



2025 FTA JOINT STATE SAFETY OVERSIGHT AND RAIL TRANSIT AGENCY WORKSHOP

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Session #14

Safety Certification



2025 Joint SSO and RTA Workshop

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Federal Transit Administration

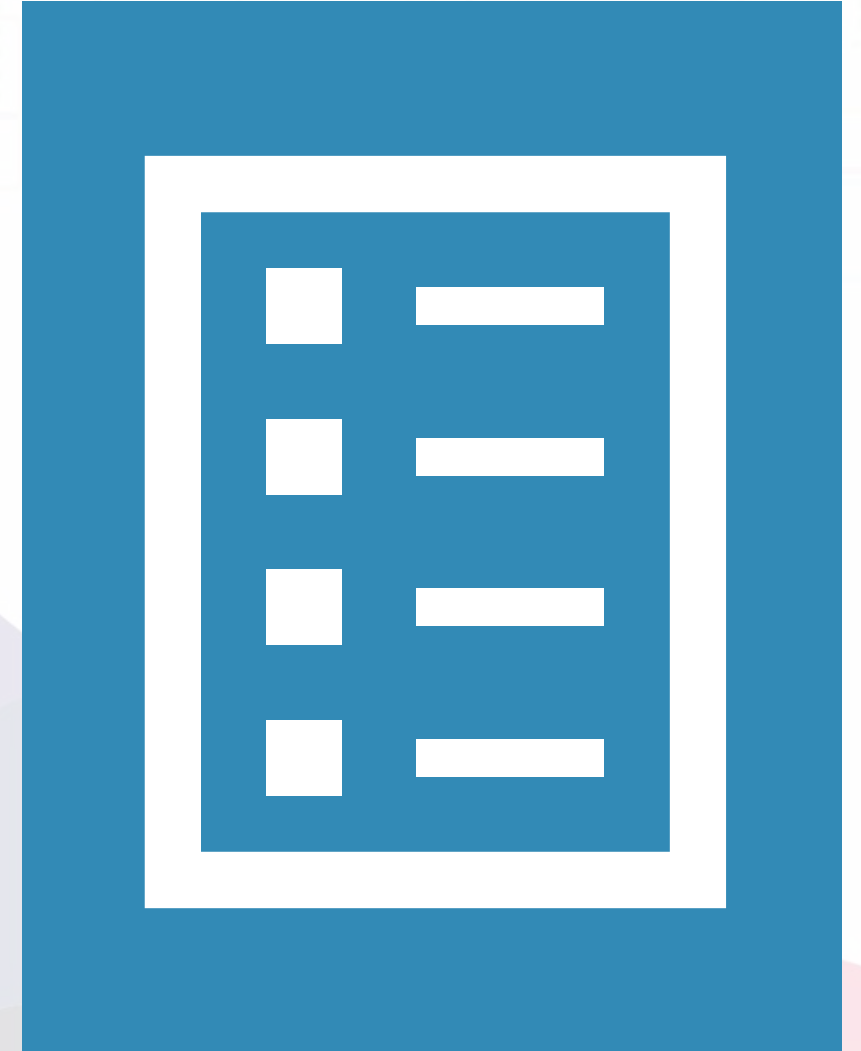
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SSO Program Manager, Office of Transit Safety and Oversight
Federal Transit Administration



Agenda

1. Overview of Safety Certification
2. Effective Practices for Safety Certification Oversight and Verification
3. Panel Discussion



Session Focus



RTA requirements and
effective practices for
Safety Certification of
projects



SSOA responsibilities
for verifying Safety
Certification



What is Safety Certification?

