



2015 Annual FGTS Safety Status Report

January 1, 2015 through December 31, 2015



Public Transit Office

September 7, 2016



OFFICE OF FREIGHT, LOGISTICS & PASSENGER OPERATIONS

Executive Summary

This report meets the Federal requirement of 49 United States Code (U.S.C.) Section 5329(e)(4)(A)(vii) for an annual status report on the safety of the rail fixed guideway transportation systems (FGTS) the state safety oversight agency (SSOA) oversees. This report provides a retrospective summary of the 2015 activities of the State of Florida's SSOA, housed within the Office of Freight, Logistics and Passenger Operations in the Florida Department of Transportation (FDOT)'s Central Office. The SSOA serves a critical role in overseeing that minimum safety and security requirements are met by the FGTS. The SSOA's diligence in delivering technical assistance and ensuring that the FGTS meet minimum requirements contributes to very safe and secure public transit systems.

This report addresses only those FGTS that are subject to the requirements of both 49 U.S.C. Section 5329, 49 Code of Federal Regulations Part 659 (Part 659), as well as state regulations (Section 341.061(1), Florida Statutes and Rule 14-15.017, Florida Administrative Code):

- The Hillsborough Area Regional Transit Authority TECO Line Streetcar System;
- The Jacksonville Transportation Authority Skyway ;
- The Miami-Dade Transit Metromover and Metrorail; and
- The Wave Streetcar in Ft. Lauderdale, which is currently in the design phase.

Part I of this report describes the SSOA and existing regulations authorizing the SSOA and its activities. Part II summarizes how the SSOA is working to transition to meet new Federal regulations. In 2012, the Federal government adopted new statutory requirements governing state safety oversight. In 2015, the Federal Transit Administration (FTA) proposed several rules to implement the statute. FDOT is working closely with the FTA and the FGTS to enhance the existing program and meet the new requirements. Part III of this report describes the specific activities that the SSOA undertook in 2015 to meet its regulatory responsibilities, including conducting reviews and audits, providing technical assistance, monitoring hazard management, event investigations and corrective action plans, and reviewing and submitting certifications. This section includes data on reportable events, injuries and fatalities, and hazards at the FGTS over a four-year period.

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Acronyms

BCT: Broward County Transit

CAP: Corrective Action Plan

CFR: Code of Federal Regulations

CWP: Certification Work Plan

FAST Act: Fixing America's Surface Transportation Act

FDOT: Florida Department of Transportation

FGTS: Fixed Guideway Transportation System

FRA: Federal Railroad Administration

F.S.: Florida Statutes

FTA: Federal Transit Administration

HART: Hillsborough Area Regional Transit

ISTEA: Intermodal Surface Transportation Efficiency Act of 1991

JTA: Jacksonville Transportation Authority

MAP-21: Moving Ahead for Progress in the 21st Century Act

MDT: Miami-Dade Transit

NPRM: Notice of Proposed Rulemaking

SFRTA: South Florida Regional Transportation Authority

SMS: Safety Management Systems

SSO: State Safety Oversight

SSOA: State Safety Oversight Agency

SSPP: System Safety Program Plan

TRA: Transportation Resource Associates, Inc.

TTP: Technical Training Plan

U.S.C.: United States Code



MDT Station

Part I. Background and Existing Regulations

Federal Authority

The *Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)* required the Federal Transit Administration (FTA) to create a state-managed oversight program to improve rail transit safety and security (*49 U.S.C. § 5330*). On December 27, 1995, the FTA published “Rail Fixed Guideway Systems; State Safety Oversight; Final Rule” (codified at *49 CFR Part 659*), now referred to as Part 659 or the State Oversight Rule. This rule governs light, heavy, or rapid rail, monorail, inclined plane, funicular, trolley or automated guideway systems that receive specific funding and are not regulated by the Federal Railroad Administration (FRA).

On July 6, 2012 President Obama signed into law a new transportation authorization, *Moving Ahead for Progress in the 21st Century (MAP-21)*. MAP-21 grants the FTA the authority to establish and enforce a new comprehensive framework to oversee the safety of public transportation throughout the United States. MAP-21, under *49 U.S.C. Section 5329(e)*, requires that each state with fixed guideway transportation systems that receive certain Federal funding and are not regulated by the Federal Railroad Administration to implement a state safety oversight program that:

- 1) Assumes responsibility for overseeing rail fixed guideway public transportation safety;
- 2) Adopts and enforces Federal and relevant state laws on rail fixed guideway transportation safety;
- 3) Establishes a SSOA;
- 4) Determines in consultation with the Federal Transit Administration an appropriate staffing level for the SSOA that is commensurate with the number, size, and complexity of the rail fixed guideway public transportation in the state;

- 5) Requires that employees and other designated personnel of the SSOA who are responsible for rail fixed guideway public transportation state safety oversight are qualified to perform such functions through appropriate training, including successful completion of the public transportation safety certification training program; and
- 6) Prohibits any public transportation agency from providing funds to the SSOA.

Each eligible state, including the State of Florida, must establish a SSOA that— (i) is financially and legally independent from any public transportation entity that the SSOA oversees; (ii) does not directly provide public transportation services in an area with a rail fixed guideway public transportation system subject to the requirements of this section; (iii) does not employ any individual who is also responsible for the administration of rail fixed guideway public transportation programs subject to the requirements of this section; (iv) has the authority to review, approve, oversee, and enforce the implementation by the rail fixed guideway public transportation agency of the public transportation agency safety plan required under subsection (d); (v) has investigative and enforcement authority with respect to the safety of rail fixed guideway public transportation systems of the eligible State; (vi) audits, at least once triennially, the compliance of the rail fixed guideway public transportation systems in the eligible State subject to this subsection with the public transportation agency safety plan required under subsection (d); and (vii) provides, at least once annually, a status report on the safety of the rail fixed guideway public transportation systems the SSOA oversees to— (I) the FTA; (II) the Governor of the State; and (III) the board of directors of the transit agencies or equivalent.

In December 2015, President Obama signed the *Fixing America’s Surface Transportation (FAST) Act*, which authorizes the FTA to administer a state safety oversight program, if such a program is inadequate to ensure the enforcement of Federal safety regulation, or is incapable of providing adequate safety oversight consistent with the prevention of substantial risk of death or personal injury. The FTA is administering such a program in Washington, DC for the Washington Metropolitan Area Transit Authority. Florida’s SSOA monitors developments from this program in order to learn about the FTA’s expectations for enhanced state safety oversight programs.

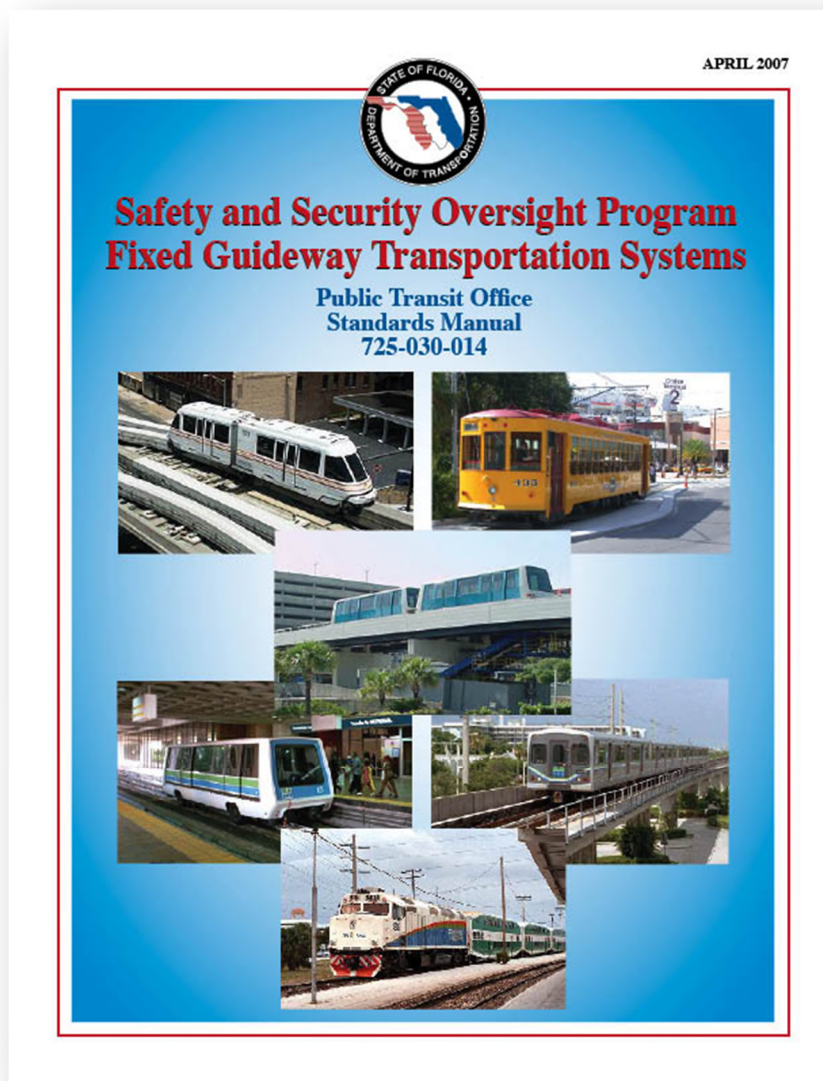
State Authority

Section 341.061(1), Florida Statutes (F.S.), designates the Florida Department of Transportation (FDOT) as the SSOA with the responsibility for the implementation and the enforcement of safety standards for fixed guideway transportation systems (FGTS). *Section 341.061(1), F.S.*, requires that FDOT establish minimum safety standards for all governmentally owned FGTSs and privately owned or operated FGTSs operating in the State of Florida which are financed wholly or partly by state funds. The statute provides the authority for the *Safety and Security Oversight (SSO) Program Standards Manual for Fixed Guideway Transportation Systems (SSO Manual)*. The SSO Manual is incorporated by reference into *Rule 14-15.017*,

Florida Administrative Code (F.A.C.) and incorporated into the Rules of the Department (Standards Manual number 725-030-014).

