include applicable elements from APTA Standards.

6.1.20.1 Track Maintenance Training

The Track Maintenance Department Coordinators oversees the training requirements for Track Maintenance. Track inspector training is designed to ensure the trainee acquire the knowledge, skills, and ability needed to safely and effectively inspect tracks and identify track irregularities. Once qualified, employees must re-certify annually. Other track courses include: Track Maintenance Practices, Track Maintenance, Equipment Operation, Track Welding, and Lubrication. These courses are typically administered by a private vendor.

6.1.20.2 Signal Maintenance Training

Local No. 9 of the International Brotherhood of Electrical Workers (IBEW) conducts the training programs for Signal Maintenance personnel, based on an agreement between the CTA and Local No. 9. The training includes the requirements of the National Electric Code (NEC), safety requirements specific to an electrified railroad and specialized training related to wiring, switches, signals, and automatic train control functions and equipment. The training is provided once to each qualified Signal Maintainer. Local No. 9 retains records of the training.

6.1.20.3 Traction Power Maintenance Training

IBEW Local No. 9 conducts the training programs for Traction Power Maintenance personnel based on an agreement between the CTA and Local No. 9. The training includes the requirements of the NEC and specialized training related CTA's operating environment, such as: traction power wiring, transformers, substations, contact rail and contact rail heating control functions and equipment. The training is provided once to each qualified Signal Maintainer. Local No. 9 retains records of the training.



6.1.20.4 Structure Maintenance Training

Ironworkers at CTA have been trained in their discipline prior to being referred by Local 1. Once onsite, ironworkers receive OSHA 10-hour training as part of new employee orientation and an 8-hour acetylene cutting and burning class during the first six months of employment. Ironworkers are required to learn and follow the CTA's Safety Rules and work safely near an electrified railroad. An annual class in Lead Awareness helps ensure the health of employees working with materials containing lead. Additional classes are held when needed.

All Ironworker Inspectors are required to take and pass a nationally recognized Bridge Inspection course and Fracture Critical Elements Inspection course, provided by an outside vendor and tracked by the Infrastructure Department.

6.1.21 Other Training

CTA, via TWD - Training and Instruction, provides a four (4) day series of safety trainings for employees newly hired into positions classified as safety sensitive. (Transit Operations employees, whose curriculum embeds safety procedures and concepts, are excluded from this four (4) day training.) The first day of the training series includes material on the Authority's safety policies, regulations, and bulletins on topics such as hazardous materials, drug and alcohol compliance, awareness for suspicious persons and packages, employee discipline as pertains to violations of safety rules, the use of personal protective equipment, fire extinguisher use and more. The four (4) day safety training series also includes OSHA 10-Hour General Industry, and the OSHA-required Haz-Com program.

In addition, it is the CTA's practice that all persons in safety sensitive positions complete the US DOT's online Fatigue Awareness/Sleep Apnea Training prior to new employee orientation, their first day of employment. The CTA's hours of service standards, pertaining to Rail Operations union personnel, are generally established in the CTA's collective bargaining agreement with ATU Local 308. Further with respect to fatigue and hours of service standards, the CTA instructs Rail Operations employees regarding fitness for duty requirements. Likewise, all Transit Operations frontline Managers, Supervisors, Instructors, Yardmasters and Clerks are instructed to observe the employees they supervise and take action when an employee appears unfit.

In addition to new hire training, TWD - Training and Instruction provides general safety courses for CTA employees and training in the safe use of specific work equipment (mainly for employees of the Infrastructure Facilities Maintenance Department). TWD - Training and Instruction provides initial and refresher trainings, as appropriate. The employees and their specific departments are responsible for identifying the role-based need for training, tracking compliance with training requirements, such as those dictated by CTA's compliance with OSHA standards. Training and Workforce Development tracks attendance and completion of safety training programs they facilitate.

Courses currently provided include:

6.1.21.1 Powered Industrial Truck

Eligible individuals are trained on the proper and safe operation and inspection of forklifts. This training is mandated by OSHA and requires a refresher every 3 years. The following major topics are covered:

- A. Operation Safety
- B. Driving Characteristics



- C. Maintenance Familiarization
- D. Battery Charging & Maintenance
- E. Forklift Certifications
- F. Load Stability
- G. Maintenance Inspection
- H. Environment Conditions

6.1.21.2 Aerial Lift

Trainees learn safe and proper procedures for inspecting and operating aerial baskets and sky vans. This course is mandated by OSHA, which also requires a refresher every 3 years. The following major topics are covered:

- A. Overall Safety
- B. Equipment Operation
- C. Safety Equipment
- D. Inspection Procedures

6.1.21.3 Confined Space

Mandatory for employees whose job or job tasks are subject to the requirements of the CTA's Confined Space Program. OSHA requirements govern this training. The training covers all guidelines, responsibilities and safety procedures related to working in these spaces. Students learn proper use of the tripod and harness and other personal protective equipment. Students also learn to identify, monitor and mitigate hazards, including respiratory hazards and engulfment dangers. Training includes both classroom and hands- on activity. This course requires an annual refresher.

6.1.21.4 Scaffolding

This course is designed for employees whose work requires the use of scaffolding. The course teaches proper technique for constructing and taking down stationary scaffolding equipment. Participants develop knowledge of safe use and best practices when using scaffolding in transit-related work environments.

6.1.21.5 Fall Protection

This program is designed for employees who are required to use fall protection equipment. OSHA requirements dictate the employees that must take this course. The course teaches how to identify, inspect for and mitigate potential fall dangers. The course also covers proper use of harness and other personal protective equipment. Training is based on both classroom and hands-on activity. A refresher training is required every three (3) years.

6.1.21.6 Heating and Cutting

This course is designed for a broad range of employees who use oxygen acetylene heating and cutting equipment. The course instructs employees in the safe and proper set-up, use and teardown of equipment. In addition, employees will learn all warnings, dangers and safety regulations pertaining to heating and cutting equipment. The OSHA-required course is for any employee that uses heating and cutting equipment in their work with CTA. The course includes both classroom and hands-on activity.

6.1.21.7 Bloodborne Pathogens

This course is an annual refresher to educate personnel about the dangers of microscopic bacteria and pathogens in blood and body fluids. The course teaches when and where these



pathogens might be encountered in their normal line of work on vehicles and platforms and in restrooms. This course satisfies OSHA requirements for initial and refresher training on these topics and is governed by CTA's OSHA-required Bloodborne Pathogen Awareness Program.

6.1.21.8 Environmental Awareness

The goal of this training is to increase CTA personnel awareness of environmental regulations and how they are upheld through CTA's policies and procedures. It is designed to familiarize CTA personnel with regulatory agencies and laws, CTA procedures such as those pertaining to spills or personal protective equipment, and resources within the CTA. The course fulfills a requirement of the US Environmental Protection Agency (EPA), and trained CTA personnel are required to complete an annual refresher.

6.1.21.9 OSHA 30-Hour General Industry

This course is designed to instruct construction and maintenance supervisory personnel in a variety of OSHA-mandated topics and standards. The course provides additional depth of material for managerial employees. Topics include recognition, avoidance, abatement and prevention of safety and health hazards in workplaces. The program also provides information regarding workers' rights and employer responsibilities. Successful course completion earns participant an OSHA 30-Hour Card. Training is based on both classroom and hands-on activities.

6.1.21.10 Transit Ambassador Training

The Transit Ambassador Training is conducted and tracked by TWD. It consists of a series of training modules related to the many facets of customer service. The core training module includes de-escalation tools to avert and minimize conflict, diffuse anger, and to manage situations of inappropriate customer behavior, and focuses on operator safety in situations that could become violent. CTA is currently finalizing the curriculum and materials and plans to train Bus and Rail Operators, CSAs & CSRs, maintenance and safety personnel over the next three years.

6.1.21.11 Prepare, Observe, Assess, Respond (POAR) Training

POAR training is conducted and tracked by TWD. It is provided to all security-sensitive employees and meets TSA curriculum requirements. The curriculum focuses on security awareness and the ability to detect anomalies in the operating environment through preparedness, observation, assessment, and response.

6.1.21.12 Incident Command System

The CTA utilizes the Incident Command System (ICS), a component of the National Incident Management System (NIMS), for emergency response coordination and control. The CTA practices ICS in managing transit emergencies. Awareness and practice of the system also allows CTA personnel to work effectively with other first responders. The EPP describes the ICS training requirements that apply to CTA personnel according to their position.

Some personnel receive the training through a stand-alone certification class. For others, such as Rapid Transit Operators, CTA has integrated the needed ICS training into the training for that qualification. The following ICS courses are accounted for in the requirements stated in the EPP:

- A. ICS 100-is an introduction to the Incident Command System (ICS) and the foundation for higher level ICS training. This course describes the history, features and principles, and organizational structure of the Incident Command System. It also explains the



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- relationship between ICS and the National Incident Management System (NIMS).
- B. ICS 200- provides a more in depth understanding of the ICS. It is designed for personnel who are likely to assume a supervisory position within the ICS. Participants must complete ICS 100 before attending the ICS200 training.
 - C. ICS 300 - provides training and resources for personnel who may assume a supervisory role in advanced incidents that may involve a transfer of command or a multi-jurisdictional response.
 - D. ICS 400 - covers complex incidents and resource management in a greater depth. ICS 100 and 200 are prerequisites to this training, as are IS 700 and IS 800.
 - E. IS 700 and IS 800-both cover the National Incident Management System.

See below chart for required Incident Command System by Job Classification:

Job Classification	ICS Training Requirement
Customer Service Representative or Assistant	TSA Prepare Observe Assess Respond (POAR) Training
Servicer	TSA Prepare Observe Assess Respond (POAR) Training
Janitor	TSA Prepare Observe Assess Respond (POAR) Training
Car Repairer	TSA Prepare Observe Assess Respond (POAR) Training
Rapid Transit Operators (RTO)	ICS 100 & ICS 200
Supervisor	ICS 100 & ICS 200
Instructor	ICS 100 & ICS 200
Controllers	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Administrative Manager	ICS 100 & ICS 200
Transit Operation Manager	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Manager/Senior Manager Instruction	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Safety Department Personnel	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Safety Training Specialist & Coordinators	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Security Services	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Control Center Manager	ICS 100, ICS 200, ICS 300, ICS 400, IS 700



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Director, General Manager or Senior Manager of any Department which would serve a primary or supporting role during an emergency	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & 800
Director, Training and Instruction	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Chief Transit Officer	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Chief Operating Officer	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Chief Safety & Security Officer	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Chief Infrastructure Officer	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Chief Administrative Officer	ICS 100 & ICS 200
Chief Finance Officer	ICS 100 & ICS 200
Chief Planning Officer	ICS 100 & ICS 200
K-202 Emergency Crew	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Vice President, Security	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Vice President, Safety	ICS 100, ICS 200, ICS 300, ICS 400, IS 700 & IS 800
Vice President, Training and Workforce Development	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Vice President, Facilities Maintenance	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Vice President, Operations	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Vice President, Purchasing	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Vice President, Infrastructure Maintenance	ICS 100, ICS 200, ICS 300, ICS 400, IS 700
Vice President, Technology	ICS 100 & ICS 200
Vice President, Human Resources	ICS 100 & ICS 200
Executive Staff	G-402 Incident Command System (ICS) for Executives Senior Officials

6.1.22 Safety Department Training

Transit System Safety Officers, Senior Transit System Safety Officers, and Duty Managers are CTA personnel qualified to perform event investigations in the Safety Department. Investigators are required to successfully complete courses conducted by qualified instructors from the U.S. Department of Transportation. These courses provide knowledge and skills such as: the integration of safety throughout a transit organization; behavioral safety methods; hazard analysis, evaluation, and mitigation; identification of hazards and unsafe practices, fatigue awareness and organizational safety; accident investigation tools and methods, evidence analysis and documentation; evidence interpretation; mathematical formulas to determine speed estimates; field sketching; witness interview techniques; scene



photography; and assembly of documentation into a report format.

Additional qualifications and competencies for members of the Transit Safety unit include:

- A. Must complete OSHA 30 Hour General Industry Safety and Health Certification.
- B. Required to pass NIMS Incident Command 100, 200, & 700 Certifications.
- C. Required to pass ICS 300, 400 Certifications.
- D. Required to complete TSI courses needed for Transit Safety and Security Program (TSSP) Certificates.
- E. Required to participate in Operator training.
- F. Must possess general knowledge of the methods and practices of accident investigations, analysis, and/or data compilation.
- G. Must possess general knowledge of research methods and report presentation.
- H. Must possess general knowledge of CTA transit operations, facilities, vehicles, rules and standard operating procedures.

6.1.23 Public Transportation Safety Certification Training Program

The Federal Transit Administration issued a final rule [49 CFR Part 672](#) for the Public Transportation Safety Certification Training Program to provide minimum training requirements for personnel and contractors who conduct safety audit and examinations of transit systems and for personnel and contractors who are directly responsible for safety oversight. The final rule effective date as of August 20, 2018.

The following designated job classifications in the Safety Department must comply with the federal regulation (Mandatory Program) to complete the Public Transportation Safety Certification Training Program (PTSCTP) within three years of the effective date of the final rule to complete the initial training requirements under the final rule:

- A. Chief Safety & Security Officer
- B. Vice President, Safety
- C. General Manager, Occupational, Environmental Safety
- D. General Manager, Transit Safety
- E. General Manager Safety Programs & Culture
- F. General Manager, Fire Protection, Emergency Preparedness
- G. General Manager Construction Safety
- H. Senior Manager, Emergency Preparedness
- I. Senior Manager, Environmental Safety
- J. Senior Manager, Safety Analysis & Compliance
- K. Senior Manager, Safety Management System
- L. Senior Manager, Transit Safety
- M. Senior Project Manager, Vehicle Safety Certification
- N. Senior Manager Construction Safety

6.1.23.1 Initial Training

Individuals required to receive PTSCTP certification will contact the FTA directly at FTASafetyPromotion@dot.gov to receive their Individual Training Plan (ITP). The following minimum training courses required under the Public Transportation Safety Certification Training Program Final Rule:

- A. SMS Awareness (One-hour course; e-learning delivery)
- B. SMS Safety Assurance (Two-hour course; e-learning delivery)
- C. SMS Principles for Transit (20 hours)
- D. TSSP curriculum (minus Transit System Security (TSS) (Course credit will be provided if



a participant has a Course Completion Certificate for TSSP courses prior to enrolling in the Training Program)

- a. Transit Rail System Safety (36 hours)
- b. Effectively Managing Transit Emergencies (32 hours)
- c. Transit Rail Incident Investigation (36 hours)

6.1.23.2 Re-Fresher Training

In accordance with [49 CFR Part 672.11\(b\)](#) designated personnel which have completed the required initial training and have received PTSCPT certification are required to complete refresher training every two years. The refresher training shall consist of successful enrollment in and completion of the course titles “SMS Awareness,” offered by the U.S. Department of Transportation’s Transit Safety Institute (TSI). Employees who have completed the refresher training course shall submit this page of the ASP along with their TSI “SMS. Awareness” completion certificate to FTA at FTASafetyPromotion@dot.gov.

6.2 Roadway Worker Protection

In accordance with the Roadway Worker Protection (RWP) Manual, CTA established procedures for any worker entering the CTA rail roadway to follow in order to protect themselves from passing trains and on-track equipment. The RWP manual will be enforced anytime a CTA employee, Consultant, Contractor or third party is within the RWP envelope or when it is deemed necessary by the CTA in order to protect roadway workers. Adherence to this manual does not relieve any individual(s) to other responsibilities or contract requirements not mentioned herein.

The RWP Manual is a living document that is subject to continuous editing, updating, and refinement; as needed. As a living document, significant revisions that may introduce a potential hazard or risk will be reviewed by Executive Management with formal approval prior to its implementation.

Safety is the responsibility of each and every employee working on the CTA rail roadway. Each such employee shall know, understand and comply with the procedures.

6.2.1 Contractor Safety

Working on or Near Rail Transit-Controlled Property

All CTA personnel and contractors who work on or near the rail system right-of-way are required to adhere to the Rail System Rules, Safety Rules, the Safety Manual for Construction On, Above, or Adjacent to the CTA Rail System and rail SOPs, and to successfully complete the Rail System Safety Training.

CTA project managers are responsible for the coordination of outside workers obtaining and maintaining the necessary certification.

In addition, all CTA personnel and contractors are expected to comply with the Illinois Department of Labor, Occupational Health and Safety Act and applicable Federal Occupational Safety and Health Administration (OSHA) standards when working on or near the right-of-way. The Construction Safety group reviews contractor safety plans, which are part of the CTA's general conditions for construction projects.

CTA Managers and personnel in Safety, Project Mangers, as well as contractors', Construction Managers, conduct field observations and audits of work sites to ensure that construction work



performed on CTA property by CTA contractors and subcontractors are in compliance with all local, state, and federal regulations.

Prior to entering the right-of way workers must notify the Control Center Operations by radio and receive permission from the Rail Controller to enter and work on the right-of- way. The notification and permission process make the CTA aware of the location of workers. It applies also to contractors who, additionally, may not enter the right-of-way unless escorted by properly trained CTA personnel.

Coordination with CTA and its various Departments is required prior to the start of any work that may affect CTA Operations and/or supporting infrastructure. It is the responsibility of the contractor/owner to contact the CTA to determine any requirements in order to receive approval to proceed. CTA's Adjacent Construction Manual and Right-of- Way Requirements documents include such requirements along with general guidance.

6.2.2 Training for External Agencies

All CTA Contractors who work on or near the rail system Right-of-Way are required to successfully complete Rail System Safety Training. Emergency first responders (e.g. Chicago Police Department (CPD) officers who are directly assigned to patrol the CTA) are provided Rail System Safety Training. CTA provides a video version of this training for use by CPD and suburban police departments, for police officers whose duties may require them to access the CTA Right-of-Way or rail yards. CTA provides familiarization training to first responders, which includes information about CTA vehicles and facilities, the traction power system and control procedures, and emergency command and communication procedures among other topics.

6.3 Safety Communication

CTA is committed to a positive safety culture through communication of safety and safety performance information throughout the Authority. Every safety policy and procedure developed considers how it will impact employees ' roles and responsibilities. To that end, effective communication of safety risks is critical and a key component of the safety culture.

6.3.1 Reporting Culture

Management, employees or contractors can freely share safety information without punitive action.

CTA has developed several methods to communicate safety and safety performance information. In addition, to communicate information on hazards and safety risks relevant to employees' roles and responsibilities, including but not limited to:

- A. Safety Communication Boards
- B. TV Monitor
- C. Safety Bulletins (distributed as needed)
- D. General Bulletins
- E. All Hands Email Safety Notifications (distributed as needed)
- F. Safety Directives (distributed as needed)
- G. Toolbox Talks
- H. Safety Blitzes
- I. Rail Safety Week
- J. Safety Committees
- K. Rap Sessions



- L. Safety Training
- M. Refresher Training
- N. New Employee Orientation
- O. Tap Boxes
- P. CTA Newsletter

6.3.2 Safety Responsibilities by Role

Employees:

- A. Work safely.
- B. Follow laws, rules, procedures and policies established by the CTA or local, state or federal authorities.
- C. Assist customers in being safe.
- D. Identify and report any hazards, near misses, injuries and unsafe acts, equipment or conditions.
- E. Maintain training and certification for job responsibilities.
- F. Request and utilize resources (equipment, training) necessary to implement safe practices.

Management:

- A. Work safely.
- B. Identify, mitigate and report any hazards, near misses, injuries and unsafe acts, equipment or conditions.
- C. Support the participation of employees in the safety risk management process.
- D. Request and utilize the resources (equipment, training) necessary to implement safe practices.
- E. Monitor and enforce compliance with laws, rules, procedures and policies established by the CTA or other authorities.
- F. Participate in the event investigation process.
- G. Conduct investigations of employee injuries.
- H. Execute and improve upon management systems designed to promote safety.
- I. Maintain training and certification for job responsibilities.

Executive Management:

- A. Work safely.
- B. Provide resources necessary to implement safe practices.
- C. Approve organizational safety rules, procedures and policies.
- D. Establish safety goals and objectives.
- E. Assign safety responsibilities and authority.
- F. Measure the safety performance of groups, functions and systems.
- G. Support and monitor personnel training and certification.
- H. Hold employees and managers accountable for achieving safety goals and objectives.

6.3.3 Safety Committees

CTA has developed several committees to communicate hazard information and safety risks relevant to employees' roles and responsibilities:

6.3.3.1 Construction Coordination Meeting

Rail Operations Capital Oversight leads a weekly meeting to coordinate the activities of contractors, subcontractors, construction management, and CTA operations. The purpose of the meeting is to coordinate construction-related needs and activities such as signage, safety



measures, flagging, and where and when construction activity will be allowed. The meeting includes Rail Operations, Bus Operations, Construction, Project Contractors and Construction Managers, Safety, Government and Community Relations, and Media Relations.

6.3.3.2 Daily "Flash" Meeting

Monday through Thursday, CTA Executive Management and managers gather to jointly review key safety and operational performance indicators. The Performance Management Department prepares a summary of data pertaining to the previous day or weekend, including data to contextualize the information, such as comparisons to the previous time periods. Some data directly safety related, such as the incidence of safety violations or accidents. Some pertains to safety less directly, such as elevator uptime, the incidence of vehicle defect reports, or customer complaints. Department heads share situational details and analysis. Discussion about an event or trend may result in one or more departments taking responsibility for additional analysis or follow-up action. The Accountable Executive or designee chairs the meeting.

6.3.3.3 Executive Safety Committee

Executive Safety Committee meetings are a forum to discuss strategic safety objectives. The purpose is to review hazards that have been unable to be mitigated at the local safety committee meetings because of cost, resources or time constraints. The Executive Safety Committee will secure executive attention to specific safety issues, especially those that require the commitment of significant or shared resources and management attention in order to achieve and maintain the desired safety improvement. Meetings are held monthly on the 3rd Friday of the month and are led by the Chief Safety & Security Officer. A quorum of six (6) participants is required for the meeting. Attendance is required by:

- A. Chief Infrastructure Officer
- B. Chief Administrative Officer
- C. Chief Technology Officer
- D. Chief RPM
- E. Chief Transit Officer
- F. Chief Financial Officer
- G. Chief Internal Auditor
- H. Chief Operating Officer
- I. Chief Innovation Officer
- J. Vice-President, Safety

Meeting agenda and minutes of each meeting are documented and housed on the SMS SharePoint site.

6.3.3.4 Fire, Life Safety & Security Committee

The CTA Fire, Life Safety & Security Committee (FLSSC) meets on a bi-monthly (every two months) schedule. The committee develops the framework of CTA centric emergency exercises and coordinates the CTA's participation in other stakeholders' exercises. The FLSSC Committee is made up of representatives of CTA Department and outside agencies including CPD and CFO. The committee members review the After-Action Reports of current CTA or media transit events and develop action items which feed into the SRM or SA activities. This committee also has participants from CTA Capital Projects to identify any hazards arising from these projects in order to eliminate or develop mitigations in the design or early construction phases.

6.3.3.5 Hazard Log Meeting Committee

The Safety Department chairs a monthly meeting to review progress on items that have been



entered into the agency-wide safety risk management process, and to review new hazards for inclusion in the process. The committee meeting is attended by representatives from Bus/Rail Operations, Vehicle Maintenance, Facilities Maintenance, Power & Way Maintenance, and Training and Workforce Development. The Safety Department maintains a log of the hazards considered by the committee and the status of mitigations pertaining to each.

6.3.3.6 Infrastructure Employee Safety Committee

Once a month, Infrastructure Maintenance hosts an Employee Safety Committee meeting where representatives from each trade group meet with management to review new hazards and concerns reported by the workforce. These concerns are documented on a hazard log kept by the department, and resolutions are discussed. Issues that cannot be easily resolved are raised to the Management Safety Meeting for further discussion and review.

6.3.3.7 Infrastructure Safety Meeting

Every other week, the Vice President of Infrastructure Maintenance meets with Senior Managers in the department, which includes Facilities Maintenance, Signal Maintenance, Structure Maintenance, Substation and Power Maintenance and Utility Services, to discuss safety issues, review and assess recent IODs, and review progress toward closing audit findings. Safety is invited to this meeting and regularly participates.

6.3.3.8 Joint Labor Safety Committee

The CSSO chairs the Joint Safety Committee, which consists of equal part members of the Amalgamated Transit Union (ATU), Locals 241 and 308, and management representatives. The committee meets quarterly to identify safety deficiencies, mitigations that may be ineffective or not performing as intended and recommend risk-based mitigations or strategies necessary to reduce the risk of safety concerns elevated through the SRM process. In addition, Joint Safety Committee is responsible to review and approve revisions to ASP. This committee is a new requirement introduced through the Bipartisan Infrastructure Law's changes to 49 USC 5329(d). CTA is currently in the process of standing up this committee.

6.3.3.9 Joint Labor/Management Safety Committee

Rail Operations chairs the Joint Labor/Management Safety Committee, in partnership with the Amalgamated Transit Union (Union Local 308). The Committee consists of representatives of Rail Transit Operations, Rail Vehicle Maintenance, Facilities Maintenance, Power & Way Maintenance, Safety and Labor Relations. It meets quarterly to review safety-related matters identified and shared in advance by either party.

6.3.3.10 Rail Operations/Safety Meeting

Rail Operations chairs a monthly meeting that includes Safety and representatives of CTA Departments. The primary purpose is to review safety violations, check for patterns or trends and discuss mitigation strategies to reduce events on the Rail System.

6.3.3.11 Safety & Security Review Committee

The CTA forms Safety & Security Review Committees (SSRC) for each major capital construction project that is subject to the Safety and Security Certification process. The purpose is to assist the CTA and its consultants and contractors by providing direction on the Safety and Security Certification Process. Each SSRC meets monthly or as needed.



6.3.3.12 Standard Operating Procedures Committee

Training and Workforce Development chairs the committee for Transit Operations' Standard Operating Procedures (SOP), coordinates the signature and issuance process, and maintains the library of current SOPs. The SOP Committee meets monthly with the aim of reviewing all SOPs at least once in a three-year cycle, in accordance with its charter. The Committee consists of representatives from Rail Operations, Bus Operations, Rail Maintenance, Bus Maintenance, TWO-Instruction, Bus Service Management, Control Center Operations, Safety, ADA Compliance, Infrastructure and Law. Other pertinent departments are included in the committee as the content of the SOPs being reviewed dictates.

6.3.3.13 Vehicle Maintenance Department Safety Committee

The Rail and Bus Vehicle Maintenance departments' co-chair a monthly meeting that includes Safety as well as Facilities Maintenance. Vehicle Maintenance representatives are management personnel from the respective shop and garage facilities, who bring information and status reports from designated safety captains at each vehicle maintenance facility. The meeting agenda typically includes a review of the status of hazards that have required action or resources beyond the shop level, and a review of recent injuries on duty as well as analysis of injury trends.



7.0 Referenced Documents

Plan / Procedure / Manual / Report
Continuity of Operations Plan (COOP)
Emergency Procedures Plan (EPP)
Event Investigation Procedures
Facilities Maintenance Plan
IDOT (IL-SSOA) Program Standards Manual
Roadway Workers Protection Manual
Safety Risk Management Plan
Safety and Security Certification Program Plan (SSCPP)
Security and Emergency Preparedness Plan (SEPP)
SAP: Continuous Safety Improvement Procedure
SAP: Management of Change Procedure
SAP: Mitigation Monitoring Plans Procedure
SAP: Monitoring of Internal Safety Data & Reporting Procedure
SAP: Oversight of Safety Compliance Checks on Rules and Procedure
SOP: 8076 Standard Terms for Completing the Instructor's Time Report
SOP: Corrective Action Plans
SOP: Employee Safety Reporting Procedures
Transit Asset Management Plan (TAM)
Safety Committee Meeting Minutes



8.0 Table of Regulatory Compliance

49 CFR Part 673		
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.	Agency Safety Plan Approvals
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.	The ASP in entirety
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.	Sec. 2.4
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.	The ASP in entirety
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.	Sec 2.9-10
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.	Sec. 3.4
673.13(a)	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.	Sec. 2.11
673.13(b)	On an annual basis, a transit agency, direct recipient, or State must certify its compliance with this part.	Sec 2.8
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.	Sec. 2.13
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.	Sec. 2.12
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.	Sec. 3.2
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.	Sec. 3.3
673.23(c)	The safety management policy must be communicated throughout the agency's organization.	Sec. 3.1.1



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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.	Sec 3.2.1
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	Sec 3.2.2
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.	Sec. 3.2.3
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.	Sec 3.2.4
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.	Sec 4.1
673.25(b)	Safety hazard identification. (1) A transit agency must establish methods or processes to identify hazards and consequences of the hazards. (2) A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA.	Sec. 4.2
673.25(c)	Safety risk assessment. (1) A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards. (2) A safety risk assessment includes an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.	Sec. 4.3-4
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	Sec 4.5
673.27(b)(1)	Safety performance monitoring and measurement. A transit agency must establish activities to: --- Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;	Sec 5.1
673.27(b)(2)	Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;	Sec 5.3
673.27(b)(3)	Conduct investigations of safety events to identify causal factors; and	Sec 5.4
673.27(b)(4)	Monitor information reported through any internal safety reporting programs	Sec 5.6
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.	Sec 5.9 Appendix



Chicago Transit Authority Agency Safety Plan – Safety Management System for Rail

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.	Sec. 5.9
673.27(d)(1)	A transit agency must establish a process to assess its safety performance	Sec. 5.14
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.	Sec 5.14 - 15
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.	Sec 6.1
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.	Sec. 6.3
673.31	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.	Sec 3.5



APPENDIX A

Overview of CTA and Transit Services



Overview of CTA and Transit Services

The Chicago Transit Authority (CTA) operates the second largest public transportation system in the United States, covering the City of Chicago and 35 surrounding suburbs. The agency provides 83% of public transit trips in the six-county Chicago region, providing approximately 1.7 million rides on an average weekday.

CTA's governing arm is the Chicago Transit Board, which consists of seven members, four appointed by the Mayor of Chicago and three by the Governor of Illinois. The CTA is an independent governmental organization created by State of Illinois legislation in 1945. CTA began operations in 1947 after acquiring the properties of the Chicago Rapid Transit Company and the Chicago Surface Lines. In 1952, CTA became the sole operator of Chicago transit when it purchased the Chicago Motor Coach system.

