

SSOA's Oversight Of Safety Certification

Ruth Lyons

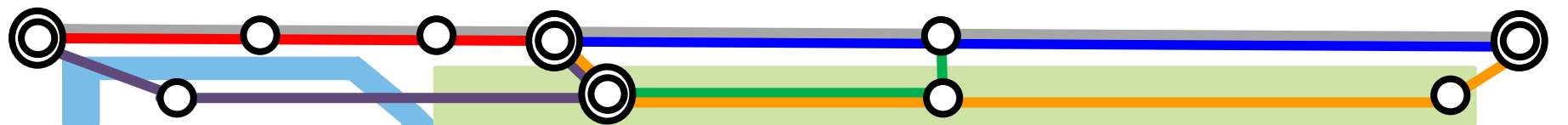
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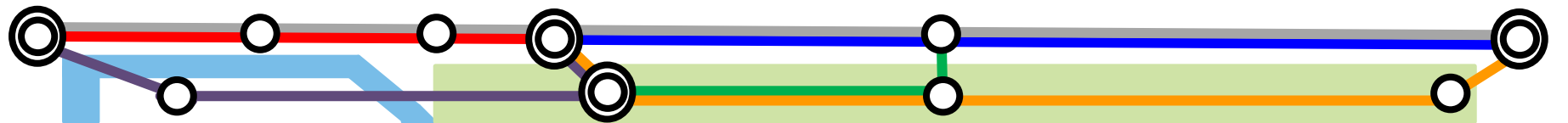
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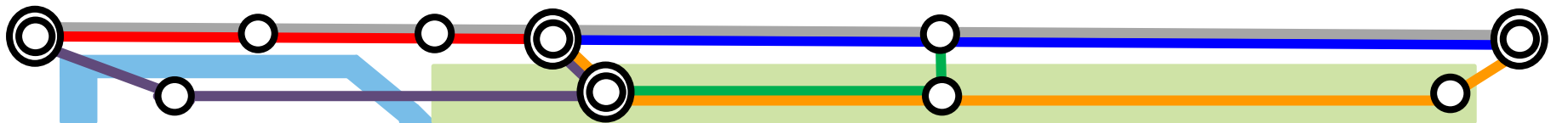
SSOA Oversight of Safety Certification Agenda

- Arizona DOT Oversight Practices
- Overview
- Summary of Requirements set by SSOA Program Standard
- SSOA Oversight Approaches
 - Observation of Certification Process
 - Pre-Revenue Safety Review of Project
 - Inspections and Audits of Project
- Formal Approval Process
- Discussion: CAPs for Projects



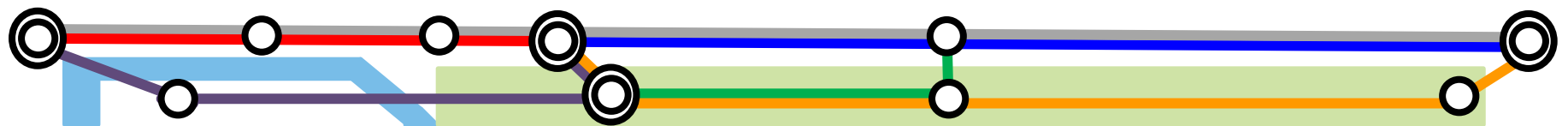
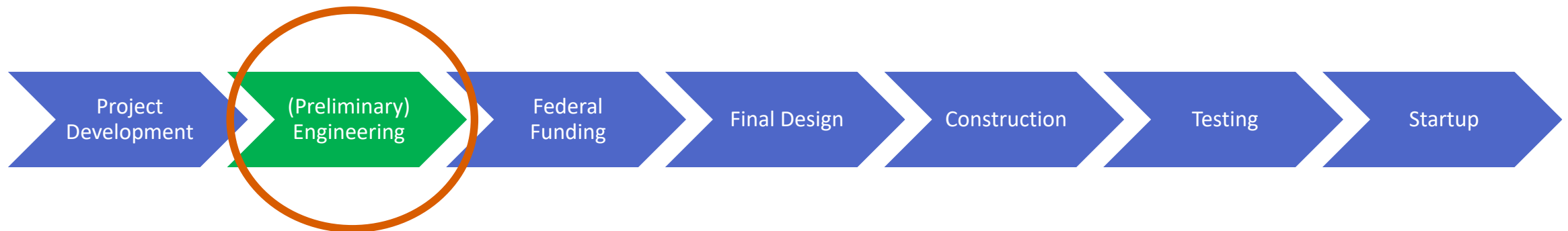
Arizona DOT Oversight Practices