The SSO Manual establishes system safety and security criteria for FGTS operating in Florida. It describes FGTS and FDOT responsibilities to implement Section 341.061(1) F.S., and ensures ongoing communication between FDOT, each FGTS, and the FTA, including annual and periodic submissions.

The SSO Manual, April 2007, distinguishes between FGTS that are subject to both Federal and state safety oversight (Part 659 and Section 341.061(1), F.S. requirements), and FGTS that are subject only to state safety oversight (Section 341.061(1), F.S. requirements). More detail on the FGTS can be found on pages 12 through 14.



SSOA Contacts and Organization

The SSOA is housed within FDOT's Central Office in the Office of Freight, Logistics and Passenger Operations in Tallahassee, FL.



Table 1 depicts FDOT's SSOA contacts, and organization charts are provided on the following pages.

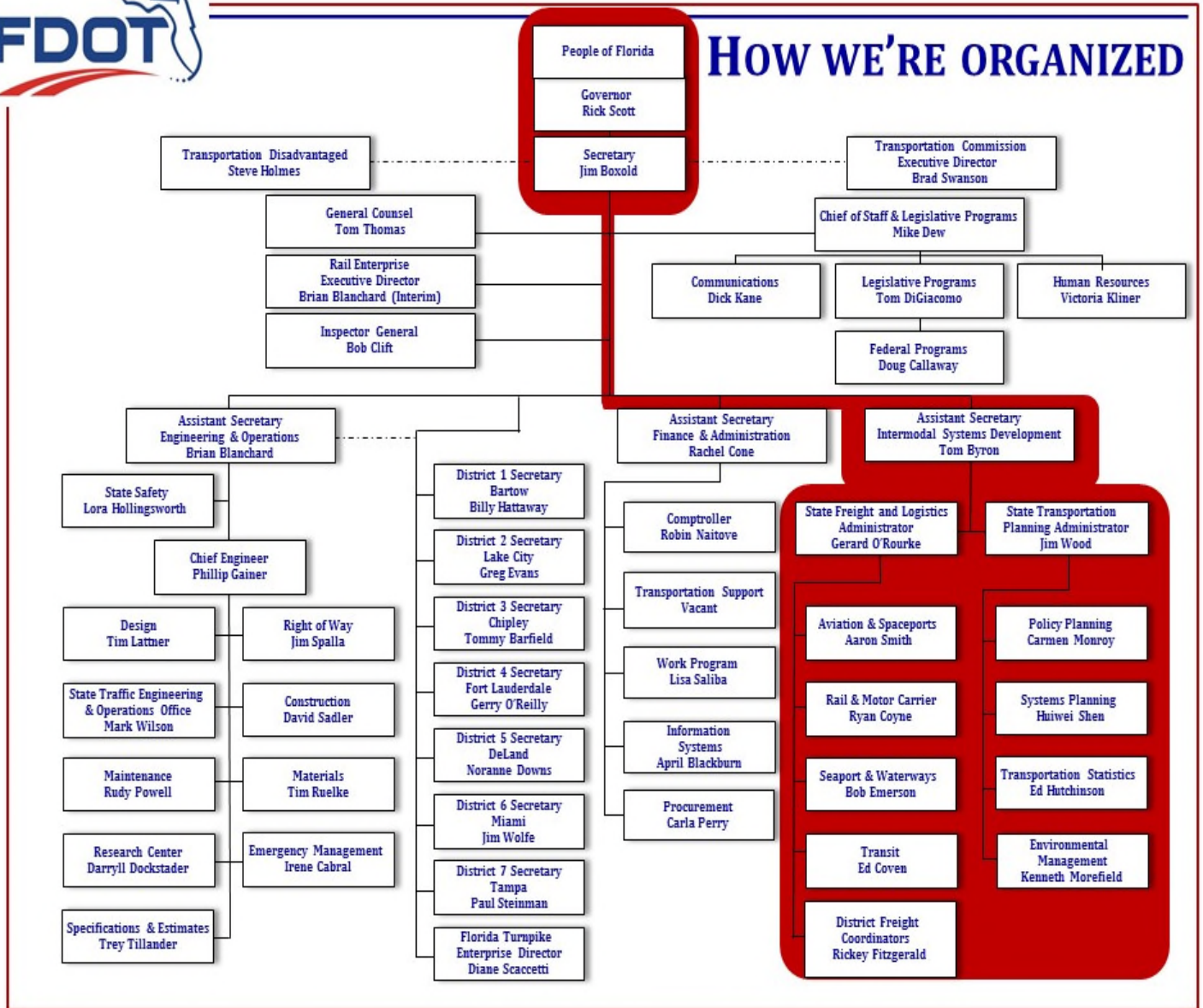
Table 1. FDOT SSOA Contacts

Contact: Name, Title, and Phone
Ed Coven , State Transit Manager/SSOA Alternate 850-414-4522
Robert Westbrook , Transit Operations and Safety Administrator/SSOA Alternate 850-414-4533
Victor Wiley , Transit Safety Programs Manager/SSOA Manager 850-414-4525

FDOT Organization Chart

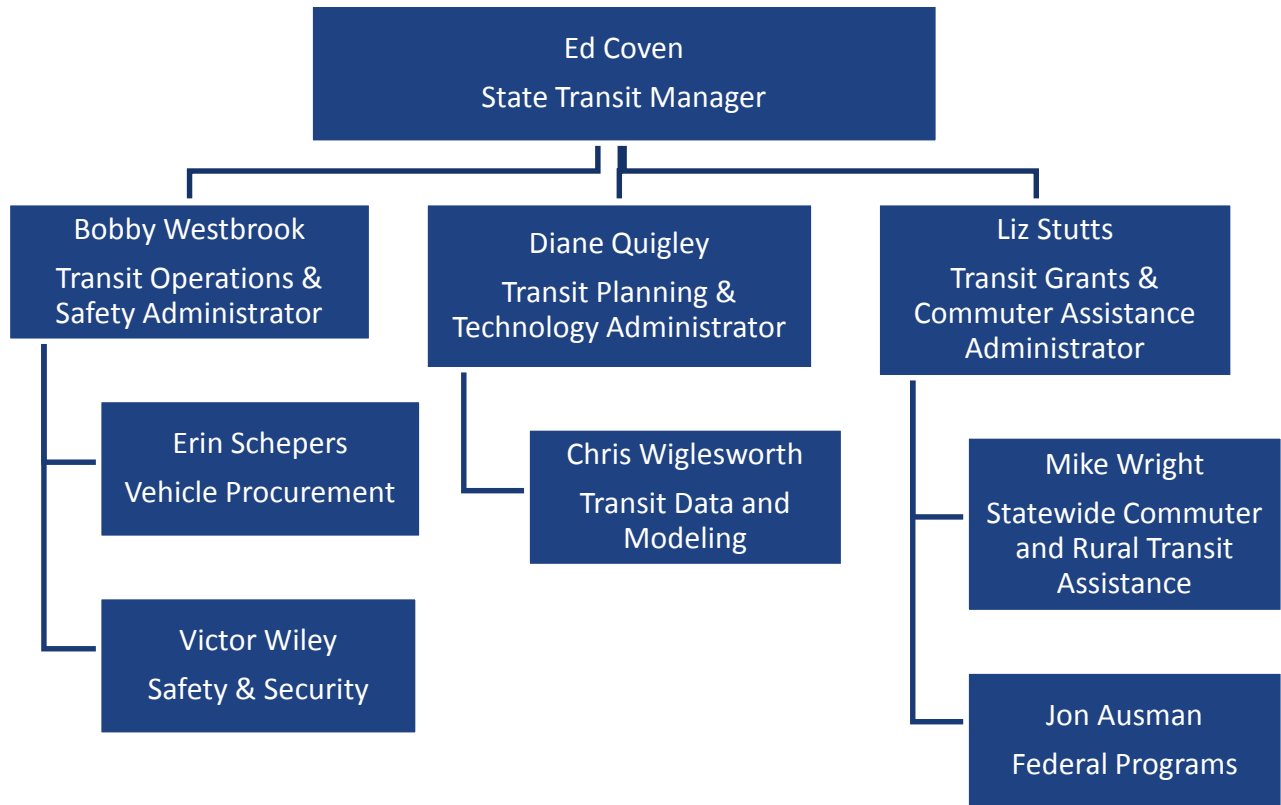


HOW WE'RE ORGANIZED



*Assistant Secretary Byron replaced Richard Biter in March 2016.

Public Transit Office Organization Chart





TECO streetcar

SSOA Support Team

Through October 31, 2015, FDOT contracted with AECOM Technical Services, Inc. to subcontract the support services of Transportation Resource Associates, Inc. (TRA). TRA provided support services related to safety and security oversight for Florida's FGTS that are subject to both Part 659 and Section 341.061(1), F.S. Additionally, FDOT contracted the support services of TRA to employ an in-house consultant at FDOT Central Office to assist the Transit Safety Programs Manager with the implementation of the MAP-21 requirements, reports, training, and various other SSO activities.