Scope of Transit Services

The CTA is the second largest public transportation system in North American. It is a multi-modal transit system that operates rail transit services. On the rapid transit system, CTA's 1,472 rail cars operate eight routes and 224.1 miles of track. CTA trains make about 2,318 trips each day and serve 145 stations.

CTA Rail System Facts	Numbers
Number of Rail Stations	145
Annual Rail Miles Traveled	74,221,231
Annual Revenue Hours	4,117,097
Average Daily Weekday Ridership	610,500
Average Daily Saturday Ridership	425,900
Average Daily Sunday Ridership	318,900

Operational Features of the Rail Lines

Red Line

The Red Line is the CTA's most heavily used rail line. It operates seven days per week, 24 hours per day on a north-south alignment over the roughly 22 miles between Howard Street (7600 North/1700 West) and 95th/Dan Ryan (9500 South/0001 West). The State Street subway constitutes the downtown, central portion of the Red Line.

North of the State Street Subway, the Red Line right-of-way is on a rigid steel elevated structure and an elevated embankment. South of the State Street Subway, the Dan Ryan connector and a short adjacent elevated section link the tracks with the Red Line Dan Ryan Branch. There are no grade crossings on the Red Line. There are 33 stations on the Red Line, with an average spacing of 3,500 feet (2/3 mile).

Purple Line

The Purple Line is a shuttle service, which operates Monday through Friday from approximately 0425 hours to 0210 hours, Saturday from approximately 0505 hours to 0215 hours and Sunday from 0605 hours to 0145 hours. The Purple Line operates on a north- south alignment four miles



from Linden Terminal in Wilmette, IL, to Howard Terminal in Chicago (Evanston Branch), which is a transfer point for the Red and Yellow Lines. At Linden, the Purple Line right-of-way is at grade. It rises to elevated embankment before Central Station and continues on the elevated embankment to Howard Terminal.

There are two grade crossings on the Purple Line, at Isabella and Maple Streets in Wilmette. There are nine stations with an average spacing of 2,310 feet (approximately ½ mile).

The CTA runs weekday rush-hour express service on the Purple Line between Linden and the Loop. Express trains serve each Purple Line station and make the same stops as the Brown Line between Belmont Station and Merchandise Mart. The Purple Line express service is approximately 30.46 round trip miles and serves all Loop stations.

Yellow Line

The Yellow Line connects the Skokie Station (8800 North/5200 West, Skokie, Illinois) and the Oakton Station to Red and Purple Line service at Howard Terminal. The Yellow Line trains operate seven days per week between 0445 hours to 2315 hours on weekdays, and from 0615 hours to 2315 hours on Saturdays and Sundays. Yellow Line trains travel the roughly five miles between the Skokie Station and Howard Terminal in approximately eight minutes.

The northwest portion of the Yellow Line right-of-way in Skokie is at grade. Upon entering Evanston, the right-of-way rises to an elevated embankment and then changes to open-cut depression on the approach to Howard Terminal.

There are seven grade crossings on the Yellow Line: Niles Center Road (8500 North), Main Street (8400 North), Searle Parkway (8155 North), Oakton (8000 North), Kostner (4400 West), Crawford (4000 West) and East Prairie (3900 West).

Blue Line

The Blue Line is the longest CTA rail line, totaling almost 28 miles. The Blue Line has 33 stations and is the second most heavily traveled CTA rail route.

Blue Line trains operate seven days per week, 24 hours a day. Blue Line trains travel between O'Hare International Airport and the Forest Park Terminal in a northwest- southeast alignment. It provides Blue Line passengers access to downtown Chicago using the Dearborn Subway. Blue Line trains traveling west exit the Dearborn Subway in the Eisenhower Expressway median near Halsted Street (800 West). There is a junction at Loomis (1400 West) which gives the CTA an option of rerouting during emergencies. Trains continue due west along the Forest Park Branch, in the Eisenhower Expressway median, to Forest Park (Des Plaines) Terminal in the western suburb of Forest Park. A connector track (Paulina Connector) on inclined elevated structure extends from Harrison Junction to Loomis Junction.

Pink Line

The CTA's Pink Line operates from approximately 0405 hours to 0125 hours on weekdays and 0500 to 0125 on weekends. The line has a maximum scheduled headway of 15 minutes, and an average weekday ridership of approximately 19,414.

From the terminal at 54th Avenue and Cermak Road in Cicero, IL, the Pink Line uses the tracks of the Cermak Branch until it reaches the Paulina Connector where it joins the Lake Branch to the Loop, where it shares the west and north inner Loop with the Orange and Purple Lines during rush hour.



The track is at grade from the 54th/Cermak terminal until nearly one block east of Kildare Avenue where it is on an inclined embankment. The remaining track, through the Loop and back, is on elevated structure.

The Pink Line serves 22 stations. An additional five stations are accessible on the Pink Line and are on tracks that are shared with the Green/Orange/Purple lines. There are 10 grade crossings on the Pink Line, all on the Cermak Branch: Kildare Avenue, Kostner Avenue, Kilbourn Avenue, 47th Avenue, 47th Court, Cicero Avenue, 49th Avenue, 50th Avenue, Laramie Avenue, and 54th Avenue.

Brown Line

The Brown Line operates between Kimball Terminal (4800 North/3400 West) and the eight Loop elevated stations, via the Ravenswood Connector, Monday through Saturday from approximately 0400 hours to 0130 hours and Sunday from approximately 0500 hours to 0130 hours. When Loop service is discontinued, a Brown Line shuttle service operates between the Kimball Terminal and the Belmont Red Line as follows:

- Monday through Saturday from 0400 hours to 0200 hours.
- Sundays and holidays from 0500 hours to 0100 hours.

The Brown Line is approximately 10 miles. It has 27 stations with an average spacing of 1,841 feet. The Brown Line is at grade from the Kimball Terminal to Rockwell Station. The rest is primarily rigid steel elevated structure. There are six grade crossings on the Brown Line located at Rockwell, Francisco, Sacramento, Albany, Kedzie and Spaulding.

Orange Line

The Orange Line operates on a northeast-southwest alignment between Midway Terminal (5900 South/4600 West) on the southwest side and the eight Loop elevated stations, connected by the South Side Elevated Branch, Monday through Friday from approximately 0400 hours until 0125 hours, and Saturday and Sunday from 0430 hours to 0125 hours. The Orange Line is about 11.2 miles and has 16 stations with an average spacing of 3,458 feet. There are no grade crossings on the Orange Line

Green Line

The Green Line operates Monday through Friday from approximately 0350 hours to 0100 hours, and from approximately 0455 hours to 0100 hours on Saturdays and Sundays. The Green Line is the oldest line in the CTA rail system; the alignment and some portions of the structure are more than 100 years old.

All Green Line trains serve the Lake Branch, which operates between Harlem Terminal in the western suburb of Forest Park, IL and the Loop on an east-west alignment parallel to or over Lake Street. Except for 2.5 miles of elevated embankment in Oak Park and Chicago, between Harlem (7200 West) and near Laramie (5200 West), the Green Line is on rigid steel elevated structure.

Upon leaving the Loop headed South, all Green Line trains proceed on the South Side Elevated Branch to 59th Junction (5900 South/344 East). South of the 59th Junction, trains either travel the Ashland Branch to the Ashland/63rd St. Station or the East 63rd Branch to the Cottage Grove station.

The Lake/Ashland/63rd route is approximately 19 miles and the Lake/Cottage Grove route is



approximately 17 miles. There are 26 stations on the shared portion of the Green Line and two stations on each of the Ashland and East 63rd Branches. There are no grade crossings on the Green Line.



Appendix B

Description of the Rail System



Physical and Safety Elements of the Rail System

This section describes the physical elements of the CTA's rail system, including elements required for safe, dependable, and efficient service.

Track and Structure

The CTA operates and maintains approximately 224 miles of mainline revenue tracks and about 41 miles of track on various sidings, middle tracks and in 12 storage yards. The mainline track includes 131 miles (54%) on ballasted roadbed, 88 miles (35%) on elevated structure and 24 miles (11%) in the subway.

There are approximately 53 miles of open-deck structure to maintain (105 track miles, or the equivalent of 6,347 single spans). In addition, there are 115 bridges and viaducts over streets, highways, and waterways, and 64 elevated stations.

The CTA track system is on dedicated right-of-way and is not intended for public access. The safety features noted here are designed to protect people interacting with the system in the event of an incident or accident, or workers on the right-of-way.

Select Systems-Track	Safety Designs
Third rail	Normally placed away from the platform edge and on the opposite side of the track to reduce the likelihood of contact by passengers falling on the tracks.
Closure planks (baby boards)	Placed at track level on the elevated structure, underneath the entire platform edge to prevent falls from the structure to the street.
Steel Inner Guard (SIG)	Located at track level to protect passengers and property in case of a derailment adjacent to the station.
Automatic Train Control (ATC)	Provides speed control, based on information from the rail vehicle cab signaling system, in Interaction with the track signal system
Worker Ahead Warning System	Installed in sections of track with low visibility, this system provides additional levels of protection to workers on the right-of-way. The system signals rail operators of the presence of workers, and steps down the allowable track speed in that area.

Subways

The CTA operates through five subways that span 24 track miles. The subways are the State Subway, opened in 1943; the Dearborn Subway, opened 1951; the Milwaukee/Kimball Subway, opened in 1970; the O'Hare Subway and Tollway Tunnel, opened in 1983; and the Howard-Dan Ryan Connector Subway, opened in 1993.

Several subway life-safety features were designed to enable a subway evacuation. These features have been in existence since the subway facilities became operational and have served as intended. Additional specific features include:



Select Systems-Subways	Safety Designs
Location markers	Signs with a black background and reflective white lettering and numbering are installed 100 feet apart to indicate subway, track, and location. Each marker sign has letters on it indicating which track in which subway it is on. Numbers indicate distance, with the lowest number at the south end of the subway and the highest number is at the north end of the subway. The signs are mounted on the subway wall on each track, just above rail car height and project out from the wall.
Distance and direction signs	Between exits, distance or direction signs are located on the subway walls at eye level along the foot walk. The signs display the distance in each direction to the two nearest exits. The signs are mounted every 100 feet along the subway wall and distances are displayed in 100-foot increments. Most of these signs show the nearest track location number at the bottom of the signs.
Emergency walkways	Emergency walkways are provided at platform and car-floor level with wall mounted handrails. These walkways, which vary in width from 26 inches to almost 7 feet, run throughout the length of each of the O'Hare, Howard-Dan Ryan, State and Dearborn subways. Track-level walkways run throughout the length of the Milwaukee/ Kimball Subway and Tollway Tunnel.
Emergency exits	All subway emergency walkways connect with station platforms or lead to an emergency exit, providing access to street level. There are exits at approximately 1,000-foot intervals throughout each subway tunnel. Emergency exits are located in the subway between station facilities. There are 46 emergency exits and routes (typically stairways) leading to street level. Signs at each level indicate the number of levels to street level.
Street-level exit doors	Street-level exit doors on these routes are counter balanced and equipped with emergency hardware so they can be easily opened from within. These exits can also be opened from the outside by authorized personnel or emergency responders.
Exit signs	Exit signs are located on each side of the emergency exit openings near track level. An additional standard illuminated exit sign (red letters on a white background) is located at each exit. An exit sign is also at the top of the exit stairs at street level inside the exit door. These signs show the corresponding street address, the subway letter and the nearest track location marker.
Exit lights and speakers	<p>Emergency evacuation exit light and speakers are in the State, Howard-Dan Ryan, and Dearborn subways. They consist of a flashing blue strobe light and speakers mounted on the subway walls at every emergency exit in these three subways. When activated, the blue strobe light flashes and the speakers announce repeatedly, "The emergency exit is located at the flashing blue light." The lights and speakers are only activated</p> <ul style="list-style-type: none"> • During evacuation of customers through the emergency exits. • When CTA personnel make an emergency request for activation (after identifying themselves by call number over the two-way radio or by name and badge number over a telephone). • During periodic maintenance and testing by authorized personnel. • During an evacuation, in coordination with the Power Controller (who controls the light operation), the Rail Controller will instruct personnel at the scene on which direction to travel to get to the designated emergency exit.
Cameras	Cameras are located at strategic points throughout the subways, including near emergency exits at platforms, etc.



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Telephones	Subway telephones are located every 400 to 1900 feet throughout the subways and at every emergency exit. At station platforms, the telephones are in a metal cabinet at each end of the platform. Between stations and at emergency exits, the telephones are "hands free" (no hand set necessary) and are mounted directly on the subway wall. The telephones are labeled with the subway location number and CTA telephone extension number and are identified by a steady blue light located adjacent to each phone. When pressed, the red button identified as "Emergency" or "Help" connects directly to the Power Controller. The black button allows access to a dial tone, the keypad and CTA telephone extensions.
Mobile phone	The CTA installed equipment in the subways that makes cellular transmission possible. While the CTA's primary means of communications in the subway is two-way radio, mobile phone service provides the CTA with an important redundancy.
Pumps	Drainage pumps are strategically installed to remove water in the subways. The pumps cycle on and off automatically to keep water levels at a minimum. However, if a pump foils, or the amount of water is too great for the pumps to manage, the rising water level will trigger a highwater alarm, consisting of a red rotating flashing light and an alarm bell. The Power Controller also receives an alarm in the SCADA system. The audible and visual alarms in the tube provide a backup in case the alarm does not appear at the Controller's console. Any personnel that hear or see an activated highwater alarm in the subway must immediately notify the Control Center.
Ventilation system	Fans and louvers are located throughout the subway as a ventilation system which can be locally controlled or remotely controlled from the Control Center. This system, in conjunction with passive pressure relief shafts at either end of the rail stations, provides for minimal air changes throughout the subway.

Traction Power

The heart of the CTA's traction power distribution system is 64 electrical substations, which are used to transform 12,500 volts alternating current into 600 volts direct current in order to power the traction motors of CTA rail cars and operate all the carborne auxiliary systems. A network of cables supplies the 600 volts direct current to the third rail system and additional cabling provides the negative return path from the running rails back to the substations. CTA purchases electricity from Exelon/Constellation and it is distributed by ComEd. The CTA monitors and controls all traction power and substation feeds from its Communications and Power/Control Center Operations, using Supervisory Control and Data Acquisition (SCADA) equipment.

Signal System

The purpose of the rail signal system is to control the speed of travel and to protect trains from colliding on the same route, from the dangers associated with interlockings, where train routes intersect, and to separate train traffic from other vehicles and pedestrians at grade crossings. Train traffic is controlled using advanced technology to achieve the highest level of safety while delivering the speed necessary to provide service to millions of riders. CTA's signal system allows the safe operation of trains over CTA mainline revenue tracks at speeds up to 70 mph with intervals between trains as close as 90 seconds. Currently, rail car speed is limited to 55 mph.

Each of the various signal systems is designed to fail safe. If the cab signaling or automatic train control (ATC) frequency is not present in the running rails, the carborne ATC equipment will interpret the condition as a signal to stop. Operating rules determine whether or not a train may travel more than 15 mph, and the CTA has provisions for the manual override of each signal system, as may be needed in certain situations and only when authorized by the Control Center Operations.

Interlocking plants can be controlled manually or automatically. Control relays are located in relay houses strategically located along the right-of-way or near interlocking locations. At some



interlockings on the CTA rail system, conflicting train movements occur frequently, so CTA stations a Tower Worker to operate the interlocking plant during periods of heavy train traffic.

Communication System

The rail system communications system includes more than 5,000 telephones installed along the right-of-way and in facilities. More than 4,000 portable radios are part of the system, along with more than 125 vehicle-mounted radios.

The CTA two-way voice and data communication system operates over electrical and electronic systems and equipment located throughout CTA facilities. All communications equipment must operate consistently and reliably to serve its operations, maintenance and management users. Communications at the rail platforms can travel via the CTA owned fiber optic network or the Public Switch Telephone Network (PTSN) for redundancy.

The CTA has installed approximately 4,700 video surveillance cameras at CTA facilities. These can be monitored and accessed by the CTA from the Communications/Power Control Center Operations and from CTA Headquarters. The City of Chicago Office of Emergency Management and Communications (OEMC) also can monitor or access the CTA cameras from its facility. The CTA's newest rail cars, the 5000 series, are equipped with cameras and the CTA has retrofitted its other series of rail cars (3200-series), for a total of approximately 9,780 onboard rail cameras.

Each rail station has a paging system and multiple cameras (depending on the size and geography of the station itself) for safety and security. Stations have platform and station mounted emergency telephones, customer information signage that includes arrival time for trains and an internet protocol (IP) based infrastructure that allows the CTA to add any additional IP based devices necessary for the safety and security of its customers.

Rail Stations

Currently, there are 145 passenger stations on the CTA rail system, 12 of which serve as transfer points between different lines. The CTA has a variety of station configurations because they were designed and constructed during a period of more than 100 years. Currently, 101 stations are wheelchair accessible.

Stations are equipped with the communications technology discussed above. In addition, there is at least one customer assistant booth at each rail station. Each booth is equipped with a telephone and passenger intercom, and all stations are equipped with a public address system. Station platforms exposed to weather elements have heaters and windbreaks.

Rail stations are constructed to be open and well-lit to promote passenger safety and security, for instance by enabling surveillance by station personnel. CTA controls access to ancillary spaces and equipment, right-of-way service buildings and maintenance facilities to protect against unauthorized entry. In addition, specific features of rail stations have been influenced by ongoing attention to passenger safety and security and through the SRM process.

These features include:



Select Systems- Rail Stations	Safety Designs
Platform edge	Majority of station platforms are equipped with 24” wide tactile edge along the entire boarding area to serve as an aid to visually-impaired passengers and to discourage passengers from standing too close to moving trains.
Stairs	Safety non-slip strip nosing feature is installed on most stairs with handrails as protection against falls during bad weather.
Ramps	Provided in some stations for the elderly and disabled passengers. The ramps are equipped with safety railings and landings
Escalators	Reversible and equipped with safety signage, visual movement indicators in the handrail and emergency stop buttons.
Elevators	Installed to comply with the requirements of the Americans with Disabilities Act (ADA), the elevators are equipped with a fire department and maintenance control access key, and an emergency restart feature. Some elevators have a two-way communication intercom with the Control Center.
Access ladders and stairs	Located at all platforms to allow access to and from track level.
Communications	Stations are equipped with public address (PA) systems connected to the Control Center. The PA system is equipped with an automatic sound level controller capable of regulating the amplitude of the audio signal to ensure that the announcement can be heard over the station's background noise.
Signage/Graphics	All are visible, illuminated and installed within stations, on escalators, elevators, and at the end of platforms. “Danger Electric Current” signs are installed under the edge of the platform or along the wall, railing, or fencing opposite the platform and along the right-of-way. Signs providing safety messages to passengers traveling with children are posted at station entrances and on the fare collection equipment.
Infrared heaters	Provided at outside platforms for passenger comfort in winter.
Customer assistant call buttons	Customer Assistant call buttons - Provided in the station and on the platforms for passenger assistance.
Lighting	Sufficient lighting is provided throughout all areas of the station and platform to enhance safety and security with backup emergency lighting at 20 percent normal illumination level.
Exits	Most stations have multiple exits that provide additional ways out in an emergency.
Active life safety systems	Depending on the age of the station and configuration, each has active life safety systems such as emergency lighting and private fire hydrants.

Control Center Operations

The CTA's Control Center Operations monitors system communication and is responsible for 600-volt Traction Power and alternating current power operation. The Control Center Operations supports the CTA's Incident Command Structure during emergencies and assists in transit service restoration. Controllers are assigned to the rail system, power system, security system, bus system and rail customer service representatives. They receive and transmit information concerning service delays, incidents, and emergencies, to appropriate CTA personnel and to outside emergency responding agencies, as necessary. The Control Center Operations houses a situation room which the CTA activates during emergencies or planned events so that operational units can collaborate in person.



The CTA's extensive camera system is accessible to Controllers and is a critical component of the Control Center's ability to monitor the safety, security, and activity of CTA operations during day-to-day activities, emergencies and special events. The Control Center Operations also monitors devices designed to enhance the safety and security of the system, including portal intrusion alarms, subway emergency exit alarms, and subway emergency call boxes.

The CTA uses two-way radios, telephones, and intercoms, (located in stations, terminals and elevators) to allow personnel to communicate with the Control Center Operations, station employees, and with each other. Transit operations employees, supervisors, and managers are issued multi-channel portable radios to facilitate communication. Rail Operations employees on the Red and Blue lines are issued cell phones as a secondary form of communication with the Control Center Operations for use during subway emergencies. Customers in elevators may also talk with rail station or Control Center personnel via an intercom on the elevator control panel.

Control Center Customer Communications Coordinators are responsible for making platform and station announcements throughout the system during events and incidents. Communications Coordinators also update the CTA website with travel information and use social media such as Twitter to communicate delays, service disruptions, or reroutes. In combination with the Bus Tracker and Train Tracker systems, the CTA strives to promptly update its customers regarding improvements and schedule deviations due to special events or emergencies.

Fare Collection

The CTA uses an open fare payment system that accepts multiple forms of payment, including contactless transit cards and customers' personal, contactless credit or debit cards. CTA riders can purchase Ventra contactless cards to pay per ride, or to have unlimited 1, 3, 7 or 30-day passes. Ventra cards can be purchased online or by phone, at all CTA train stations and at more than 1,000 retail locations throughout the CTA service area. Customer Service Assistants and Customer Service Representatives are trained to help customers buy transit cards and assist customers who are eligible to pay with a reduced fare.

Revenue Rail Vehicles

The rail system revenue fleet consists of approximately 1,470 electric-powered rail cars. These rail cars were introduced into service at various times and the design and characteristics vary. However, overall dimensions are the same across all rail car series (48' long, 9'4" wide, and 12' high). All cars are designed as married pairs with motorcabs and duplicate door controls for one-man operation on the outer ends.

Trains consist of one to four units (two to eight cars) each. The number of cars used depends on the rail line and the number of riders CTA serves at different times of the day. The maximum train length for revenue services is eight cars. A train, or "consist," can be made smaller by uncoupling the units. Train lengths are changed at the ends of the rail lines.

Rail cars are operated by a Rapid Transit Operator (Operator) on board who controls all train operations. All of CTA's active passenger and work train rail cars are equipped with cab signaling systems (ATC), a side trip emergency mechanism and end doors, which allows passage between cars in a fire or other emergency. Signs on the end doors discourage passengers from crossing between cars during regular operations. Failsafe principles have been incorporated into the design of rail cars to mitigate injury, damage to equipment or the inadvertent operation of critical systems. Rail cars feature fire-resistant construction materials throughout.



The CTA currently operates four series of passenger cars. They include:

Budd Cars 2600 Series:

The CTA has approximately 519 cars delivered between 1981 and 1987. The seating capacity is 45 in the A car and 46 in the B car. The seating arrangement in the B car was changed to accommodate wheelchairs, and there is one wheelchair position in each car.

Morrison Knudsen 3200 Series:

The CTA has 257 cars delivered between 1992 and 1994. These cars each have a seating capacity of 39. The last 3200 Series rail car is coupled with an odd 2600 Series car. Each car is equipped with a position for a wheelchair.

Bombardier 5000 Series:

The CTA has 714 cars delivered between 2011 and 2015. The 5000 series cars are powered by alternating current traction motors, whereas the other series cars are driven by direct current motors. Seating capacity is 38 and each car is equipped with two wheelchair passenger positions. Failsafe principles have been incorporated into the design of rail cars to mitigate injury, damage to equipment or the inadvertent operation of critical systems. Rail cars feature fire-resistant construction materials throughout.

CRRC Sifang America 7000 Series:

The CTA is currently testing 10 prototype cars. Revenue testing is expected to continue into 2022, with delivery of production cars starting in 2022 and continuing through at least 2024. The base order contract is up to 446 additional cars. Like the 5000 series cars, the 7000s are powered by alternating current traction motors. Seating capacity of 37 and each car is equipped with two wheelchair passenger positions.

Specific features include:

Select Systems- Rail Vehicles	Safety Designs
End doors	A hinged door at each end of each rail car allows operating or emergency personnel to pass between cars of the train. These self-closing doors are latched but not locked
Emergency release passenger doors	There is an emergency door release handle above each of the four side doors in every car. That door can only be released by pulling the handle down. There are instructions and an arrow located on the bulkhead to identify the “release” handle to passengers. On all cars except the 5000 Series, a person can reach through the rubber door edges from the outside to activate the emergency door release.
Door entrance switch	On all rail cars, there is a door entrance switch operated by a key on the exterior of the car located at the fourth door on the 2600 series cars and at the first and second doors of the 3200, 5000, and 7000 series cars. This feature provides for normal crew access but is also available to open one door on each side of the car from the outside in an emergency.
Emergency lights	Emergency lights over each side door illuminate the immediate area. of the car interior when the normal car body lights are off due to an interruption in 600 VDC power. The emergency lights operate on low voltage (40 VDC) batteries.
Grab handles and stirrups	Grab handles and stirrups are built into the ends of the car exterior and between or below the side doors. These help when alighting and boarding the train to and from track level.



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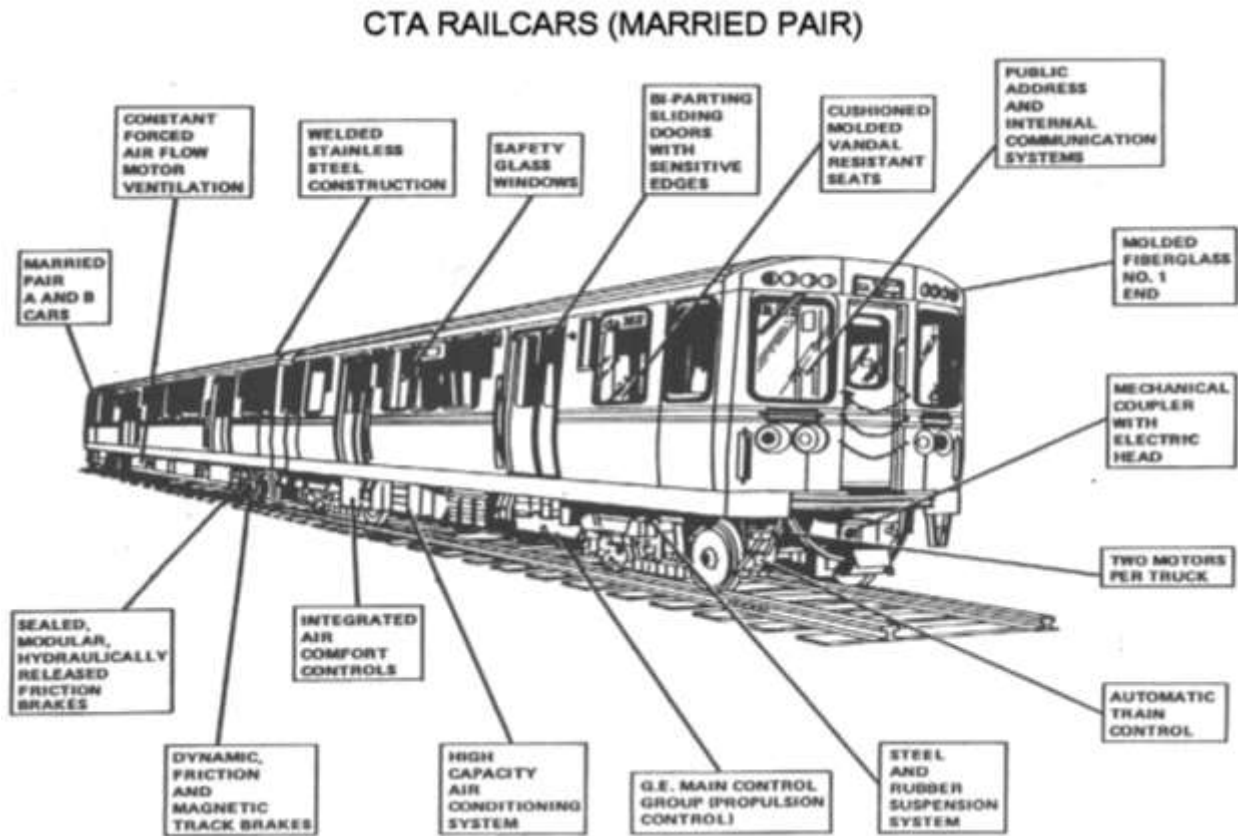
Gangplanks	All cars are equipped with a 2" thick, 8" wide, and 6' long wooden plank to transfer passengers between trains on adjacent tracks. The planks are coated with anti-slip material. The planks are used in pairs, one next to the other, to provide a walkway for passengers.
Obstruction sensing doors	The 2600 and 3200 series rail cars have sensitive door edges. The inboard edge of each side door panel is equipped with a hollow soft rubber section capable of transmitting a signal to an electrical switch. The door panel motion is reversed (door begins to open) when making contact with an object. This door function is disabled when the door panels close less than 2" apart. The 5000 and 7000 Series cars are equipped with interlocking hard rubber door edges and an electronic obstruction sensing system which constantly monitors the position of the door panels, speed of the door motor, load on the motor, and other criteria to determine if there is an obstruction. If an obstruction is sensed, the door panels will open approximately 6" and then attempt to reclose. If the obstruction is still sensed, the cycle repeats until it is removed. The system is able to sense obstructions that are at least 3/8" thick.
Guard chains	Chain sets are installed between rail cars on either side of the end doors to provide added protection for a person crossing between the end doors of adjacent rail cars. Between the cars of a married pair, the chains are permanently attached in this configuration. Between non-married pairs chains are permanently attached to one car and are installed on the adjacent car after the cars are coupled together. For the doors at either end of a train consist; the chains can be attached across the end doorway to prevent people from inadvertently attempting to exit.
Inter-car safety springs	On a rail car consist, three individual springs are installed between the ends of the rail cars, on both sides, to form a flexible barrier between corner posts of adjacent cars to prevent the visually impaired from mistaking the gap between cars for the door opening.
Fire extinguishers	Each car carries one pump water fire extinguisher for use on track fires (wood, paper, etc.) and one dry chemical fire extinguisher for use on electrical fires. Both fire extinguishers are in the motor cab
Safety glass windows	All side windows are constructed of laminated safety glass. The front windows are high-strength impact glass resistant to a typical frontal impact.
Public address system	This system allows the operator to make interior and exterior announcements throughout the train and platform. In addition, there is a passenger -to -operator intercom station on the rail cars placed next to the wheelchair area in each car.
Evacuation ladders	The 2600 and 5000 series rail cars have evacuation ladders stored on the train. The evacuation ladders allow passengers to climb down to the right-of-way from the train in the event of an evacuation. The CTA is installing similar ladders on the 3200 series during the overhaul process occurring between 2015 and 2018.
Two-way radios	Assigned to operators to allow them to communicate with the Control Center and supervisory personnel.

