

FTA

FEDERAL TRANSIT ADMINISTRATION

2018 SSO Program Workshop

Overseeing Safety Certification of New Projects and Extensions

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U.S. Department of Transportation
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May 16, 2018

Overseeing New Projects and Extensions

- Safety and Security Certification
- 49 CFR Part 674 Requirements
- Considerations
- Questions

Safety and Security Certification

- Developed from FTA's Handbook for Transit Safety and Security Certification (2002)
- Written to support efforts of the transit industry to achieve continuous improvement in safety and security

Safety and Security Certification

- FTA's *Handbook for Transit Safety and Security Certification* (2002):
 - Identifies 10 key steps in the safety certification process
 - Incorporates safety and security more fully into transit projects
 - Highlights resources necessary to develop and implement a certification program
 - Provides tools and sample forms to promote safety
 - Is not prescriptive or enforceable by FTA

Safety and Security Certification

- FTA's *Handbook* defines safety and security certification:
 - A process - “The series of processes that collectively verify the safety and security readiness of a project for public use.”
 - A document from the agency that affirms and verifies that a safety and security certification program has been developed, implemented and executed.

Safety and Security Certification

- In 2007, FTA issued *Guidance Circular 5800.1, Safety and Security Management Guidance for Major Capital Projects* to implement Section 3026 of SAFETEA–LU:
 - Requires recipients with “major capital projects” covered by 49 CFR part 633 to include “safety and security management” as an element of their Project Management Plans (PMPs) in a separate Safety and Security Management Plan (SSMP) or separate chapter of the PMP

Safety and Security Certification

Under Guidance Circular 5800.1, project certification is NOT:

- ✗ Approved by FTA
 - ✗ The same for every project
 - ✗ SSOA, PMOC for FTA Oversight
- ✓ It is a process the RTA's use to increase the safety of project delivery

49 CFR Part 659

- 49 CFR Part 674 creates an enhanced SSO role in overseeing RFGPTS in “engineering and construction”
- This new role builds on activities currently performed by SSOAs in overseeing implementation of the SSPP and in working with FTA on the oversight of major capital projects

49 CFR Part 674 Requirements

49 CFR Part 674 does not require:

The SSOA to formally approve or adopt the RTA's safety certification

The SSOA to participate as a member on the RTA's Safety Certification Committee

The SSOA to conduct an independent safety certification process

49 CFR Part 674 does require:

The State to assume primary responsibility for overseeing the safety of the RFGPTS (§ 674.5(a) and § 674.11(a))

The SSOA to review, approve, oversee and enforce the Agency Safety Plan/SSPP and to require corrective action (§ 674.25(b))

The SSOA to conduct Triennial Audits and to investigate accidents and allegations of noncompliance (§ 674.31, § 674.35 and § 674.25(c))

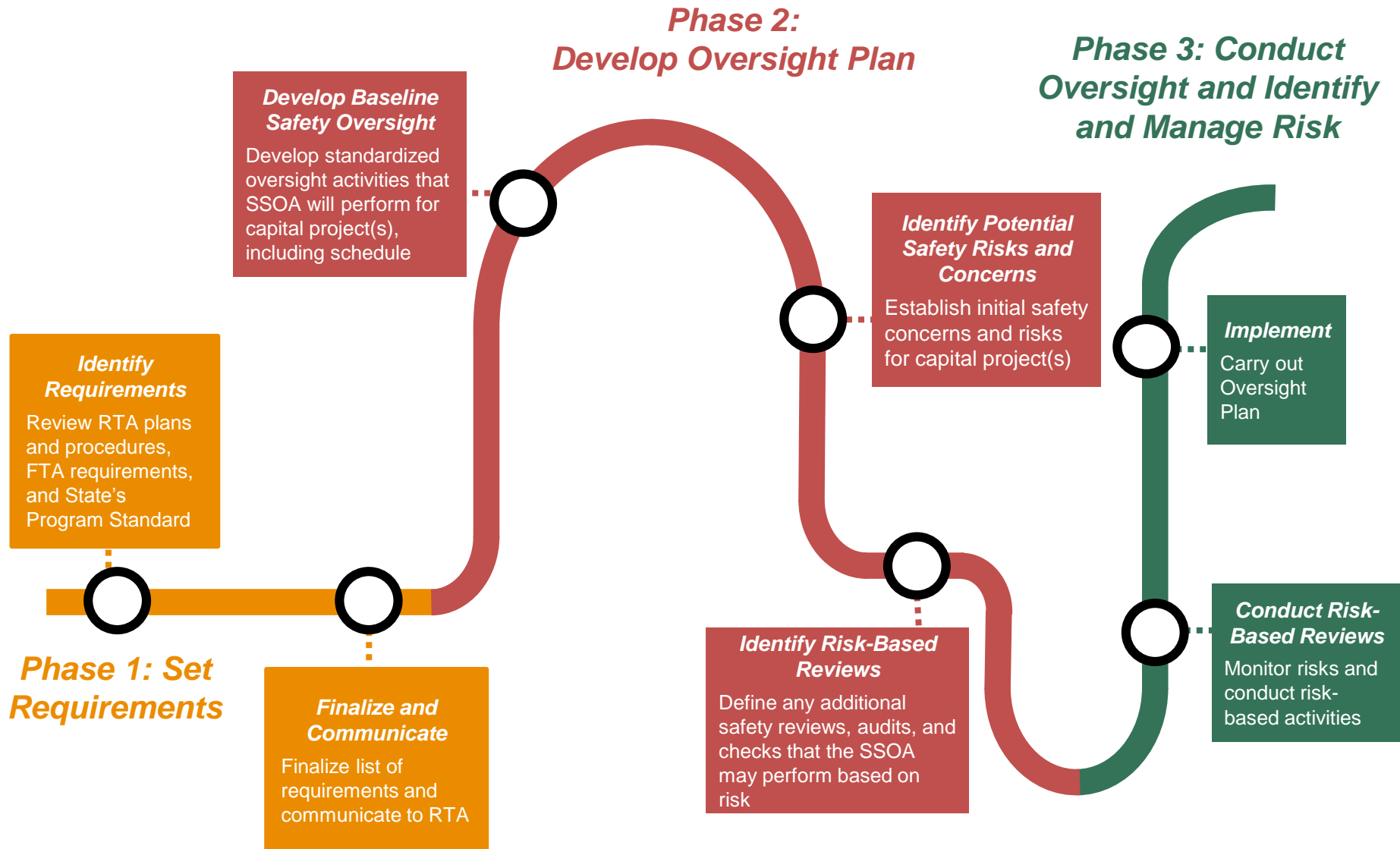
Considerations for Overseeing Capital Projects

