



FEDERAL TRANSIT ADMINISTRATION

# 2017 Joint SSO and RTA Workshop

## Breakout Session 3: New Systems and Extensions

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U.S. Department of Transportation  
Federal Transit Administration

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# Agenda

- FTA Office of Program Management Oversight (TPM) of Federally Funded Projects
- FTA Safety Office (TSO) / SSOA Responsibilities in New Systems & Extensions

# FTA Office of Program Management

- ❑ Conducts Project Management Oversight as required
  
- ❑ Applies to all recipients of FTA financial assistance undertaking a “Major Capital Project”, defined in 49 CFR 633 as:
  - Construction of new/extension of existing fixed guideway; or
  - Rehabilitation of modernization of existing fixed guideway with total project cost > \$100M; or
  - The Administrator determines that project management oversight will benefit specifically the agency or the recipient.

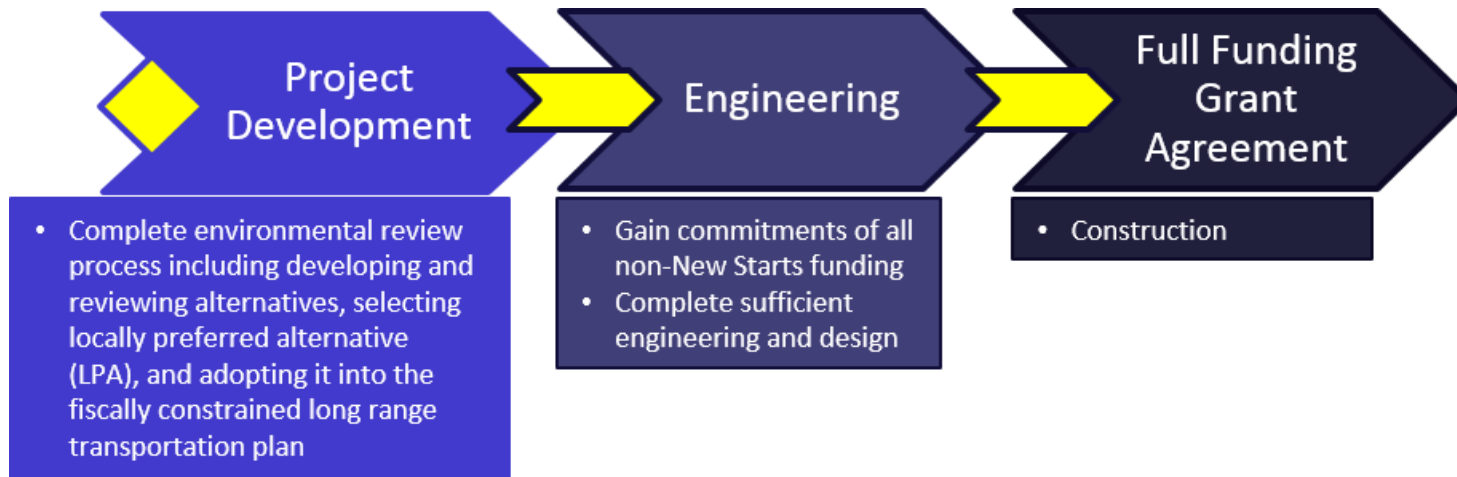
# Project Management Oversight

## Goal

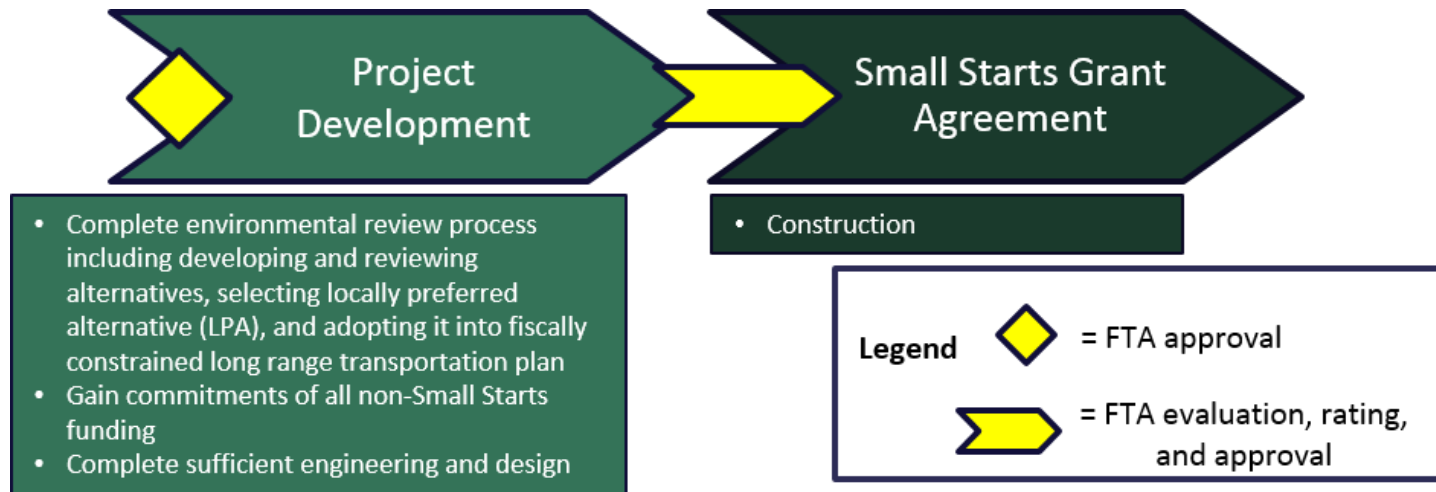
Projects provide their promised benefits, are safe and can be properly maintained, and are delivered on time, within budget and in compliance with all applicable Federal requirements.