Rail Car Storage Yards

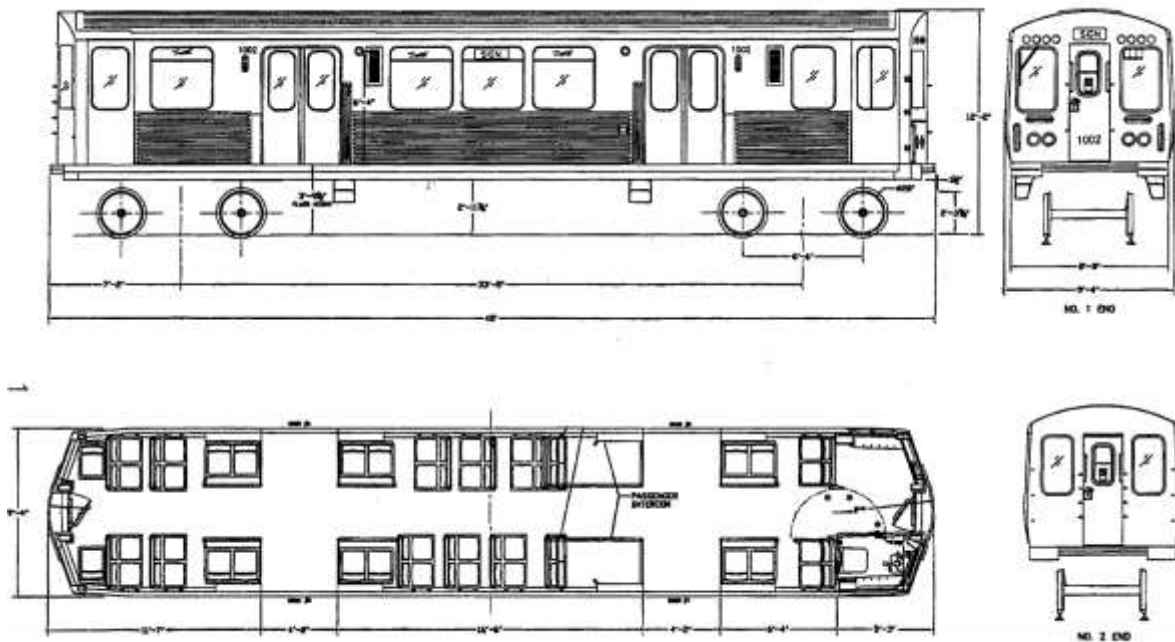
Rail car storage yards are located at each rail line terminal or along the right-of-way near the end of the lines.



General Rail Car Features:



Standard Dimensions of Rail System Passenger Cars in Service:

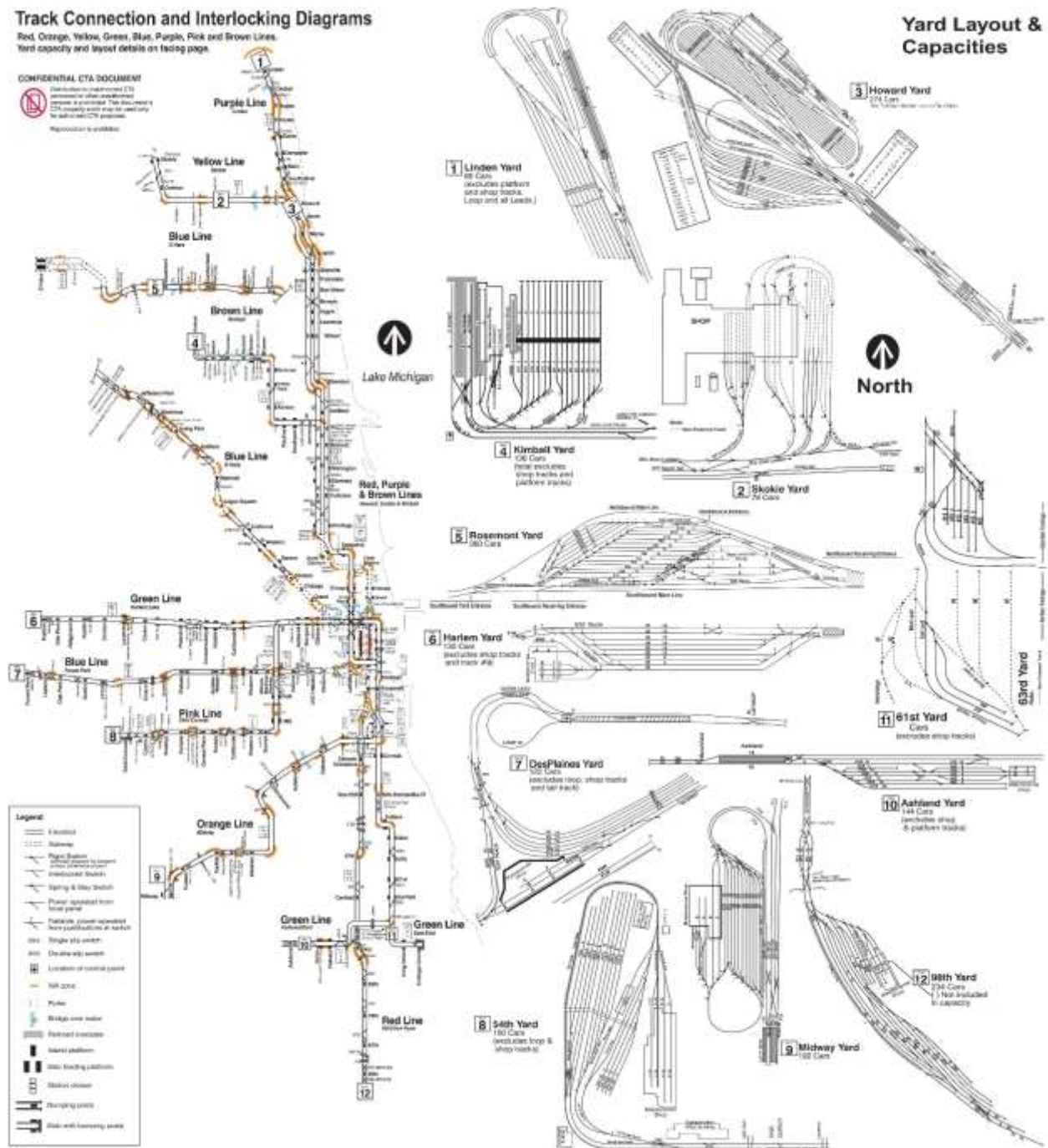


Yard Layout and Capacities

Track Connection and Interlocking Diagrams

Red, Orange, Yellow, Green, Blue, Purple, Pink and Brown Lines
Yard capacity and layout details on facing page.

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System Map:



APPENDIX C:

GOVERNING LEGISLATION

[49 USC SECTION 5329\(d\)](#)

[49 CFR PART 670](#)

[49 CFR PART 672](#)

[49 CFR PART 673](#)

[49 CFR PART 674](#)



C.1 49 USC SECTION 5329(d):

Redline represents changes made by the Bipartisan Infrastructure Law

(d) Public transportation agency safety plan.—

(1) In general.—~~Effective 1 year after the effective date of a final rule issued by the Secretary to carry out this subsection,~~ Each recipient or State, as described in paragraph (3), shall certify that the recipient or State has established a comprehensive agency safety plan that includes, at a minimum—

(A) a requirement that the board of directors (or equivalent entity) of the recipient approve, or, in the case of a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more, the safety committee of the entity established under paragraph (5), followed by the board of directors (or equivalent entity) of the recipient approve, the agency safety plan and any updates to the agency safety plan;

(B) for each recipient serving an urbanized area with a population of fewer than 200,000, a requirement that the agency safety plan be developed in cooperation with frontline employee representatives;

~~(C)~~ (B) methods for identifying and evaluating safety risks throughout all elements of the public transportation system of the recipient;

~~(D)~~ (G) strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases;

~~(E)~~ (D) a process and timeline for conducting an annual review and update of the safety plan of the recipient;

~~(F)~~ (E) performance targets based on—

(i) the safety performance criteria and state of good repair standards established under subparagraphs (A) and (B), respectively, of subsection (b)(2); or

(ii) (ii) in the case of a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more, safety performance measures established under the national public transportation safety plan, as described in subsection (b)(2)(A);

~~(G)~~ (F) assignment of an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the recipient; ~~and~~

~~(H)~~ (G) a comprehensive staff training program for—

(i) the operations personnel and personnel directly responsible for safety of the recipient that includes-

(I) the completion of a safety training program; and

(II) continuing safety education and training;. Or

(ii) in the case of a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more, the operations and maintenance personnel and personnel directly responsible for safety of the recipient that includes—

(I) the completion of a safety training program;

(II) continuing safety education and training; and

(III) de-escalation training; and

(I) in the case of a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more, a risk reduction program for transit operations to



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improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the national transit database under section 5335, including—

- (i) a reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments; and
- (ii) the mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the safety committee of the recipient established under paragraph (5) determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.

(2) Interim agency safety plan.—A system safety plan developed pursuant to part 659 of title 49, Code of Federal Regulations, as in effect on the date of enactment of the Federal Public Transportation Act of 2012, shall remain in effect until such time as this subsection takes effect.

(3) Public transportation agency safety plan drafting and certification.—

- (A) Section 5311.—For a recipient receiving assistance under section 5311, a State safety plan may be drafted and certified by the recipient or a State.
- (B) Section 5307.—Not later than 120 days after the date of enactment of the Federal Public Transportation Act of 2012, the Secretary shall issue a rule designating recipients of assistance under section 5307 that are small public transportation providers or systems that may have their State safety plans drafted or certified by a State.

(4) Risk reduction performance targets. —

- (A) In general.—The safety committee of a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more established under paragraph (5) shall establish performance targets for the risk reduction program required under paragraph (1)(I) using a 3-year rolling average of the data submitted by the recipient to the national transit database under section 5335.
- (B) Safety set aside. —A recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more shall allocate not less than 0.75 percent of those funds to safety-related projects eligible under section 5307.
- (C) Failure to meet performance targets.—A recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more that does not meet the performance targets established under subparagraph (A) shall allocate the amount made available in subparagraph (B) in the following fiscal year to projects described in subparagraph (D).
- (D) Eligible projects. —Funds set aside under subparagraph (C) shall be used for projects that are reasonably likely to assist the recipient in meeting the performance targets established in subparagraph

(5) Safety committee. —

- (A) In general. —For purposes of this subsection, the safety committee of a recipient shall—
 - (i) be convened by a joint labor-management process;



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(ii) consist of an equal number of—

- (I) frontline employee representatives, selected by a labor organization representing the plurality of the frontline workforce employed by the recipient or, if applicable, a contractor to the recipient, to the extent frontline employees are represented by labor organizations; and
- (II) management representatives; and

(iii) have, at a minimum, responsibility for—

- (I) identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment;
- (II) identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- (III) identifying safety deficiencies for purposes of continuous improvement.

(B) Applicability. —This paragraph applies only to a recipient receiving assistance under section 5307 that is serving an urbanized area with a population of 200,000 or more



C.2 49 CFR PART 670:

Subpart A - General Provisions

§ 670.1 Purpose and applicability.

This part carries out the mandate of 49 U.S.C. 5329 to improve the safety of public transportation systems. This part establishes substantive and procedural rules for FTA's administration of the Public Transportation Safety Program. This part applies to recipients of Federal financial assistance under 49 U.S.C. chapter 53.

§ 670.3 Policy.

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.

§ 670.5 Definitions.

As used in this part:

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

Administrator means the Federal Transit Administrator or his or her designee.

Advisory means a notice that informs or warns a recipient of hazards or risks to the recipient's public transportation system. An advisory may include recommendations for avoiding or mitigating the hazards or risks.

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

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

Deputy Administrator means the Federal Transit Deputy Administrator or his or her designee.

Directive means a written communication from FTA to a recipient that requires the recipient to take one or more specific actions to ensure the safety of the recipient's public transportation system.

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

FTA means the Federal Transit Administration.

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a recipient's public transportation system; or damage to the environment.

Inspection means a physical observation of equipment, facilities, rolling stock, operations, or records for the purpose of gathering or analyzing facts or information.



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

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

Pattern or practice means two or more findings by FTA of a recipient's violation of the requirements of 49 U.S.C. 5329 or the regulations thereunder.

Recipient means a State or local governmental authority, or any other operator of public transportation that receives financial assistance under 49 U.S.C. Chapter 53. The term "recipient" includes State Safety Oversight Agencies.

Record means any writing, drawing, map, recording, diskette, DVD, CD-ROM, tape, film, photograph, or other documentary material by which information is preserved. The term "record" also includes any such documentary material stored electronically.

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

Safety Management System (SMS) means a formal, top-down, organization-wide data-driven approach to managing safety risk and assuring the effectiveness of a recipient's safety risk mitigations. SMS includes systematic procedures, practices and policies for managing risks and hazards.

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

State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR part 659 or 49 CFR part 674.

Testing means an assessment of equipment, facilities, rolling stock or operations of a recipient's public transportation system.

Subpart B - Inspections, Investigations, Audits, Examinations and Testing

§ 670.11 General.

(a) The Administrator may conduct investigations, inspections, audits and examinations, and test the equipment, facilities, rolling stock and operations of a recipient's public transportation system.

(b) To the extent practicable, the Administrator will provide notice to a recipient prior to initiating any activities carried out under the authorities listed in paragraph (a) of this section.

(c) The Administrator will conduct activities carried out under this section at reasonable times and in a reasonable manner, as determined by the Administrator.

(d) In carrying out this section, the Administrator may require the production of relevant documents and records, take evidence, issue subpoenas and depositions, and prescribe recordkeeping and reporting requirements.

§ 670.13 Request for confidential treatment of records.

(a) The Administrator may grant a recipient's request for confidential treatment of records produced under § 670.11, on the basis that the records are -

(1) Exempt from the mandatory disclosure requirements of the Freedom of Information Act (5 U.S.C. 552);

(2) Required to be held in confidence by 18 U.S.C. 1905; or



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(3) Otherwise exempt from public disclosure under Federal or State laws.

(b) A recipient must submit the record that contains the alleged confidential information with the request for confidential treatment.

(c) A recipient's request for confidential treatment must include a statement justifying nondisclosure and provide the specific legal basis upon which the request for nondisclosure should be granted.

(d) A recipient's justification statement must indicate whether the recipient is requesting confidentiality for the entire record, or whether non-confidential information in the record can be reasonably segregated from the confidential information. If a recipient is requesting confidentiality for only a portion of the record, the request must include a copy of the entire record and a second copy of the record where the purportedly confidential information has been redacted. The Administrator may assume there is no objection to public disclosure of the record in its entirety if the requestor does not submit a second copy of the record with the confidential information redacted at the time that the request is submitted.

(e) A recipient must mark any record containing any information for which confidential treatment is requested as follows - "CONFIDENTIAL" or "CONTAINS CONFIDENTIAL INFORMATION" in bold letters.

(f) The Administrator will provide notice to a recipient of his or her decision to approve or deny a request, in whole or in part, no less than five (5) days prior to the public disclosure of a record by FTA. The Administrator will provide an opportunity for a recipient to respond to his or her decision prior to the public disclosure of a record.

Subpart C - Authorities

§ 670. 21 General.

In addition to actions described in §§ 670.23 through 670.29, in exercising his or her authority under this part, the Administrator may –

(a) Require more frequent oversight of a recipient by a State Safety Oversight Agency that has jurisdiction over the recipient;

(b) Impose requirements for more frequent reporting by a recipient;

(c) Order a recipient to develop and carry out a corrective action plan; and

(d) Issue restrictions and prohibitions, if through testing, inspection, investigation, audit or research carried out under Chapter 53, the Administrator determines that an unsafe condition or practice, or a combination of unsafe conditions and practices, exist such that there is a substantial risk of death or personal injury.

§ 670.23 Use or withholding of funds.

(a) Directing the use of funds. The Administrator may require a recipient to use Chapter 53 funds to correct safety violations identified by the Administrator or a State Safety Oversight Agency before such funds are used for any other purpose.

(b) Withholding of funds. Except as provided under 49 CFR part 674, the Administrator may withhold not more than twenty-five (25) percent of funds apportioned under 49 U.S.C. 5307 from a recipient when the Administrator has evidence that the recipient has engaged in a pattern or practice of serious safety violations, or has otherwise refused to comply with the Public Transportation Safety Program, as codified at 49 U.S.C. 5329, or any regulation or directive issued under those laws for which the Administrator exercises enforcement authority for safety.

(c) Notice. The Administrator will issue a notice of violation that includes the amount the Administrator proposes to redirect or withhold at least ninety (90) days prior to the date from when the funds will be redirected or withheld. The notice will contain -



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- (1) A statement of the legal authority for its issuance;
- (2) A statement of the regulatory provisions or directives FTA believes the recipient has violated;
- (3) A statement of the remedial action sought to correct the violation; and
- (4) A statement of facts supporting the proposed remedial action.

(d) *Reply.* Within thirty (30) days of service of a notice of violation, a recipient may file a written reply with the Administrator. Upon receipt of a written request, the Administrator may extend the time for filing for good cause shown. The reply must be in writing and signed by the recipient's Accountable Executive or equivalent entity. A written reply may include an explanation for the alleged violation, provide relevant information or materials in response to the alleged violation or in mitigation thereof, or recommend alternative means of compliance for consideration by the Administrator.

(e) *Decision.* The Administrator will issue a written decision within thirty (30) days of his or her receipt of a recipient's reply. The Administrator shall consider a recipient's response in determining whether to dismiss the notice of violation in whole or in part. If a notice of violation is not dismissed, the Administrator may undertake any other enforcement action he or she deems appropriate.

§ 670.25 General directives.

(a) *General.* The Administrator may issue a general directive under this part that is applicable to all recipients or a subset of recipients for the following reasons -

- (1) The Administrator determines that an unsafe condition or practice, or a combination of unsafe conditions and practices, exists such that there is a risk of death or personal injury, or damage to property or equipment; or
- (2) For any other purpose where the Administrator determines that the public interest requires the avoidance or mitigation of a hazard or risk.

(b) *Effective date.* A general directive is effective upon final notice provided by the Administrator under paragraph (e) of this section.

(c) *Notice.* The Administrator will provide notice of a general directive to recipients in the FEDERAL REGISTER. The notice will include at minimum –

- (1) A reference to the authority under which the directive is being issued;
- (2) A statement of the purpose of the issuance of the directive, including a description of the subjects or issues involved and a statement of the remedial actions sought; and
- (3) A statement of the time within which written comments must be received by FTA.

(d) *Consideration of comments received.* The Administrator will consider all timely comments received. Late filed comments will be considered to the extent practicable.

(e) *Final notice.* After consideration of timely comments received, the Administrator will publish a notice in the FEDERAL REGISTER that includes both a response to comments and a final general directive or a statement rescinding, revising, revoking or suspending the directive.

§ 670.27 Special directives.

(a) *General.* The Deputy Administrator may issue a special directive under this part to one or more named recipients for the following reasons -



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(1) The Deputy Administrator has reason to believe that a recipient is engaging in conduct, or there is evidence of a pattern or practice of a recipient's conduct, in violation of the Public Transportation Safety Program or any regulation or directive issued under those laws for which the Administrator exercises enforcement authority for safety;

(2) The Deputy Administrator determines that an unsafe condition or practice, or a combination of unsafe conditions and practices exists such that there is a substantial risk of death or personal injury, or damage to property or equipment; or

(3) For any other purpose where the Deputy Administrator determines that the public interest requires the avoidance or mitigation of a hazard or risk through immediate compliance.

(b) *Effective date.* A special directive is effective upon notice provided by the Deputy Administrator under paragraph (c) of this section.

(c) *Notice.* The Deputy Administrator will provide notice to a recipient that is subject to a special directive. The Deputy Administrator may initially provide notice through telephonic or electronic communication; however, written notice will be served by personal service or by U.S. mail following telephonic or electronic communication. Notice will include the following information, at minimum -

(1) The name of the recipient or recipients to which the directive applies;

(2) A reference to the authority under which the directive is being issued; and

(3) A statement of the purpose of the issuance of the directive, including a description of the subjects or issues involved, a statement of facts upon which the notice is being issued, a statement of the remedial actions being sought, and the date by which such remedial actions must be taken.

(d) *Petition for reconsideration.* Within thirty (30) days of service of a notice issued under paragraph (c) of this section, a recipient may file a petition for reconsideration with the Administrator. Unless explicitly stayed or modified by the Administrator, a special directive will remain in effect and must be observed pending review of a petition for reconsideration. Any such petition:

(1) Must be in writing and signed by a recipient's Accountable Executive or equivalent entity;

(2) Must include a brief explanation of why the recipient believes the special directive should not apply to it or why compliance with the special directive is not possible, is not practicable, is unreasonable, or is not in the public interest; and

(3) May include relevant information regarding the factual basis upon which the special directive was issued, information in response to any alleged violation or in mitigation thereof, recommend alternative means of compliance for consideration, and any other information deemed appropriate by the recipient.

(e) *Request for extension.* Upon written request, the Administrator may extend the time for filing a request for reconsideration for good cause shown.

(f) *Filing a petition for reconsideration.* A petition must be submitted to the Office of the Administrator, Federal Transit Administration, using one of the following methods -

(1) Email to FTA, sent to an email address provided in the notice of special directive;

(2) Facsimile to FTA at 202-366-9854; or

(3) Mail to FTA at: FTA, Office of the Administrator, 1200 New Jersey Ave. SE., Washington, DC 20590.



(g) *Processing of petitions for reconsideration -*

(1) *General.* Each petition received under this section will be reviewed and disposed of by the Administrator no later than ninety days (90) after receipt of the petition. No hearing, argument or other proceeding will be held directly on a petition before its disposition under this section.

(2) *Grants.* If the Administrator determines the petition contains adequate justification, he or she may grant the petition, in whole or in part.

(3) *Denials.* If the Administrator determines the petition does not justify modifying, rescinding or revoking the directive, in whole or in part, he or she may deny the petition.

(4) *Notification.* The Administrator will issue notification to a recipient of his or her decision.

(h) *Judicial review.* A recipient may seek judicial review in an appropriate United States District Court after a final action of FTA under this section, as provided in 5 U.S.C. 701-706.

§ 670.29 Advisories.

In any instance in which the Administrator determines there are hazards or risks to public transportation, the Administrator may issue an advisory which recommends corrective actions, inspections, conditions, limitations or other actions to avoid or mitigate any hazards or risks. The Administrator will issue notice to recipients of an advisory in the FEDERAL REGISTER.

Subpart D - National Public Transportation Safety Plan

§ 670.31 Purpose and contents of the National Public Transportation Safety Plan.

Periodically, FTA will issue a National Public Transportation Safety Plan to improve the safety of all public transportation systems that receive funding under 49 U.S.C. Chapter 53. The National Public Transportation Safety Plan will include the following –

(a) Safety performance criteria for all modes of public transportation, established through public notice and comment;

(b) The definition of *state of good repair*;

(c) Minimum safety performance standards for vehicles in revenue operations, established through public notice and comment;

(d) Minimum performance standards for public transportation operations established through public notice and comment;

(e) The Public Transportation Safety Certification Training Program;

(f) Safety advisories, directives and reports;

(g) Best practices, technical assistance, templates and other tools;

(h) Research, reports, data and information on hazard identification and risk management in public transportation, and guidance regarding the prevention of accidents and incidents in public transportation; and

(i) Any other content as determined by FTA.



C.3 49 CFR PART 672:

Subpart A—General Provisions

§ 672.1 Purpose.

(a) This part implements a uniform safety certification training curriculum and requirements to enhance the technical proficiency of individuals who conduct safety audits and examinations of public transportation systems operated by public transportation agencies and those who are directly responsible for safety oversight of public transportation agencies.

(b) This part does not preempt any safety certification training requirements required by a State for public transportation agencies within its jurisdiction.

(c) Other FTA recipients may participate voluntarily in accordance with this part.

§ 672.5 Definitions.

As used in this part:

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

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

Designated personnel means:

(1) Employees and contractors identified by a recipient whose job function is directly responsible for safety oversight of the public transportation system of the public transportation agency; or

(2) Employees and contractors of a State Safety Oversight Agency whose job function requires them to conduct safety audits and examinations of the rail fixed guideway public transportation systems subject to the jurisdiction of the agency.

Directly responsible for safety oversight means public transportation agency personnel whose primary job function includes the development, implementation and review of the agency's safety plan, and/or the SSOA requirements for the rail fixed guideway public transportation system pursuant to 49 CFR parts 659 or 674.

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

FTA means the Federal Transit Administration.

Public transportation agency means an entity that provides public transportation service as defined in 49 U.S.C. 5302 and that has one or more modes of service not subject to the safety oversight requirements of another Federal agency.

Rail fixed guideway public transportation system means any fixed guideway system as defined in § 674.7 of this chapter.

Recipient means a State or local governmental authority, or any other operator of a public transportation system receiving financial assistance under 49 U.S.C. chapter 53.

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



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

State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR parts 659 and 674.

Subpart B—Training Requirements

§ 672.11 Designated personnel who conduct safety audits and examinations.

(a) Each SSOA shall designate its personnel and contractors who conduct safety audits and examinations of public transportation systems, including appropriate managers and supervisors of such personnel, that must comply with the applicable training requirements of Appendix A to this part.

(b) Designated personnel shall complete applicable training requirements of this part within three (3) years of their initial designation. Thereafter, refresher training shall be completed every two (2) years. The SSOA shall determine refresher training requirements which must include, at a minimum, one (1) hour of safety oversight training.

§ 672.13 Designated personnel of public transportation agencies.

(a) Each recipient that operates a rail fixed guideway public transportation system shall designate its personnel and contractors who are directly responsible for safety oversight and ensure their compliance with the applicable training requirements set forth in Appendix A to this part.

(b) Each recipient that operates a bus or other public transportation system not subject to the safety oversight of another Federal agency may designate its personnel who are directly responsible for safety oversight to participate in the applicable training requirements as set forth in Appendix A to this part.

(c) Personnel designated under paragraph (a) of this section shall complete applicable training requirements of this part within three (3) years of their initial designation. Thereafter, refresher training shall be completed every two (2) years. The recipient shall determine refresher training requirements which must include, at a minimum, one (1) hour of safety oversight training.

§ 672.15 Evaluation of prior certification and training.

(a) Designated personnel subject to this part may request that FTA evaluate safety training or certification previously obtained from another entity to determine if the training satisfies an applicable training requirement of this part.

(b) Designated personnel must provide FTA with an official transcript or certificate of the training, a description of the curriculum and competencies obtained, and a brief statement detailing how the training or certification satisfies the applicable requirements of this part.

(c) FTA will evaluate the submission and determine if a training requirement of this part may be waived. If a waiver is granted, designated personnel are responsible for completing all other applicable requirements of this part.

Subpart C—Administrative Requirements.

§ 672.21 Records.

(a) General requirement. Each recipient shall ensure that its designated personnel are enrolled in the PTSCPT. Each recipient shall ensure that designated personnel update their individual training record as he or she completes the applicable training requirements of this part.



(b) SSOA requirement. Each SSOA shall retain a record of the technical training completed by its designated personnel in accordance with the technical training requirements of Appendix A to this part. Such records shall be retained by the SSOA for at least five (5) years from the date the record is created.

§ 672.23 Availability of records.

(a) Except as required by law, or expressly authorized or required by this part, a recipient may not release information pertaining to designated personnel that is required by this part without the written consent of the designated personnel.

(b) Designated personnel are entitled, upon written request to the recipient, to obtain copies of any records pertaining to his or her training required by this part. The recipient shall promptly provide the records requested by designated personnel and access shall not be contingent upon the recipient's receipt of payment for the production of such records.

(c) A recipient shall permit access to all facilities utilized and records compiled in accordance with the requirements of this part to the Secretary of Transportation, the Federal Transit Administration, or any State agency with jurisdiction over public transportation safety oversight of the recipient.

(d) When requested by the National Transportation Safety Board as part of an accident investigation, a recipient shall disclose information related to the training of designated personnel.

Subpart D—Compliance and Certification Requirements

§ 672.31 Requirement to certify compliance.

(a) A recipient of FTA financial assistance described in § 672.3(b) shall annually certify compliance with this part in accordance with FTA's procedures for annual grant certification and assurances.

(b) A certification must be authorized by the recipient's governing board or other authorizing official, and must be signed by a party specifically authorized to do so.



C.4 49 CFR PART 673:

Subpart A—General

§ 673.1 Applicability.

(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.

(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.

§ 673.3 Policy.

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.

§ 673.5 Definitions.

As used in this part:

Accident means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

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

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

Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

Event means any Accident, Incident, or Occurrence.

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



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Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Incident means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

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

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

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

Operator of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302(14).

Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

Public Transportation Agency Safety Plan means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

Rail fixed guideway public transportation system means any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration, or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

Rail transit agency means any entity that provides services on a rail fixed guideway public transportation system.

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

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

Safety Assurance means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.

Safety Management System (SMS) means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.

Safety performance target means a Performance Target related to safety management activities.



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Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

Safety risk assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

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

Serious injury means any injury which:

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

Small public transportation provider means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

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

State of good repair means the condition in which a capital asset is able to operate at a full level of performance.

State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR part 674.

Transit agency means an operator of a public transportation system.

Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

Subpart B—Safety Plans

§ 673.11 General requirements.

(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:

- (1) The Public Transportation Agency Safety Plan, and subsequent updates, must be signed by the Accountable Executive and approved by the agency's Board of Directors, or an Equivalent Authority.
- (2) The Public Transportation Agency Safety Plan must document the processes and activities related to Safety Management System (SMS) implementation, as required under subpart C of this part.