TRA is a professional consulting firm established in 1990 to serve clients in the public and private passenger transportation sectors. TRA's personnel provide technical and management consulting services in the areas of system safety; security and emergency preparedness; accident and incident investigation; transit and railway operations; maintenance and operations analysis; transportation legislation and standards; transportation planning; labor relations/human resources; and alternative transit services. TRA offers professional services to state safety oversight (SSO) programs, transportation agencies, industry advocacy groups, engineering and planning consultants, regulatory bodies, law enforcement organizations, and others. For more information, please visit TRA's website at www.traonline.com.

On November 20, 2015 FDOT issued a new request for proposals for SSO contractor support. FDOT awarded the contract to TRA in January 2016. This contract has a five-year duration and provides for enhanced state safety oversight, including event investigations, unannounced inspections, and increased on-site technical assistance.

Tables 2 and 3 depict the TRA contractors that worked most closely with Florida's SSOA in 2015.

Table 2. Contractor Support Team through October 31, 2015, and January 27, 2016-Present

Consultant and Phone Number	Summary of Responsibilities
<p>Christopher Wallgren, Vice President, Project Principal- TRA Project Lead</p> <p>212-300-4287</p> <p>Anthony Ferraro, Project Manager</p> <p>813-513-4335</p>	<p>Provided technical assistance to the FGTS, provides analysis of accidents and incidents at the FGTS, reviews and tracked corrective actions taken by FGTS, ensured that the FGTS complied with reporting requirements, reviewed updates to the FGTS system safety program plans, reviewed internal safety review assessments, Performed onsite reviews of the FGTS, held reoccurring teleconferences with the FGTS and FDOT.</p>

Table 3. Contractor Support January 12, 2015 through Present

Consultant and Phone Number	Summary of Responsibilities
<p>Ashley Porter, In-House Consultant</p> <p>850-414-4070</p>	<p>Assists with the collection, reviewing, and analyzing of relevant data, issues and state and Federal regulations to develop policy recommendations as the SSOA implements new provisions consistent with Federal requirements, communicates the new requirements, and develops training related to new requirements.</p>

Florida's FGTS

FGTS subject to regulation under Part 659 include systems that:

- Are light, heavy, or rapid rail, monorail, inclined plane, funicular, trolley or automated guideway that are not regulated by the FRA, and
- Are included in the FTA's calculation of fixed guideway route miles; or
- Receive funding under FTA's formula program for urbanized areas, or
- Have submitted documentation to the FTA indicating the intent to be included in the FTA's calculation of fixed guideway route miles to receive funding under the FTA's formula program for urbanized areas.

Additionally, pursuant to Section 341.061(1), F.S., FGTS that are governmentally or privately owned and operated and are financed wholly or partly by state funds are subject to state safety standards established within the statute and the SSO Manual.

The State of Florida is home to the following FGTS subject to both Part 659, Section 341.061(1), F.S., and the SSO Manual:

The Hillsborough Area Regional Transit TECO Streetcar in Tampa: The TECO Streetcar line consists of a 2.7 mile single-track route with eleven stations throughout Ybor City, Channelside, and downtown Tampa.

Agency	Mode	Primary Safety/Security Contact	Secondary Safety/Security Contact
Hillsborough Area Regional Transit (HART)	Streetcar	Dara Chenevert Interim Chief of Business Enterprise & Safety Officer <i>(Prior to October 2015: Michael Stephens)</i> Phone: 813-384-6396	David Kelsey Safety and Security Administrator Phone: 813-384-6396

The Jacksonville Transportation Authority Automated Skyway Express: The Jacksonville Skyway operates on 2.5 miles of elevated track through downtown Jacksonville. It currently serves eight stations through two routes: the Northbank and Southbank lines.

Agency	Mode	Primary Safety/Security Contact	Secondary Safety/Security Contact
Jacksonville Transportation Authority (JTA)	Automated people mover	Cami Haynes Assistant Vice President/Safety and Compliance Officer Phone: 904-633-8549	Colin Mulloy Safety and Security Manager Phone: 904-630-3126

The Miami-Dade Transit Metromover and Metrorail: Miami-Dade Transit operates two separate FGTS modes the Metromover and the Metrorail. The Metromover operates on 4.4 miles of track through Omni, downtown, and Brickell. Metrorail operates on 25 miles of dual track from Miami International Airport through Kendall, South Miami, Coral Gables, downtown Miami, the Civic Center/ Jackson Memorial Hospital area, Brownsville, Liberty City, Hialeah and Medley. Metromover currently serves 21 stations and Metrorail serves 23 stations.

Agency	Mode	Primary Safety/Security Contact	Secondary Safety/Security Contact
Miami Dade Transit (MDT)	Metromover: Automated people mover, and Metrorail: elevated heavy rail rapid transit	Eric Muntan Chief, Office of Safety & Security Phone: 305-375-4240	Safety: Lee Vega Safety Manager Phone: 305-375-4240 Security: Pablo Castillo Manager of Security Phone: 305-375-4240

The Wave Streetcar in Ft. Lauderdale: This system is currently in the design phase. The South Florida Regional Transit Authority is building the system. Broward County Transit will operate and maintain the system once it begins service.

Agency	Mode	Primary Safety/Security Contact	Secondary Safety/Security Contact
Broward County Transit (BCT) and South Florida Regional Transportation Authority (SFRTA)	Streetcar	Derrick Chan Director of Rail and Capital Programs Phone: 954-357-8235 <i>(Prior to September 2015: Patrick Brouard)</i>	n/a

Additional Florida FGTS subject ONLY to State requirements outlined in Section 341.061(1), F.S. and the SSO Manual, but not Part 659, include the SFRTA Tri-Rail and Central Florida SunRail commuter trains, the Hillsborough County Aviation Authority automated guideway at Tampa International Airport, the Miami-Dade Aviation automated people mover systems at Miami International Airport, and the Greater Orlando Aviation Authority automated guideway at Orlando International Airport.

For more information on FDOT’s responsibilities associated with state safety oversight of systems not subject to Federal requirements, please contact Victor Wiley, Transit Safety Programs Manager at FDOT.





MDT Metromover track

Part II. ADDRESSING CHANGES IN FEDERAL LAW

Currently, the SSOA program is undergoing a period of transition to meet the MAP-21 requirements. The FTA required the State of Florida to prepare an approved certification work plan (CWP) to be eligible to receive Federal grant funds. FDOT developed a CWP that identifies the activities that FDOT will undertake to meet the new requirements.

Components of the CWP

In order to demonstrate compliance with MAP-21, FDOT committed to the FTA that it will work to enhance various authorities related to FGTSs' safety, including the authority to independently investigate events and compel FGTS action to enforce their safety plans. This will be accomplished through adopting changes to the *Safety and Security Oversight (SSO) Program Standards Manual for Fixed Guideway Transportation Systems (SSO Manual)*. The SSO Manual is adopted by reference into *Rule 14-15.017, Florida Administrative Code (F.A.C.)* and incorporated into the Rules of the Department (Standards Manual number 725-030-014).

FDOT also committed to demonstrating that the staffing level of the SSOA is commensurate with the number, size, and complexity of the FGTS in the state, and that the SSOA is financially and legally independent from the FGTS. Additionally, FDOT committed to producing a report every year to summarize the status of FGTS safety to be distributed to the FTA, the FGTSs' boards of directors, and the Governor's Office. See Figure 1.

FDOT submitted letters to the FTA in December 2014 describing the legal and financial independence of the SSOA and the FGTS. On August 31, 2015, the FTA provided a letter stating that FDOT demonstrated the necessary legal and financial independence required by Section 5329. See Appendix A. In early October, the FTA hosted a conference for all SSOA managers. FDOT's Transit Safety Programs Manager attended. The FTA provided a certification status

update on the level each SSOA is at in regards to meeting the requirements of their CWP. The FTA includes FDOT among the SSOAs that are 80 to 100 percent complete in achieving their certifications (see Appendix B).

The SSOA is working to update the Department's SSO Manual to incorporate the new requirements. Throughout 2015, the SSOA Program Manager and support team met with attorneys from the FDOT Office of General Counsel and FDOT Forms and Procedures staff to discuss rule and manual development, and drafted language related to conflicts of interest for the update. Throughout 2015, the SSOA team researched examples of enforcement authority provisions and accident investigation procedures to incorporate into the revised Manual. The SSOA team continues to research and draft updates.