Safety is just one part.

# New Starts and Core Capacity Process



# Small Starts Process

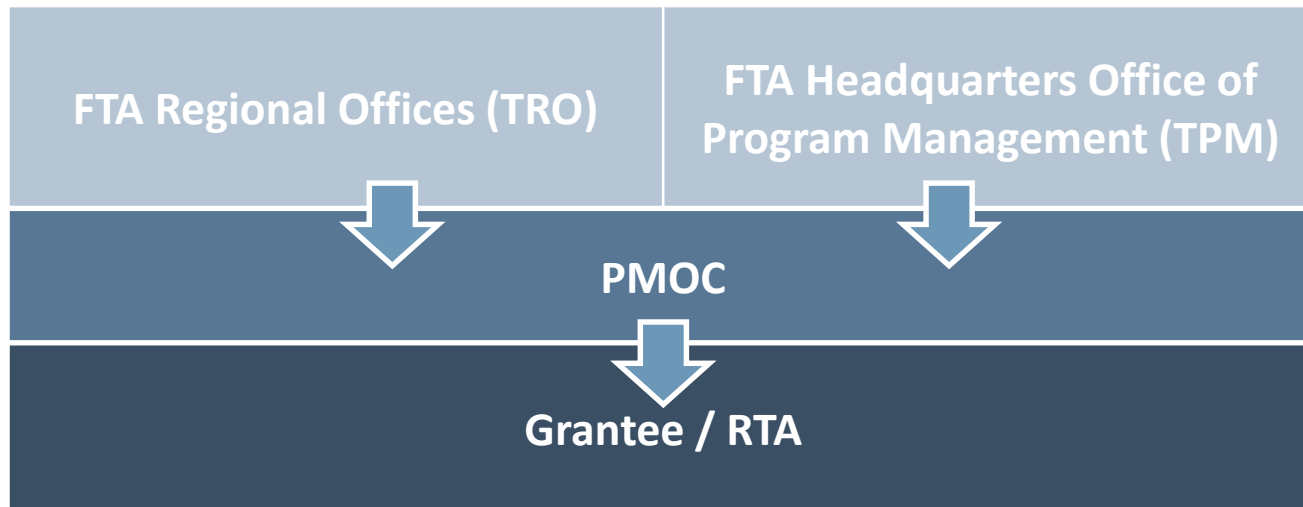


# Federally Funded Projects

- ❑ If Federally Funded, Federal Oversight begins at ~30% design of the Project Life-cycle.
  
- ❑ Examples of funding sources that receive federal project management oversight:
  - CIG (Capital Investment Grant)
    - New Starts Projects
    - Small Starts Projects
  - TIGER Projects
  - TIFIA Loan
  - SGR (State of Good Repair)

# Federally Funded Oversight

- ❑ Oversight is conducted by
  - FTA Regional Offices
  - FTA HQ Office of Program Management
  - Through FTA Contractors, PMOCs.



