



FEDERAL TRANSIT ADMINISTRATION

2016 SSO Program Workshop

49 CFR Part 674 Certification Effective Practices in Overseeing New Systems

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Overview

- Regulations for Overseeing New Systems
- Certification Guidance
 - Program Management
 - Oversight of Agency Safety Plan
 - SSOA Audits and Inspections
 - Corrective Actions
- Coordination with External Reviews

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.”
- 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. (Part 674 Definition)

Certification Guidance

- SSOA plans and procedures to address RTAs in operations, engineering and construction phases
- Applicable sections of the Program Standard to specify the process for overseeing new systems:
 - Program Management
 - Oversight of Agency Safety Plan
 - SSOA Triennial Audits and Inspections
 - Corrective Actions

Certification Guidance

- Program Management activities for New Systems
 - Development of independent project oversight plan
 - Coordination meetings
 - Committee participation
 - Project documents subject to SSOA review
 - Project activities for SSOA participation

Certification Guidance

- Oversight of Agency Safety Plans for New Systems
 - Project-specific hazard and risk management
 - Preliminary Hazard Analysis
 - Operational Hazard Analysis
 - Ongoing resolution of project hazards
 - Safety Certification
 - Reference development of Safety Certification Plan
 - Safety Certification Verification Report

Certification Guidance

- SSOA Audits/Inspections for New Systems
 - Independent inspections of project infrastructure
 - Track, power, signal, communications, facilities
 - SSOA pre-revenue assessment of project
 - System Safety Program Plan approval and oversight of implementation

Certification Guidance

- Corrective Actions for New Systems
 - Deviations/changes not completed
 - Open project hazard/risk mitigations
 - Procedures or training programs
 - Delays in procurement or testing
 - Workarounds from safety certification process
 - Findings and recommendations from audits and reviews
 - Internal, SSOA, APTA, FTA Region/Project Management Oversight Contractor (PMOC), TSO

Coordination with External Reviews

FTA Regional Oversight of New System

- Approval of Project Management Plan and sub-plan
 - Safety & Security Management/Certification Plans, Quality Management, Construction Safety, etc.
 - Review of plans to enter major phases (engineering, award of funding, construction, etc.)
- Onsite safety reviews
 - Readiness to Enter Revenue Operations Review (OP 54)
 - Safety and Security Management Review (OP 22)

Coordination with External Reviews

TSO Oversight of New System

- Reviews PMOC and SSOA reports and safety approval
 - Discusses project safety concerns and oversight of safety plans
 - Coordinates with FTA Regional Office and SSOA to conduct joint review
- Onsite Safety and Security Readiness Review (SSRR)
- SSRR process under FTA evaluation for ongoing approach
 - Workgroup conducted 10 meetings and recommendations being reviewed by TSO

Questions?

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