FTA Safety and Security Certification
Practical Solutions to a Complex Process

Timothy Borchers
Yolanda Favors

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What is Safety and Security Certification ("SSC")?

49 CFR 659

Mitigate

Prepare

Evaluate

Identify

SSC
Developing Regulations

- Public Transportation Safety Program 49 CFR Part 670
- National Public Transportation Safety Plan 49 CFR Part 673
- Public Transportation Agency Safety Plans 49 CFR Part 673
- State Safety Oversight Program 49 CFR Part 674
- Public Transportation Safety Certification Training Program 49 CFR Part 672
Understanding the SSC Process

Design Phase  Construction Phase  Testing Phase  Pre-revenue Operations
Tactical Methods to Facilitate an Effective/Timely SSC Process
Political Environment/Strategic Plan

› Know Supporters and Opponents

› Understand Legislative Environment and Process

› Know Real Decision Makers
Staff Technical Capacity to Navigate SSC

› Evaluate Personnel Resources and Necessary Training
Face-to-Face Discussions with Agency Key Personnel

› Develop a Rapport

› Understand Agency’s Operational and Financial Limitations

› Develop Immediate and Long Term Objectives

› Understand Available vs. Required Resources
Evaluate Current Status of SSC Process

› Know Stage in SSC Process and Required Tasks for Revenue Service

- Operations & Maintenance
- Pre-Revenue Operations
- Testing & Commissioning
- Design
- Construction
Physical Inspection of System’s Infrastructure and Vehicles

› Know Actual State of Infrastructure and Required Repairs, Updates, and Certifications for Revenue Service
Are You Selecting the Right SSC Project Team?
What Considerations are You Taking in Account?

› Size and Complexity of the System
› Agency Resources
› New Start or Extension
› Staff Technical Capacity
Are Your Team Members Wearing the Right Hat?

Executive Management

First Responders

Regulators
Are You Considering the Regulators?

SSOA  FTA/PMOC
Recommended Project Team Members

› Launch Manager
› Compliance Attorney
› Chief Engineer
› Prominent FTA Attorney
› Security Specialist
› Scheduler
› Frontline Personnel
› Document Control Manager/Technical Writer (QA/QC)
Effects of Adding Key Positions

Pre-Revenue Organizational Chart

Key

- Supervision /accountability
- Communication

Agency
SSO
PRO Only

Chief Executive Officer

Chief Comm. Officer

Chief Operating Officer

Director of Operations & Maintenance
Effects of Adding Key Positions

Pre-Revenue Organizational Chart

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Chief Executive Officer

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Director of Operations & Maintenance

Launch Manager

Compliance Manager

Operations Manager

MOW Manager

Maintenance Manager

Chief Engineer
Effects of Adding Key Positions

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Pre-Revenue Organizational Chart

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Agency
SSO
PRO Only

Chief Executive Officer
Chief Operating Officer
Director of Operations & Maintenance
Launch Manager

Chief Safety & Security Officer
Compliance Manager
Technical Writer/Doc. Control Manager
Operator Trainer
Dispatcher
Operations Supervisor
Operators

Maintenance Manager
Maintenance Supervisors
Mechanics
Laborers

Chief Comm. Officer
Operations Manager
MOW Manager

Chief Operating Officer

Chief Safety & Security Officer
Security Specialist

Technical Writer/Doc. Control Manager
Scheduler

Maintenace Inventory Specialist
Effects of Adding Key Positions

Pre-Revenue Organizational Chart

Effects of adding key positions in the organizational chart, including positions such as Chief Executive Officer, Chief Operating Officer, Chief Comm. Officer, Director of Operations & Maintenance, Operations Manager, MOW Manager, Maintenance Manager, Launch Manager, FTA Attorney, Chief Engineer, Subject Matter Expert, Compliance Manager, Technical Writer/Doc. Control Manager, Operator Trainer, Dispatcher, Operations Supervisor, Operators, Maintenance Inventory Specialist, Mechanics, and Laborers. The chart also indicates key positions with supervision/accountability and communication, and includes notes on the Agency and SSO as PRO Only.
How Do You Structure Your Committees?
Committee Checklist

Development

✓ Did you develop committees pursuant to the SSMP?
✓ Did you develop committees unique to your system?
✓ Do have the essential committee members?
✓ Do your committee members have technical capacity?
✓ Did you develop an efficient meeting schedule?