- Safety Certification Plan Review and Acceptance
- Ongoing Oversight Approach
- Safety Certification Verification Report Review and Acceptance
- Tracking Open Items during Revenue Service
- Learning Lessons



SSOA Oversight of Safety Certification Overview

- 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.
- 49 CFR Part 674.7 Definitions
- Rail Fixed Guideway Public Transportation System (RFGPTS):
 - 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.

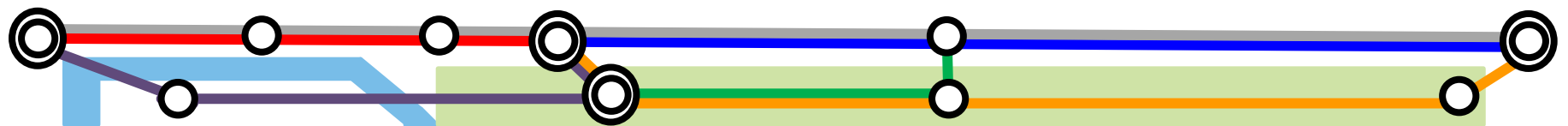


Summary of Requirements Set by SSOA Program Standard

- 5 Styles of Capital Project Oversight discussed in Program Standards
 - Detailed Process
 - General SSOA Direct Oversight Plan
 - Vague outline of SSOA oversight practices
 - SSOA Requiring Capital Project certification through PTASP
 - Process not described