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- (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.
- (4) The Public Transportation Agency Safety Plan must address all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. Compliance with the minimum safety performance standards authorized under 49 U.S.C. 5329(b)(2)(C) is not required until standards have been established through the public notice and comment process.
- (5) Each transit agency must establish a process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.
- (6) A rail transit agency must include or incorporate by reference in its Public Transportation Agency Safety Plan an emergency preparedness and response plan or procedures that addresses, at a minimum, the assignment of employee responsibilities during an emergency; and coordination with Federal, State, regional, and local officials with roles and responsibilities for emergency preparedness and response in the transit agency's service area.
- (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.
- (c) A transit agency must maintain its Public Transportation Agency Safety Plan in accordance with the recordkeeping requirements in subpart D of this part.
- (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.
- (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 July 19, 2019.
- (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

§ 673.13 Certification of compliance.

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

§ 673.15 Coordination with metropolitan, statewide, and non-metropolitan planning processes.



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- (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.
- (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.

Subpart C—Safety Management Systems

§ 673.21 General requirements.

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.

§ 673.23 Safety management policy.

- (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.
- (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.
- (c) The safety management policy must be communicated throughout the agency's organization.
- (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):
 - (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.
 - (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.
 - (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.



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(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.

§ 673.25 Safety risk management.

(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.

(b) Safety hazard identification. (1) A transit agency must establish methods or processes to identify hazards and consequences of the hazards. (2) A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA.

(c) Safety risk assessment. (1) A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards. (2) A safety risk assessment includes an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.

(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.

§ 673.27 Safety assurance.

(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 paragraphs (b), (c), and (d) of this section. A small public transportation provider only must include in its safety assurance process the requirements in paragraph (b) of this section.

(b) Safety performance monitoring and measurement. A transit agency must establish activities to: (1) Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance; (2) Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended; (3) Conduct investigations of safety events to identify causal factors; and (4) Monitor information reported through any internal safety reporting programs.

(c) Management of change. (1) A transit agency must establish a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. (2) If a transit agency determines that a change may impact its safety performance, then the transit agency must evaluate the proposed change through its Safety Risk Management process.

(d) Continuous improvement. (1) A transit agency must establish a process to assess its safety performance. (2) If a transit agency identifies any deficiencies as part of its safety performance assessment, then the transit agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies.

§ 673.29 Safety promotion.



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(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.

(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.

Subpart D—Safety Plan Documentation and Recordkeeping

§ 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.



C.5 49 CFR PART 674:

Subpart A—General Provisions

§ 674.1 Purpose. This part carries out the mandate of 49 U.S.C. 5329(e) for State safety oversight of rail fixed guideway public transportation systems.

§ 674.3 Applicability. This part applies to States with rail fixed guideway public transportation systems; State safety oversight agencies that oversee the safety of rail fixed guideway public transportation systems; and entities that own or operate rail fixed guideway public transportation systems with Federal financial assistance authorized under 49 U.S.C. Chapter 53.

§ 674.5 Policy.

(a) In accordance with 49 U.S.C. 5329(e), a State that has a rail fixed guideway public transportation system within the State has primary responsibility for overseeing the safety of that rail fixed guideway public transportation system. A State safety oversight agency must have sufficient authority, resources, and qualified personnel to oversee the number, size, and complexity of rail fixed guideway public transportation systems that operate within a State.

(b) FTA will make Federal financial assistance available to help an eligible State develop or carry out its State safety oversight program. Also, FTA will certify whether a State safety oversight program meets the requirements of 49 U.S.C. 5329(e) and is adequate to promote the purposes of the public transportation safety programs codified at 49 U.S.C. 5329.

§ 674.7 Definitions. As used in this part:

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

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

Administrator means the Federal Transit Administrator or the Administrator's designee. *Contractor* means an entity that performs tasks on behalf of FTA, a State Safety Oversight Agency, or a Rail Transit Agency, through contract or other agreement.

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

Event means an Accident, Incident or Occurrence.

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

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



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Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a rail fixed guideway public transportation system; or damage to the environment.

Incident means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency. An incident must be reported to FTA's National Transit Database in accordance with the thresholds for reporting set forth in the appendix to this part. If a rail transit agency or State Safety Oversight Agency later determines that an Incident meets the definition of Accident in this section, that event must be reported to the SSOA in accordance with the thresholds for notification and reporting set forth in the appendix to this part.

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

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

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

Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency.

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

Public Transportation Agency Safety Plan (PTASP) means the comprehensive agency safety plan for a transit agency, including a Rail Transit Agency, that is required by 49 U.S.C. 5329(d) and based on a Safety Management System. Until one year after the effective date of FTA's PTASP final rule, a System Safety Program Plan (SSPP) developed pursuant to 49 CFR part 659 will serve as the rail transit agency's safety plan.

Public Transportation Safety Certification Training Program means either the certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established through interim provisions in accordance with 49 U.S.C. 5329(c)(2), or the program authorized by 49 U.S.C. 5329(c)(1).

Rail fixed guideway public transportation system means any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration, or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

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

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

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

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

Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4)



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

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

State Safety Oversight Agency (SSOA) means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in this part. Vehicle means any rolling stock used on a rail fixed guideway public transportation system, including but not limited to passenger and maintenance vehicles.

§ 674.9 Transition from previous requirements for State safety oversight.

(a) Pursuant to section 20030(e) of the Moving Ahead for Progress in the 21st Century Act (Pub. L. 112-141; July 6, 2012) (“MAP-21”), the statute now codified at 49 U.S.C. 5330, titled “State safety oversight,” will be repealed three years after the effective date of the regulations set forth in this part.

(b) No later than three years after the effective date of the regulations set forth in this part, the regulations now codified at part 659 of this chapter will be rescinded.

(c) A System Safety Program Plan (SSPP) developed pursuant to 49 CFR part 659 shall serve as the rail transit agency’s safety plan until one year one year after the effective date of the Public Transportation Agency Safety Plan final rule, which will be codified in part 673 of this chapter.

Subpart B—Role of the State

§ 674.11 State Safety Oversight Program. Within three years of [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER], every State that has a rail fixed guideway public transportation system must have a State Safety Oversight (SSO) program that has been approved by the Administrator. FTA will audit each State's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9). At minimum, an SSO program must:

(a) Explicitly acknowledge the State's responsibility for overseeing the safety of the rail fixed guideway public transportation systems within the State;

(b) Demonstrate the State's ability to adopt and enforce Federal and relevant State law for safety in rail fixed guideway public transportation systems;

(c) Establish a State safety oversight agency, by State law, in accordance with the requirements of 49 U.S.C. 5329(e) and this part;

(d) Demonstrate that the State has determined an appropriate staffing level for the State safety oversight agency commensurate with the number, size, and complexity of the rail fixed guideway public transportation systems in the State, and that the State has consulted with the Administrator for that purpose;

(e) Demonstrate that the employees and other personnel of the State safety oversight agency who are responsible for the oversight of rail fixed guideway public transportation systems are qualified to perform their functions, based on appropriate training, including substantial progress toward or completion of the Public Transportation Safety Certification Training Program; and

(f) Demonstrate that by law, the State prohibits any public transportation agency in the State from providing funds to the SSOA.

§ 674.13 Designation of oversight agency.



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(a) Every State that must establish a State Safety Oversight program in accordance with 49 U.S.C. 5329(e) must also establish a SSOA for the purpose of overseeing the safety of rail fixed guideway public transportation systems within that State. Further, the State must ensure that:

- (1) The SSOA is financially and legally independent from any public transportation agency the SSOA is obliged to oversee;
- (2) The SSOA does not directly provide public transportation services in an area with a rail fixed guideway public transportation system the SSOA is obliged to oversee;
- (3) The SSOA does not employ any individual who is also responsible for administering a rail fixed guideway public transportation system the SSOA is obliged to oversee;
- (4) The SSOA has authority to review, approve, oversee, and enforce the public transportation agency safety plan for a rail fixed guideway public transportation system required by 49 U.S.C. 5329(d);
- (5) The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed guideway public transportation systems within the State;
- (6) At least once every three years, the SSOA audits every rail fixed guideway public transportation system's compliance with the public transportation agency safety plan required by 49 U.S.C. 5329(d); and
- (7) At least once a year, the SSOA reports the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the board of directors, or equivalent entity, of the rail fixed guideway public transportation system.

(b) At the request of the Governor of a State, the Administrator may waive the requirements for financial and legal independence and the prohibitions on employee conflict of interest under paragraphs (a)(1) and (3) of this section, if the rail fixed guideway public transportation systems in design, construction, or revenue operations in the State have fewer than one million combined actual and projected rail fixed guideway revenue miles per year or provide fewer than ten million combined actual and projected unlinked passenger trips per year.

However:

- (1) If a State shares jurisdiction over one or more rail fixed guideway public transportation systems with another State, and has one or more rail fixed guideway public transportation systems that are not shared with another State, the revenue miles and unlinked passenger trips of the rail fixed guideway public transportation system under shared jurisdiction will not be counted in the Administrator's decision whether to issue a waiver.
- (2) The Administrator will rescind a waiver issued under this subsection if the number of revenue miles per year or unlinked passenger trips per year increases beyond the thresholds specified in this subsection.

§ 674.15 Designation of oversight agency for multi-state system. In an instance of a rail fixed guideway public transportation system that operates in more than one State, all States in which that rail fixed guideway public transportation system operates must either:

(a) Ensure that uniform safety standards and procedures in compliance with 49 U.S.C. 5329 are applied to that rail fixed guideway public transportation system, through an SSO program that has been approved by the Administrator; or



(b) Designate a single entity that meets the requirements for an SSOA to serve as the SSOA for that rail fixed guideway public transportation system, through an SSO program that has been approved by the Administrator.

§ 674.17 Use of Federal financial assistance.

(a) In accordance with 49 U.S.C. 5329(e)(6), FTA will make grants of Federal financial assistance to eligible States to help the States develop and carry out their SSO programs. This Federal financial assistance may be used for reimbursement of both the operational and administrative expenses of SSO programs, consistent with the uniform administrative requirements for grants to States under 2 CFR parts 200 and 1201. The expenses eligible for reimbursement include, specifically, the expense of employee training and the expense of establishing and maintaining a SSOA in compliance with 49 U.S.C. 5329(e)(4).

(b) The apportionments of available Federal financial assistance to eligible States will be made in accordance with a formula, established by the Administrator, following opportunity for public notice and comment. The formula will take into account fixed guideway vehicle revenue miles, fixed guideway route miles, and fixed guideway vehicle passenger miles attributable to all rail fixed guideway systems within each eligible State not subject to the jurisdiction of the FRA.

(c) The grants of Federal financial assistance for State safety oversight shall be subject to terms and conditions as the Administrator deems appropriate.

(d) The Federal share of the expenses eligible for reimbursement under a grant for State safety oversight activities shall be eighty percent of the reasonable costs incurred under that grant.

(e) The non-Federal share of the expenses eligible for reimbursement under a grant for State safety oversight activities may not be comprised of Federal funds, any funds received from a public transportation agency, or any revenues earned by a public transportation agency.

§ 674.19 Certification of a State Safety Oversight Program.

(a) The Administrator must determine whether a State's SSO program meets the requirements of 49 U.S.C. 5329(e). Also, the Administrator must determine whether a SSO program is adequate to promote the purposes of 49 U.S.C. 5329, including, but not limited to, the National Public Transportation Safety Plan, the Public Transportation Safety Certification Training Program, and the Public Transportation Agency Safety Plans.

(b) The Administrator must issue a certification to a State whose SSO program meets the requirements of 49 U.S.C. 5329(e). The Administrator must issue a denial of certification to a State whose SSO program does not meet the requirements of 49 U.S.C. 5329(e).

(c) In an instance in which the Administrator issues a denial of certification to a State whose SSO program does not meet the requirements of 49 U.S.C. 5329(e), the Administrator must provide a written explanation, and allow the State an opportunity to modify and resubmit its SSO program for the Administrator's approval. In the event the State is unable to modify its SSO program to merit the Administrator's issuance of a certification, the Administrator must notify the Governor of that fact, and must ask the Governor to take all possible actions to correct the deficiencies that are precluding the issuance of a certification for the SSO program. In his or her discretion, the Administrator may also impose financial penalties as authorized by 49 U.S.C. 5329(e), which may include:

(1) Withholding SSO grant funds from the State;

(2) Withholding up to five percent of the 49 U.S.C. 5307 Urbanized Area formula funds appropriated for use in the State or urbanized area in the State, until such time as the SSO program can be certified; or



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(3) Requiring all rail fixed guideway public transportation systems governed by the SSO program to spend up to 100 percent of their Federal funding under 49 U.S.C. chapter 53 only for safety-related improvements on their systems, until such time as the SSO program can be certified.

(d) In making a determination whether to issue a certification or a denial of certification for a SSO program, the Administrator must evaluate whether the cognizant SSOA has sufficient authority, resources, and expertise to oversee the number, size, and complexity of the rail fixed guideway public transportation systems that operate within the State, or will attain the necessary authority, resources, and expertise in accordance with a developmental plan and schedule set forth to a sufficient level of detail in the SSO program.

§ 674.21 Withholding of Federal financial assistance for noncompliance.

(a) In making a decision to impose financial penalties as authorized by 49 U.S.C. 5329(e), and determining the nature and amount of the financial penalties, the Administrator shall consider the extent and circumstances of the noncompliance; the operating budgets of the SSOA and the rail fixed guideway public transportation systems that will be affected by the financial penalties; and such other matters as justice may require.

(b) If a State fails to establish a SSO program that has been approved by the Administrator within three years of the effective date of this part, FTA will be prohibited from obligating Federal financial assistance apportioned under 49 U.S.C. 5338 to any entity in the State that is otherwise eligible to receive that Federal financial assistance, in accordance with 49 U.S.C. 5329(e)(3).

§ 674.23 Confidentiality of information.

(a) A State, an SSOA, or an RTA may withhold an investigation report prepared or adopted in accordance with these regulations from being admitted as evidence or used in a civil action for damages resulting from a matter mentioned in the report.

(b) This part does not require public availability of any data, information, or procedures pertaining to the security of a rail fixed guideway public transportation system or its passenger operations.

Subpart C—State Safety Oversight Agencies

§ 674.25 Role of the State safety oversight agency.

(a) An SSOA must establish minimum standards for the safety of all rail fixed guideway public transportation systems within its oversight. These minimum standards must be consistent with the National Public Transportation Safety Plan, the Public Transportation Safety Certification Training Program, the rules for Public Transportation Agency Safety Plans and all applicable Federal and State law.

(b) An SSOA must review and approve the Public Transportation Agency Safety Plan for every rail fixed guideway public transportation system within its oversight. An SSOA must oversee an RTA's execution of its Public Transportation Agency Safety Plan. An SSOA must enforce the execution of a Public Transportation Agency Safety Plan, through an order of a corrective action plan or any other means, as necessary or appropriate. An SSOA must ensure that a Public Transportation Agency Safety Plan meets the requirements at 49 U.S.C. 5329(d).

(c) An SSOA has primary responsibility for the investigation of any allegation of noncompliance with a Public Transportation Agency Safety Plan. These responsibilities do not preclude the Administrator from exercising his or her authority under 49 U.S.C. 5329(f) or 49 U.S.C. 5330.

(d) An SSOA has primary responsibility for the investigation of an accident on a rail fixed guideway public transportation system. This responsibility does not preclude the Administrator from exercising his or her authority under 49 U.S.C. 5329(f) or 49 U.S.C. 5330.



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(e) An SSOA may enter into an agreement with a contractor for assistance in overseeing accident investigations; performing independent accident investigations; and reviewing incidents and occurrences; and for expertise the SSOA does not have within its own organization.

(f) All personnel and contractors employed by an SSOA must comply with the requirements of the Public Transportation Safety Certification Training Program as applicable.

§ 674.27 State safety oversight program standards.

(a) An SSOA must adopt and distribute a written SSO program standard, consistent with the National Public Transportation Safety Plan and the rules for Public Transportation Agency Safety Plans. This SSO program standard must identify the processes and procedures that govern the activities of the SSOA. Also, the SSO program standard must identify the processes and procedures an RTA must have in place to comply with the standard. At minimum, the program standard must meet the following requirements:

(1) Program management. The SSO program standard must explain the authority of the SSOA to oversee the safety of rail fixed guideway public transportation systems; the policies that govern the activities of the SSOA; the reporting requirements that govern both the SSOA and the rail fixed guideway public transportation systems; and the steps the SSOA will take to ensure open, on-going communication between the SSOA and every rail fixed guideway public transportation system within its oversight.

(2) Program standard development. The SSO program standard must explain the SSOA's process for developing, reviewing, adopting, and revising its minimum standards for safety, and distributing those standards to the rail fixed guideway public transportation systems.

(3) Program policy and objectives. The SSO program standard must set an explicit policy and objectives for safety in rail fixed guideway public transportation throughout the State.

(4) Oversight of Rail Public Transportation Agency Safety Plans and Transit Agencies' internal safety reviews. The SSO program standard must explain the role of the SSOA in overseeing an RTA's execution of its Public Transportation Agency Safety Plan and any related safety reviews of the RTA's fixed guideway public transportation system. The program standard must describe the process whereby the SSOA will receive and evaluate all material submitted under the signature of an RTA's accountable executive. Also, 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 rail fixed guideway public transportation system.

(5) Triennial SSOA audits of Rail Public Transportation Agency Safety Plans. The SSO program standard must explain the process the SSOA will follow and the criteria the SSOA will apply in conducting a complete audit of the RTA's compliance with its Public Transportation Agency Safety Plan at least once every three years, in accordance with 49 U.S.C. 5329. Alternatively, the SSOA and RTA may agree that the SSOA will conduct its audit on an on-going basis over the three-year timeframe. The program standard must establish a procedure the SSOA and RTA will follow to manage findings and recommendations arising from the triennial audit.

(6) Accident notification. The SSO program standard must establish requirements for an RTA to notify the SSOA of accidents on the RTA's rail fixed guideway public transportation system. These requirements must address, specifically, the time limits for notification, methods of notification, and the nature of the information the RTA must submit to the SSOA.

(7) Investigations. The SSO program standard must identify thresholds for accidents that require the RTA to conduct an investigation. Also, the program standard must address how the SSOA will oversee an RTA's internal investigation; the role of the SSOA in supporting any investigation



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conducted or findings and recommendations made by the NTSB or FTA; and procedures for protecting the confidentiality of the investigation reports.

(8) Corrective actions. The program standard must explain the process and criteria by which the SSOA may order an RTA to develop and carry out a Corrective Action Plan (CAP), and a procedure for the SSOA to review and approve a CAP. Also, the program standard must explain the SSOA's policy and practice for tracking and verifying an RTA's compliance with the CAP, and managing any conflicts between the SSOA and RTA relating either to the development or execution of the CAP or the findings of an investigation.

(b) At least once a year an SSOA must submit its SSO program standard and any referenced program procedures to FTA, with an indication of any revisions made to the program standard since the last annual submittal. FTA will evaluate the SSOA's program standard as part of its continuous evaluation of the State Safety Oversight Program, and in preparing FTA's report to Congress on the certification status of that State Safety Oversight Program, in accordance with 49 U.S.C. 5329.

§ 674.29 Public Transportation Agency Safety Plans: general requirements.

(a) In determining whether to approve a Public Transportation Agency Safety Plan for a rail fixed guideway public transportation system, an SSOA must evaluate whether the Public Transportation Agency Safety Plan is consistent with the regulations implementing such Plans; is consistent with the National Public Transportation Safety Plan; and is in compliance with the program standard set by the SSOA.

(b) In determining whether a Public Transportation Agency Safety Plan is compliant with 49 CFR part 673, an SSOA must determine, specifically, whether the Public Transportation Agency Safety Plan is approved by the RTA's board of directors or equivalent entity; sets forth a sufficiently explicit process for safety risk management, with adequate means of risk mitigation for the rail fixed guideway public transportation system; includes a process and timeline for annually reviewing and updating the safety plan; includes a comprehensive staff training program for the operations personnel directly responsible for the safety of the RTA; identifies an adequately trained safety officer who reports directly to the general manager, president, or equivalent officer of the RTA; includes adequate methods to support the execution of the Public Transportation Agency Safety Plan by all employees, agents, and contractors for the rail fixed guideway public transportation system; and sufficiently addresses other requirements under the regulations at 49 CFR part 673.

(c) In 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.

§ 674.31 Triennial audits: general requirements. At least once every three years, an SSOA must conduct a complete audit of an RTA's compliance with its Public Transportation Agency Safety Plan. Alternatively, an SSOA may conduct the audit on an on-going basis over the three-year timeframe. At the conclusion of the three-year audit cycle, the SSOA shall issue a report with findings and recommendations arising from the audit, which must include, at minimum, an analysis of the effectiveness of the Public Transportation Agency Safety Plan, recommendations for improvements, and a corrective action plan, if necessary or appropriate. The RTA must be given an opportunity to comment on the findings and recommendations.

§ 674.33 Notifications of accidents.

(a) Two-hour notification. In addition to the requirements for accident notification set forth in an SSO program standard, an RTA must notify both the SSOA and the FTA within two hours of any accident occurring on a rail fixed guideway public transportation system. The criteria and thresholds for accident notification and reporting are defined in a reporting manual developed for the electronic reporting system specified by FTA as required in § 674.39(b), and in the appendix.



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

§ 674.35 Investigations.

(a) An SSOA must investigate or require an investigation of any accident and is ultimately responsible for the sufficiency and thoroughness of all investigations, whether conducted by the SSOA or RTA. If an SSOA requires an RTA to investigate an accident, the SSOA must conduct an independent review of the RTA's findings of causation. In any instance in which an RTA is conducting its own internal investigation of the accident or incident, the SSOA and the RTA must coordinate their investigations in accordance with the SSO program standard and any agreements in effect.

(b) Within a reasonable time, an SSOA must issue a written report on its investigation of an accident or review of an RTA's accident investigation in accordance with the reporting requirements established by the SSOA. The report must describe the investigation activities; identify the factors that caused or contributed to the accident; and set forth a corrective action plan, as necessary or appropriate. The SSOA must formally adopt the report of an accident and transmit that report to the RTA for review and concurrence. If the RTA does not concur with an SSOA's report, the SSOA may allow the RTA to submit a written dissent from the report, which may be included in the report, at the discretion of the SSOA.

(c) All personnel and contractors that conduct investigations on behalf of an SSOA must be trained to perform their functions in accordance with the Public Transportation Safety Certification Training Program.

(d) The Administrator may conduct an independent investigation of any accident or an independent review of an SSOA's or an RTA's findings of causation of an accident.

§ 674.37 Corrective action plans.

(a) In any instance in which an RTA must develop and carry out a CAP, the SSOA must review and approve the CAP before the RTA carries out the plan; however, an exception may be made for immediate or emergency corrective actions that must be taken to ensure immediate safety, provided that the SSOA has been given timely notification, and the SSOA provides subsequent review and approval. A CAP must describe, specifically, the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions. The RTA must periodically report to the SSOA on its progress in carrying out the CAP. The SSOA may monitor the RTA's progress in carrying out the CAP through unannounced, on-site inspections, or any other means the SSOA deems necessary or appropriate.

(b) In any instance in which a safety event on the RTA's rail fixed guideway public transportation system is the subject of an investigation by the NTSB, the SSOA must evaluate whether the findings or recommendations by the NTSB require a CAP by the RTA, and if so, the SSOA must order the RTA to develop and carry out a CAP.

§ 674.39 State Safety Oversight Agency annual reporting to FTA.

(a) On or before March 15 of each year, an SSOA must submit the following material to FTA:

- (1) The SSO program standard adopted in accordance with § 674.27, with an indication of any changes to the SSO program standard during the preceding twelve months;
- (2) Evidence that each of its employees and contractors has completed the requirements of the Public Transportation Safety Certification Training Program, or, if in progress, the anticipated completion date of the training;



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(3) A publicly available report that summarizes its oversight activities for the preceding twelve months, describes the causal factors of accidents identified through investigation, and identifies the status of corrective actions, changes to Public Transportation Agency Safety Plans, and the level of effort by the SSOA in carrying out its oversight activities;

(4) A summary of the triennial audits completed during the preceding twelve months, and the RTAs' progress in carrying out CAPs arising from triennial audits conducted in accordance with § 674.31;

(5) Evidence that the SSOA has reviewed and approved any changes to the Public Transportation Agency Safety Plans during the preceding twelve months; and

(6) A certification that the SSOA is in compliance with the requirements of this part.

(b) These materials must be submitted electronically through a reporting system specified by FTA.

§ 674.41 Conflicts of interest

(a) An SSOA must be financially and legally independent from any rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).

(b) An SSOA may not employ any individual who provides services to a rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).

(c) A contractor may not provide services to both an SSOA and a rail fixed guideway public transportation system under the oversight of that SSOA, unless the Administrator has issued a waiver of this prohibition.



APPENDIX D:

CTA ASP Support Procedures

[CTA Corrective Action Plan SMS-SOP-1-20](#)

[Event Investigation and Corrective Action Plans AP 1901](#)

[Employee Safety Reporting Procedures SMS-SOP-2-20](#)

[Management of Change SMS-SAP-1-20](#)

[Continuous Safety Improvement SMS-SAP-2-20](#)

[Oversight of Safety Compliance Checks on Rules & Procedures SMS-SAP-3-20](#)

[Mitigation Monitoring Plans SMS-SAP-4-20](#)

[Monitoring of Internal Safety Data & Reporting SMS-SAP-5-20](#)



D.1 CTA Corrective Action Plan SMS-SOP-1-20:



Safety Assurance Procedure

Title: Corrective Action Plan	Doc. nr	SMS-SOP-1-20	Origination Date:	5/19/2022
Safety Procedure	Revision	V2	Approved by	VP Safety

Corrective Action Plan

1.0 PURPOSE

The purpose of the Corrective Action Plan (CAP) procedure is to convey the process by which the Chicago Transit Authority corrects deviations (i.e. non-conformities) in the implementation of established requirements regarding human and/or technical resources, procedures, rules, in any process.

2.0 SCOPE

The CAP procedure is a component of the Safety Management System (SMS) within the Chicago Transit Authority (CTA). It therefore applies across all organizational units and functions of the CTA, provided the purpose of the CAP is to correct a deficiency, deviation, or non-conformity in relation to the documented SMS, including established programs, policies, procedures, allocation of resources, rules or practices that support the SMS.

Note that CAPs and mitigations are different, though both play critical roles in CTA's SMS. One does not replace the other, and both support safe delivery of public transit. Their relationship is complementary as opposed to adversarial, but there is one important difference: CAPs address compliance with requirements, safety risk mitigations address actual performance to ensure the safety intent behind the requirement is met. The CTA uses mitigations to address the potential consequences of a hazard through actions to control of its likelihood or severity. Some of these mitigations will require mitigation monitoring plans, please see *Monitoring Mitigation Plan Procedure* for additional guidance. A CAP may include one or more mitigations as part of the plan.

3.0 DEFINITIONS

Corrective action: Action(s) taken to address the cause(s) of a deficiency, deviation, or non-conformity from established standards, rules, procedures, allocation of resources, and established requirements. The corrective actions taken may include addressing non-conformities in the implementation of mitigations. CAPs address compliance with requirements.

Corrective Action Plan: A plan developed by a CTA department that describes the action the department will take to minimize, control, correct, or eliminate hazards resulting from a deficiency, deviation, or non-conformity of an established requirement, including the schedule for implementing those actions, and the individuals responsible for implementing the actions.

Deficiency: A lack of something that is needed to maintain safety, or to maintain documented safety measures, programs or standards.

Finding: The cause(s) to determine or identify an instance where CTA processes or practices have deficiencies, deviations, or non-conformities with rules, procedures, allocation of resources, and established requirements.

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Mitigation: an action or control measure taken to address the potential consequences of hazards in service delivery and support operations, by one or any combination of eliminating the hazard, reducing the likelihood of the potential consequence of the hazard, or reducing the severity of the potential consequence of the hazard

Recommendation: Guidance suggesting a means of correcting a safety deficiency or hazard, typically provided formally by a safety officer, engineer or auditor, in the context of a formal review, such as an incident investigation, hazard analysis or program review. Not all recommendations will become CAPs.

Safety assurance: A formal safety management process that ensures safety risk mitigations are implemented, adhered to, appropriate, effective and sufficient to address the potential consequences of identified hazards.

Safety risk: The composite of predicted severity and likelihood of the potential effect of a hazard.

Safety risk management: A set of formal processes that includes identifying and analyzing hazards, assessing and mitigating safety risk.

4.0 RESPONSIBILITY AND AUTHORITY

The responsibilities and authorities described below are in accordance with this procedure and in accordance with the responsibilities and commitments set forth by the Chicago Transit Authority Safety Management Policy Statement.

Accountable Executive, CTA President

The CTA President directs all CTA executives to implement and comply with this procedure and holds them accountable.

Chief Safety & Security Officer

The CAP procedure is issued by the Chief Safety & Security Officer (CSSO). The CSSO directs the safety risk management process through which corrective action plans are managed and directs the safety assurance process through which the effectiveness of corrective action plans are evaluated.

CTA Vice Presidents, Directors, General Managers, and Staff

CTA Vice Presidents, Directors, General Managers, shall comply directly with the procedure, and direct staff to comply. CTA managers and staff are responsible as directed by this procedure for the initiation, development, review, adoption, tracking, completion or evaluation of corrective action plans, as required or assigned by executives, or members of the Safety Department.

CAP Lead

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The CAP Lead is the person assigned to develop a CAP, implement it according to the plan, provide progress reports, compile deliverables that demonstrate successful completion of the CAP, and request final review of completed CAP documentation.

Members of the CTA Safety Department or Security Department

The CTA Safety and Security Departments are responsible for coordinating the management and progress of CAPs in accordance with this procedure. Members of the Safety & Security Department may initiate, assign, review, approve or track the completion of a CAP, and may evaluate the effectiveness of a CAP in reducing safety risk.

Executive Safety Committee (ESC)

The Executive Safety Committee is responsible for hearing CAPs that are escalated to the ESC by the CSSO. The ESC determines whether additional resources can and shall be applied in order to implement a stalled or incomplete CAP. The ESC shall assign resources such as funds, additional authorities, or personnel, or may be able to approve the reassignment of other priorities, that may not be available at the level of the department(s) that are implementing the CAP.

5.0 REGULATORY AUTHORITIES

State Safety Oversight Agency (SSOA)

The Illinois Department of Transportation State Safety Oversight Agency (IL-SSOA) is the State level agency responsible for overseeing rail safety at CTA. The IL-SSOA mandates CTA to develop and maintain an Agency Safety Plan (ASP) for rail transit which is in accordance with the federal regulations and the IL-SSOA Program Standards Manual. Federal Rule, 49 CFR Part 674.37 requires CTA to adopt and complete CAPs, in response to the findings of accident investigations, hazard analyses internal safety audits, triennial audits, employee complaints, and customer complaints.