As described in FTA Circular 5800.1, Safety Certification is both a series of processes and a document related to the construction, expansion, rehabilitation, or modernization of a fixed guideway:

- Series of **processes** that collectively verify the safety readiness of a project for public use
- Transit agency **document** that self-certifies that a Safety Certification program for a qualifying project has been developed and executed prior to starting revenue service



RTA conducts, affirms, and verifies Safety Certification as part of its responsibilities as a recipient



SSOA verifies RTA Safety Certification as part of its oversight responsibilities for systems in construction and engineering

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- Transit agency **document** that self-certifies that a Safety

As described in C5800.1, RTAs must conduct Safety Certification for qualifying projects, but Safety Certification is:

- NOT approved by FTA
- NOT the same for every project
- NOT the same as SSOA oversight or FTA Project Management Oversight (PMO)

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SSOA verifies RTA Safety Certification as part of its oversight responsibilities for systems in construction and engineering

When is Safety Certification required?

Safety Certification is required when a project is considered a Major Capital Project covered under 49 CFR part 633

- Involves the construction, expansion, rehabilitation, or modernization of a fixed guideway that: (1) has a total project cost of \$300M or more and receives Federal funds of \$100M or more; and (2) is not exclusively for the acquisition, maintenance, or rehabilitation of vehicles or other rolling stock

OR

- A project that the FTA Administrator determines to be a major capital project

Documents that “Govern” Safety Certification

Requirements and Guidelines for RTAs

- 49 CFR part 633 – Project Management Oversight (PMO) regulation
 - Requirements for FTA funded major capital projects
- FTA Circular 5800.1 (C5800.1) – Safety and Security Management Guidance for Major Capital Investment Projects
 - Outlines safety activities to be evaluated by the PMO or PMO Contractor (PMOC)



Requirements for SSOAs

49 CFR § 674.25(c) –
SSO regulation

- SSOA responsibilities for projects in engineering or construction



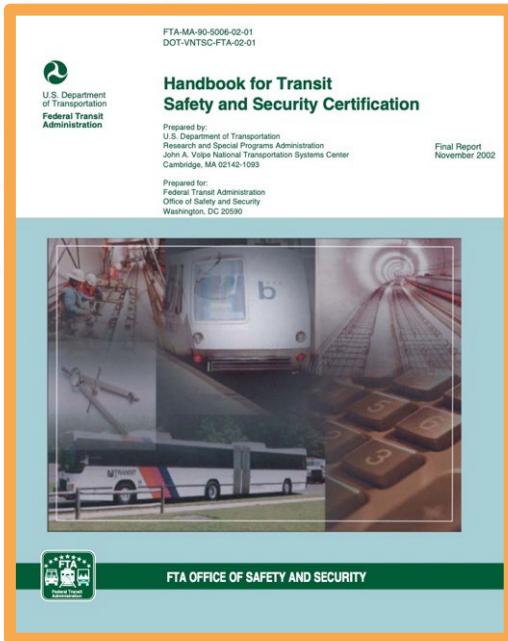
FTA Process

Oversight Procedure 54
(OP54) – Readiness for
Service

- Informs PMO evaluation



Safety Certification Guidelines

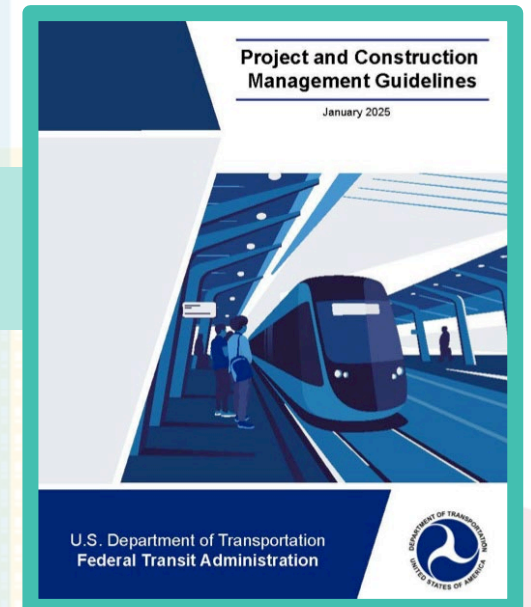


Safety and Security Certification Plan (SSCP) Handbook

Guidelines for certification, including safety and security management and SSMP guidance for major capital projects

Project and Construction Management Guidelines (updated 2025)

Guidelines for managing major transit capital projects to implementation, including Safety Certification criteria



SSMP and SSCP

Safety and Security Management Plan

Per § 633.25(m) and C5800.1, recipients must include safety and security management in their Project Management Plan (PMP) or in a separate SSMP referenced in the PMP

Safety and Security Certification Plan

Plan for verifying that safety and security related requirements are incorporated into the project in preparation for Safety and Security Certification and revenue service.