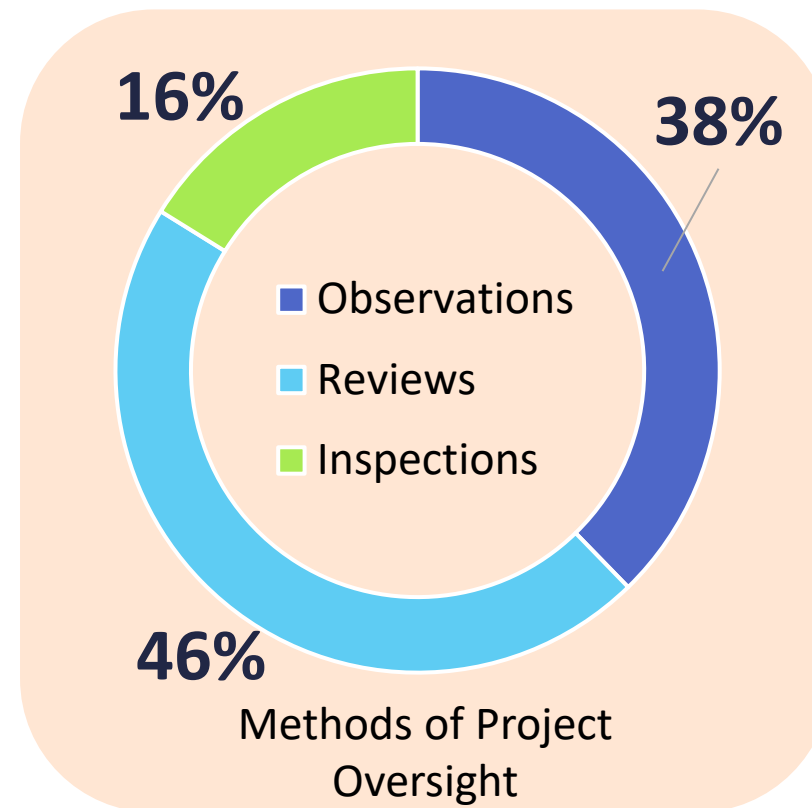
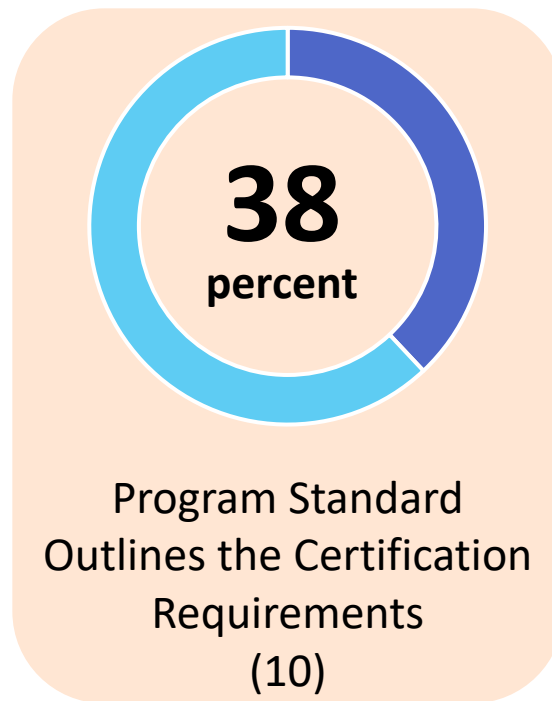
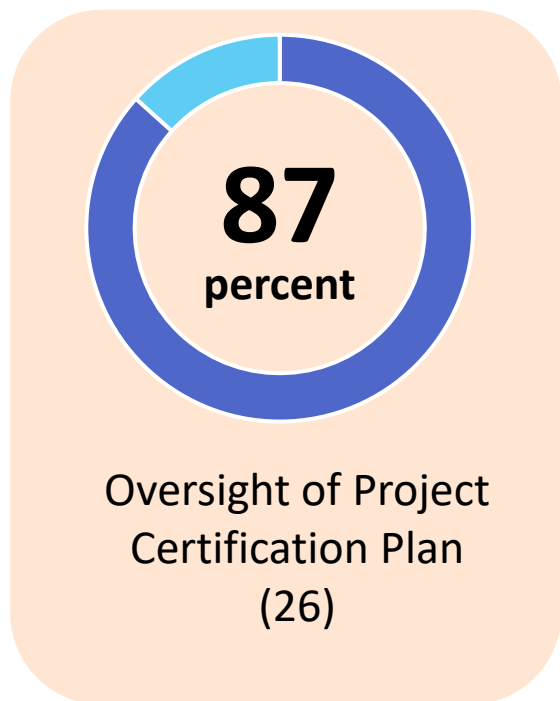
30 of 31 SSOAs speak to Capital Project Oversight

23 of 31 Includes Oversight of Safety & Security Certification



Summary of Requirements Set by SSOA Program Standard

Oversight of Project Certification

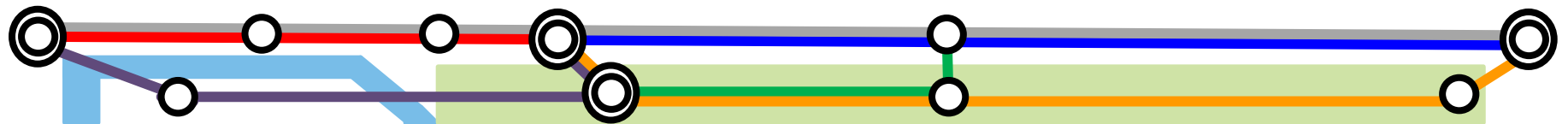


SSOA Oversight Approach

- Observation of Safety Certification Process

(Sample Program Standard Language)

- “Status of each Project must be provided [to SSOA], which may be satisfied through the minutes from the Safety Certification Review Committee...”
- “The SSOA may participate in any committee or workgroup meetings pertaining to the Project...”
- “The RTA is responsible for ensuring that appropriate SSOA personnel have prompt notification of all meetings, drills, exercises or tests...”