Procedures

✓ Did you create a charter and bylaws?
✓ Do you have detailed agendas and minutes?
✓ Do committee members understand the approval process?
✓ Do your committee members understand their duties and responsibilities?
✓ Did you train your committee members on the SSC process?
## Committee Structure

<table>
<thead>
<tr>
<th>Rail Activation Committee</th>
<th>Safety and Security Review Committee</th>
<th>Fire Life Safety Committee</th>
<th>SSO Safety Coordination Committee</th>
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<tbody>
<tr>
<td>Launch Manager (Chair)</td>
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<td>MOW Manager</td>
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<td>Security Specialist</td>
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* Document Control Manager and Scheduler attend all meetings.
Benefits of Meeting Recordings
Benefits of Meeting Recordings

ON THE MOVE RAIL PROJECT

MEETING GROUP:
DATE:
TIME:
FACILITATOR:
LOCATION:

MINUTES

Participants:

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<tr>
<th>Name</th>
<th>Company</th>
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Agenda Item

1. 
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2. 
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Action Items
(Items in red are new entries)

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Task Description</th>
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<th>Due Date</th>
<th>Status/Comments</th>
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Tips for Utilizing a Successful Document Matrix and Control System

SSC Documentation
› Comprehensive record that hazards and vulnerabilities have been identified/addressed

Flowcharts
› Denotes and manages document approval procedures (QA/QC)

SSO Meetings
› Encourages full cooperation and coordination with SSO
Nine Column Ideas for the Document Matrix

- Group
- Document Title
- Ball In Court

- Due Date
- SSRC Approval
- SSO Submission

- SSO Approval
- OP54 Approval
- SSRR Approval
Document Flowcharts Simplify Connections and Relationships

Program Management Plan

Safety and Security Management Plan

- Threat and Vulnerability Analysis
- Operational Hazard Analysis
- Preliminary Hazard Analysis

Rail Activation Plan
Safety and Security Certification Plan
System Safety Program Plan
Security Emergency Preparedness Plan
Document Flowcharts Simplify Connections and Relationships

SSCP

- System Integrated Test Plan
- Pre-revenue Operations
- Certifiable Elements List
- Safety & Security Certification Verification Report
Document Flowcharts Simplify Connections and Relationships

- Rulebook
- Training Plan
- O&M Plans
- SOPs
- Emergency Exercise Program
- MOUs

- SMS Implementation Plan
- Transit Asset Management
- Title VI
Document Approval Flowcharts
Clarify the Approval Process

Chief Safety Officer Approval

Safety & Security Review Committee Approval

SSO/FTA Approvals /Review?

SSO/FTA

SharePoint Site*

SharePoint Site*
How To Become Experts Like Us!!

- TSSP
  - TSI Coursework
  - APTA

- NTI
  - TRB
  - FTA Website

- Read CFR
  - Regulators
  - Knowledgeable Consultant
Feel Free to Contact Us

Timothy Borchers  
Principal Consultant  
SNC-Lavalin Rail & Transit Inc.  
Rail & Transit Engineering  
Infrastructure  
Phone: +1 813-422-2683  
Email: Timothy.Borchers@snclavalin.com

Yolanda Favors, Esq., TSSP  
Compliance Manager  
SNC-Lavalin Rail & Transit Inc.  
Rail & Transit Engineering  
Infrastructure  
Phone: +1 404-640-2488  
Email: Yolanda.Favors@snclavalin.com