Illinois Department of Labor (IDOL)

IDOL sometimes referred to as IL-OSHA, promotes and protects the rights, working conditions, safety and health of employees in any occupation, business or enterprise in the state. IDOL mandates that employers maintain a written Injury and Illness Prevention Program which includes procedures for correcting unsafe or unhealthful work conditions, work practices or work procedures in a timely manner based on the severity of the hazard.

6.0 PROCEDURES

The CTA develops corrective actions to address the cause(s) of deficiencies, deviations, or non-conformities with rules, procedures, allocation of resources, and established requirements. The Corrective Action Plan Procedure applies to instances in which CTA, or an outside entity such as the IL-SSOA identifies a Finding. In some instances, the IL-SSOA, or the FTA may mandate CTA to create a CAP, or the CTA Safety Department may require a department to create CAP.

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6.1 Identify Findings and Initiating CAPs

There are many different sources in the safety management process which may identify the need for a CAP to be created. Audits and reviews, investigations, and safety assurance activities are the most common. The IL-SSOA, FTA, or NTSB may also identify safety concerns which may require CAP development.

6.1.1 Audits and Reviews

Audits and reviews are conducted at CTA regularly. It is a core function of CTA's continuous safety improvement. The CTA may conduct the review internally or participate in audits conducted by external regulatory agencies. The IL-SSOA audits CTA's compliance with its Agency Safety Plan on a triennial basis, which may include a rolling schedule. Additionally, CTA may contract reviews or audits from outside experts. Any of these may result in safety-related findings that identify deficiencies, deviations, or non-conformities which are typically conveyed in an audit or review report. A final audit report may serve as notification that a CAP is required to address a Finding identified in the report. CTA may choose to use the draft report as notification to address a Finding also. Typically, CTA's Safety Department is responsible for coordinating the CAP development and communication with the Auditors and may assign CAP responsibilities within the departments of the CTA.

6.1.2 Event Investigations

Accidents, incidents, and investigations of failures involving CTA service, property, infrastructure, customers or employees may result in a notification that a CAP is required. Investigations are typically conducted by the CTA Safety Department. However, the Federal Transit Administration, the IL-SSOA, the National Transportation Safety Board (NTSB), or another entity authorized by the CTA, may also conduct investigations into a safety event. An investigation may identify issues which initiate the need for corrective action.

6.1.3 Safety Risk or Hazard Analysis

Safety risk or hazard analyses are structured, systematic methods to identify hazards and potential consequences and assess their safety risk. These may include Safety Risk Report, Job Hazard Analysis, Preliminary Hazard Analysis, Failure Mode and Effects Analysis, Operational Hazard Analysis, Fault Tree Analysis or others. Typically, these are conducted by the Safety Department, or a technical or engineering department within the CTA. Such reports may identify a deficiency or process non-compliance that needs to be corrected. The Department that conducted the formal analysis must submit it to the Transit Safety General manager.

6.1.4 Safety Risk Management

The monitoring of safety management routines may allow for the identification of Findings. Among these activities are:

- Safety inspections of facilities, equipment or work sites
- Environmental testing
- Departmental finding impacting safety
- Rules compliance checks and work observations
- Emergency drills
- Data analysis and performance management practices

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- Activities of safety committees
- Employee reporting.

When a Finding is identified by one of these activities, or the executive of a department, a facility manager or a safety committee, in the course of routine duties, that entity is required to document the finding and submit it to the Safety Department.

6.1.5 Unacceptable Safety Risk - Emergency

In the case of an identified Unacceptable Safety Risk the CTA shall implement an Emergency CAP in which the CTA will implement the appropriate immediate Safety Risk Mitigation(s) and set the monitoring strategy to reduce the safety risk of the identified hazard. Within **24 hours** the CTA will notify IL-SSOA of the unacceptable safety risk via e-mail. **Within 10 business days** the CTA will formally submit the CAP related to the unacceptable safety risk to IDOT for approval.

6.2 CAP Forms

CAPs are initiated with the submission of the appropriate Corrective Action Plan Form. CAPs being developed for Bus or non-674 reportable findings will use the **Internal Corrective Action Plan Form** located in **Appendix A**. All Rail and 674 related findings will use the **External Corrective Action Plan Form** located in **Appendix B**. Regardless of where a finding has been identified, the CAP is initiated by one of the forms being submitted to the Transit Safety General Manager.

6.3 Assigning a CAP

For Findings or issues identified which the Safety Department receives a Transit Safety Senior Manager will notify the responsible department of the need to devise a CAP. The Safety and Security Department will notify a Senior Manager or above in the responsible department via an email containing the initiating finding, the report or investigation if applicable, and a Safety and Security Department point of contact to coordinate with. The responsible department will then assign the CAP Lead who will be the "responsible person" recorded on the CAP, who is accountable for the development, implementation, and verification of the CAP's effectiveness. The responsible person will provide updates when requested and be accountable for the CAPs progress.

CAPs initiated as a result of a formal hazard analysis by a technical group shall be submitted by that group to the Transit Safety Senior Manager. Likewise, CAPs initiated by an audit or review, whether conducted internally or externally, will be brought for consideration and assignment by the responsible department. The representatives from the responsible department will review the information contained in the submittal and assign the CAP to the appropriate party.

If the Executive Safety Committee assigns a CAP(s), CTA Safety Department will forward the CTA Corrective Action Plan Form to the Department Head of which the CAP has been assigned, the CAP Lead, along with the initiating information. The committee may also assign a committee member to be a resource for the development stage of a CAP.

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Finally, All CAP Form submissions will receive a unique identification number. External CAP Form submission will receive a CAP ID number from the IL-SSOA. The Safety Department will assign a CAP ID number for Internal CAP Forms which will include the year the CAP was initiated, the CAP source and a sequential counter. All assigned CAPs will be stored in the CTA Safety SharePoint Site.

6.4 Developing a CAP

Once a CAP has been initiated and assigned, the CAP Lead must coordinate with relevant SMEs to develop the corrective action plan, to be reviewed by the VP of Safety. Using the CTA Corrective Action Plan Form or the IDOT Corrective Action Plan (CAP) Submission Form as a guide, CAP Lead will outline a proposed CAP, in conjunction with the Responsible Person of the user department.

When developing a CAP it is important to remember the P stands for Plan. All CAPS have three essential components that must be accounted for.

1. A CAP must describe the actions CTA will take to address the Finding.
2. The schedule or timeline for taking those actions, and
3. The individuals responsible for taking those actions

Below is a guide to complete both CAP forms. All fields on the forms are required:

Internal Corrective Action Plan Form (Bus and Non-reportable events) Appendix A:

External Corrective Action Plan Form (IDOT reportable events) Appendix B:

Origin Date. For event or hazard related CAPs, this is the event date/date of hazard identification. For audit related CAPs, this is the date of the final audit report issuance. For drill or exercise related CAPs, the Origin Date will be the Submission Date.

Submission Date. This is the date a CAP is submitted for review and approval by IL-SSOA.

IL-SSOA/CTA CAP Unique Identifier. This will be assigned by IL-SSOA or CTA Safety Department and include, at minimum, the year the CAP was generated, the CAP source, and a sequential counter.

Source. Potential sources include (based on FTA Reporting requirements): Hazard Identification Activities, Triennial Audits, Accident/Incident Investigations, Internal Audits, After Action Reports, Safety Data/Trend Analysis, as well as other potential sources.

Issue Statement. Description of the issue, finding of non-compliance, or identified area of improvement that generated the CAP.

Initial Risk Assessment Code (RAC). This entry will reflect CTA's safety risk assessment. Every CAP is required to have an initial RAC.

CAP Description (Corrective Action Plan). The CAP must describe the specific actions it will take to minimize, control, or eliminate the deficiency, deviation, non-conformity, or risks and

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hazards identified. The description should specify what constitutes completion of the CAP . This includes a list of items that will be provided to demonstrate CAP completion and allow the IL-SSOA and/or the Safety Department to verify CAP completion.

Anticipated Completion Date. The CTA Department must provide a proposed date of completion for every CAP. As the CAP is tracked to completion, CTA may request this date to be revised - IL-SSOA and/or the Safety Department must review any date revisions- to reflect changes in progress.

Date CAP Approved by IL-SSOA/CTA Safety Department. Each CAP must be approved prior to implementation, except for emergency CAPs.

Responsible Department. A CTA department must be assigned to be responsible for the CAP.

Responsible Person. A person must be responsible and identify the responsible department(s) for the CAP.

CAP Status. Status options include "Awaiting CAP Submission (ACS)", "Awaiting Approval" (AWAL "Open-Acceptable Action" (OAAL "Open-Unacceptable Action" (OUA), "Awaiting Verification" (AWV), or "Closed" (CLD). For IDOT monitored CAPs only IDOT has CAP closing authority. Safety will have the authority to close non-IDOT internal CAPs.

Implementation Date. the date CTA deems implementation of the CAP is complete - date documents were signed, repaired or implementation was completed. This can serve as the date CTA deems the CAP is ready to be verified as complete.

Verification Date. the date IL-SSOA or the CTA Safety Department verifies the CAP is fully implemented.

Closure Date. Date CAP is formally documented as being closed.

Post-Implementation Risk Assessment Code. This entry will reflect the CTA's RAC that results from an analysis of the conditions after implementation of the CAP. It is intended to document the reduction in risk and provide a basis for follow-up tracking through safety assurance processes

Updates. CAP logs will include notes, comments from CTA and I-SSOA, and updates regarding progress on CAP implementation. IL-SSOA or CTA Safety Department may add comments on documentation provided or indicate additional requests or expectations for verification of implementation.

6.5 CAPs Requiring Extraordinary Resources

If a CAP requires extraordinary resources in order to affect and complete implementation, or where current or pending resources under the responsible department's purview remain insufficient to complete the CAP (e.g. funds, personnel resources, authorities) then the CSSO may designate a Safety Officer to:

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- Work with the CAP Lead and affected department to create an interim CAP. This interim CAP will serve as a stopgap measure to reduce safety risk while the incomplete CAP is being reviewed. Status updates on the review and interim CAP are required by the Vice President (or equivalent) of the responsible department to the CSSO on a predetermined interval.
- Table the draft CAP approval and implementation
- Recommend that the CAP be placed on the unfunded capital project list, if applicable
- Submit that CAP to the Executive Safety Committee agenda, for the next Executive Safety Committee (ESC) meeting, for executive review and approval of additional resources.

6.5.1 Executive Safety Committee Resource Request Denial

If the Executive Safety Committee (ESC) cannot or will not provide or identify required resources for a CAP, then the Safety Department shall not approve nor begin tracking of the CAP. The Safety Department designee shall transmit a written report to the Executive Safety Committee, per Section 5.3.7 above and request that the President or designee shall:

- Confirm that the Executive Safety Committee has reviewed the CAP extraordinary resource request.
- Confirm that sufficient CAP resources are unavailable.
- Authorize and date, with signature, the acceptance of any underlying hazard, and the concomitant Hazard-CAP implementation delay.

6.6 Disputing CAP Initiation or Assignment:

An assigned CAP Lead may request to present evidence to the Transit Safety, General Manager that the hazard, deficiency or finding does not necessitate corrective action.

The CAP Lead shall return the CTA Corrective Action Plan Form to the Safety Department and document the date that the CAP was revised on the CAP Log. The Lead may be asked to discuss the proposed CAP with the committee during the review and approval process.

The Safety Department will review the proposed resubmitted CAP. The committee may suggest revisions to the CAP, such as if the committee believes the CAP is impractical to implement, or the performance objective of the CAP needs improvement, or the CAP will not achieve the desired safety improvement. The committee may recommend certain revisions to the CAP, for instance developing or revising an SOP to support a new or changed procedure.

For CAPs initiated as a result of formal audit or review, a proposed CAP must be accepted by the auditing or reviewing entity in addition to the Safety Department, for which the CSSO will ensure the necessary review and communication.

6.7 Implementing a CAP.

Once a CAP is approved, the CAP Lead is responsible for its implementation and for providing accurate and timely status updates to the Safety Department and the CSSO. If implementation of a CAP involves other safety management processes (e.g. Management of Change, Safety Certification), or other CTA management processes (e.g. budget process, hiring process), the

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justifications and explanations utilized for those processes shall be accounted for in the CAP milestones and timeline and accounted for in the initiating information, the performance objective, and estimated cost of the CAP.

6.8 Tracking a CAP

The Safety Department will log and track CAPs. During development of the CAP, it will be documented on either the Internal or External Corrective Action Plan Form. Once the VP of Safety approved the CAP and the responsible department confirms it, the CAP will be logged centrally on the Safety SharePoint site. Ongoing tracking will be determined by the established CAP timeline, the working schedule of the Safety Department, CAP Meeting and/or Executive Safety Committee (ESC), and the IL-SSOA review schedule.

The Safety Department shares CAPs and CAP updates with the IL-SSOA in accordance with the requirements published in the IL-SSOA Program Standards Manual and the CTA ASPs.

The CAP Lead shall report status updates to the Safety Department whenever requested (generally, with monthly meetings of the committee), at key CAP milestones, and no less frequently than the (quarterly) IL SSOA review schedule. The status of all CAPs shall be accurately detailed in the CAP's entry on the CAP Log.

CAPs will remain in "open" status on the CAP log until implementation is complete, signified by the acceptance of the VP, Safety.

6.9 Closing a CAP

The process for closing both external and internal CAPs will be similar. Each CAP that a User Department proposes to close, IL-SSOA (External CAPs) or CTA Safety Department (Internal CAPs) will review the CAP's completeness, and will conduct verify documentation, records or process implementation, as appropriate.

External Caps shall be managed by the IL-SSOA using the process defined in Section 11-H of the IDOT's Program Standards Manual.

The CTA Safety Department will verify completion of a CAP through one or more of the following means:

1. Field Observation;
2. Photographs provided by the user department
3. Receipt of new or revised document (e.g., executed Bulletin or SOP)
4. Work order or similar document showing full completion;
5. Written verification through email or internal memo; or
6. Audit of user department records.

CTA Safety Department will only verify a CAP is complete and is able to be closed when the corrective actions(s) is/are fully implemented. New or revised documents must be finalized; a CAP cannot be closed with draft documents. CTA Safety Department may request additional verification to ensure that the CAP resolution is appropriate.

If there is a dispute over the data or information provided to IL-SSOA, the IL-SSOA may request additional analysis, data, or information for the closure of the CAP.

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6.10 Troubleshooting a CAP

If a CAP has not proceeded as intended, or if information about the status of a CAP is not forthcoming, the Safety Department will first seek to escalate attention from the CAP lead. If efforts with the CAP Lead yield unsatisfactory results the Safety Department will escalate the concern to the VP of Safety who will seek to escalate the attention from the responsible department head. In some instances the CSSO may intervene. The CSSO may offer the assistance of additional safety personnel, if applicable, or escalate the CAP status to the Executive Safety Committee. The Safety Department or the Executive Safety Committee will evaluate the CAP status, which may result in: a) rededicating management attention to the approved plan, b) assigning new resources or adjusting priorities to support the plan, or c) revising the plan (such as revising the approach itself, adjusting the time line, or re-assigning the CAP as appropriate).

6.11 Evaluating a CAP

As part of its Safety Assurance responsibilities, the Safety Department may evaluate the efficacy of a CAP. This evaluation may be direct (measuring the direct impact of the CAP) or indirect (analyzing safety trends and information that may indicate safety improvement that in turn may be attributed to the CAP). The success of a CAP should be able to be judged in relation to the risk assessment of the associated hazard or deficiency, or in relation to the performance objective of the CAP that was established prior to implementation. In this way the safety assurance and safety risk management processes may be iterative.

For some CAPs, the Safety Department may set forth an ongoing assurance schedule to evaluate the CAP periodically and ensure it remains effective over time or across a variety of system elements or conditions that may affect its effectiveness (for instance through several seasons for a CAP that is weather dependent).

7.0 Disputing IL-SSOA CAPs

In accordance with the IL-SSOA Program Standards Manual, If the CTA disagrees with an IL-SSOA request for a corrective action plan, CTA may perform a Safety Risk Report. The Safety Risk Report is intended to ensure that the issue, if unmitigated, does not present an unacceptable safety or security risk to passengers, patrons and personnel, or to the public. The Safety Risk Report must evidence CTA has evaluated the Finding or issue, and determined the deficiency, deviation, or non-conformity is within compliance, or the resulting hazard and its potential consequences are at a level the CTA can accept. Safety Risk Reports will address requirements the IL-SSOA sets forth in its Program Standards Manual.

8.0 LIST OF APPENDICES & REFERENCES

Appendix A: Internal Corrective Action Plan Form

Appendix B: External Corrective Action Plan Form

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PROCEDURE APPROVAL

Approved: *Jeffrey Holbert* Date 05/19/2022
Vice President of Safety

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D.2 CTA Event Investigation and Corrective Action Plans AP 1901:

ADMINISTRATIVE PROCEDURE # 1901	
Event Investigations and Corrective Action Plans	
Effective Date:	01/24/2020
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Chicago Transit Authority

I. PURPOSE AND SUMMARY

To communicate procedures for investigating safety Events (see definition below), including procedures for departments to follow when the findings or recommendations presented in an Event investigation report are to be addressed with a Corrective Action Plan (CAP). Not all findings, recommendations, or observations must be addressed with a CAP. Information regarding investigations shall only be shared with legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.

2. SUPPORTS THE FOLLOWING POLICY

The CTA is committed to providing a safe work environment for all employees and safe trains, buses, and facilities for our customers. It is CTA policy to investigate Events to identify and manage safety risk and to prevent the recurrence of similar events when such an investigation is deemed necessary or to comply with legal requirements. The Safety Department (Safety) is responsible for conducting such investigations.

3. DEFINITIONS

- 3.1 Event** – An Accident, Incident, or Occurrence.
- 3.2 Accident** – An event that involves a loss of life occurring at the scene or within 30 days following the event, a report of a serious injury to a person, a collision involving a transit vehicle, a runaway vehicle, an evacuation for life safety reasons, or any derailment of a rail transit vehicle at any location at an time, whatever the cause.
- 3.3 Corrective Action Plan (CAP)** – Plan containing recommendations to address issues raised from the investigation of an Event.
- 3.4 CTA Event Investigation Guidelines** – Guidelines pursuant to which Safety conducts Event investigations. See Section 4.2 below.
- 3.5 Final Report** – Final investigative report issued by Safety which may contain findings or recommendations, and may require a CAP.
- 3.6 Incident** – An event that involves a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts operations.
- 3.7 Occurrence** – An event where there is no personal injury or property damage that causes disruption to transit services, such as a close call, near miss, or vandalism/theft.
- 3.8 Preliminary Report** – Preliminary investigative report issued by Safety within ten business days of an investigated Event, or in accordance with the Illinois Department of Transportation State Safety Oversight Agency (SSOA) Program Standards Manual, as applicable, and which may contain preliminary findings or recommendations.

4. PROVISIONS AND ELIGIBILITY

- 4.1 Investigations of Events**
 - A. The Safety Department is responsible for conducting investigations of Events when such investigations are deemed necessary or legally required and for developing Corrective Action Plans (CAPs) as needed in order to identify and manage safety risk, and to prevent the recurrence of similar events.
 - B. Safety will review and analyze all data collected during Event investigations and will describe investigation activities and identify the factors that caused or contributed to the Event.



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C. Safety will issue findings or make recommendations based on its investigation and may require CAPs. Safety will work with departments to implement CAPs as necessary or applicable.

D. State Safety Oversight Agency (SSOA): The Illinois Department of Transportation (IDOT) is the SSOA for the CTA. When Safety investigates an event on behalf of the SSOA, the SSOA is responsible for conducting an independent review of the investigation; any CAPs associated with such investigations must be approved by the SSOA.

4.2 Event Investigation Guidelines

Safety conducts investigations pursuant to CTA's Event Investigation Guidelines, which include, but are not limited to the following activities:

- a) Investigating/inspecting the scene
- b) Conducting interviews with employees and witnesses
- c) Taking photos and measurements, and retrieving physical evidence including video
- d) Collecting all pertinent reports, data, and records from affected departments
- e) Notifying internal personnel and external agencies, subject to the limitations described in this policy
- f) Conducting follow-up interviews or re-enactments if needed

4.3 Preliminary Reports

Preliminary Reports issued by Safety will be shared with the Vice President and/or Chief of the affected departments within ten business days of an investigated Event, or in accordance with the SSOA Program Standards Manual, as applicable. Preliminary Reports may contain preliminary findings or recommendations and shall only be shared with legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.

4.4 Immediate Recommendations and Emergency Corrective Action Plans

Safety may issue immediate recommendations or require emergency CAPs, in which case the Final Report will contain a record or summary of any mitigation which has been implemented. Immediate recommendations and emergency CAPs shall only be shared with legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.

4.5 Final Reports

Final Reports will be issued by Safety and shared with the Vice President and/or Chief of the affected departments within 60 calendar days of an Event, or in accordance with the SSOA Program Standards Manual, as applicable. Final Reports may contain findings or recommendations and may require CAPs. Where a CAP is required, Safety will work with affected departments to design the CAP. Where an investigation is subject to SSOA review, Safety will work with the SSOA to obtain approval for the CAP.

Final Reports shall only be shared with legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.

4.6 Post-Investigation Meetings

A. Safety will meet monthly with departments that are acting on Final Report recommendations and/or working to complete CAPs.

B. Affected departments must send a representative to the meeting who is responsible for and knowledgeable with the particulars of the investigation and has decision-making authority with respect to closing CAPs and implementing recommendations that do not require CAPs.

4.7 Recommendation and Corrective Action Plan Log

Safety will maintain a tracking log to track the status of current CAPs as well as certain recommendations that do not require CAPs.



ADMINISTRATIVE PROCEDURE # 1901 Event Investigations and Corrective Action Plans	
Effective Date:	01/24/2020
Initiating Department:	Safety
Supersedes:	AP 1901 (01/25/2010)
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Chicago Transit Authority

5.A. PROCEDURES – ACTIONS FOLLOWING EVENTS

1.	Safety	Conducts investigation following Event and determines the affected department(s). Does not share information regarding investigation with anyone other than legal counsel, the Vice President and/or Chief of the affected department(s), and the President's Office, unless legal counsel approves wider distribution of the information.
2.	Affected Department(s)	May also conduct an investigation. Does not share information regarding investigation with anyone other than legal counsel, Safety, and the President's Office, unless legal counsel approves wider distribution of the information.
3.	Affected Department(s)	Provides reports, data, and records requested by Safety to assist with the investigation as soon as possible.
4.	Safety	Prepares and issues a Preliminary Report to the Vice President and/or Chief of the affected department within 10 business days of the Event, or in accordance with the SSOA Program Standards Manual, as applicable. Does not share the Preliminary Report with anyone other than legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.
5.	Safety	Prepares and issues a Final Report within 60 calendar days of the Event, or in accordance with the SSOA Program Standards Manual, as applicable. In order to review all supporting documentation relevant to the event, Safety may take more than 60 days to prepare a Final Report, in accordance with the SSOA Program Standards Manual, as applicable. Does not share the Final Report with anyone other than legal counsel, the Vice President and/or Chief of the affected department, and the President's Office, unless legal counsel approves wider distribution of the information.

5.B. PROCEDURES – RESPONSE TO RECOMMENDATIONS/CORRECTIVE ACTION PLANS

1.	Safety	Based on Final Reports, Safety will maintain a tracking log to track the status of open CAPs and certain recommendations that do not require CAPs.
2.	Safety and Affected Department(s)	Safety will conduct monthly meetings with affected departments to track the status of all open CAPs and certain recommendations that do not require CAPs.
3.	Affected Department(s)	Provides to Safety documentation of completion of CAP or actions taken in response to certain recommendations not part of a CAP.
4.	Safety	Verifies the completion of CAP or actions taken in response to certain recommendations that did not require a CAP, including seeking verification by the SSOA, as applicable. Audits the effectiveness of the completed CAP or actions taken in response to certain recommendations that did not require a CAP.



ADMINISTRATIVE PROCEDURE # 1901	
Event Investigations and Corrective Action Plans	
Effective Date:	01/24/2020
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Chicago Transit Authority

Approved by: Veronica Alanis
Title: **Veronica Alanis
Chief Operating Officer**
Date Approved: 1/24/20



D.3 Employee Safety Reporting Procedures SMS-SOP-2-20:



Safety Management System

Employee Safety Reporting Procedures	Doc. nr	SMS-SOP-2-20	Origination Date:	12/16/2019
Procedure	Revision	V1	Approved by	CSSO

3.0 DEFINITIONS

Event – An accident, incident or occurrence.

Hazard - Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Near Miss - An unplanned event that did not result in injury, illness, or damage – but had the potential to do so.

Unsafe Act - Any act which may endanger human life or property; any act that deviates from a recognized safe way or specified method of doing a job and which increases the probabilities for an accident.

Unsafe Condition - Any condition which may endanger human life or property.

4.0 ACCOUNTABILITES AND RESPONSIBILITES

4.1 Safety Department

The Safety Department will be the gatekeeper of all concerns reported, which is monitored daily and will take timely action according to the severity of the concern. Safety personnel will be responsible for:

- Reviewing safety reports and determining the next course of action;
- Maintaining a data log of reported concerns for analysis;
- Analyzing the reported safety concerns in order to conduct trend analysis;
- Ensuring that the concerns are shared with the appropriate stakeholders;
- Ensuring that the concerns are addressed and mitigated;
- Providing feedback to the reporting employee(s).

4.2 CTA Leadership and Executive Management

CTA Leadership and Executive Management will be responsible for:

- Investigating the reported safety concerns;
- Ensuring that the concerns are shared with the appropriate stakeholders;
- Ensuring that the concerns are addressed and mitigated;
- Providing feedback to the reporting employee(s).

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Employee Safety Reporting Procedures	Doc. nr	SMS-SOP-2-20	Origination Date:	12/16/2019
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4.3 CTA Employees & Contractors

CTA Employees and Contractors are responsible to follow all safety rules, procedures, policies and adhere to safe work practices to avoid injuries. Prompt notification to the employee's manager and the Safety Department must occur for any of the following reasons:

- A near miss;
- An unsafe condition;
- Any tool, machine or piece of equipment not in good working order;
- Any personal injury, no matter how minor; and
- Any unsafe practice.

5.0 EMPLOYEE REPORTING PROCEDURES

Employees and Contractors have the following options for reporting safety concerns:

- Notification to the Control Center via two-way radio
- Call the CTA's SafeLine Hotline (24/7) at 1-(877) 411-4CTA (4282)
- Notification to immediate Supervisor/Manager
- Email SafeLine at Safeline@transitchicago.com
- SafeLine Employee Reporting website at safety.ctadataportal.com
- Formally submit a CTA SafeLine/Event/Hazard/Near Miss Form

6.0 COMMUNICATION

Monitoring and investigation results of safety concerns, hazard or any other condition relevant to safety will be communicated to employees who provides contact information within 48 hours or the concern will be discussed during the following venues:

- Safety Communication Board postings;
- Rap Sessions; and/or
- Joint Labor/Management Safety Committee Meetings.

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7.0 NON-PUNITIVE AND PUNITIVE REPORTING

No disciplinary action will be taken against any employee who communicates a safety concern or hazard, unless such disclosure indicates an illegal act, gross misconduct/negligence, a deliberate or willful disregard of CTA rules, policies, and procedures, or intentionally false or misleading information as reference in the **Corrective Action Guidelines**. Conditions under which a reporting employee is **not** protected from discipline includes, but not limited to the following:

- Operating violations (e.g., failure to curb, yield the right-of way or clear intersection; improper turn; second lane operation; driving with one hand; failure to stand as required while operating; unauthorized passing a scheduled station stop; allowing unauthorized passing a scheduled station stop; allowing unauthorized person in the motorcab; failure to observe platform; failure to hook safety chains/springs; working out of position; improper berthing of vehicle);
- Unauthorized use of portable electronic audio/video/communication devices while on duty;
- Failure to obey signals;
- Violation of CTA safety rules and procedures.

PROCEDURE APPROVAL PAGE

Approved:  Date 2/15/2020
Chief Safety & Security Officer

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D.4 Management of Change SMS-SAP-1-20:



Safety Management System

Management of Change	Doc. nr	SMS-SAP-1-20	Origination Date:	3/17/20
Safety Assurance	Revision	V2	Approved by	CSSO

Management of Change

PURPOSE

The purpose of this Safety Assurance Procedure is to establish a method for managing changes within Chicago Transit Authority's (CTA) business operations. The Management of Change (MOC) procedure identifies risks arising from proposed changes that may introduce new hazards or impact the CTA's safety performance. The Management of Change procedure uses the Safety Risk Management Process to assess changes to existing CTA systems and procedures. The CTA Safety Policy mandates through this procedure that no changes can be made or implemented that may pose a safety risk until a thorough Safety Risk Assessment has been conducted.

SCOPE

The Management of Change SAP can apply to a variety of changes within respective CTA business units. Changes that affect safety performance could pertain to vehicles, facilities, equipment, materials, tools, technology, plans, schedules or procedures. The changes listed below are within the scope of the standards and are not meant to be exhaustive or prescriptive. It is necessarily broad, in order to account for changes that may, through Safety Risk Management, be found to have an effect on established safety performance because they may introduce new hazards or worsen an existing condition:

- Changes to systems impacting bus or rail operations;
- Changes to facilities, infrastructure or equipment infrastructure, track, switches, systems' engineering, or power transmission components;
- Changes in the use of, or the application of chemicals or hazardous materials;
- Changes in the use of personal protection equipment;
- Change to business unit processes or to standard transit operating procedures, including Vehicle Maintenance;
- Modification of existing technology or the introduction of new technology (hardware or software);
- Changes to vehicle systems or components;
- Employee generated safety enhancements;
- Configuration changes to system infrastructure or rolling stock;
- External change recommendations from IL-SSOA or FTA;
- Any changes that may impact safety performance that the Safety Department deems appropriate.

The objective of the MOC process is to ensure that no new hazards are inadvertently introduced, and that existing safety performance is maintained. If a proposed change has the potential to affect safety performance, then the CTA will evaluate the proposed change using its Safety Risk Management process.