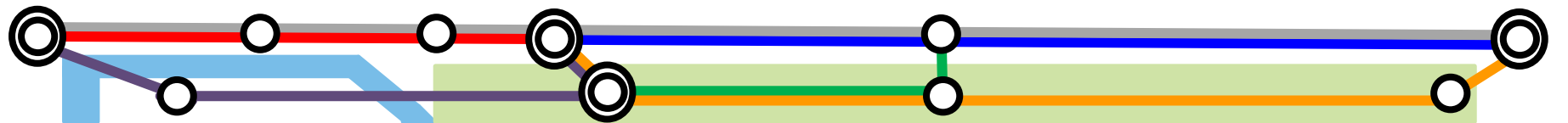


SSOA Oversight Approach

- Pre-Revenue Safety Review of Project

(Sample Program Standard Language)

- “The SSOA's Pre-Revenue Review activities may consist of topic-specific site visits and observations, meetings with relevant personnel, and document and records reviews.”
- “After the review of a particular project phase has been completed, the SSOA may issue written findings and recommendations, as appropriate. SSOA will continue to review each phase of the project until project completion.”
- “The SSOA's review is intended to ensure that the safety certification process has been completed, or that there are appropriate workarounds in place for any unfinished certifiable elements”
- “The SSOA will issue a written report to the RTA summarizing the review”

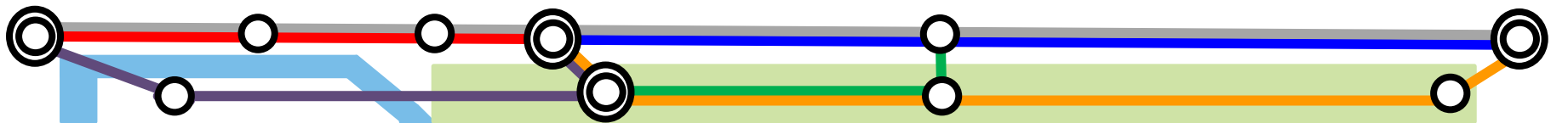


SSOA Oversight Approach

- Inspections of Project

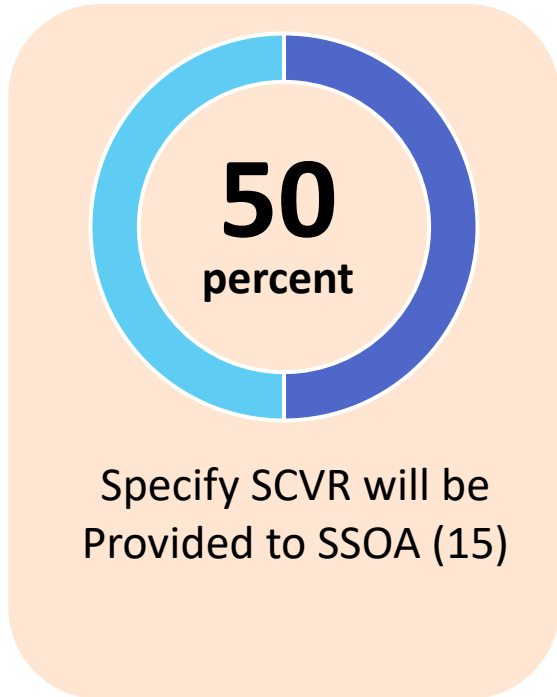
(Sample Program Standard Language)

- “Periodic inspections will be performed to assess the RTA is conducting operation and maintenance activities as required by federal, state, and SSOA regulations”
- “Inspectors conduct the following activities in their discipline, but are not limited to the listed activities:
 - Operating Practices Inspector
 - Equipment (Mechanical) Inspector
 - Track Inspector
 - Signal and Train Control Inspector”