Figure 1. Components of the CWP

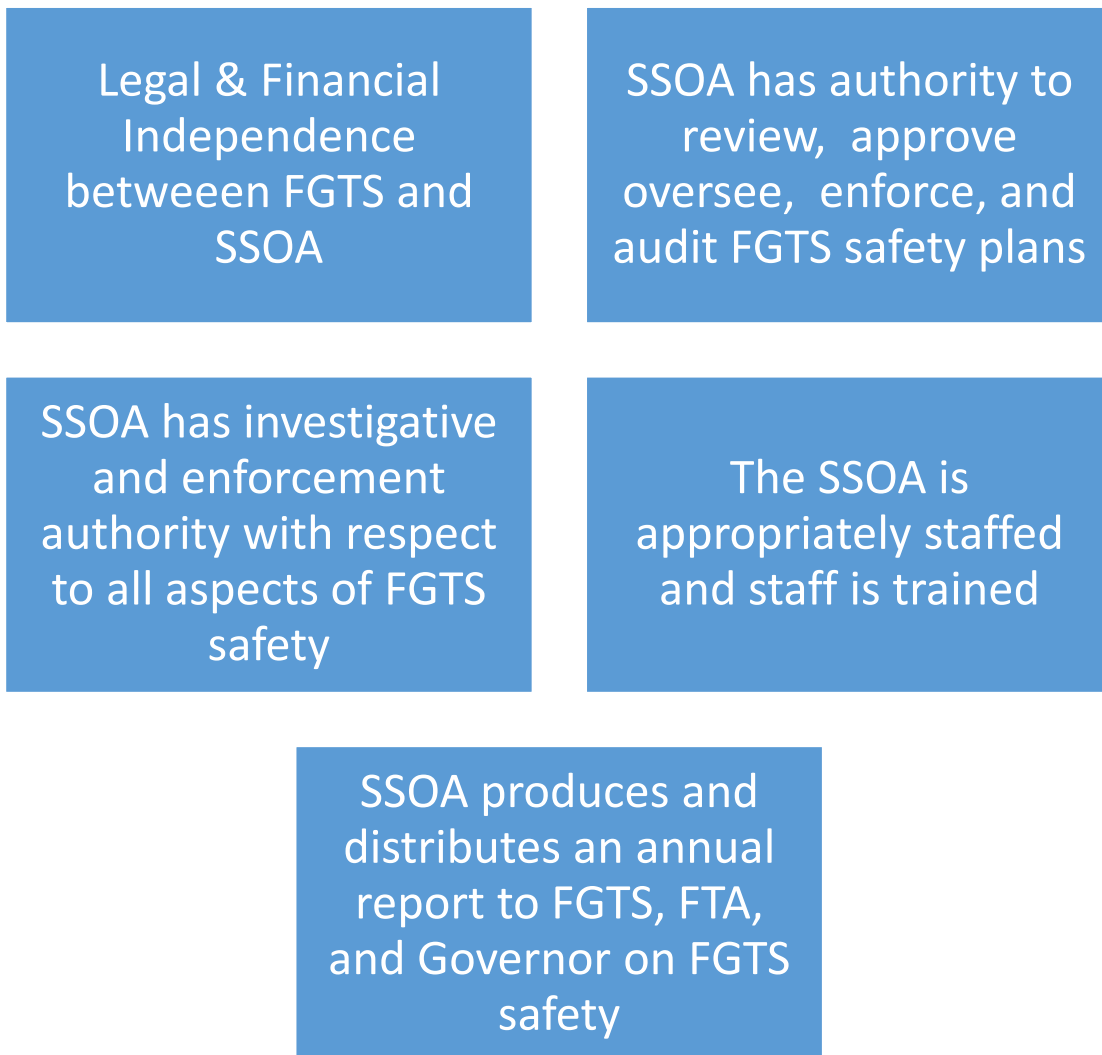


Table 4. FDOT SSOA CWP Status

CWP Component	Status	Additional Information
The FDOT SSOA must demonstrate legal and financial independence between the FGTS and the FDOT SSOA (49 U.S.C. Section 5329(e)(4))	The update to the SSO Manual (Standards Manual 725-030-014), adopted by reference into Rule 14-15.017, F.A.C. will include language that formally codifies financial and legal independence between the FGTS and the FDOT SSOA.	See August 31, 2015 letter from the FTA’s Director of the Office of Safety Review (Appendix A) that states that FDOT demonstrated the necessary legal and financial independence required by 49 U.S.C. Section 5309(e)(4)
The FDOT SSOA must demonstrate the authority to review, approve, oversee, enforce, and audit the FGTS agency safety plans (49 U.S.C. Section 5329(e)(4)(A)(iv))	The FDOT SSOA currently reviews and approves the FGTS safety reports, system safety program plans and security program plans, and audits each FGTS triennially. In 2016, the FDOT SSOA will begin unannounced reviews at the FGTS.	To describe the enhanced requirements, FDOT will update the SSO Manual.
The FDOT SSOA must demonstrate: 1) investigative; and 2) enforcement authority with respect to all aspects of FGTS safety (49 U.S.C. Section 5329(e)(4)(A)(v))	<ol style="list-style-type: none"> 1) Beginning in 2013, the FDOT SSOA provides an increased on-site presence at the FGTSs to support event investigations and additional hazard tracking and corrective action plan monitoring and verification. 2) FDOT has the authority to suspend service if there is an immediate danger to the public per Section 341.061(1)(d), F.S. 	This component of the CWP requires an update to the SSO Manual. The SSO Team is working with FDOT’s Office of General Counsel to evaluate enhanced investigative and enforcement authorities.
The FDOT SSOA is appropriately staffed commensurate with the number, size, and complexity of FGTSs (49 U.S.C. Section 5329(e)(3)(D))	In 2015, 3.5 FTEs staffed the SSO program. This number includes FDOT’s Transit Safety Programs Manager, the Public Transit Office’s Operations Administrator, the State Transit Manager, and contractor support.	In 2016, the FDOT SSOA will increase its contractor support capabilities through a new contract and task work orders. The new contract will provide for additional FTE positions.
The SSOA employees and other designated support personnel are qualified to perform oversight functions through appropriate training (49 U.S.C. Section 5329(e)(3)(E))	The FTA is in the process of developing additional required training classes. The SSO support contract requires FDOT contractors to undergo the appropriate training. More information on training is found on page 20.	FDOT submitted its technical training plan to the FTA on September 4, 2015 and received an email confirming receipt from FTA contractor support on November 18, 2015 (Appendix E).
The FDOT SSOA provides an annual status report on FGTS safety to the Governor, FTA, and the FGTS board of directors or equivalent (49 U.S.C. Section 5329(e)(4)(A)(vii))	This report is produced and distributed to meet this requirement.	In addition to this report, the SSOA’s certification to the FTA is submitted annually by the deadline.



Rendering of Wave streetcar

Federal Funding

With the approval of FDOT’s CWP in May 2014, the FTA allocated 5329(e) SSO funding to Florida in September 2014. The FTA’s funding formula requires a 20 percent state match and is divided into three factors: base tier, service tier, and modal factors. The formula grants an equal base amount to each state, and then takes into account service tier factors which include fixed guideway vehicle revenue miles, fixed guideway route miles, and fixed guideway vehicle passenger miles attributable to all FGTS not regulated by the FRA within each eligible state. The modal tier considers the number of separate FGTS modes subject to state safety oversight. Based on this formula, Florida received \$738,523 for fiscal year 2013, \$760,282 for fiscal year 2014, and \$766,817 for fiscal year 2015 (Table 5).

Table 5. FTA Florida Section 5329(e) SSO Allocation Fiscal Years 2013-2015

Year	Base Tier (20%)	Modal Tier (20%)	Passenger Miles Traveled (15%)	Vehicle Revenue Miles (15%)	Directional Route Miles (30%)	Total FTA Allocation
FY 2013	\$151,350	\$304,802	\$56,844	\$70,557	\$154,970	\$738,523
FY 2014	\$153,746	\$309,628	\$56,926	\$74,366	\$165,616	\$760,282
FY 2015	\$153,746	\$309,628	\$61,715	\$81,771	\$159,957	\$766,817

Source: FTA Transit Safety and Oversight: http://www.fta.dot.gov/tso_15863.html

The funding must be used to strengthen the state safety oversight program so that Florida can meet the MAP-21 requirements. The FTA provides examples of what the funding

may be used for on its website: http://www.fta.dot.gov/tso_15862.html#how-can-states-use
The examples include: additional audits and inspections, the tracking of corrective action plans and additional verification and follow-ups, additional training and peer exchanges, wages for SSOA personnel, travel costs, equipment, office supplies, and web-based information management. FDOT uses this funding for technical assistance; including monthly teleconferences with all the FGTSs, onsite reviews, and audits; training; and consultant services, including enhanced hazard tracking, corrective action plan monitoring, and verification.

FTA'S Safety-Related Rulemaking in 2015

State Safety Oversight Rule

On February 27, 2015 the FTA published its Notice of Proposed Rulemaking (NPRM) related to State Safety Oversight for FGTS, *49 Code of Regulations Part 674* (Part 674). FDOT submitted comments on the NPRM to the FTA on April 28, 2015. See Appendix F.

Federal Financial Withholding for Noncompliance

NPRM Part 674.21 provides that if a state fails to establish a SSO program within the deadline, the FTA will be prohibited from obligating any Federal financial assistance to any entity in the state that is otherwise eligible to receive funding through any of the FTA's programs authorized by 49 U.S.C. Chapter 5338. This includes funding for public transportation agencies, designated recipients, sub-recipients, and Metropolitan Planning Organizations. It is therefore of utmost importance that Florida's SSOA work closely with the FTA to adequately address the new requirements. Part 674.21 states:

“(a) In making a decision to impose financial penalties as authorized by 49 U.S.C. 5329(e), and determining the nature and amount of the penalties, the Administrator shall consider the extent and circumstances of the noncompliance; the operating budgets of the SSOA and the rail fixed guideway public transportation systems that will be affected by the financial penalties; and such other matters as justice may require. (b) If a state fails to establish a SSO program that has been approved by the Administrator within three years of the effective date of this part, FTA will be prohibited from obligating Federal financial assistance apportioned under 49 U.S.C. 5338 to any entity in the State that is otherwise eligible to receive that Federal financial assistance in accordance with 49 U.S.C. 5329(e)(3). (This language was adopted into the rule as proposed).

FTA'S Public Transportation Safety Program

On August 14, 2015, the Federal Register published a NPRM for the Public Transportation Safety Program, to be codified into *49 Code of Federal Regulations Part 670* (Part 670). See Appendix F. FDOT provided comments on this NPRM on October 13, 2015.