- Under Part 674, SSOAs should be involved during design and construction of new systems or extensions
 - The “Certification Process” often the basis of how oversight on a specific project is conducted.
- SSOA program standards should reflect requirements for new systems and extensions

Considerations for Overseeing Capital Projects

- Typical oversight activities may include:
 - Participation in meetings and review of key design, construction and safety analysis documents
 - Investigation of safety events and allegations of non-compliance
 - Safety risk monitoring/oversight of hazard management
 - Triennial audit of safety certification SSPP sections
 - Inspections, observations and audits
 - Pre-revenue readiness review
 - Coordination with stakeholders

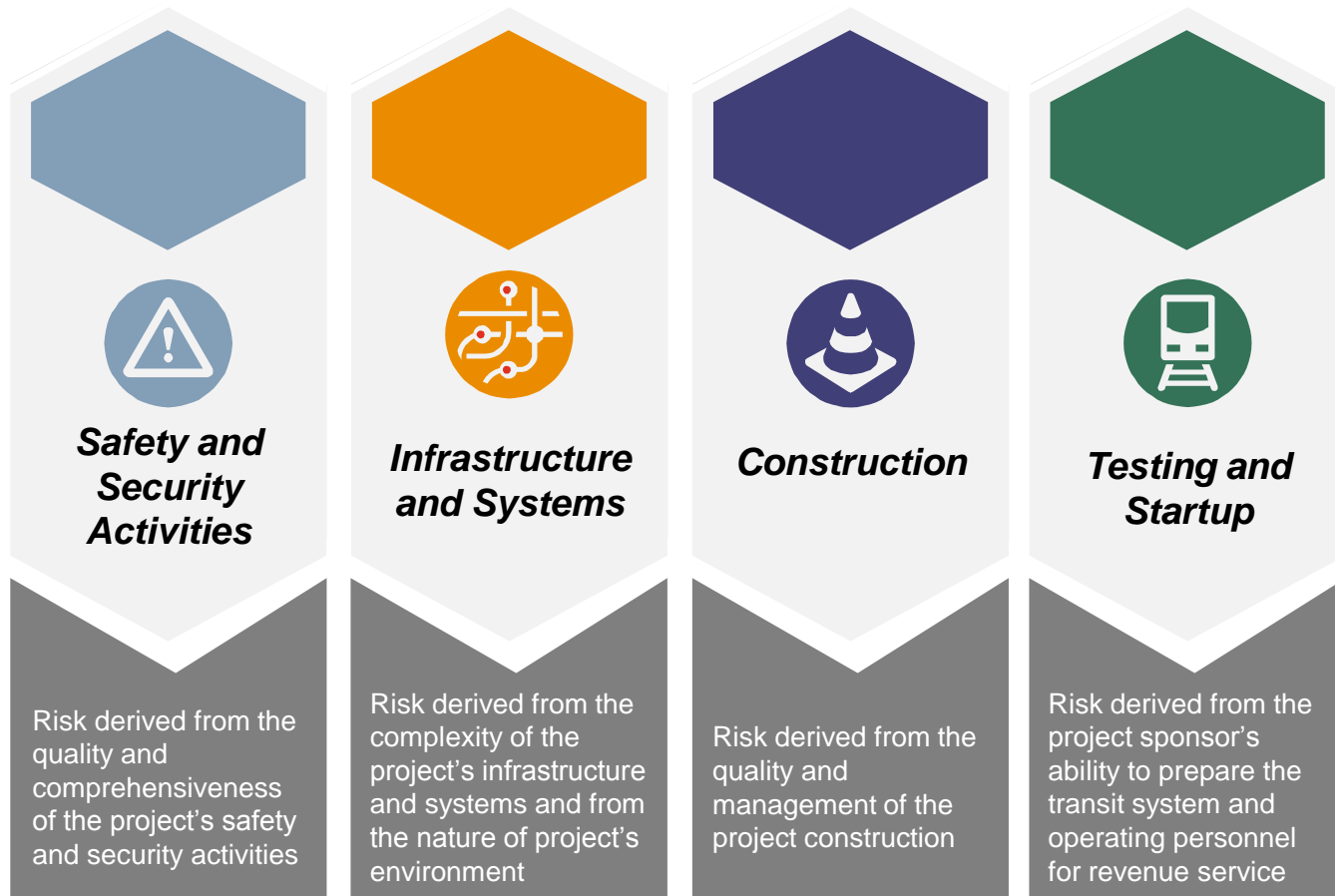
Considerations for Overseeing Capital Projects



Sources of Potential Safety Concerns or Risks



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Questions?

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