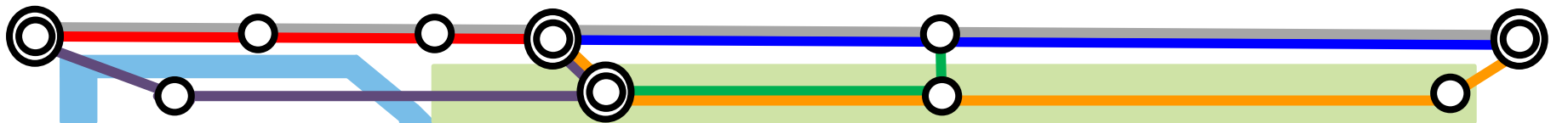
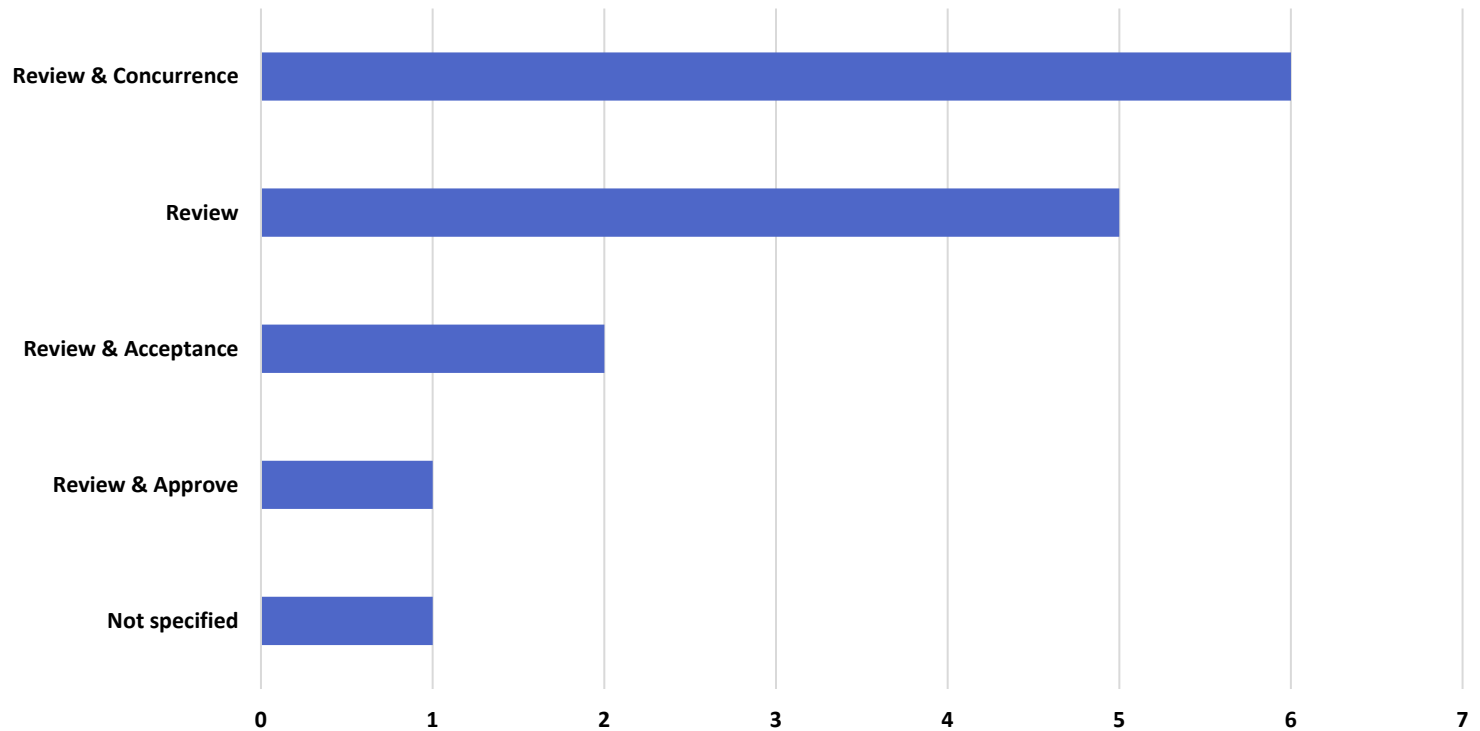