# FTA's Project Management Oversight – Oversight Procedures

- ❑ PMO Program Oversight Procedures (OPs)
  - Guidance provided by FTA for use by its PMOCs in performing oversight of major capital projects.
  - There are over 30 different oversight reviews
  - Two of the oversight reviews look at safety
    - OP-22 Safety and Security Management Plan Review
    - OP-54 Readiness for Revenue Service Review



# Federally Funded Oversight

## □ What is include in FTA Oversight:

### – Re-occurring Oversight

- Monthly Meetings prior to grant signing
- Quarterly Oversight after grant signing (Monthly if project experiences problems)

### – Spot Reports

- Spot Reports near major milestones
- Engineering, Grant (right before construction), and Revenue Service

# Office of Program Management Safety Specific Oversight

- ❑ Under FTA Project Management Oversight
  - OP - 22 (Safety and Security Management Review)
  - OP - 54 (Readiness to Enter Revenue Service)

# OP 22 - SSMP Review

## ❑ Objective

- Review the Adequacy and Soundness of the sponsor's safety and security management program.

## ❑ Timeframe

- Initial Review - Occurs around the 30% level of design, or prior to entry into Engineering
- Follow-Up Reviews
  - Usually happen around the 60% design level, or
  - Each time the SSMP changes substantially,
  - Prior to receiving grants,
  - At a minimum with every PMP update.

# OP 54 - Readiness Review

## □ Objectives

- The system is safe for use by patrons
- All systems, subsystems, components, equipment, conform to contract documents;
- The entire transit system, with all interfaces, operates as an integrated whole, and system operates safely through the host communities
- The Grantee has demonstrated the capacity and capability to safely operate and maintain the system
- Prior to any trains operating on the alignment all systems and security elements or an effective work around should be in place and certified.
- Focus on transition from construction, to start-up, to operations.

## □ Timeframe

- Usually begins a year before the system opens for revenue service and requires reviews before System Integration Testing, Pre-Revenue Service, Full Revenue Service

# State Safety Oversight Requirements

## Regulations

- 49 USC 5329(e)(2)(b) requires that the SSOA oversee “a rail fixed guideway public transportation system in the **engineering or construction phase.**”
- Part 674.7 - Rail fixed guideway public transportation system:
  - 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.**

# State Safety Oversight Responsibilities

- Under Part 674, SSOAs should be involved during design and construction of new systems or extensions
- SSOA program standards should reflect the requirements for new systems and extensions
- SSOA should be aware of the federal Project Management Oversight for
  - Awareness
  - Coordination
  - Certification (if required)

# FTA Transit Safety and Oversight

## Safety and Security Readiness Review (SSRR)

### Objectives

- Assess SSOA readiness to oversee New Starts projects
- Implementation of FTA Circular 5800.1, Safety and Security Management in Major Capital Projects
- Confirms Compliance with SSO Program Standard
- Confirms completion of safety certification process

### Conducted When Applicable (Federally Funded)

If SSRR not conducted, SSOA should conduct its own review

# Revenue Service for New Projects

## Difference Between Oversight Reviews

### PMOC (OP-54)

- “The PMOC shall assess and evaluate the adequacy, soundness, and timeliness”
  - PMOC responsible for oversight (adequacy) of plans and schedule (timeliness)
- OP-54 reviews **operational readiness of Grantee**
  - Report may not document findings and corrective actions
  - OP-54 report is for internal FTA purpose (may not be sent to Grantee)
- OP-54 will include readiness of non safety elements
  - Review of schedule, budget, spare parts, etc.

### SSRR

- SSRR conducts detail reviews and analysis of the 10 subject areas
  - TSO responsible for review of document content (detail), such as comprehensiveness of hazard analysis
- SSRR reviews **State (SSO) and Grantee safety readiness**
  - Findings are identified and sent to Transit agency and State
- TSO supports SSRR with internal procedure
  - Safety/Security only review includes FTA safety experts



# SSRR Summary

## Joint Oversight Reviews Comments

- **Coordination for a Safety Interviews**
  - Safety Related OP-54 and SSRR interviews conducted at the same time – Allows for open discuss among all experts
  - Reduces “Audit Fatigue” of the Grantee
- **FTA’s TSO, FTA’s TPM and FTA’s Regional Offices evaluating methods to further blend OP-54 and SSRR**
  - Joint OP-54 and SSRR recently conducted for WMATA Silver Line, Atlanta Streetcar, NY 2<sup>nd</sup> Avenue Subway and M-I Streetcar
  - OP-54 more consistently completed for projects (recent policy)
  - TSO reviewing the SSRR procedure for on-going interaction with PMOC and focus of SSRR
- **SSO Agency Oversight of Projects Review**

# Safety Review Summary

## Common Areas of Concern

- 1 Safety Activities not included in the Project Master Schedule
- 2 Hazard analysis not completed and/or not comprehensive
- 3 Safety Certification does not address necessary elements
- 4 Standard Operating Procedures, operating rules not finalized
- 5 Findings from PMOC, SSO Agency Reviews not resolved

# Questions?

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