SSMP and SSCP

Safety and Security Management Plan

C5800.1 identifies the following SSMP sections:

1. Management commitment and philosophy
2. Integration of safety and security (S&S) into project development process
3. Assignment of S&S responsibilities
4. S&S analysis
5. Development of S&S design criteria
6. Process for ensuring qualified operations and maintenance personnel
7. S&S verification process
8. Construction S&S
9. SSOA coordination
10. Federal Railroad Administration (FRA) coordination
11. Department of Homeland Security (DHS) coordination

Safety and Security Certification Plan

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SSMP and SSCP

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11. Department of Homeland Security (DHS)

Safety and Security Certification Plan

The SSCP Handbook (pg. 14) suggests the following SSCP sections:

- Identify Certifiable Elements and Items
- Perform preliminary hazard analyses (PHA) and threat and vulnerability assessments (TVA) and develop S&S design criteria
- Develop and complete design criteria conformance checklist
- Perform construction specifications conformance
- Identify additional S&S test requirements
- Monitor and verify testing and validation
- Monitor and verify system integration tests (SIT)
- Manage “open items”
- Verify PRO conformance and operational readiness
- S&S certification

Typical Project Phases

Project Development

Engineering

Final Design

Construction

Testing

Pre-Revenue /
Startup



RTAs generally begin planning for Safety Certification during early engineering phase to ensure workers understand expectations



SSOAs generally begin coordination with RTAs on plans for Safety Certification as early as possible, sometimes even before the SSOA is Federally required to start safety oversight for projects in engineering and construction

Typical Activity and Documentation

Activity and Documentation	
PMP	PMP and subplans
Safety & Security	SSMP
	SSCP
	PHA, TVA, and Safety Critical Items List
	Certifiable Elements List
	Design Criteria Checklist
	Construction Conformance
	Operations Hazard Analysis
SIT	SIT Plan, schedule, test procedures
	Test/SIT Certification
Pre-Revenue Planning	Emergency Preparedness, updated Rulebook and SOPs
Safety Certification	Safety Certification Verification Report

Typical Activity and Documentation by Phase

Activity and Documentation ↓		Phase →	Engineering	Final Design	Construction	Testing	Pre-Revenue
PMP	PMP and subplans		Outline	Finalize	Update		
Safety & Security	SSMP		Develop	Finalize	Update		
	SSCP		Develop	Finalize			
	PHA, TVA, and Safety Critical Items List		Develop	Finalize			Certify
	Certifiable Elements List		Finalize	Update			
	Design Criteria Checklist		Develop	Certify			
	Construction Conformance			Develop	Certify		
	Operations Hazard Analysis				Develop	Finalize	Certify
SIT	SIT Plan, schedule, test procedures			Develop	Finalize	Certify	
	Test/SIT Certification					Certify	
Pre-Rev. Planning	Emergency Preparedness, updated Rulebook and SOPs				Develop	Finalize	Certify
Safety Cert.	Safety Certification Verification Report					Outline	Certify

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	Test/SIT Certification					Certify	
Pre-Rev. Planning	Emergency Preparedness, updated Rulebook and SOPs				Develop	Finalize	Certify
Safety Cert.	Safety Certification Verification Report					Outline	Certify

Examples of Activities an SSOA May Conduct to Oversee Projects in Engineering and Construction



Example SSOA Safety Certification Oversight and Verification Activities



Panel Discussion



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