SSOA Oversight Approach

SSOA Oversight of Project Safety Certification Verification Report



SSOA Review Methods for the Project Certification Verification Report

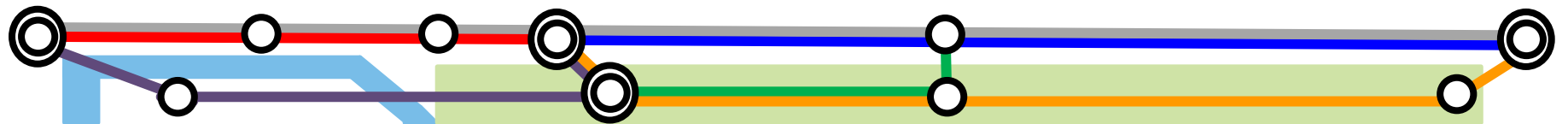


SSOA Oversight Approach

- Safety Certification Verification Report

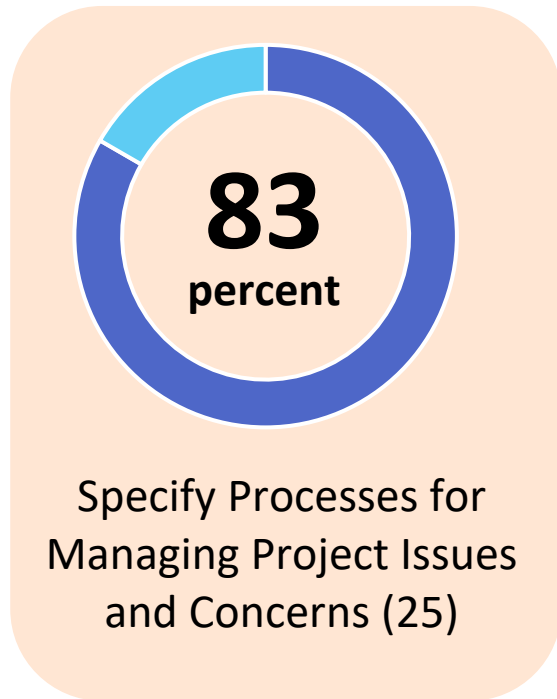
(Arizona DOT Program Standard)

- “At the completion of the safety and security certification program and prior to the start of revenue service (preferably at least 30 days prior), ADOT will require the RTA to submit a Safety and Security Certification Verification Report (SSCVR) to ADOT for review and acceptance”
- “Following the initiation of the project into revenue service, ADOT may conduct follow up and monitoring exercises to verify the close out of open items identified in the SSCVR.”