FTA Interim Training Requirements

On February 27, 2015 the FTA published its *Interim Safety Certification Training Program Provisions* in the Federal Register. Compliance with the Interim Provisions is a grant condition for recipients of Federal transit funding. These provisions apply to Federal and SSOA personnel and their contractors who conduct safety audits and examinations of public transportation systems not otherwise regulated by another Federal agency, and FGTS staff who are directly responsible for safety oversight (“covered personnel”). Each FGTS must designate its covered personnel who are directly responsible for safety oversight of its rail transit system, and at a minimum, covered personnel should include the Chief Safety Officer and the primary staff directly responsible for safety oversight of the FGTS. The Interim Provisions define “directly responsible” as “safety staff who participate in the development, implementation, or maintenance of the requirements of the oversight agency’s program standard.”

The Interim Provisions establish a required curriculum that must be completed by covered personnel within three years. Covered personnel are required to register for an individual training plan profile with the FTA. This may be done online here:

<https://safety.fta.dot.gov/cms/welcome>

On June 18 and 19, 2015 the Transit Safety Programs Manager and two of the SSOA’s support team members participated in a new training course pursuant to the Interim Provisions, *SMS Principles for Transit*. The Transit Safety Programs Manager and support team will continue to monitor the course offerings and complete the required curriculum within three years.

The Interim Provisions also require SSOAs to prepare and submit technical training plans to the FTA. Each technical training plan must describe the process for the applicable SSOA personnel to receive technical training from the FGTSs in the following competency areas:

- FGTS agency organizational structure
- System Safety Program Plan and Security Program Plan
- Territory and revenue service schedules
- Current bulletins, general orders, and other associated directives that ensure safe operations
- Operations and maintenance rule books
- Safety rules
- Standard Operating Procedures
- Roadway Worker Protection
- Employee Hours of Service and Fatigue Management program
- Employee Observation and Testing Program (Efficiency Testing)
- Employee training and certification requirements
- Vehicle inspection and maintenance programs, schedules, and records
- Track inspection and maintenance programs, schedules, and records

- Tunnels, bridges, and other structures inspection and maintenance programs, schedules, and records
- Traction power (substation overhead catenary system, and third rail), load dispatching, inspection and maintenance programs, schedules, and records
- Signal and train control inspection and maintenance programs, schedules, and records

The FTA hosted a webinar and a teleconference to discuss the technical training plans. The Transit Program Manager and the support team participated in both. Originally the FTA required the technical training plans to be submitted by May 28, 2015, but then issued an extension applicable to all SSOAs to September 4, 2015. FDOT submitted its plan by the deadline and on November 18, 2015, received an email from the FTA stating that the plan is acceptable (See Appendix C).

FTA Public Transportation Safety Certification Training Program NPRM

The Federal Register published the NPRM for the Public Transportation Safety Certification Training Program on December 3, 2015. The Transit Safety Program Manager and the support team reviewed the rule and did not identify any comments.

FTA Transit Asset Management Rule

On September 30, 2015 the FTA published the Notice of Proposed Rulemaking for the Transit Asset Management Rule. This rule intends to establish a National Transit Asset Management System to achieve and maintain a state of good repair for public transportation capital assets in order to improve safety and increase reliability. The Transit Safety Programs Manager reviewed this rule and did not provide any comments. See Appendix F.

FTA Public Transportation Agency Safety Plan NPRM

See Appendix F.



MDT Metromover

Part III. IMPLEMENTATION OF FDOT'S SSO PROGRAM

While working to adopt the new Map-21 requirements within the three year deadline post the adoption of Federal Rule 674, the FDOT SSOA will continue to administer the current program pursuant to Part 659 and Section 341.061, F.S., with increased resources devoted to technical assistance, event investigation support, hazard tracking, and corrective action plan monitoring and verification. In 2016 the FDOT SSOA began unannounced inspections and increased the number of on-site reviews at all of the agencies.

The following are key performance areas of the SSOA's safety and security oversight functions.

Reportable Events Oversight

The SSOA provides ongoing reviews of accidents and incidents. Florida's SSO Manual requires that the FGTS shall notify the SSOA when one or more of the following occurs:

- A fatality at the scene; or where an individual is confirmed dead within 30 calendar days of a transit-related incident;
- Injuries requiring immediate medical attention away from the scene for two or more individuals;
- Property damage to FGTS vehicles, non-FGTS vehicles, other FGTS property or facilities, and non-FGTS property that equals or exceeds \$25,000;
- An evacuation due to life safety reasons;
- A collision at a grade crossing;
- A main-line derailment;
- A collision with an individual on a FGTS right-of-way;
- A collision between a FGTS vehicle and a second FGTS vehicle or a FGTS non-revenue vehicle

The SSOA maintains an online document management system (DMS), which allows the FGTS to access and upload important safety-related forms and checklists. When a reportable

event occurs, the FGTS must notify the SSOA within two hours of its occurrence and upload a Reportable Event Initial Notification Form. The SSOA reviews and provides comments on all initial notifications of events submitted by FGTSs. Following the initial notification, the SSOA contacts the FGTS to request additional information and to provide a follow-up on any immediate corrective actions.

Historic Perspective of Reportable Events

The SSOA tracks reportable events through the DMS and through the annual certification reporting to the FTA (more on the annual certification can be found on page 32). The following section provides data on reportable events over the past four years.

Table 7. Number of Reportable Events: 2012-2015

Agency	2012	2013	2014	2015
HART	7	6	12	14
JTA	2	5	4	1
MDT	8	6	3	6
TOTAL	17	17	19	21

In 2015, the majority of reportable events occurred at HART and involved grade crossing collisions between the streetcar and automobiles. Please see page 27 for a description of the technical assistance offered by the SSO support team to address these collisions.

At MDT, two of the events were derailments, neither of which involved injuries. The other events are described below Tables 8 and 9.

At JTA, the sole reportable event involved a suspicious package that resulted in the evacuation of a station.

Table 8. Fatalities 2012-2015

Agency	2012	2013	2014	2015
HART	0	0	0	0
JTA	0	0	0	0
MDT	6	1	1	3
TOTAL	6	1	1	3

The three fatalities that occurred at MDT in 2015 are described as follows:

- A passenger on the Metrorail fell and was found unconscious. The passenger was transported to the hospital and declared deceased.
- A station security officer was fatally shot.
- A person fell onto the guideway and was struck by a train as it entered the station.

Table 9. Injuries 2012-2015

Agency	2012	2013	2014	2015
HART	1	1	1	0
JTA	0	0	0	0
MDT	10 (3 injuries occurred in one incident where an escalator stopped suddenly, 6 injuries occurred in a similar escalator incident)	1	0	1
TOTAL	11	2	1	1

In 2015, one injury occurred. A patron sat on the MDT Metromover’s platform with his legs dangling over the ledge into the dynamic envelope of the train. The train entered the station and struck the individual’s legs.

It is important to note that while an increased number of reportable events occurred in 2015 (Table 7), the number of fatalities and injuries did not commensurately increase as a result (Tables 8 and 9).

Hazards Tracking Oversight

The SSO Manual requires the FGTS agencies to identify and resolve hazards. Hazards are defined in the SSO Manual as any real or potential condition (as defined in the FGTS’s hazard management process) that can cause injury, illness, or death; damage to or loss of a system, equipment or property; or damage to the environment. Each hazard that the FGTS agency identifies must be documented. If an agency determines that the hazard is unacceptable, the agency must notify the SSOA within 24 hours. Within seven days of the hazard being reported, the FGTS agency must submit an initial investigation report to the SSOA. Until the investigation is completed, the FGTS must submit monthly updates. Once the agency completes the hazard investigation, the SSOA must review and approve the final investigation report within 30 days of submittal.

Table 10. Reportable Hazards 2012-2015

Agency	2012	2013	2014	2015
HART	0	1	0	0
JTA	0	13	0	1
MDT	0	5	0	10
TOTAL	0	19	0	11

The single reportable hazard at JTA in 2015 involved the evacuation of 14 passengers onto the guideway in order to reach a station. At MDT, eight of the ten events involved power losses on the Metromover system. The other two hazards involved equipment issues, one with a coupler head pin the other with a contractor issue. MDT and JTA prepared and submitted to the SSOA corrective actions to address these issues as part of the monthly hazard and corrective action tracking logs.

The comparably higher number of hazards in 2013 at JTA and MDT are attributed to the agencies reporting security issues, such as bomb threats and suspicious items, as hazards. Additionally, MDT reported hazards from previous years with corrective action plans that they were still in the process of implementing. JTA reported other issues, such as a motor vehicle striking the guideway, a malfunctioning elevator, and two instances of patrons entering the guideway to retrieve personal belongings.

Corrective Action Plans

The FGTS are required to prepare a corrective action plan (CAP) when an investigation identifies causal factors that require corrective action, or when hazards or deficiencies are identified in safety or security audits and reviews. CAPs must identify the hazard or deficiency, planned activities or actions to resolve the hazard or deficiency, the FGTS department(s) responsible for implementing the actions, and a schedule for implementing the plan.

Once a FGTS prepares a CAP, the SSOA engages a three-step process to fulfill its responsibilities:

1. The SSOA reviews proposed CAPs and determines if they are acceptable within 15 days of receipt;
2. Once a proposed CAP is approved, the SSOA tracks the progress of implementation and provides technical assistance to the FGTS, as necessary; and
3. The SSOA reviews documentation for completed CAPs, verifies that this information demonstrates appropriate actions to correct deficiencies, and closes the CAP.