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DEFINITIONS

Change: When a business unit has a need or a business solution requiring an adjustment to an existing process, system, people or organizational structure.

Change Priority: The rating given to the proposed change based on safety impact. This rating determines whether the change is reviewed by the MOC Committee or the Internal Safety MOC Review Group.

Priority 1 Change: Proposed changes that pose a significant impact to the CTA, have high safety risk rating, or require a significant amount of resources to implement. Priority 1 Change submissions can only be approved by the MOC Committee.

Examples: Rail Infrastructure changes, Bus Engineering technology changes, Power transmission changes, changes to On-Track Safety Requirements.

Priority 2 Change: Proposed change submissions that have a lesser impact to the CTA, less safety risk rating or that require fewer resources to implement. Priority 2 Changes can be recommended/approved by the Internal Safety MOC Review Group.

Examples: Changes to non-FR or electrical PPE, Non-electrical paint change, Ladder modifications.

Change Document Package: The package of documents assembled and utilized to assess a proposed change. The Internal Safety MOC Review Group or the MOC Committee will review contents as needed and provide feedback. This package shall include but is not limited to Initial and final Change Form, drawings, specifications, sketches, calculations, the preliminary and final Safety Risk Assessment and log reference number.

Configuration Management: Process relating to the changes to the specification of a process or system.

Executive Safety Committee: Governing body presiding over safety policies, procedures and processes.

Management of Change Committee (MOCC): The MOCC is chaired by the Chief Safety & Security Officer and includes representatives from other business units within the CTA. This group is responsible for the review and approval of all Priority 1 MOC Submittals.

Management of Change (MOC): Is the process used to ensure that safety risk is controlled when departments within the CTA makes changes in their facilities, procedures, personnel, or operations.

Internal Safety MOC Review Group: This group consists of members of the Safety Department and unit stakeholders as needed and is tasked with reviewing all hazard assessments for proposed changes and approving Priority 2 MOC submittals.

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Stakeholder: Person or user group seeking to implement or affected by a change.

Senior Manager - Emergency Preparedness: Safety Department representative responsible for ensuring that the MOC procedure is adhered to; identifies those affected by the change; Responsible for assigning the Initial Change Priority Rating; and convenes the Management of Change committee and the Internal Safety MOC Review Group to review the findings on a proposed change.

General Managers of Safety: Assigns the Safety Officer resources and submits the completed Change Document Package to the Senior Manager of Emergency Preparedness.

Safety Officer: Safety Department employee assigned to evaluate a change request.

MOC Log: An electronic log, containing records for each implemented and unimplemented change via the “Change Request Form”. A number shall be assigned corresponding to the current month, year, and sequentially numbered (MOC-1-2020).

Initial Change Form SAF-MOC-001: The first document submitted by a stakeholder to notify the Safety Department of a proposed change. This form captures the description of the change, its purpose, and identifies impacted stakeholder.

Final Change Form SAF-MOC-002: This document is reviewed by the Management of Change Committee during the MOC meeting or the Internal Safety MOC Review Group and summarizes the final Safety Risk Assessment performed by the Safety Department.

Change Implementation Plan: Process that documents activities, roles, mitigations, Safety Indicators and Targets that will be monitored to determine the performance of the change.

Safety Performance Target: A quantifiable level of performance or condition expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

Safety Performance Indicator: A data driven, quantifiable parameter used for monitoring and assessing safety performance.

Safety Risk Assessment: Formal activity whereby a transit agency determines safety risk management priorities by establishing the significance or value of its safety risks.

Safety SharePoint: Repository for Safety Department Documents.

User Department: The department which is accountable and responsible for implementing the change.

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RESPONSIBILITIES

Stakeholder

The Stakeholder shall be responsible for:

- Developing and submitting Change Request Forms to the Senior Manager of Emergency Preparedness.
- Providing the information and documentation that describes the proposed change. Materials may include product or material specifications, SDS Sheets, and or best practices research.
- Identifying hazards that may be introduced through the implementation of a change and developing initial safety risk mitigations.
- Assigning a point of contact for the proposed change.

Safety Department’s Responsibility in the MOC Process Management

Senior Manager of Emergency Preparedness

The Senior Manager of Emergency Preparedness shall be responsible for:

- Assessing the Initial Change Request Forms and assigning them to the appropriate Safety General Manager(s).
- Assigning the proposed change to Priority One or Priority Two.
- Assigning the MOC Log numbers.
- Entering the proposed change into the SharePoint MOC Log.
- Submitting the Change Document Package to safety leadership for final review.
- Designing the agenda and calling the meeting of the Internal Safety MOC Review Group or Management of Change Committee meeting as applicable.

General Managers of Safety

General Managers of Safety will work in collaboration with the stakeholders department to ensure that the hazards identified in the MOC submittal are resolved as efficiently as possible based on the type of change proposed and to ensure that a risk assessment is completed.

The General Managers of Safety shall be responsible for:

- Reviewing, assessing, and approving the Initial Change Request forms submitted by stakeholders from CTA departments are reflected in the table below:
- Assigning Safety Officers to perform the Safety Risk Assessment of the proposed change.

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CTA Departmental Stakeholder Assignments

<u>Stakeholder Department</u>	<u>Safety General Manager</u>
Rail Operations	GM, Transit Safety
Bus Operations	GM, Transit Safety
Infrastructure	GM, Transit Safety
Power & Way Maintenance	GM, Occupational Safety
Facilities Maintenance	GM, Occupational Safety
Vehicle Maintenance	GM, Transit Safety
Training and Workforce Development, Planning & Other (Unspecified)	To be determined by the Senior Manager of Emergency Preparedness

Safety Officers

The Safety Officers shall be responsible for analyzing the proposed change by:

- Assessing the Initial Change Form as submitted by the General Manager of Safety.
- Identifying subject matter experts who have working knowledge of the potential hazards and who can evaluate the change or mitigations.
- Engaging employees who may be affected by the change.
- Completing the Safety Risk Assessment of the proposed change.
- Preparing the Change Document Package, as needed.
- Submitting the Change Document Package to the General Manager of Safety for review.

Internal Safety MOC Review Group

The Internal Safety (MOC) Review Group is convened by the Senior Manager of Emergency Preparedness and is comprised of representatives within the Safety Department and Subject Matter Experts as needed.

The Internal Safety MOC Review Group is responsible for reviewing all Change Document Packages for both Priority 1 and Priority 2 MOC submittals.

Priority 1: MOC submittals will be transmitted to the Chief Safety & Security Officer and placed on the meeting agenda of the Management of Change Committee, once the change has been reviewed and the Change Document Package has been completed by the Internal Safety MOC Review Group.

Priority 2: MOC submittals can be resolved by the Internal Safety MOC Review Group. The Internal MOC Safety Review Group will collaborate with the stakeholder group to approve or request the stakeholder to submit additional documentation or agree to additional monitoring

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Documentation

The record of the MOC Initial & Final Change Forms shall be annotated on the MOC Log and the Change Document Package will be uploaded into SharePoint.

Meeting Agenda

The Senior Manager of Emergency Preparedness shall draft the meeting agenda and ensure that all Priority 1 MOC change document packages are included, submitted and documented on the meeting agenda.

Meeting Schedule

The Management of Change Committee shall meet as needed based on the proposed changes submitted. The Senior Manager of Emergency Preparedness shall identify the stakeholders and facilitate the meeting(s). Each Priority 1 submittal shall have a MOC Committee formed with the stakeholders departments participation required.

Determining the Acceptability of Risk

Approved Changes

In order for a Priority 1 change to be implemented, the members of the Executive Safety Committee must reach a consensus on whether the change should move forward to the implementation, monitoring and measurement phase. The decision to consider a change to be made shall be based on hazard and risk.

Approved Changes will be identified as either:

- Accept level of Safety Risk associated with Proposed Change
- Accept level of Safety Risk with Mitigations

Unapproved Changes

If the Executive Safety Committee does not approve all the changes or recommends that revisions be made to the Change Document Package, the revised recommendations shall be sent back to the General Managers of Safety and Stakeholder for review.

Unapproved Changes will be identified as:

Rejected proposed changes as submitted. The Stakeholder may resubmit the Change Document Package once the suggested conditions are met.

Internal Safety (MOC) Review Group

The Internal Safety (MOC) Review Group is convened by the Senior Manager of Emergency Preparedness and is comprised of representatives within the Safety Department and Business Unit Stakeholders as needed.

The members of the Internal Safety (MOC) Review Group shall be responsible for:

- Performing Safety Risk Management activities.
- Reviewing the Change Document Package of all Priority 1 & 2 Changes.
- Approving Priority 1 & 2 hazard mitigations or recommending that the change be submitted to the Executive Safety Committee based on risk.

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Documentation

The record of the MOC submittal shall be annotated on the MOC Log and the Change Document Package will be uploaded into SharePoint. Hazards identified will be stored and tracked on the CTA Hazard Log.

Schedule

The Internal Safety (MOC) Review will occur following the receipt of the Change Document Package containing the Safety Risk Assessment by the Senior Manager of Emergency Preparedness.

Approval of a proposed change

In order for the proposed change to move forward, all members of the Internal Safety (MOC) Review must accept that the hazards have been identified and the potential safety risks identified have been moved to an acceptable level.

Final MOC Approval

The Safety Department and/or stakeholder department reaches a consensus agreeing that the mitigations for the hazards and potential safety risks identified have been moved to an acceptable level.

If either the MOC Committee or the Internal Safety (MOC) Review Group determines that the hazards have been identified and the risks are properly mitigated, The stakeholder can then move forward with the change, the Final Change Request Form will be returned to the Senior Manager of Emergency Preparedness for processing and a Change Implementation Plan and/or Hazard Mitigation Monitoring Plan will be created.

Change Implementation

- Once the Change Document Package and Final Change Form are received by the Stakeholder and the Safety Department both will collaboratively create the appropriate safety risk mitigations.
- Testing, Training and Safety Assurance processes are required and shall be created collaboratively with Safety and the stakeholders and documented following the guidelines contained within the Safety Performance Monitoring and Measurement Process; so that once the change is implemented, all affected departments are familiar with the change, how the change will be monitored and how well the change performing.
- Any safety consequences resulting from the implementation of the change will be communicated to the Control Center (injury, near-miss, incident/accident) immediately. The occurrence shall then be assessed by the user department and the Senior Manager of Emergency Preparedness using the Safety Risk Management Process.

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Change Management

- All field changes shall be marked on the original Change Document Package documents. These documents shall be returned to the Stakeholder or to the MOC Committee to incorporate changes into the Change Document Package.
- The Stakeholder will distribute the updated documents to the department responsible for future management and maintenance of the changes.

Change Activity Distribution

- Once the Change has been approved, communication concerning the change shall be distributed to the stakeholders in the form of a bulletin, SOP, or using other types of media.

REFERENCE DOCUMENTATION

- Exhibit A, Management of Change Flowchart
- Exhibit B, Initial Change Request Form
- Exhibit C, Final Change Request Form
- Exhibit D, MOC SharePoint Log

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PROCEDURE APPROVAL PAGE

Approved:  Date 4/10/2020
Chief Safety & Security Officer

Approved:  Date 4/14/2020
Chief Transit Officer

Approved:  Date 4/15/2020
Chief Infrastructure Officer

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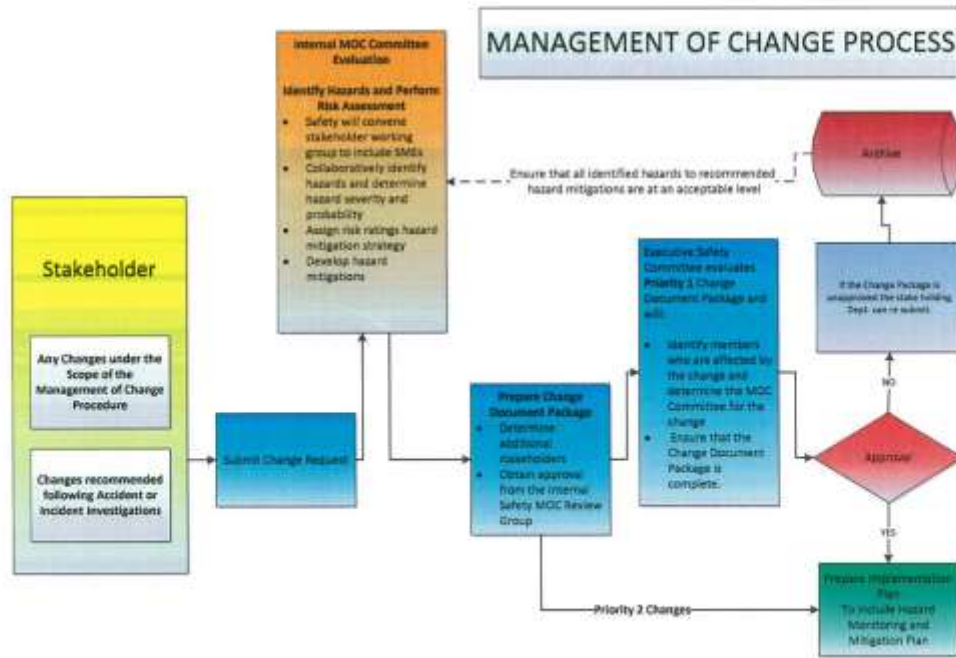




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EXHIBIT A: MANAGEMENT OF CHANGE PROCESS FLOWCHART



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Exhibit B: Initial Change Request Form

<p>CTA Stakeholder Change Request Details <i>The stakeholder requesting a change must fill out this form and work with the Senior Manager of Emergency Preparedness to determine the feasibility and impacts of the change to the CTA. All changes must follow the Management of Change Procedure prior to implementation or development.</i></p>			
CTA Departmental Stakeholder Assignments			
<p><u>Rail Operations:</u> GM, Transit Safety</p>	<p><u>Bus Operations:</u> GM, Transit Safety</p>	<p><u>Operational SOP's:</u> GM, Transit Safety</p>	<p><u>Infrastructure & PW Maintenance:</u> GM, Occupational Safety & Construction</p>
<p><u>Other:</u> Senior Manager of Emergency Preparedness</p>	<p><u>Learning and Support:</u> GM, Transit Safety</p>	<p><u>Vehicle Maintenance:</u> GM, Occupational Safety & Construction</p>	<p><u>Facilities Maintenance:</u> GM, Occupational Safety & Construction</p>
Stakeholder - Populate required information in fields below			
Department requested by	<Requesting department>	Request Date	<Date of Submission>
Stakeholder	<Sr. Manager or above>	Safety Manager Priority 1 or 2	Safety Manager Expedited Y/N
Change Title	<Insert the title of the proposed change>		
Change Description	<Describe the proposed change>		
Business Justification	<Describe why this proposed change needs to be made. What are the business impacts?>		
Stakeholder groups impacted	<What are the departments or stakeholders that this proposed change will impact?>		
Approval:	Safety Dept. _____ Requesting Dept. _____		

Submit this form to:
Sr. Manager of Emergency Preparedness

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Exhibit C: Final Change Form

CTA Stakeholder Change Request Details			
<p><i>The stakeholder requesting a change must fill out this form and work with the Senior Manager of Emergency Preparedness to determine the feasibility and impacts of the change to the CTA. All changes must follow the Management of Change Procedure prior to implementation or development.</i></p>			
Populate required information in fields below			
<p>Change Title</p> <p style="text-align: center;"><i><Insert the title of the proposed change></i></p>			
All Information below MUST be filled out below in order for change to be placed on the Meeting Agenda			
Department requested by	<i><Requesting department></i>	Request Date	<i><Date of Submission></i>
Stakeholder	<i><Sr. Manager or above></i>		Expedited Y/N
Change Description	<i><Describe the proposed change></i>		
List of Hazards	<i><List of all the hazards identified during the Hazard Assessment></i>		
List of Hazard Mitigations	<i><List of Mitigations to reduce hazard severity and probability></i>		
Change Document Package Contents	<i><List all documents reviewed during the Hazard Assessment or as supporting documentation.></i>		
Implementation Plan	<i><Describe the process for implementing this change along with schedule for monitoring activities.></i>		
Approval:	Safety Dept. _____ Requesting Dept. _____		
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Exhibit D: MOC SharePoint Log

The Management of Change Log is found in the Safety SharePoint site.

CTA Management of Change (MOC) Log



Request #	Date of Approval	Priority (1 or 2)	Job desc	Department	Requester	Submitter	Job Analysis	Change Type	Change Location	Business Justification	Stimulus/Group/Initiator	Duration of Project	Management Priority	Notes of Request
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D.5 Continuous Safety Improvement SMS-SAP-2-20:



Safety Management System

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Safety Assurance	Revision	V1	Approved by	CSSO

Continuous Safety Improvement

PURPOSE

The purpose of this procedure is to routinely assess the CTA’s agency-wide safety performance, specifically its performance against the agency-wide safety goals and objectives established in its Public Transportation Agency Safety Plans (PTASP).

SCOPE

The procedure leverages the CTA’s Performance Management capabilities and data analysis processes. Managers of departments and functions use the Performance Management process to assess operations day to day, as do CTA executives who monitor select indicators of business performance.

This procedure is carried out at the executive level and is specific to safety performance—selecting, monitoring and addressing indicators of agency-wide safety performance for the purpose of continually reducing safety risk and increasing the effectiveness of CTA safety policies and procedures. This Safety Assurance activity interfaces directly with CTA safety policy by evaluating progress toward the goals and objectives the CTA has committed to via its Agency Safety Plans.

DEFINITIONS

The following definitions are used in this procedure:

<u>Performance Management</u>	The framework utilized by CTA managers and executives to measure and monitor operational and business objectives.
<u>Continuous Safety Improvement</u>	The use of select key safety performance indicators to measure and monitor progress against the safety goals and objectives articulated in the ASP, per this procedure.
<u>Safety goal/ Safety objective</u>	Agency-wide safety intentions established by CTA in an ASP.
<u>Safety performance indicator</u>	A data driven, quantifiable parameter used for monitoring and assessing safety performance.
<u>Continuous Safety Improvement Indicator</u>	A safety performance indicator selected, per this procedure, to monitor the progress of agency-wide safety goals and objectives.
<u>Safety performance target:</u>	A quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.
<u>Deficiency:</u>	A measured level of performance, or a performance trend, that fails to meet the desired safety performance target. Note: The FTA does not define this term.

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RESPONSIBILITIES AND AUTHORITIES

CTA’s Accountable Executive will approve the key safety performance indicators and targets that CTA utilizes in this Continuous Safety Improvement process. He or she also is responsible for ensuring actions to address any deficiencies detected from monitoring the selected safety performance indicators.

The Chief Safety & Security Officer is responsible for recommending the Continuous Safety Improvement indicators and targets to be used in the Continuous Safety Improvement process. The Director of Performance Management will provide analytical support, feasibility, and data quality assessments to support the Chief Safety & Security Officer’s determination of recommended indicators and targets, based on data available from appropriate CTA departments and CTA’s enterprise systems.

The Chief Safety & Security Officer is responsible for directing this procedure, and for ensuring compliance with IL-SSOA requirements pertaining to the process. He or she is responsible for conducting a regular review of Continuous Safety Improvement data, presenting plans to address deficiencies to the Accountable Executive, and ensuring documentation is maintained as described in this procedure.

PROCEDURE

The Chief Safety & Security Officer, with the support and input of the Director of Performance Management, will oversee the selection and creation of Continuous Safety Improvement indicators, and the selection of appropriate safety performance targets to accompany each. Continuous Safety Improvement indicators may be selected from among the various performance measures already utilized in the CTA’s Performance Management process. They also may be based on a modification of an existing performance measure or target to better suit the monitoring of agency-wide safety performance, such as by setting a safety performance target at an aggregate level that represents all involved departments.

Where there is no existing performance measure for one or more safety goals and objectives, the Chief Safety & Security Officer and the Director of Performance Management may define a new or novel Continuous Safety Improvement indicator and associated safety performance target, and applicable data collection and reporting process.

Continuous Safety Improvement indicators and safety performance targets shall be developed and monitored consistent with the CTA’s Performance Management process and guidelines. The CTA may choose to adopt some, or all of the safety performance measures required by the FTA’s National Public Transportation Safety Plan for use as Continuous Safety Improvement indicators, in which case the corresponding safety performance targets shall be the same as those identified under 49 CFR Part 673.11. Otherwise, CTA’s compliance with the National Public Transportation Safety Plan is separate from this procedure.

Annual Selection

The CTA will establish or revisit its Continuous Safety Improvement indicators and safety performance targets at least annually following the issuance of the ASP, regardless of whether the ASP establishes new safety goals or objectives. Even when the CTA does not change its safety goals or objectives, the CTA may identify a new or improved indicator, or may find that its level of performance requires the establishment of a new or revised target.

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The Chief Safety & Security Officer will present the selected Continuous Safety Improvement indicators and safety performance targets for endorsement by the Executive Safety Committee and approval by the Accountable Executive, following the approval and issuance of the ASP.

Interim Modifications

Key safety performance indicators and targets are intended to remain in place over the life of a published ASP. However, if the CTA modifies the ASP outside of an annual review and update process, and if that modification affects the established agency-wide goals and objectives, the Chief Safety & Security Officer, with the support and input of the Director of Performance Management, may recommend new or revised safety performance indicators or targets accordingly.

Additionally, the CTA may determine that a key safety performance indicator is not measuring that which it was designed to measure, or that a target is not functioning as a proper guide to action. The CTA may decide to edit the indicator or target, and document it as noted in the following sections.

Regular Review

The Chief Safety & Security Officer is responsible for the regular review of safety performance against the goals and objectives of an ASP. The Director of Performance Management will provide support in the periodic gathering and analysis of Continuous Safety Improvement indicators as well as in the design of reports in a format that can be utilized and shared by the Chief Safety & Security Officer.

Internal CTA Review

The Chief Safety & Security Officer will provide the information about the performance of CTA’s safety goals and objectives to the Accountable Executive and all relevant CTA Executive Managers at least quarterly. Generally this will occur in the context of an Executive Safety Meeting.

State Safety Oversight Agency Review

The CTA will share its Continuous Safety Improvement performance with IL-SSOA at least quarterly, in accordance with the IDOT’s Program Standard Manual. Generally, this will occur in the context of a regular quarterly meeting established and convened by IL-SSOA.

Addressing Deficiencies

In accordance with 49 CFR Part 673.27, the Accountable Executive is accountable for directing action to address deficiencies identified by the agency-wide key safety performance indicators. The Chief Safety & Security Officer will guide this process, when his or her monitoring the Continuous Safety Improvement indicators reveals an apparent deficiency. The Chief Safety & Security Officer will coordinate with other relevant Executive Managers to further review the data and information about the underlying processes or issues.

The Chief Safety & Security Officer will then present the Accountable Executive with both the observed deficiency and recommendations for correcting it, and the Accountable Executive will direct action to

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resolve it. Such actions may include activating related processes, such as the safety risk management process or the management of change process and may entail creating new procedures or conducting training. The Chief Safety & Security Officer will ensure these are carried out and documented appropriately.

The CTA will make every effort to design effective indicators and create appropriate targets. Changing either as a means of addressing a deficiency will rarely be a first resort. In some cases, the CTA may find that an apparent deficiency is the result of a faulty indicator, insufficient data, or a problem related to the design or functioning of the CTA’s safety risk management system itself, rather than an actual observable deficiency in safety performance. In that event, the Chief Safety & Security Officer, with the support and input of the Director of Performance Management, will present the apparent deficiency, the related analysis, and recommendations for better measuring the relevant agency-wide safety goals and objectives. The Accountable Executive will be responsible for approving any such change. The Director of Performance Management will document it and the Chief Safety & Security Officer will share it with IL-SSOA as part of the quarterly sharing of performance information.

Documentation

Agency-wide safety goals and objectives will be documented in the ASP. Selected Continuous Safety Improvement indicators and safety performance targets will be documented in the following formats:

- In correspondence from the Chief Safety & Security Officer to the Accountable Executive, prepared with the support and input of the Director of Performance Management. This memo will be produced at least annually, and endorsed by the relevant Executive Managers—members of the Executive Safety Committee, prior to being presented to the Accountable Executive.
- In analyses presented by the Chief Safety & Security Officer to the Executive Safety Committee, prepared with the support of the Director of Performance Management.
- In correspondence from the Chief Safety & Security Officer to the Accountable Executive to explain apparent deficiencies raised by the key safety performance indicators, along with recommendations for action.
 - In correspondence from the Accountable Executive, as applicable, to direct action to address a deficiency.
 - In documentation of related safety management processes, as applicable.
- In materials provided by the Chief Safety & Security Officer to IL-SSOA at least quarterly.

GUIDELINES

With 49 CFR Part 673.27, the Federal Transit Administration (FTA), requires transit agencies to establish a process to assess safety performance and, if a transit agency identifies any deficiencies through this assessment, it is required to develop and carry out a plan to address the deficiencies, under the direction of the Accountable Executive.

The Illinois Department of Transportation (IL-SSOA), in its State Safety Oversight Program Standards Manual (PSM), further requires CTA to share data regarding key safety performance indicators with IL-SSOA at least quarterly [PSM Section 5D], and requires CTA to establish activities to monitor the safety performance of the rules, procedures and system elements that CTA has identified [PSM Section 3C].

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D.6 Oversight of Safety Compliance Checks on Rules & Procedures SMS-SAP-3-20:



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Oversight of Safety Compliance Checks on Rules and Procedures

PURPOSE

The purpose of this procedure is to ensure that the CTA evaluates adherence to its safety rules and procedures by developing, resourcing, and performing compliance checks. CTA business units implement safety compliance check programs to collect information about the safety of their operations and the effectiveness of safety policies and training. The intent is different from that of personnel management. Rather than assessing individual performance, the purpose of implementing and overseeing safety compliance checks is to examine how well safety rules and procedures are performing based on how well they are followed, and to identify safety risk.

The purpose of this procedure also is to ensure the CTA identifies and documents any rules and procedures that affect the safety of personnel, property and the public. Finally, it serves to create an inventory of safety related rules and procedures, and to share information within the CTA’s Safety Management System.

SCOPE

This procedure applies to all CTA business units responsible for rules and procedures that affect the safety of personnel, customers, property, or the public. It requires these business units to identify rules and procedures meaningful to safety and to determine which rules and procedures shall be subject to routine verification. Safety rules and procedures shall be documented. Business units also shall document their compliance check program, and apply the appropriate resources to carry out the program and deliver regular, actionable safety information to other business units and the Safety Department.

DEFINITIONS

- Safety rule: An explicit or understood regulation or principle governing safe conduct. CTA rules are generally documented in rule books, such as the General Rule Book that applies to all employees.
- Safety procedures: An established or official way of performing a job or task, whether or not it is documented. CTA procedures are generally documented as Standard Operating Procedures, but may also be included in Bulletins, Plans or other documents.
- Compliance checks: Routines performed to verify adherence to rules and procedures.
- Compliance check program: A documented approach to managing compliance checks, generally at the department level.

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RESPONSIBILITIES AND AUTHORITIES

The Chief Safety & Security Officer is responsible for issuing this procedure and ensuring that it is implemented. The Safety Department is responsible for auditing the implementation of safety compliance check programs by other business units, and for utilizing the information gathered through the safety compliance check programs.

CTA Executive Managers are responsible for developing, documenting, implementing and maintaining a compliance check program that incorporates the safety rules and safety procedures performed within the scope of their business unit. In order to successfully carry out this responsibility, CTA Executive Managers are responsible for ensuring all identified safety procedures are documented.

PROCEDURE

The below steps outline the process to be followed by each business unit covered by this procedure.

- 1) Review existing documented rules and procedures that govern the work of the department, and that are meaningful to maintaining or improving the safety of CTA personnel, customers, property or the public.
 - a. Safety-focused rules and procedures. Examples: drug and alcohol testing procedure, shoring procedure, R6.4 procedure.
 - b. Operational or maintenance-focused rules and procedures that have discrete safety elements or justifications. Examples: track gauge check procedure, radio usage procedure.
- 2) Design and document a compliance check program that includes:
 - a. For each type of compliance check:
 - i. Procedures for conducting each check, including needed checklists or forms.
 - ii. Frequency standards.
 - iii. Any qualifications or training needed to conduct the check.
 - iv. The format and frequency for sharing the results of the checks to other CTA business units and the Safety Department, as well as internally.
 - b. For the program overall:
 - i. The process used by the business unit to determine which rules and procedures to check.
 - ii. A schedule for periodically reviewing and potentially revising the compliance check program.
- 3) Identify existing but undocumented rules and procedures that affect safety, and develop a plan to document them.
- 4) If needed, develop an implementation plan that shows the steps the business unit will take to comply with this procedure.
- 5) Operationalize the compliance check program, including sharing the results of rules compliance checks.
- 6) Carry out periodic reviews of the program.

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IMPLEMENTATION AND OVERSIGHT

Upon first issuance of this procedure, the Safety Department will conduct a pilot of the above steps with two (2) business units. The purpose of the pilot is to improve this procedure, and to inform the development of the CTA’s overall safety assurance efforts. The pilot phase is estimated to take approximately 90 days. Upon the conclusion of the pilot the Safety Department will revise this procedure, and re-issue it for compliance by all relevant business units.

As part of the CTA’s Safety Assurance program, the Safety Department will routinely audit the compliance check programs. Audits will seek to validate compliance with the frequency of checks, the credentials of personnel conducting checks and the use of forms and checklists. Audits also will evaluate the effectiveness of the overall programs, including the quality and reach of the safety information gleaned from the compliance checks, and the extent to which the checks reveal safety risk and how those risks enter the CTA Safety Risk Management process.

GUIDELINES

The Federal Transit Administration (FTA) requires transit agencies to establish activities to monitor compliance with the agency’s procedures for operations and maintenance. *See 49 CFR Part 673.27(b)*

The Illinois Department of Transportation (IL-SSOA), in its State Safety Oversight Agency Program Standards Manual (PSM), further requires CTA to describe its process for, *“identifying the rules, procedures, and system elements, including infrastructure, facilities, vehicles, and equipment, that affect the safety of CTA rail operations, including descriptions of inspection and assessment techniques and schedules. CTA shall further identify which rules, procedures, and system elements require safety performance indicators and safety performance targets. For those identified rules, procedures, and program elements, CTA shall establish activities to monitor safety performance, assess effectiveness, document results, and incorporate safety performance measures into Safety Risk Management.”*

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D.7 Mitigation Monitoring Plans SMS-SAP-4-20:



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Mitigation Monitoring Plans

PURPOSE

The purpose of this procedure is to ensure that the CTA maintains a process by which it monitors the effectiveness of safety risk mitigations. Mitigation Monitoring Plans (MMP) help the CTA validate or adjust the assignment of its resources to reduce safety risk.