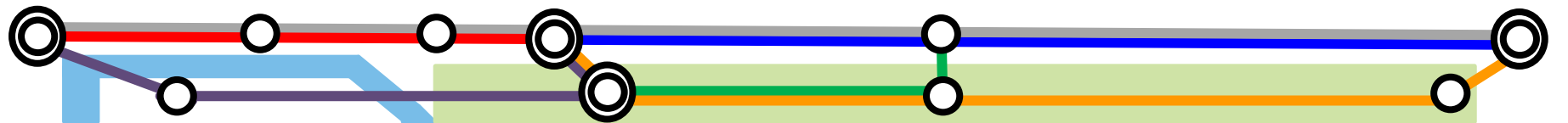
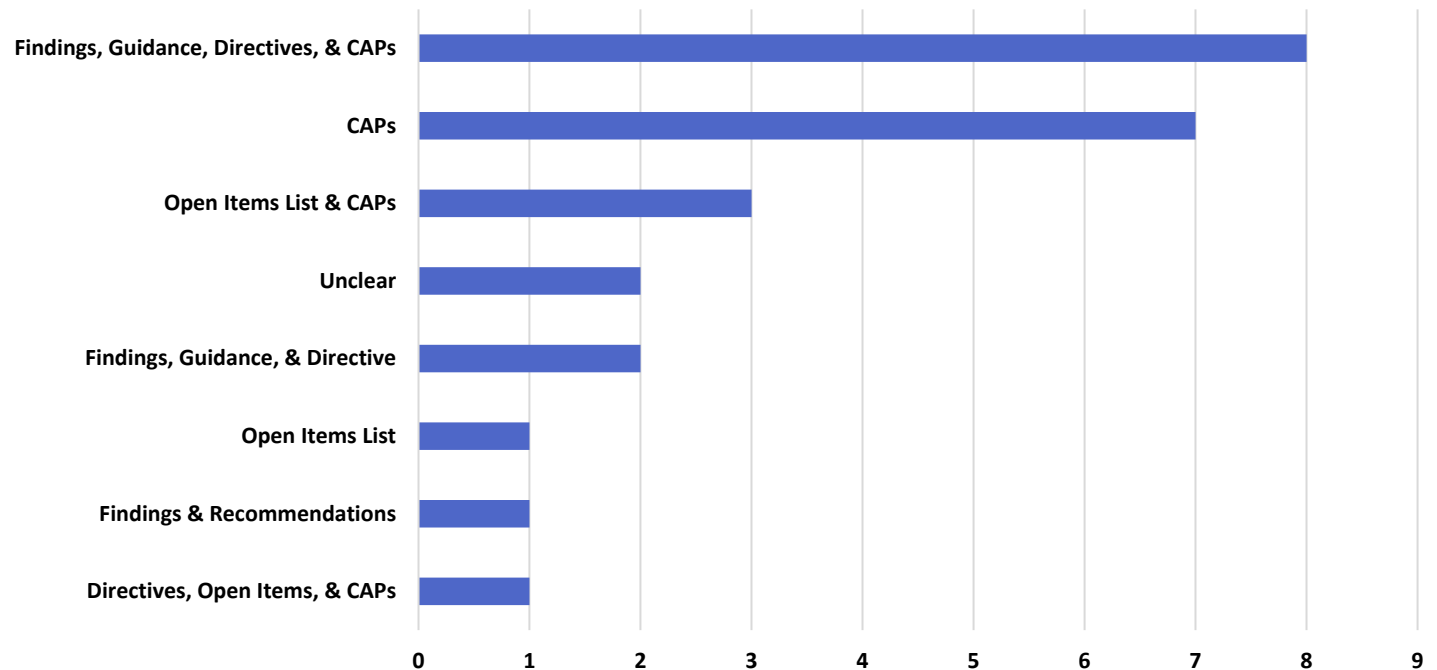


SSOA Summary of Program Standard Requirements

Resolving Issues from Safety Certification

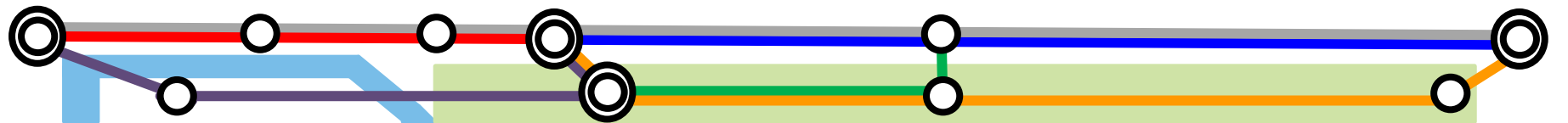


SSOA Processes for Managing Project Issues and Concerns



Discussion: Tracking Open Project Items

- Should formal CAPs be used to resolve Project Items?
 - Example: Project is 6-months from revenue service and has 20-percent of PHA mitigations open (40-items)? Should a CAP be assigned for each mitigation?
 - How should open PHA items / mitigations be tracked to resolution?
 - What if PHA mitigations are not addressed at Revenue Service?



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