The FGTS must maintain a Corrective Action Monitoring log and provide the SSOA with monthly updates until the CAP is closed.

Internal Safety Review Assessments

Each FGTS is required to maintain a System Safety Program Plan (SSPP) and Security Program Plan. The SSO Manual requires the SSPP to contain 21 elements to provide the basis for the FGTS safety programs, and the Security Program Plan to contain 18 elements. Each FGTS is required to review and update these plans over a three-year period. Typically, each FGTS reviews one-third of the elements of each plan annually. The FGTSs must develop appropriate internal audit checklists and provide them to the SSOA for review and approval at least 30 days prior to conducting the reviews. At the conclusion of the FGTSs' reviews, the FGTS must submit the results of the review to the SSOA. They must describe their findings, recommendations, and status of corrective actions. Any deficiencies must go through the CAP process.

SSOA Technical Assistance Support

Regularly Scheduled Meetings and On-Site Assistance

The SSOA is on-call for all of the FGTS. The agencies may contact the Transit Program Manager and the support team at any time with information requests, requests for best practices analyses, assistance with reporting requirements, and any other questions or requests for assistance. In addition to this on-call availability, the SSO support team performs scheduled on-site technical assistance, review sessions, and teleconferences. In 2015, each month, a regularly scheduled activity occurred: either an on-site review or a teleconference. In 2016, the number of on-site reviews at all the FGTS will increase.

During the on-site reviews in 2015, the SSOA met with FGTS safety, operations, and maintenance personnel. Each on-site review included a regular progress meeting with the safety and security staff, targeted field review activities, and field verifications of CAP implementation to ensure that intended and required actions are administered according to the accepted plan. Additionally, during each on-site review the SSOA team conducted independent audits of rules and procedure compliance, inspected equipment and infrastructure, and ensured that the agencies are complying with the provisions of the SSO Manual and their SSPP and Security Program Plans.

In months without an on-site review, the SSO support team held a comprehensive teleconference with the transit agency. Each teleconference is scheduled to afford essential managers from the FGTS the opportunity to discuss and provide updates regarding current and emerging safety and security issues and CAPs, open safety and security investigations, safety and security submittals, and other safety- and/or security-related operations and maintenance issues, as necessary.

The SSO support team conducted monthly teleconferences with BCT and SFRTA regarding the Wave streetcar system and participated in quarterly calls conducted by the FTA. While the streetcar is in the design phase, the SSOA must monitor the preliminary program activities for preparedness to comply with Federal and State regulations. Involvement at this

early stage provides the SSOA with an understanding of the project and an ability to advise on any safety or security-critical issues.

Table 11. Scheduled Meetings with FGTS

Month	MDT	JTA	HART (Meetings listed below are in addition to monthly individual site visits)	Wave
January 2015	Teleconference	Teleconference	Teleconference	Teleconference
February 2015	Triennial Audit	On-site Review	On-site Review	Teleconference and in-person meeting
March 2015	Teleconference	Teleconference	Teleconference	Teleconference
April 2015	On-site Review	On-site Review	On-site Review	Teleconference
May 2015	Teleconference	Teleconference	Teleconference	Teleconference
June 2015	On-site Review	Teleconference	On-site Review	Teleconference
July 2015	Teleconference	Teleconference	Teleconference	Teleconference
August 2015	On-site Review	Teleconference	On-site Review	Teleconference
September 2015	Teleconference	On-site Review	On-site Review	Teleconference
October 2015	On-site Review	Teleconference	On-site Review	Teleconference
November 2015*	Teleconference	Teleconference	Teleconference	Teleconference
December 2015*	Teleconference	Teleconference	Teleconference	Teleconference (rescheduled)

On-site reviews conducted by an individual team member are depicted in green

On-site reviews conducted by multiple SSOA team members are depicted in blue

*On-site visits were suspended in November and December 2015 while FDOT issued a request for proposals for SSO contractor support.

Table 12. Scheduled Meetings with FGTS

Miami-Dade Transit Metrorail & Metromover	<ul style="list-style-type: none"> • Bimonthly teleconference held on January 27 • Triennial Audit held February 9-13; 17-19 (in lieu of a regular on-site review) • Bimonthly teleconference held on March 25 • Bimonthly teleconference held May 29 • On-site review held June 29 through July 1 • Bi-monthly teleconference held on July 24 • On-site review held August 10-12 • Bi-monthly teleconference held on September 25 • Bi-monthly site visit held 10-19 to 10-21 • Monthly teleconference held 11-19 • Monthly teleconference held on 12-14
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<p>Jacksonville Transportation Authority Skyway</p>	<ul style="list-style-type: none"> • Bimonthly teleconference held January 29 • On-site review held on February 19 • Bimonthly teleconference held on March 26 • On-site review held April 22-23 • Monthly teleconference held May 29 • On-site review held on June 8 • Monthly teleconference held June 26 • On-site review held September 17-18 • Monthly teleconference held on October 30 • Monthly teleconference held 11-20 • Monthly teleconference held on 12-14
<p>Hillsborough Area Regional Transit TECO Line Streetcar</p>	<ul style="list-style-type: none"> • Monthly meeting on safety and CAPs held January 19 • Bimonthly teleconference held on January 27 • Monthly meeting on safety and CAPs held on February 16 • On-site visit held on February 25 • Monthly meeting on safety and CAPs held March 16 • Bimonthly teleconference held on March 25 • On-site visit held April 29-30 • Bimonthly teleconference held June 4 • Monthly meeting on safety and CAPs held June 24 • Monthly CAPs meeting held on July 20 • Monthly meeting held on August 26 • Monthly CAPs meeting held September 21 • On-site review held September 22-23 • Monthly CAPs meeting held October 19 • Monthly meeting held October 28 • Monthly teleconference held 11-23 • Monthly teleconference held 12-11
<p>Wave Streetcar</p>	<ul style="list-style-type: none"> • Monthly teleconference held on January 23 • In-person meeting with stakeholders held on February 12 • Monthly teleconference held on March 26 • FTA quarterly meeting held April 16 • Monthly teleconference held May 26 • Monthly teleconference held June 30 (rescheduled to July 7) • Partners discussion held 10-30 • Monthly teleconference held 11-24 • Monthly teleconference scheduled for 12-11, but rescheduled

SSO Support at HART in 2015

In late January 2015, the SSO support team provided an in-depth analysis of streetcar-vehicle accidents and incidents throughout the HART TECO Line Streetcar system from 2010-2014. The analysis focused mainly on a specific high-profile location with the greatest number of incidents to determine trends and identify possible corrective actions. Because of HART's



unique relationship with the City of Tampa (HART operates the streetcar, while the City is responsible for installing and maintaining signals, lights, pavement markings, and so on) the SSOA provided the report to HART for the agency to use in response to City requests for potential areas for improvements.

The SSO team provided technical support to HART throughout 2015, as the collaborative process between HART and the City moved forward, and through monthly on-site meetings with HART, the SSO support team continually monitored progress in this area. As a result, a major campaign was initiated to emphasize signal and signage standardization at streetcar grade crossings along the entire 2.7-mile alignment.

Beyond the analysis detailed above, SSO technical support to HART TECO Line Streetcar in 2015 extended to areas such as crash reporting techniques, development of CAPs and maintenance procedures. The SSO support team reviewed incident details with HART safety staff, monitored streetcar operations and incident sites through frequent on-site field reviews, and encouraged HART to expand its incident investigation reports to ensure all required areas are included. Through frequent contact and on-site meetings with HART safety personnel, the SSOA continued to encourage HART to develop appropriate formal CAPs in response to each applicable incident and to include the CAPs in the final investigation reports. The SSOA continued to monitor HART's development and implementation of triennial audit CAPs in 2015, including the final maintenance standard operating procedures requested in the review. Subject matter experts reviewed HART draft materials, provided appropriate feedback, and approved the final comprehensive documentation for vehicle maintenance procedures and reference materials for maintenance staff. The SSO support team also provided technical assistance to HART for the agency's efforts to address track inspection and maintenance concerns.

SSOA Support at JTA in 2015

The SSO support team provided technical support to JTA Skyway in response to an FTA audit finding of non-compliance related to Skyway preventive maintenance in 2015. Specifically, the SSOA worked with JTA executive staff, maintenance personnel, and safety officers to ensure all vehicles in revenue/passenger service met all JTA inspection requirements and to provide appropriate feedback to FTA. The SSOA reviewed documentation of inspections and procedures, and then, the SSO, including a TRA subject matter expert, conducted a site visit to ensure JTA Skyway practices remained in compliance with the FTA request and to review the JTA internal audit in this area.

JTA Skyway experienced several transitions in 2015, and the SSO support team provided important technical support throughout the year across these areas. Long-standing safety and operations personnel departed JTA in 2015, while others assumed more prominent roles in these areas, and the SSO support team worked with JTA to ensure seamless transitions and

uninterrupted compliance with safety requirements. Through bi-monthly teleconferences and regular site visits, the SSO support team provided technical assistance in the areas of maintenance practices, control center operations, CAPs development, and hazard management activities. The SSOA provided subject matter experts to conduct on-site review activities at Skyway regarding equipment upgrades, parts replacement issues, revised overhaul processes, elevator and escalator replacements, power system functions, and the JTA technology assessment. The SSO support team helped JTA prioritize the most pressing challenges facing Skyway going forward, and late in the year, a citizens' review panel decided the best path forward would be to maintain and modernize the Skyway in the years ahead.