SCOPE

MMPs are tools to assess whether mitigations that have been put in place to control safety risk are functioning as intended. Mitigation monitoring is a Safety Assurance activity that provides feedback to the CTA’s Safety Risk Management process. With that process, CTA analyzes safety risk and decides if measures must be implemented to control the risk. An MMP serves either to validate the effectiveness of the mitigation or to guide the CTA to try a new approach.

Not all mitigations will require MMPs. At a minimum, the CTA will develop, document and carry out an MMP whenever it implements a mitigation to address an “unacceptable” safety risk. Each mitigation CTA implements to control such a risk will have an associated MMP. *See also Guidelines, below.*

DEFINITIONS

<u>Mitigation:</u>	A measure taken to control or reduce safety risk; a defense to reduce the likelihood or severity of the consequences that may arise from a hazard.
<u>Mitigation Monitoring Plan (MMP):</u>	A plan to monitor a mitigation that has been implemented; a means to determine whether the mitigation is effective at controlling safety risk, and that it has been implemented appropriately.
<u>Safety Risk:</u>	The composite of predicted severity and likelihood of the potential effect of a hazard.
<u>Safety Performance Indicator:</u>	A data driven, quantifiable parameter used for monitoring and assessing safety performance.
<u>Safety Performance Target:</u>	A quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.
<u>Unacceptable Safety Risk:</u>	Any identified risk or hazard that is deemed “unacceptable” based on the CTA’s Safety Risk Management and analysis programs. An unacceptable safety risk requires immediate mitigation upon being identified as such and is subject to notification and documentation requirements.
<u>Corrective Action:</u>	A measure taken to address a deviation from established standards or requirements; a defense to block the potential consequences of a hazard.
<u>Corrective Action Plan (CAP):</u>	A plan developed by a CTA department that describes the action the department will take to minimize, control, correct, or eliminate hazards, and the schedule from implementing those actions.
<u>Deviation:</u>	A departure from an established course; non-compliance.

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RESPONSIBILITIES AND AUTHORITIES

The Chief Safety & Security Officer is responsible for issuing this procedure and for ensuring that it is followed. The Chief Safety & Security Officer is accountable for ensuring oversight of the mitigation monitoring process. This includes conducting audits to verify that mitigations are: a) implemented as intended, b) being checked for effectiveness, c) resulting in relevant, actionable information about the mitigation and the resulting safety risk, and d) properly documented.

The Chief Safety & Security Officer also may, at any time or upon request, review the Safety Risk Management process to validate the determination made about whether to establish an MMP, or to assess or advise on the monitoring approach.

CTA Executive Managers are accountable for implementing and monitoring mitigations within the scope of their department’s responsibilities. Executive Managers or their designees are considered MMP Leads, those responsible for documenting MMPs and providing them to the Safety Department for its oversight. They also are responsible for initiating the involvement of other Executive Managers as may be necessary to secure resources for the monitoring activity, collect input in establishing the appropriate SPIs, or for assistance in analyzing data.

PROCEDURE

Choosing to Use a CAP or a Mitigation

The CTA may identify hazards or potential safety risks through a variety of means such as hazard reporting, event investigations or emergency drills. These are then subject to further investigation and safety risk analysis, as described in the Agency Safety Plans. If an analysis identifies a deviation or non-conformity to an established practice or standard, the CTA’s Corrective Action Plan (CAP) Procedure is used, and a CAP Lead is assigned. If the investigation and safety risk analysis leads the CTA to determine the need to further control the risk, then a mitigation is established.

Deciding Whether to Establish an MMP

Once the CTA decides a mitigation is required to control a safety risk, that mitigation is recorded along with the outcome of the safety risk analysis. At that time the CTA—the participants in the Safety Risk Management process for that issue—also determines whether to establish an MMP to evaluate the effectiveness of the mitigation. If so, an MMP Lead is assigned—generally the Executive Manager or their designee with the primary business unit.

Not all mitigations will require MMPs. These factors shall be considered when deciding whether to establish an MMP.

Safety Risk: Mitigations applied to higher rated safety risks should be considered a higher priority for the development of an MMP than those that are applied to lower safety risks. The more serious the safety risk, the more important it is to evaluate the effectiveness of mitigation.

Resource Commitment: Mitigations that require significant resources, or that require significant trade-offs or modifications to other activities should be considered a higher priority for the development of an MMP. The more resources assign to a mitigation—whether personnel, funds, technology or time, the more important it is to know whether those resources effectively control the risk.

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Unacceptable Risk: Any mitigation established because a risk has been rated “unacceptable” must have an associated MMP.

Elements of an MMP

Remember, the purpose of a mitigation is to control safety risk. One purpose of an MMP is make sure a mitigation is achieving its purpose. Another purpose of an MMP is to knowledgeably assign safety resources. CTA watches safety performance indicators to understand whether mitigations are working. An indicator is a data point that tells the CTA whether establishing a mitigation has led to safety improvement. Safety performance indicators are essential parts of MMPs.

Safety performance targets connect safety performance indicators to the intended outcome. The desired result of a mitigation is expressed as a target—how much improvement and by when. Safety performance targets also are essential parts of MMPs.

An MMP must define a methodology to gather the information needed to monitor the mitigation. Is direct observation necessary? Will a system generate a report? How will CTA know that the mitigation is in place and either succeeding or not?

Finally, an MMP must define an endpoint when the results of the monitoring are reviewed, and a decision is made about how to proceed with the mitigation. The length of a monitoring plan is determined when the plan is put in place. When the plan expires, the CTA can extend or renew the plan if it finds value in continued monitoring (such as if the results are inconclusive). Otherwise, monitoring ends when with a determination that the mitigation is effective (in which case, it remains in effect) or ineffective (in which case the CTA tries another mitigation and establishes a monitoring plan for it).

Documenting an MMP

MMPs shall be documented, and that documentation shall include at least the following:

1. A brief description of the mitigation that is being established, including a summary or reference to the relevant safety risk assessment, and including a timeline for the establishment of the mitigation.
2. The individual accountable for the implementation of the mitigation.
3. A description of the protocol that will be used to monitor the effectiveness of the mitigation, including any forms or checklists, and references to any relevant software, equipment, skills or training.
4. Names of the personnel responsible for monitoring the mitigation.
5. A timeline for monitoring activities, culminating in the determination of next steps, based on what has been learned about the mitigation.
6. One or more safety performance indicators, to be accompanied by safety performance targets, that will be used to evaluate the effectiveness of the mitigation in terms of controlling the intended safety risk.
7. Methods for collecting and analyzing data and information yielded by monitoring activities. This includes, where applicable, implementation plans if new systems must be developed to measure the mitigation.

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- Any training or communication efforts necessary to monitor the mitigation and utilize the resulting information.

See Form: Mitigation Monitoring Plan

The CTA’s central safety risk management log also is the central repository for active MMPs. The log identifies hazards and the outcome of safety risk analysis. The log shows whether a mitigation was established and whether an MMP was established. It also identifies the MMP Lead. The central repository enables CTA managers to review the mitigations that are currently being monitored for effectiveness. An archive of MMPs also is available for reference. It contains the history of mitigations were shown to be effective and those that were not.

Using an MMP to Evaluate a Mitigation

Mitigations remain in place for as long as they are needed to control safety risk. Once a mitigation is shown to be effective, it becomes another of CTA’s safety procedures. By contrast, an MMP will exist only as long as needed to demonstrate that the mitigation works to control safety risk, or to demonstrate that it doesn’t. If the use of a mitigation monitoring plan shows a mitigation to be ineffective, inappropriate or not implemented as intended, the CTA will either devise a new mitigation or re-evaluate the safety risk itself.

At the conclusion of the mitigation monitoring plan time period, Executive Managers are responsible for documenting the knowledge gained from the monitoring and making recommendations for next steps. Next steps might entail renewing, amending or discontinuing the monitoring plan. The Chief Safety & Security Officer is responsible for reviewing and approving the Executive Manager’s determination and recommendations.

Monitoring activities will be documented in the manner established by each plan, and in accordance with the safety management system document requirements established by the CTA’s Agency Safety Plan, including the data and information gathered in the course of monitoring. MMPs shall be logged by reference on the Hazard Log.

GUIDELINES

The Federal Transit Administration (FTA) requires transit agencies to establish activities to monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. See 49 CFR Part 673.27(b).

The Illinois Department of Transportation (IL-SSOA), in the State Safety Oversight Agency Program Standards Manual (PSM), requires the CTA to establish criteria for when it will document a mitigation monitoring plan, and to demonstrate consistent application of its methodology. It also requires CTA to document instances when it chooses not to develop and implement a mitigation monitoring plan in accordance with the CTA process. IDOT further requires the CTA to utilize Safety Performance Indicators (SPI) and Safety Performance Targets (SPT) to evaluate the effectiveness of mitigations.

The Illinois Department of Transportation (IL-SSOA), in the State Safety Oversight Agency Program Standards Manual (PSM), requires the CTA to establish criteria for when it will document a mitigation monitoring plan, and to demonstrate consistent application of its methodology. It also requires CTA to

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document instances when it chooses not to develop and implement a mitigation monitoring plan in accordance with the CTA process. IDOT further requires the CTA to utilize Safety Performance Indicators (SPI) and Safety Performance Targets (SPT) to evaluate the effectiveness of mitigations.

The PSM also requires the CTA to notify the SSOA within 24 hours, "should CTA determine that the safety risk is "unacceptable" using the criteria and assessment process specified in its PTASP." The PSM also requires CTA to conduct prepare a safety risk report as described in PSM Section 9C. Finally, per this procedure, any mitigation implemented to control an "unacceptable" safety risk must have an associated mitigation monitoring plan. *See also Scope, above.*

PROCEDURE APPROVAL PAGE

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Mitigation Monitoring Plan Form

Use this form to document a mitigation monitoring plan, which shall be established in accordance with the Safety Assurance Procedure, "Mitigation Monitoring Plans." This form should be filled out by the MMP Lead, and included by reference on the CTA's central log used for assessing hazards and safety risk.

Describe the mitigation that is being established. Summarize the information cross referenced on the CTA's central log of hazards and safety risk, including the risk assessment code.

What is the timeline for implementing the mitigation?

Who is responsible for implementing the mitigation?

NAME _____ DEPARTMENT _____ POSITION _____

Describe the protocol that will be used to monitor the effectiveness of the above mitigation. Include any forms or checklists necessary to monitor the mitigation.

Does the effectiveness of this mitigation require the assignment of new resources, such as software, equipment or staff training?

Who is responsible for monitoring the effectiveness of the mitigation?

NAME _____ DEPARTMENT _____ POSITION _____

Define the expected timeline for monitoring the mitigation. When will the MMP Lead make a recommendation concerning the effectiveness of the mitigation?

What safety performance indicators will be monitored? Include the safety performance target for each.

Describe the methods that will be used to collect and analyze the data and information yielded by monitoring activities. If new resources are required (identified above), this description shall include the steps necessary to put these resources in place.

Identify any training or communication that will be necessary to carry out this MMP and to utilize the resulting information to determine the effectiveness of the mitigation.

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D.8 Monitoring of Internal Safety Data & Reporting SMS-SAP-5-20:



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Monitoring of Internal Safety Data and Reporting

PURPOSE

The purpose of this procedure is to ensure that the CTA and its organizational units routinely and purposefully collect and analyze safety data and information, and utilize it to maintain or improve safety.

SCOPE

This procedure exists to support the CTA’s Safety Assurance program, as described in the CTA’s Agency Safety Plans. It therefore applies across all organizational units and functions of the CTA.

Data and reports relevant to this procedure are those that provide information concerning safety compliance or information about the effectiveness of efforts to manage safety risk. Safety reports in the sense of employees routinely reporting safety concerns is a contribution to the Safety Risk Management process and are not within the scope of this Safety Assurance procedure.

DEFINITIONS

- Safety Assurance: Processes used to ensure the implementation and effectiveness of safety risk mitigations, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- Safety Data: Facts and statistics concerning the safety of CTA customers, property, employees or the public, whether directly or indirectly.
- Safety Reports: For purposes of this procedure, safety reports summarize safety data and information, either about compliance with safety rules, procedures and programs, or about the effectiveness of efforts to control safety risk.
- Contextual Data: Facts and statistics that give meaning to safety data; operational non-safety data.

RESPONSIBILITIES AND AUTHORITIES

The Chief Safety & Security Officer is responsible for issuing this procedure. The Chief Safety & Security Officer also is responsible for ensuring the CTA utilizes safety data and reports as both inputs and outputs to the safety risk management and safety assurance processes.

CTA Executive Managers are responsible for developing, documenting and implementing a safety data collection and analysis program within their departments and functional areas. They also are responsible for committing or marshalling the resources necessary to collect and analyze the data that will assist them in maintaining or improving safety in their area. They are responsible for sharing safety data and reports via the CTA’s safety management system.

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Safety Management System

Monitoring of Internal Safety Data and Reporting	Doc. nr	SMS-SAP-5-20	Origination Date:	
Safety Assurance	Revision	V1	Approved by	CSSO

PROCEDURE

Requirements

The requirements of this procedure are as follows:

- CTA organizational units will establish and carry out processes to collect and analyze the data and information necessary to evaluate safety efforts and identify trends affecting their area.
- Organizational units will share their safety data and reports with other departments, including the Safety Department.
- Organizational units will devote sufficient resources to the collection and analysis of safety data and the sharing of safety reports regarding these activities, including securing outside assistance as necessary.
- Safety information gathered through the collection and analysis of safety reports will be incorporated into the CTA’s safety management system.
- The Safety Assurance process will be used to validate the implementation of this procedure.

Elements of a Required Safety Data Collection and Analysis Program

The documentation maintained by organizational units for their required safety data collection and analysis program shall reference this procedure and shall include:

Inventory of Available Safety Data: A list and description of data collected by the unit that is relevant to safety within their unit or CTA. This may include safety data that is generated by the work of the department, such as the timeliness of rail car maintenance inspections. It may include safety data tracked by the department, but generated elsewhere, such as the defects reported by rail operators, collected by the Control Center, or track anomalies identified by a vendor. Safety-relevant data included in the CTA’s daily Performance Management process. Collectively, this inventory represents the data available to the agency for use in quantifying safety risk and in monitoring safety mitigations.

Inventory of Safety-Relevant Reports: A list and description of reports produced or utilized by the department that are relevant for safety, to include trend analysis. The description shall include how the report is used within the department to quantify, monitor or improve safety. Reports and trend analysis are key components of an organizational unit’s business, and collectively they provide the agency with a means of monitoring the effectiveness of its safety management routines.

List of Relevant Contextual Data: A list and description of non-safety data that is used by the department to analyze and interpret safety progress and outcomes. Examples include information such as rail passenger entries, which might contextualize station maintenance data, or the density of bus stops on a route, which could help in the comparing the rate of bus collision events.

Responsibilities and Program Standards: A description of how the organizational unit ensures the collection and analysis of the information it needs in order to monitor safety. As a best practice, departments are encouraged to document their methodology for both collecting and analyzing safety data, and for producing reports, especially where the department considers the data or report to be a

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primary source for analysis and understanding by other CTA departments or Executive Managers. For instance, documenting Bus Operations’ methodology behind a monthly report of bus collisions can help users interpret or contribute to the report; additionally, the documentation can serve as a guide to the use of the data by other analysts for other purposes, since bus collision data is accessible by many.

Information Sharing: A description of how and how often safety reports are shared, with whom and for what shared purpose. For example, supervisors may utilize safety data daily that is summarized in a monthly report for the management team, and an annual trend analysis of that information may be appropriate for sharing with the Safety Department or others organizations.

Periodic Review and Update: At least annually, as part of the review of the ASPs, organizational units shall review and make necessary changes to the inventories provided via this procedure.

Integration within the Safety Management System

Safety Data Collection and Analysis programs are a key resource of the CTA’s overall Safety Assurance process, including but not limited to the following:

- Programs represent safety management with organizational units—how managers throughout the CTA collect safety-related data and make use it to understand and address safety risk.
- Organizational units, with the support and input of the Safety Department, will utilize safety data to identify safety concerns. In the event that a hazard is identified in the data, it will be addressed via the Safety Risk Management process, either at the local level or centrally as appropriate. That analysis may result in the creation of a Corrective Action Plan (CAP) if related to a deviation from established standards, or a mitigation if the objective is to reduce safety risk. These processes are described in the procedure, “Corrective Action Plan Procedure” and “Mitigation Monitoring Plans.”
- Organizational units, with the support and input of the Safety Department, will utilize safety reports to monitor safety risk and progress against safety risk reduction plans. Oversight of the use of safety data and reports is an important part of overall safety management that shall be carried out in the context of collaborative safety meetings and regular sharing of safety reports.
- Through the internal safety audit process, the Chief Safety & Security Officer will monitor the integrity and effectiveness of the use of safety data and reporting throughout the organization.
- The inventories of safety data will enable organizational units and the Safety Department to make full use of available safety data in the Safety Risk Management process—to both identify and quantify safety concerns and safety risk. Additionally, the inventories provide a means to identify opportunities to improve safety data collection and management to meet the CTA’s’ safety objectives.
- The inventories of safety reports will enable organizational units and the Safety Department to monitor and address safety trends. Safety trend reports may be added to the inventory as a result of the creation of a Mitigation Monitoring Plan (MMP), described in the procedure, “Mitigation Monitoring Plans.”

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GUIDELINES

The Federal Transit Administration (FTA) requires transit agencies to establish activities to monitor information reported through any internal safety reporting programs. See 49 CFR Part 673.27(b)

The Illinois Department of Transportation (IL-SSOA), in the State Safety Oversight Agency Program Standards Manual, further requires CTA to, “continuously monitor the data collected from its departments to determine what areas might present safety risks or lead to safety risks.”

PROCEDURE APPROVAL PAGE

Approved:  Date 4/10/2020
 Chief Safety & Security Officer

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APPENDIX E:

Forms, Checklists, & Flowcharts

[IDOT Initial Accident/Event Investigation Report](#)

[IDOT Initial Hazard Notification Report](#)

[IDOT CTA Preliminary & Final Report Checklist](#)

[IDOT Corrective Action Plan \(CAP\) Submission Form](#)

[IDOT Corrective Action Plan \(CAP\) Extension Form](#)

[IDOT CTA CAP Request for Closure Checklist](#)


[FTA Probable Cause](#)

[CTA Safety Hazard Notification Flowchart](#)

[CTA SafeLine Event/Hazard/Near Miss Form](#)




E.1 IDOT Initial Accident/Event Investigation Report:

	<p>Initial Accident/Event Investigation Report Required to be submitted via email to IL-SSOA Safety Oversight Manager by 5:00pm on the following business day after accident/incident occurrence</p> <p>Phone: 847-705-4612 (within two hours) Email: DOT.IL.SSOA@illinois.gov by 5:00pm (on the following business day)</p>															
Accident/Incident Report	<p>Report to IDOT if the Accident/Event meets any of the criteria listed below under Accident Class.</p> <p>Date of the Accident/ Event: _____ Time of Accident/Event: _____</p> <p>Was FTA Notified within 2 Hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, Date and Time of FTA Notification: _____</p> <p>Was NTSB Notified? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, Date and Time of NTSB Notification: _____</p> <p>Who Reported the Accident/ Event: _____ Position, if CTA Employee: _____</p> <p>Location of the Accident/ Event (Rail Line & Station): _____</p> <p>Run Number: _____ Head Car Number/ Rail Car(s) Number Involved in Incident: _____</p> <p>Direction of Train (if applicable):</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 15%;"></th> <th style="width: 25%;">Employee(s)</th> <th style="width: 25%;">Passenger/Patron(s)</th> <th style="width: 20%;">Public</th> <th style="width: 15%;">Other</th> </tr> </thead> <tbody> <tr> <td>Injuries</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Fatalities</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Employee(s)	Passenger/Patron(s)	Public	Other	Injuries					Fatalities				
		Employee(s)	Passenger/Patron(s)	Public	Other											
	Injuries															
	Fatalities															
	<p>Accident Class (check):</p> <p><input type="checkbox"/> Fatality (a loss of life within 30 days of rail transit-related incident)</p> <p><input type="checkbox"/> Serious Injury to a person (including medical treatment at the scene or transported away from scene)</p> <p><input type="checkbox"/> A Collision Involving a Rail Transit Vehicle <input type="checkbox"/> Individual <input type="checkbox"/> Rail Transit Vehicle <input type="checkbox"/> At Grade Crossing <input type="checkbox"/> Vehicle <input type="checkbox"/> Fixed Object <input type="checkbox"/> Non-Fixed Object</p> <p><input type="checkbox"/> Runaway train</p> <p><input type="checkbox"/> Evacuation Due to Life Safety Reasons <input type="checkbox"/> Self Evacuation <input type="checkbox"/> Onto Right of Way <input type="checkbox"/> Onto Platform</p> <p><input type="checkbox"/> Derailment <input type="checkbox"/> Mainline <input type="checkbox"/> Rail Yard <input type="checkbox"/> Other</p> <p><input type="checkbox"/> Substantial Property Damage</p> <p><input type="checkbox"/> Other: _____</p>															
<p>Type of Accident (check):</p> <table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> 10-61 Employee Injured <input type="checkbox"/> 10-63 Other Person Sick or Injured <input type="checkbox"/> 10-71 Collision with Fixed Object <input type="checkbox"/> 10-72 Collision with Person <input type="checkbox"/> 10-73 Collision with CTA Vehicle and Other Vehicle </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> 10-74 Collision of CTA Vehicles <input type="checkbox"/> 10-75 Derailment <input type="checkbox"/> 10-80 Fire <input type="checkbox"/> Other: _____ </td> </tr> </table>	<input type="checkbox"/> 10-61 Employee Injured <input type="checkbox"/> 10-63 Other Person Sick or Injured <input type="checkbox"/> 10-71 Collision with Fixed Object <input type="checkbox"/> 10-72 Collision with Person <input type="checkbox"/> 10-73 Collision with CTA Vehicle and Other Vehicle	<input type="checkbox"/> 10-74 Collision of CTA Vehicles <input type="checkbox"/> 10-75 Derailment <input type="checkbox"/> 10-80 Fire <input type="checkbox"/> Other: _____														
<input type="checkbox"/> 10-61 Employee Injured <input type="checkbox"/> 10-63 Other Person Sick or Injured <input type="checkbox"/> 10-71 Collision with Fixed Object <input type="checkbox"/> 10-72 Collision with Person <input type="checkbox"/> 10-73 Collision with CTA Vehicle and Other Vehicle	<input type="checkbox"/> 10-74 Collision of CTA Vehicles <input type="checkbox"/> 10-75 Derailment <input type="checkbox"/> 10-80 Fire <input type="checkbox"/> Other: _____															
<p>Briefly describe the Accident/Incident:</p> <p>Is an Immediate Corrective Action Required? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>																
<p>Name of CTA Official Submitting this report: <input style="width: 300px; height: 20px;" type="text"/></p> <p>Title of CTA Official Submitting this report: <input style="width: 300px; height: 20px;" type="text"/></p>																



E.2 IDOT Initial Hazard Notification Report:

	Initial Hazard Notification Report Required to be submitted via email to IL-SSOA Safety Oversight Manager by 5:00pm on the following business day after accident/incident occurrence. Email: DOT_IL_SSOA@illinois.gov (by 5:00pm on the following business day)		
	Date of Hazard Identification: _____ Time of Hazard Identification: _____ Date and Time of NTSB Notification: _____ Who Reported the Hazard: _____ Position, if CTA Employee: _____ Location of the Hazard: _____ Line, Run, and Car Numbers, if Train(s) Involved: _____		
Report to IDOT if the hazard meets any of the criteria listed above under Accident Class.			
Hazard Report	Type of Hazard: <input type="checkbox"/> Fatality (a loss of life on the rail transit agency's property due to medical reasons) <input type="checkbox"/> Employee Fatality (a loss of life - no time constraints) <input type="checkbox"/> Rules Compliance issues Safety-critical signal violations, roadway worker protection rule violations, train speeding through work zones, equipment fouling the tracks <input type="checkbox"/> Off-platform berthing or wrong-side door activation on a rail transit vehicle <input type="checkbox"/> Collision of rail transit vehicle with a fixed object, including buildings, bumping posts, doors, signals and support structures <input type="checkbox"/> Near miss collision of train-to-train, train-to-object, rail transit vehicle-to-person <input type="checkbox"/> Rail work zone incursions by a rail transit vehicle <input type="checkbox"/> Safety-critical vehicle issue (train uncoupling, brake failure, broken wheel or axle, etc.) <input type="checkbox"/> Safety-critical major track defect (broken rail, track buckle, misaligned switch, etc.) <input type="checkbox"/> Safety-critical electrification issue (arcing insulator, exposed electrical conductors or equipment, etc.) <input type="checkbox"/> Track Fires or debris fires that occur near the track <input type="checkbox"/> Safety-critical facility/station issues (significant damage, malfunction of tools or equipment, evacuation, etc.) <input type="checkbox"/> Safety-critical facility/station smoke/fire, evacuation <input type="checkbox"/> Elevator or escalator injury to one or more persons requiring immediate off-scene medical treatment <input type="checkbox"/> Non-Safe signal system failures <input type="checkbox"/> Face-up of rail transit vehicles <input type="checkbox"/> Security-critical issue (bomb threat, weapons discharge, etc.) <input type="checkbox"/> Unauthorized persons entering the track area – accidental <input type="checkbox"/> Unauthorized persons entering the track area – intentional or trespassing <input type="checkbox"/> Other: _____		
	Risk Assessment Code: <input type="checkbox"/> A-1 <input type="checkbox"/> B-1 <input type="checkbox"/> C-1 <input type="checkbox"/> D-1 <input type="checkbox"/> A-2 <input type="checkbox"/> B-2 <input type="checkbox"/> C-2 <input type="checkbox"/> A-3 <input type="checkbox"/> B-3	Does the Risk Assessment Code rate the hazard as unacceptable? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Briefly describe the hazard: _____		
	Briefly describe mitigation steps taken: _____		
Name of CTA Official Submitting this report: _____ Title of CTA Official Submitting this report: _____			



E.3 IDOT CTA Preliminary & Final Report Checklist:



Illinois Department of Transportation

Office of Intermodal Project Implementation
69 West Washington Street / Suite 2100 / Chicago, Illinois 60602

CTA Preliminary & Final Report Checklist

Revised 3/12/2020

- ❖ IDOT 24 Hour Communications Center 847-705-4612
- ❖ SSOA Timeliness of CTA Event Notifications
 - CTA is required to notify IL-SSOA within 2 hours of the Event.
 - CTA is required to notify FTA within 2 hours of the Event TOC-01@dot.gov ; 202-366-1863
 - If the National Transportation Safety Board (NTSB) will be deployed to report to the scene to investigate, IL-SSOA needs to be on the scene of the Event. Please call the SSOA as soon as possible, either from the CTA Control Center or by the CTA Incident Commander.
 - Toxicology Specimens are to be collected within 2 hours of the Event (or as soon as possible) as stated in 49 CFR Part 40 (Transit: Part 655); if applicable, specify why 2 Hour Threshold was not met.
- ❖ IL-SSOA Investigation Reports - Please e-mail Reports to:
SSOA E-mail: DOT_IL_SSOA@illinois.gov; Alexis.Billingslea@illinois.gov; Joshua.Katz@illinois.gov;
Lindbergh.Askew@illinois.gov; Jonathan.Stevanovich@illinois.gov
- ❖ Details needed in IL-SSOA Incident Reports (All documents scanned as one Report):
 - **Documents not submitted in the Preliminary Report (10 days after the Event) are to be submitted in the Final Report (60 days after the Event). Status Reports are due every 60 calendar days until the Final report is submitted.
 - 1. Preliminary Report includes emergency/immediate mitigations CTA made after the accident
 - 2. Cover Letter addressed to IDOT SSO Program Manager or designee
 - 3. Incident Date and Time
 - 4. Location-CTA Line and Station or Yard (Example: Redline at Howard)
 - 5. Run #, Head Car#, Direction of train or Track Marker (If Train was in Yard, note the track to track movements)
 - 6. Type of Event as stated in the IDOT Program Standard (Fatality/Injury; Collision with individual or other vehicle; Mainline or Yard Derailment; Evacuation; Runaway Train, Substantial damage or Other _____)
 - 7. Injuries/Fatalities (how many?) Specify whether it was Passenger/Patron, Employee or Other
 - 8. Name of Event Investigator and Personnel Involved in Incident
 - 9. Weather Conditions and Site Characteristics
 - 10. Event Narrative (including all Rail Car #s in the Consist), Sequence of Events, and Investigation (Timeline)
 - 11. Interviews with involved Employees and witnesses
 - 12. Toxicology Results including Specimen Drug and Alcohol Collection Date and Time (See Part 655)
 - 13. Contributing Factors, Findings, Root Causes (FTA Probable Cause) and Recommendations
 - 14. Final Report includes corrective actions/ mitigations CTA made after the accident
 - 15. Employee Records
 - 16. Rail Engineering & Technical Services Report
 - 17. Rail Vehicle Maintenance/ QI Report of rail vehicles in consist and Damage/ Repair Costs
 - 18. Yard Maps, Photos of Event (Before and After Event) from Platform and Rail car
 - 19. CTA Control Center, Rail Vehicle or CSR/CSA Recorder Report (SCADA) and
 - 20. Rail Car Event Recorder data indicating speed of rail car, etc.
 - 21. All documents submitted to Illinois OSHA for work related Employee injuries or Fatalities
 - 22. Report with all supporting documents submitted (scanned) as one complete document
- ❖ 24 Hour Call List Information
 - IDOT Chief Rail Transit Safety Oversight Manager (24 Hr Call) –Alexis Billingslea
Alexis.Billingslea@illinois.gov 312-793-2257 (office); 847-715-6904 (cell)
 - Rail Transit Safety Coordinator (24 Hr Call) – Lindbergh Askew, III
Lindbergh.Askew@illinois.gov 312-793-0428 (office); 847-257-2666 (cell)

Alexis Billingslea
Chief Rail Transit Safety Oversight Manager
312-793-2257 (office); 847-715-6904 (cell)
Alexis.Billingslea@illinois.gov

Lindbergh Askew, III
Rail Transit Safety Coordinator
312-793-0428 (office); 847-257-2666 (cell)
Lindbergh.Askew@illinois.gov

Created 10/2/2017



E.4 IDOT Corrective Action Plan (CAP) Submission Form:



Illinois Department of Transportation

Office of Intermodal Project Implementation
69 West Washington Street / Suite 2100 / Chicago, Illinois 60602

Corrective Action Plan (CAP) Submission Form

TRANSIT AGENCY: _____	
Origin of CAP <input type="checkbox"/> Triennial Audit <input type="checkbox"/> Internal Audit <input type="checkbox"/> Subway/Footwalk Audit <input type="checkbox"/> FTA Audit/Directive <input type="checkbox"/> Event Investigation <input type="checkbox"/> Flash Meeting <input type="checkbox"/> Exercise/Drill <input type="checkbox"/> Capital Project <input type="checkbox"/> Hazard <input type="checkbox"/> Security <input type="checkbox"/> Other _____	
CAP Generation Date: _____	
CAP ID: _____	Risk Assessment Code (RAC): _____
Responsible Department: _____	Responsible Person: _____
Anticipated Closure Date: _____	Post-Implementation RAC: _____
Event / Hazard / Issue Description:	Corrective Action Plan
CTA Employee Submitting CAP for Approval: _____ CTA Title: _____ CTA Department: _____ Date Submitted: _____	
CAP Approval <input type="checkbox"/> IL-SSOA Approves: _____ CAP Approval Date: _____	CAP NOT Approved <input type="checkbox"/> IL-SSOA Justification/Comments: _____
IL-SSOA Official: _____	
IL-SSOA Electronic Signature: _____	
IL-SSOA Title: _____	Date: _____



E.5 IDOT Corrective Action Plan (CAP) Extension Form:



Illinois Department of Transportation

Office of Intermodal Project Implementation
69 West Washington Street / Suite 2100 / Chicago, Illinois 60602

Corrective Action Plan (CAP) Completion Date Extension Request Form

* If CTA requests more time to implement the CAP, submit this form for IL-SSOA approval.