SSOA Support at MDT in 2015

The most significant activities conducted by the SSOA in support of MDT Metrorail and Metromover involved the 2015 triennial audit (see page 31 for more information). The SSOA planned the audit, conducted on-site activities for all required review areas, developed a draft final report, published the final report, and provided technical review and support to MDT as formal CAPs were developed by MDT in response to the audit findings. The SSOA reviewed and approved the implementation plan for each CAP, and once MDT began completing CAPs, the SSOA reviewed appropriate documentation to verify closure of selected CAPs. This process will continue for longer term CAPs until they are all verified as closed.

Additionally, the SSOA conducted bimonthly on-site activities at MDT to monitor Metrorail and Metromover safety and security conditions and to provide all necessary technical support. Over the course of six site visits, the SSOA conducted operations field reviews aboard Metromover and Metrorail trains and at stations. Observations were reported to the MDT Office of Safety and Security so that conditions in need of attention could be addressed by the agency. The SSOA also monitored safety conditions at the Metromover and Metrorail maintenance facilities by conducting thorough audits, and the SSOA monitored roadway worker safety practices by observing worker activities in the field, Metrorail train operator actions when workers were present, and rail control operators' work practices in the control center facility (CCF.) The SSOA also reviewed revisions to the roadway worker protection program and training materials, and where appropriate, the SSOA provided feedback and recommendations to MDT for enhancements to these areas.

MDT implemented a new CCF in 2015, and the SSOA reviewed all training and certification materials to ensure compliance with FDOT and FTA requirements for safety certification and configuration management. The SSOA monitored executive leadership changes at MDT in 2015, and SSOA representatives engaged a formal meeting with the new MDT Deputy Director for Transportation to advise him of SSOA's role and availability to provide technical support, as necessary and upon request. With numerous open large-scale construction projects adjacent to the MDT Metrorail and Metromover guideways, the SSOA also closely monitored MDT's

efforts to ensure safety at these sites. The SSOA supported MDT's effort to hire full time spotters for field observations and to maintain a direct line of communication with the CCF at all times.

Triennial Audits

Every three years the SSOA is required to perform a triennial audit of each FGTSs' compliance with their SSPPs and Security Program Plans and the requirements established in the SSO Manual and Part 659. The triennial audit is an intensive multi-day audit of safety in all applicable FGTS operations, maintenance, training, and administration.

- The SSOA performed the most recent audit of JTA in November, 2013, and published the final report in January 2014
- The SSOA performed the most recent audit of HART in November, 2012, and published the final report in January 2013
- The SSOA is not required to perform a Triennial Audit of the WAVE until it is in revenue operation.

The SSOA performed a comprehensive triennial audit of the MDT Metrorail and Metromover fixed guideway systems during the weeks of February 9 and February 16, 2015. Led by the FDOT Transit Safety Programs Manager, six subject matter experts in the fields of transit operations, system safety, security, vehicles and vehicle maintenance, training, and systems maintenance (including track and guideway, signals, train control, traction power, and fire safety), conducted in-depth interviews, operations and maintenance performance audits, records reviews, and other audit activities to assess MDT's compliance with its own SSPP and rules and procedures, as well as with FDOT and FTA requirements. The SSOA presented preliminary findings on February 13 and performed additional audit activities the following week. The SSOA submitted its final report to MDT on June 16, 2015. MDT developed CAPs, including an implementation schedule, and submitted them to the SSOA for approval on July 16, 2015. MDT and the SSO team continue to work to address the findings and implement and review the CAPs.

Annual Reporting Requirements

By March 15 of every year, the FTA requires all SSOAs to submit a report that certifies that each SSOA is compliant with Part 659, and summarizes the oversight activities for the preceding year. The FDOT SSOA's 2015 annual report and certification to the FTA may be found in Appendix E.



Rendering of the Wave Vehicle Maintenance and Storage Facility Source: wavestreetcar.com



JTA Skyway

2016 EVENTS

- The SSOA's triennial audit of HART occurred April 11-15, 2016.
- The FTA hosted a conference for SSO program managers July 18-22, 2016.
- The SSOA's triennial audit of JTA is tentatively scheduled for November 2016.

FOR MORE INFORMATION

Visit our Transit Fixed Guideway Safety and Security website:

<http://www.dot.state.fl.us/transit/Pages/NewTransitFixedGuidewaySafetySecurity.shtm>

Visit our Florida Transportation Safety Network website and join our listserv:

<http://www.floridatsn.org/fixed-guideway-transportation-systems-fgtss-safety-oversight/>

Call or email:

Victor Wiley, CPM, Transit Safety Programs Manager, FDOT

850-414-4525 or victor.wiley@dot.state.fl.us

Ashley L. Porter, In-House Consultant, FDOT State Safety Oversight Program

850-414-4070 or ashley.l.porter@dot.state.fl.us

The following contractors offered SSO program support through October 31, 2015 and January 27, 2016 to the present:

Christopher Wallgren, Vice President, TRA, Inc.

212-300-4287 or christopher.wallgren@traonline.com

Anthony Ferraro, Project Manager, TRA, Inc.

813-513-4335 or anthony.ferraro@traonline.com

Appendix A

FDOT Letter Submittals to the FTA on Financial and Legal Independence



FTA Response to Submittals



Florida Department of Transportation

RICK SCOTT
GOVERNOR

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ANANTH PRASAD, P.E.
SECRETARY

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Mail Station 58
850/414-5265
December 18, 2014

Thomas Littleton
Associate Administrator for Safety and Oversight
U.S. Department of Transportation
Federal Transit Administration
1200 New Jersey Ave. S.E.
Washington, DC 20590

RE: FDOT Analysis Demonstrating FDOT Financial Independence from the Fixed Guideway Transportation System and the Separate and Distinct Responsibilities of the FDOT Transit Grant Programs Administrator and the State Safety Oversight Agency Program Manager

Dear Mr. Littleton,

The following information is provided by the Florida Department of Transportation (FDOT) to address the U.S. Department of Transportation's (US DOT) inquiry with regard to compliance with 49 U.S.C. Section 5329(e)(4)(A)(i) as related to the Certification Work Plan Approval. The US DOT requested that FDOT demonstrate that the State Safety Oversight Agency (SSOA) does not pose a conflict with the requirements of 49 U.S.C. Section 5329(e)(4)(A)(i) with regard to financial independence from the Fixed Guideway Transportation System as well as to provide clarity regarding the separation of the overall responsibilities of the SSOA Program Manager as compared to the FDOT Transit Grant Programs Administrator.

The specific requirements of 49 U.S.C. Section 5329(e)(4)(A)(i), in pertinent part, are as follows:

- (4) State safety oversight agency.—*
 - (A) In general.— Each State safety oversight program shall establish a State safety oversight agency that—*
 - (i) is financially and legally independent from any public transportation entity that the State safety oversight agency oversees;*

RE: FDOT Analysis Demonstrating FDOT Financial Independence from the Fixed Guideway Transportation System and the Separate and Distinct Responsibilities of the FDOT Transit Grant Programs Administrator and the State Safety Oversight Agency Program Manager

The SSOA is financially independent from the FGTS:

Financial independence means that there are no monetary dependencies or connections between the SSOA and the fixed-guideway transportation system (FGTS). The FDOT SSOA and the FGTS are financially independent and funding sources for safety compliance are distinct. The SSOA is not financially vested in the FGTS and its success, and the FGTS does not fund the SSOA or direct its budget or activities in any way.

FDOT is an executive agency with direct reporting to the Governor. Funding for the agency's operations is provided by the Legislature through annual general appropriations. (See Section 216.023, Fla. Stat.) FDOT's primary statutory responsibility is to coordinate the planning and development of a safe, viable, and balanced state transportation system serving all regions of the state, and to assure the compatibility of all components, including multimodal facilities. Recognizing that Section 5329(e)(4)(A)(i) of 49 U.S.C. requires that SSOA's must be financially independent from any transportation entity that the SSOA oversees, FDOT certifies that it does not receive any funding from any FGTS for any activities, including oversight services of any state or federal programs. The SSOA's state funding is provided through the State Transportation Trust Fund. The FGTS have no financial interaction whatsoever with the SSOA Program Manager.

The FDOT is the SSOA pursuant to section 341.061, Fla. Stat., and as required by this Statute and in conjunction with representatives of the affected transit systems, have developed and implemented the Safety and Security Oversight Program Standards (SSO) Manual for Fixed Guideway Transportation Systems, which is incorporated by Rule 14-15, Florida Administrative Code, and made a part of the Rules of the Florida Department of Transportation. The SSO manual provides standards, procedures, and technical direction to Florida Fixed Guideway Transportation Systems (FFGTS).

The Separate and Distinct Areas of Responsibility of the FDOT Transit Grant Programs Administrator and the SSOA Program Manager:

Legal independence ensures freedom from outside control or influence and also fosters autonomy in day-to-day decision making. The FDOT recognizes that legal independence is important because involved persons within the SSOA cannot act independently for safety if there are conflicting accountabilities or responsibilities for the performance, budget or reputation of the FGTS.