* Request must be signed by the person responsible for the CAP, as noted on the CAP Submission Form and CAP Log

TRANSIT AGENCY:	
Origin of CAP <input type="checkbox"/> Triennial Audit <input type="checkbox"/> Internal Audit <input type="checkbox"/> Subway/Footwalk Audit <input type="checkbox"/> FTA Audit/Directive <input type="checkbox"/> Event Investigation <input type="checkbox"/> Flash Meeting <input type="checkbox"/> Exercise/Drill <input type="checkbox"/> Capital Project <input type="checkbox"/> Hazard <input type="checkbox"/> Security <input type="checkbox"/> Other _____	
Finding ID / Accident Date & Location: _____	
CAP ID: _____	
Responsible Department: _____ Responsible Person: _____	
Current Completion Date: _____ Requested Completion Date: _____	
Current Corrective Action Plan:	What mitigations or documents has CTA completed to resolve the finding or safety risk? Provide Reason(s) Corrective Action Plan has not been implemented and why more time is needed to implement the CAP:
CTA Employee Submitting CAP for Extension: _____	
CTA Title: _____	
CTA Department: _____ Date Submitted: _____	
CTA Responsible Person Electronic Signature:	
CAP Date Extension Approval <input type="checkbox"/> IL-SSOA Approval/Comments:	CAP Date Extension NOT Approved <input type="checkbox"/> IL-SSOA Justification/Comments:
CAP Extension Approval Date: _____	
IL-SSOA Official:	
IL-SSOA Electronic Signature:	
IL-SSOA Title:	Date:



E.6 IDOT CTA CAP Request for Closure Checklist:



Illinois Department of Transportation

Office of Intermodal Project Implementation
69 West Washington Street / Suite 2100 / Chicago, Illinois 60602

CTA CAP Request for Closure Checklist

Revised 3/12/2020

After CTA has implemented the Corrective Action Plan (CAP), CTA can submit a formal request to close the CAP. The process is as follows:

- ❖ IL-SSOA Corrective Action Request for Closure Letter - Please e-mail to:
SSOA E-mail: DOT.IL.SSOA@illinois.gov; Alexis.Billingslea@illinois.gov; Joshua.Katz@illinois.gov; Lindbergh.Askew@illinois.gov; Jonathan.Stevanovich@illinois.gov

- ❖ Details to be included in IL-SSOA Request for Closure Letter:
 - CAP Letter addressed to the SSO Section Manager or designee
 - CAP Description
 - CAP ID Number
 - If CAP is to address an Accident, include the Accident/Event Date, Rail Line and Location
 - Initial Risk Assessment Code (RAC) and the Post-Implementation RAC
 - Date Corrective Action was Implemented/ Placed Into Service
 - *For Repairs - Implementation Date would be the date the equipment was placed into service
 - *Documents such as the RSSPP, SEPP and Internal Safety Review Manual may have an Implementation Date of the next Revision- February 2019 RSSPP Revision 16.0, the Implementation Date would be the effective date when the document is signed or the date when the SOP/ Bulletin was made effective.
 - *Implementation Date - the date documents are signed, finalized and executed.
 - CAPs can not be closed on draft documents
 - CTA Employee Submitting the Request for Closure (with Job Title and signature).
 - List of Documents submitted to implement/ verify the CAP (Bulletins/SOPs, Sign-Sheets, PTASP/RSSPP, SEPP, photos, training materials, work orders, etc.) as one complete document

Alexis Billingslea

Alexis Billingslea
Illinois Department of Transportation
Chief Rail Transit Safety Oversight Manager
Office of Intermodal Project Implementation
312-793-2257 (office);
Alexis.Billingslea@illinois.gov

cc: Rovaughn Graham, CTA
Jhaun Jasper, CTA
Jacquelyn Mitchell, CTA
Kamesha Hill, CTA
Jessica Rio, CTA
Ronald Ester, CTA

Joshua Katz, IDOT
Lindbergh Askew, III, IDOT
Jonathan Stevanovich, IDOT

Created 8/14/2018

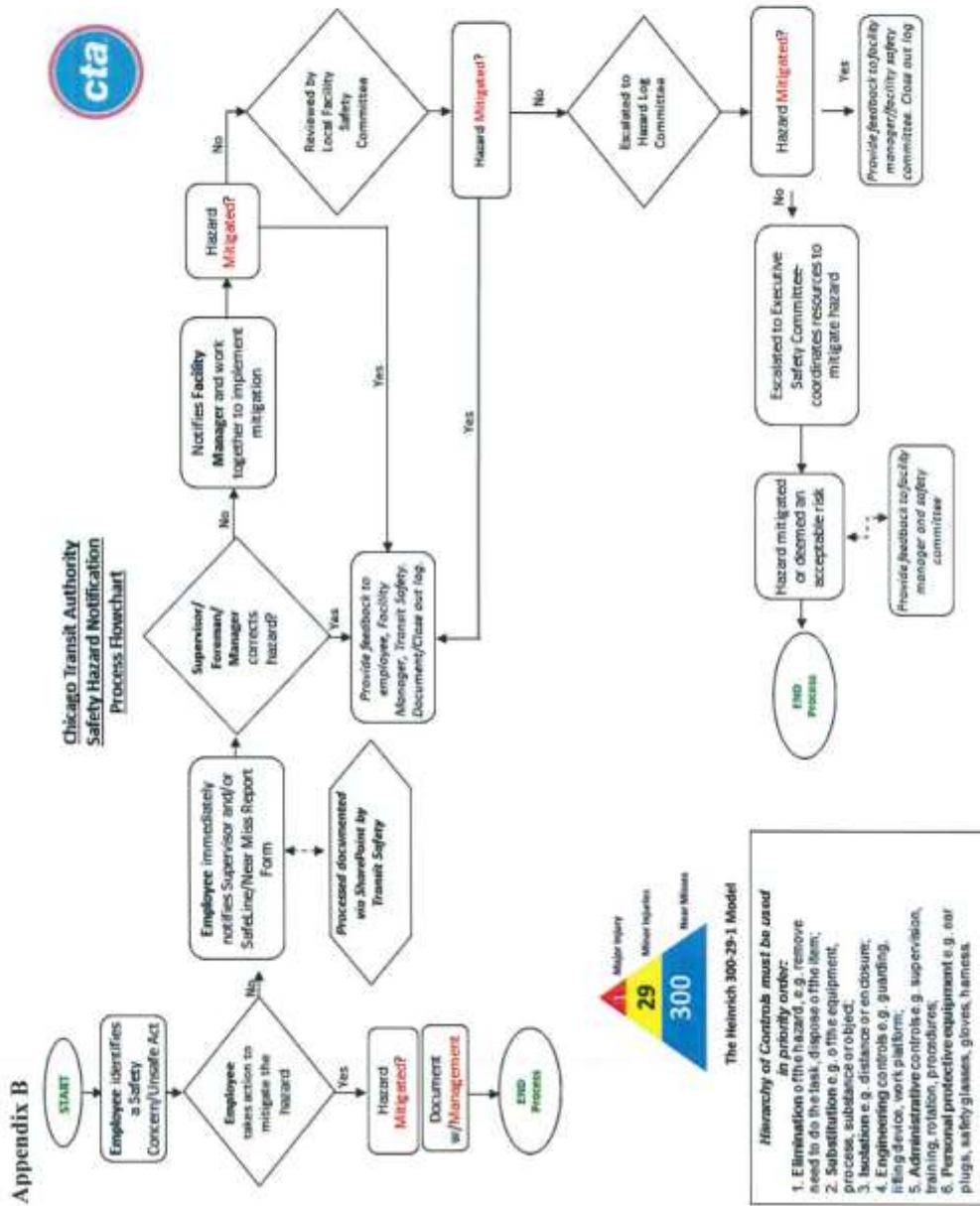


E.7 FTA Probable Cause:

*FTA Probable Cause		
Probable Cause Part 659.35(d) requires each final investigation report to identify causal and contributing factors. Please provide the Event's probable cause. Probable cause is divided into eleven categories:		
Equipment Failure	1) Equipment Failure	System component failure
Workforce Behavior	2) Poor Maintenance	System not properly maintained
	3) Operating Rule Violation/ Human Factor	Employee error or organizational issue
Customer Behavior	4) Slips and Falls	Slips and falls in station or vehicle
	5) Imprudent Customer Actions	Inappropriate patron or passenger behavior on vehicles or in stations
Public Behavior	6) Medically Related	Illness, heart-attacks, found deceased
	7) Action of Motorist	Non-transit auto driver at fault
	8) Pedestrian Actions	Pedestrian at fault
	9) Trespasser	Trespasser action
	10) Suicide	Suicides and suicide attempts
	11) Other	Acts of Nature/Unknown
NOTE: IL-SSOA Investigation Reports require that FTA Probable Causes are included in the Final report.		



E.8 CTA Safety Hazard Notification Flowchart:



E.9 CTA SafeLine Event/Hazard/Near-Miss Form:

CTA SAFELINE EVENT/HAZARD/NEAR MISS FORM

Name: _____ Badge # _____

Date: _____ Time: _____

Terminal Location: _____ Supervisor: _____

*Unsafe Act <input type="checkbox"/>	Check all that apply: BUS <input type="checkbox"/> Safety <input type="checkbox"/> Environmental <input type="checkbox"/> RAIL <input type="checkbox"/> Security <input type="checkbox"/> Other <input type="checkbox"/>
*Unsafe Condition <input type="checkbox"/>	
*Unsafe Equipment <input type="checkbox"/>	
Safety suggestion <input type="checkbox"/>	

Location (route #, bus #, train #, line, track level, station, facility):

Describe the potential event/hazard/concern or near miss:

Injured? Yes No

What Corrective Actions did you take to minimize or eliminate the risk?

MIMS work order # (if applicable): _____ Date: _____

Optional:

Would like a follow-up Email address: _____

**This is an Employee Safety Reporting Program designed to improve Safety based on non-punitive reporting of condition, act, equipment or events that have the potential for more serious consequences before they occur. Continue reporting all safety emergencies to the Control Center. Email this form to SafeLine@transitchicago.com
CTA SAFELINE 1-877-411-4282*

cta 859.2 (rev. 2/20)



APPENDIX F:

CTA Organizational Charts

[CTA Organizational Chart](#)

[Safety and Security](#)

[Rail Operations](#)

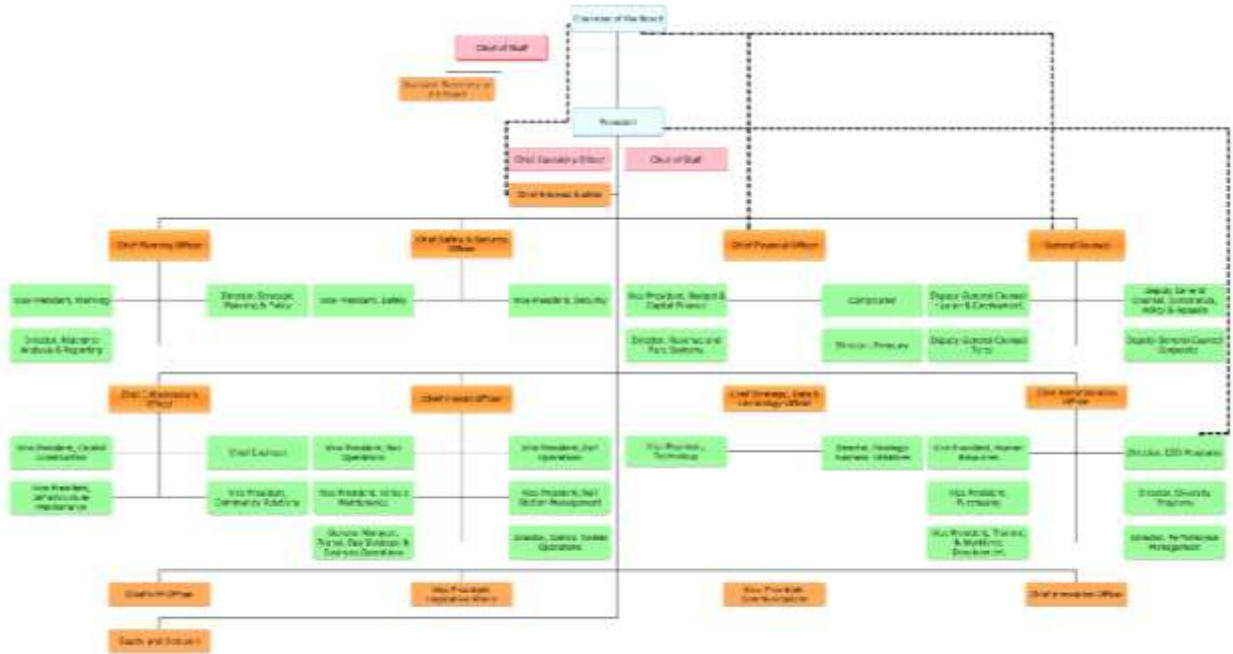
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[Infrastructure](#)

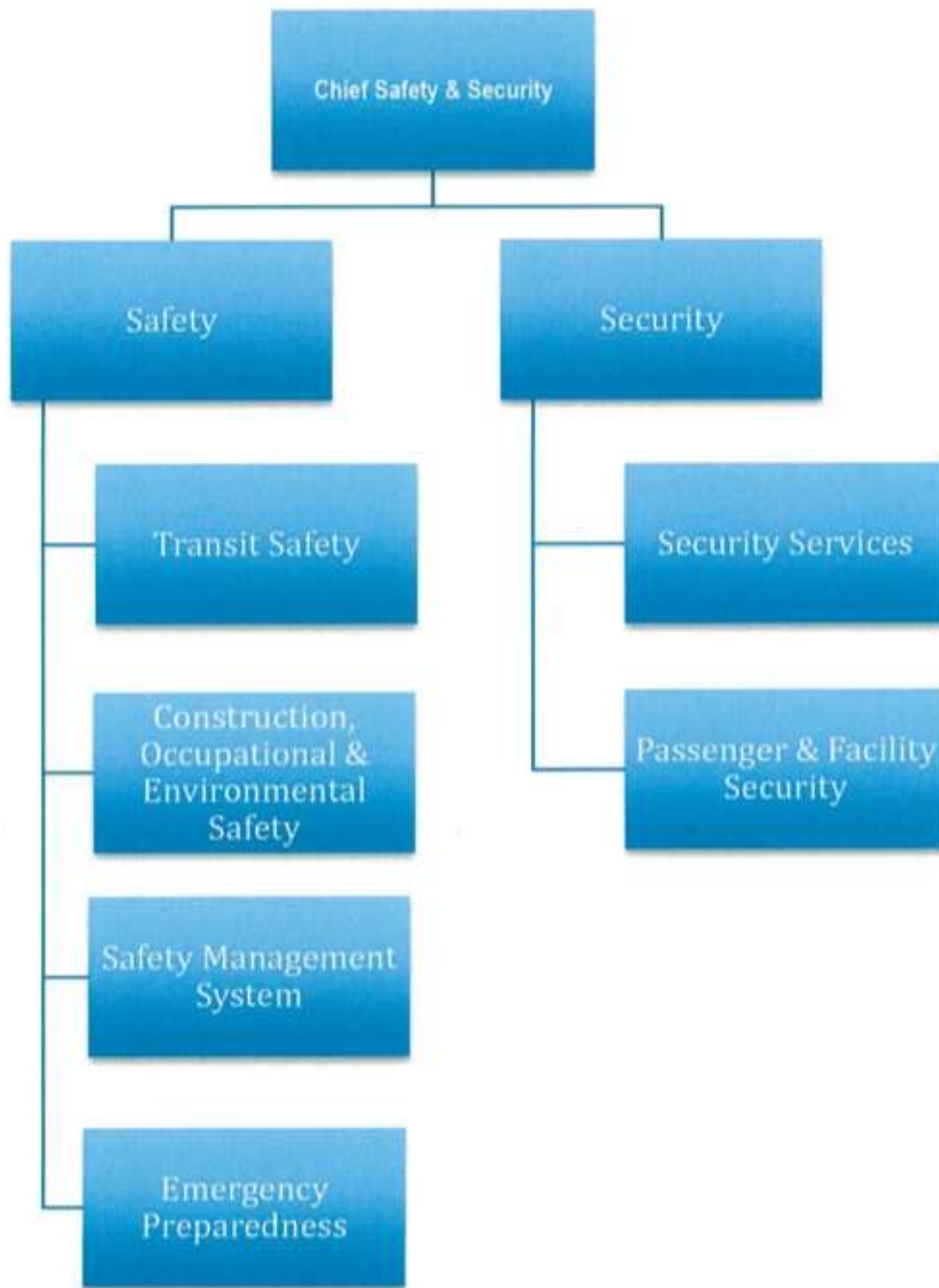
[Control Center](#)



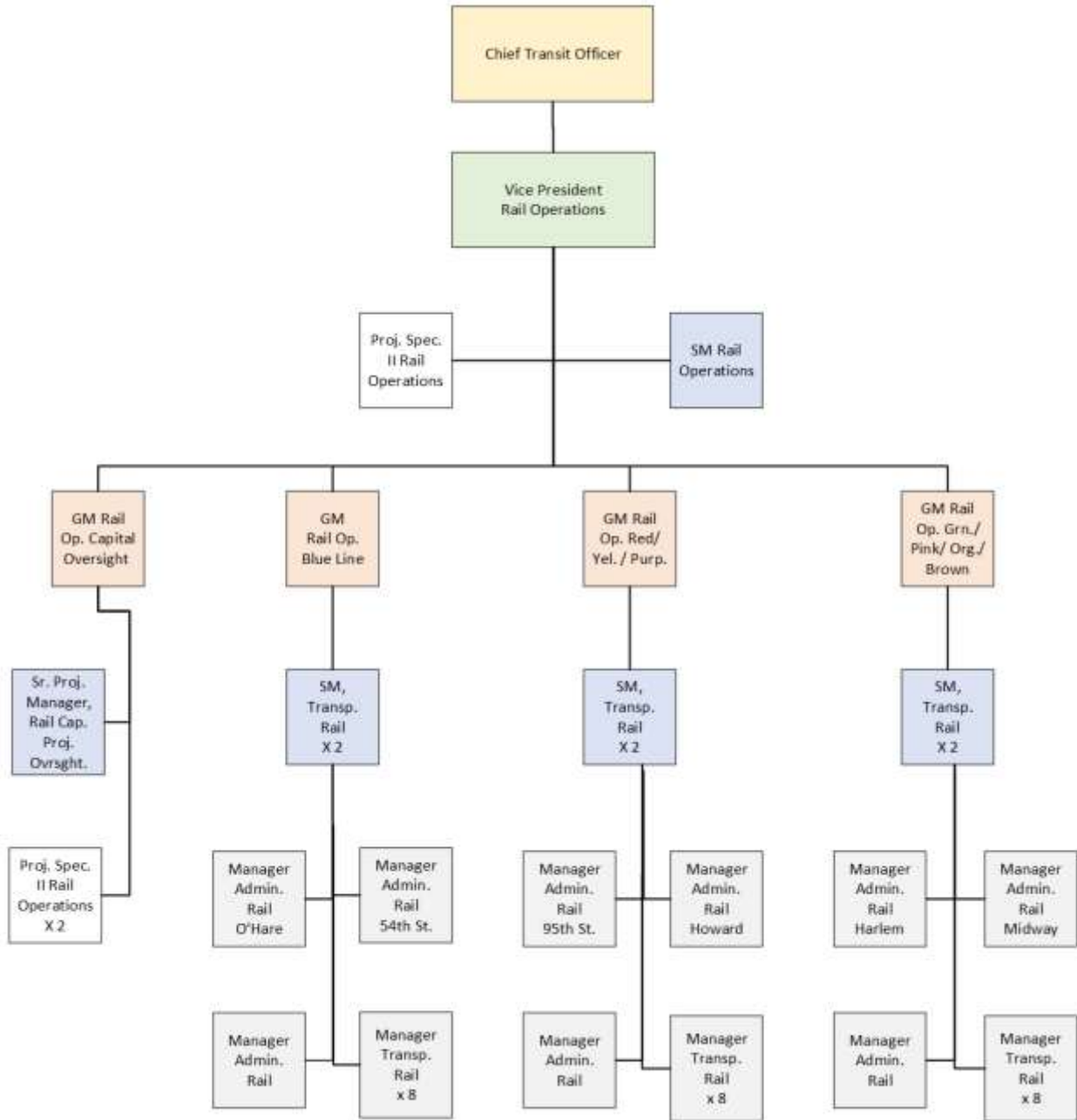
F.1 CTA Organizational Chart:



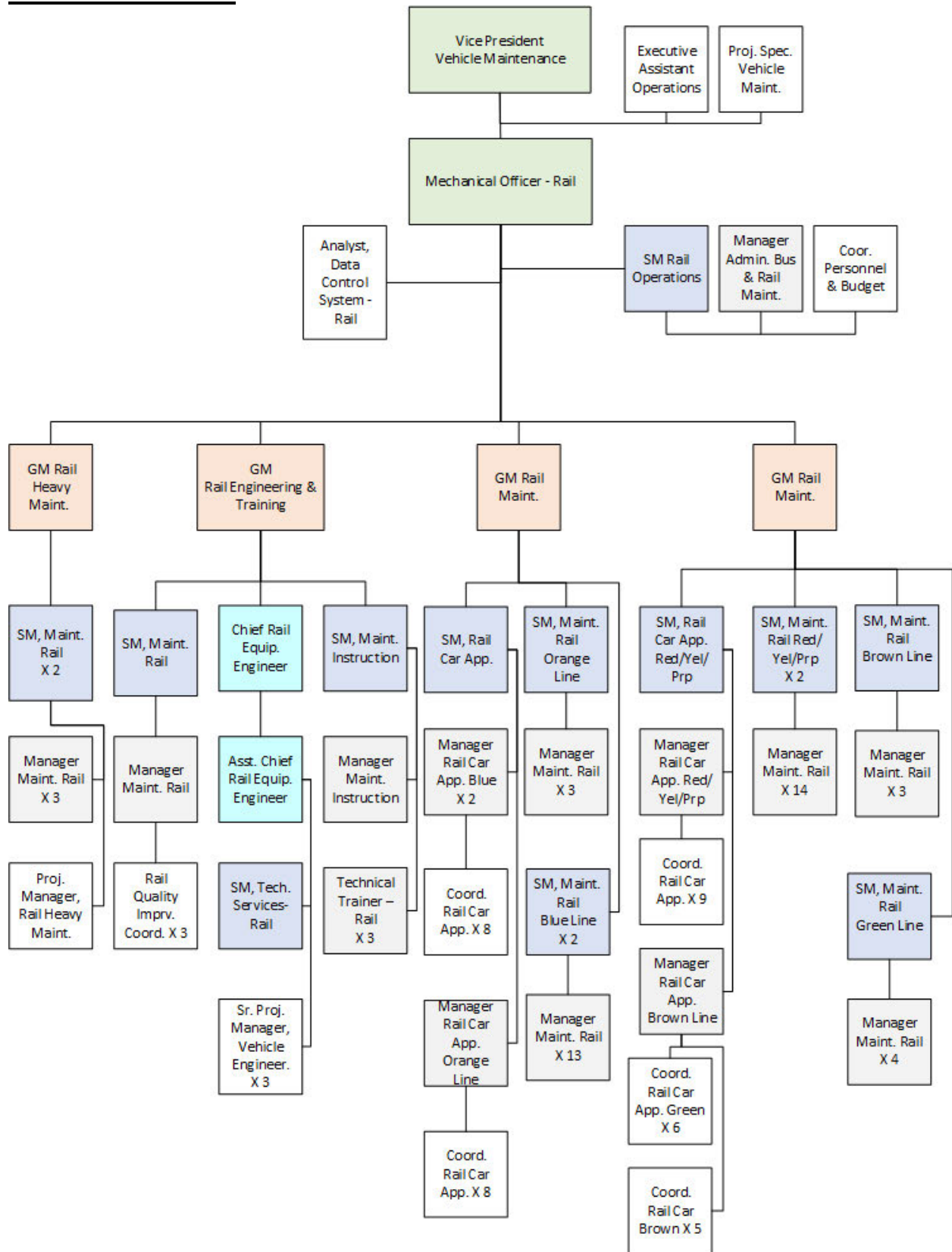
F.2 Safety and Security:



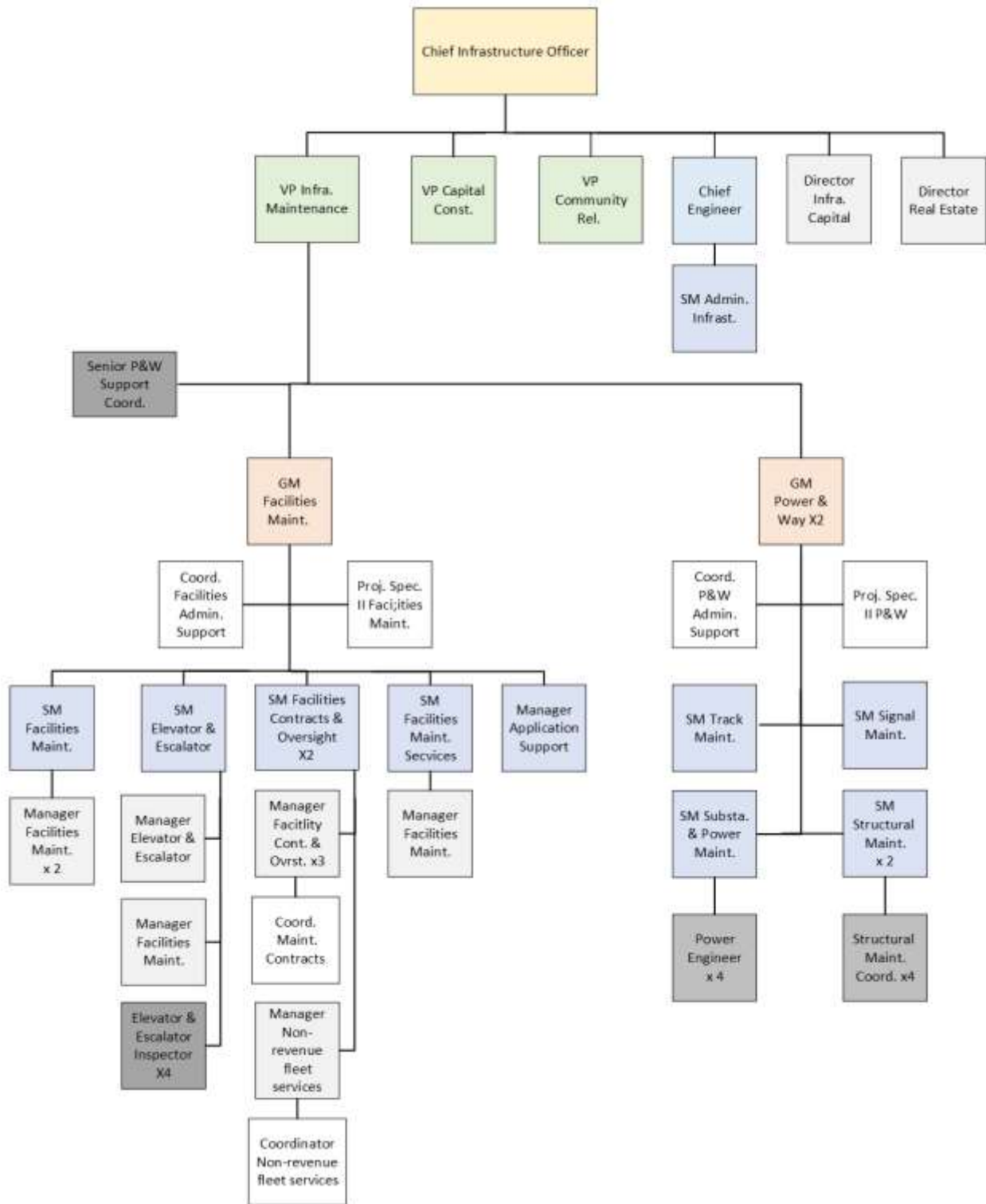
F.3 Rail Operations:



F.4 Rail Maintenance:



F.5 Infrastructure:



F.6 Control Center