In recognition of the importance of independence and autonomy, the information below outlines the separate and distinct areas of responsibility of the FDOT Transit Grant Programs Administrator and the SSOA Program Manager:

RE: FDOT Analysis Demonstrating FDOT Financial Independence from the Fixed Guideway Transportation System and the Separate and Distinct Responsibilities of the FDOT Transit Grant Programs Administrator and the State Safety Oversight Agency Program Manager

Transit Grant Programs Administrator Responsibilities:

- Administer and supervise the management and implementation of various statewide public transportation programs, including the Public Transit Service Development Program, Vehicle Inventory Management Program, Urban Transit Capital Program and the State Transit Block Grant Program.
- Act as the principal staff advisor to the State Transit Manager on Federal and State transit grants, financing and program regulations.
- Lead the coordination of FDOT Transit Office reviews and audits relating to all Federal and State transit grant programs. Assemble all requested files and documentation, coordinate the schedule and participate in site review, work with the audit/review teams in the conduct of meetings, prepare responses to all finding and recommendations, provide management briefings, and implement program changes in response to finding and recommendations.
- Administer and supervise the statewide management of Federal transit grant programs. Serve as the Department's primary liaison with the U.S. Department of Transportation, Federal Transit Administration.
- Supervise and provide statewide guidance and training to District Offices and grant recipients in Federal and State program regulations, including application processes and program eligibility. Administer the development, updating, and training for Transit Office procedures associated with Federal and State transit programs.
- Manage the Department's consultant contracts dealing with the assigned areas of statewide responsibilities.
- Prepare annual Federal and State funding allocation tables.
- Lead and supervise the conduct of Quality Assurance Reviews for assigned areas of responsibilities.

SSOA Program Manager Responsibilities:

- Serves as the statewide contact for program management responsibilities related to transit bus and fixed guideway safety and security, as well as the substance abuse management program.

Thomas Littleton, Associate Administrator for Safety and Oversight
December 18, 2014

Page 4


RE: FDOT Analysis Demonstrating FDOT Financial Independence from the Fixed Guideway Transportation System and the Separate and Distinct Responsibilities of the FDOT Transit Grant Programs Administrator and the State Safety Oversight Agency Program Manager

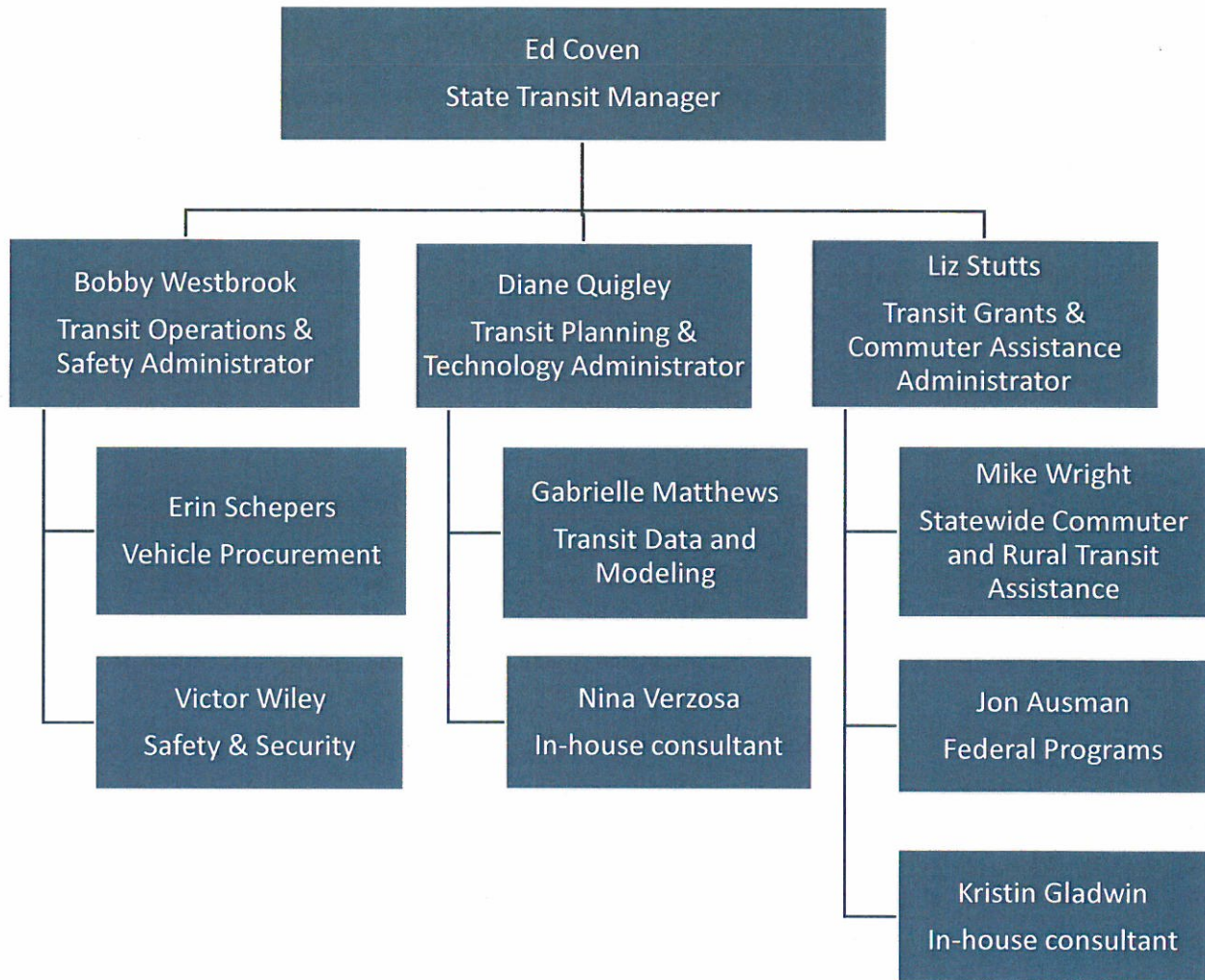
- Develop policy recommendations, procedures criteria and training needs for implementing safety requirements for transit and fixed guideway systems in Florida.
- Develop policy recommendations, procedures criteria and training needs for implementing and monitoring substance abuse programs for grant recipient transit agencies in Florida.
- Monitor and assure compliance by Districts and system operators with established State and Federal safety policies, procedures and rules.
- Provide technical assistance and training to Districts and system operators for assigned areas of responsibility.

A thorough evaluation of the above-described responsibilities reveals no potential conflicts, financial or otherwise, as between the respective positions of the Transit Grant Programs Administrator and the SSOA Program Manager. Additionally, Attachment A to this correspondence illustrates the reporting relationships of Central Office Transit staff, demonstrating the FDOT Transit Grant Programs Administrator that allocates funding is in a different reporting chain from the Transit Safety Programs Manager. District Transit Staff report to District Secretaries. The District Secretaries report directly to the Secretary of the Department of Transportation. The reporting structure of the Transit Safety Program Manager and the District Project Managers does not intersect until it reaches the Office of the Secretary.

The above information is provided in support of FDOT's Pre-Certification Self-Assessment and Gap Analysis to demonstrate compliance with the statutory requirements specified in Map-21, and in response to follow up questions from the U.S. Department of Transportation Federal Transit Administration concerning the financial separation of the SSOA from the RGTS and the separate and distinct areas of responsibility of the Transit Grant Programs Administrator as compared to the SSOA Program Manager. Thank you for your continued attention to this matter, and please do not hesitate to contact me if you have additional questions or require supplemental information following review of the information provided above.

Sincerely,


Larry Ringers
Assistant General Counsel



Attachment A



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

Office of General Counsel
Mail Station 58
850/414-5265

December 19, 2014

Thomas Littleton
Associate Administrator for Safety and Oversight
U.S. Department of Transportation
Federal Transit Administration
1200 New Jersey Ave. S.E.
Washington, DC 20590

RE: FDOT – Conflict of Interest Analysis Demonstrating FDOT Financial
and Legal Independence from the Jacksonville Transportation Authority

Dear Mr. Littleton,

The following information is provided by the Florida Department of Transportation (FDOT) to address the U.S. Department of Transportation's (US DOT) inquiry with regard to compliance with 49 U.S.C. Section 5329(e)(4)(A)(i) as related to the Certification Work Plan Approval. The US DOT requested that FDOT demonstrate that the State Safety Oversight Agency (SSOA) and the District Secretary's membership on the Jacksonville Transportation Authority (JTA or Authority) do not pose a conflict with the requirements of 49 U.S.C. Section 5329(e)(4)(A)(i) with regard to financial and legal independence.

Pursuant to Section 349.03(2), Fla. Stat., FDOT District 2 Secretary Greg Evans is appointed as one of seven governing body members to the Jacksonville Transportation Authority (JTA). Secretary Evans' compensation is exclusively from the FDOT and he reports to FDOT Agency Secretary Ananth Prasad, not the JTA. FDOT's SSOA and Secretary Evans are financially and legally independent from the JTA, a separate agency of the State of Florida created under Chapter 349, Fla. Stat., with bonding authority for its public transportation operations. District Secretary Evans participates in an advisory capacity only as the JTA Executive Director may accept or reject the resolutions of the seven members who receive no financial compensation, but are reimbursed for travel expenses for their services.

RE: FDOT – Conflict of Interest Analysis Demonstrating FDOT Financial and Legal Independence from the Jacksonville Transportation Authority

The specific requirements of 49 U.S.C. Section 5329(e)(4)(A)(i), are as follows:

(4) State safety oversight agency.—

(A) In general.— Each State safety oversight program shall establish a State safety oversight agency that—

(i) is financially and legally independent from any public transportation entity that the State safety oversight agency oversees;

Financial Independence

Financial independence means that there are no monetary dependencies or connections between the SSOA and the fixed guideway transportation system (FGTS). The FDOT SSOA and the JTA are financially independent and funding sources for safety compliance are distinct. The SSOA is not financially vested in the FGTS and its success, and the FGTS does not fund the SSOA or direct its budget or activities in any way.

FDOT is an executive agency with direct reporting to the Governor and funding for the agency's operations is provided by the Legislature in general appropriations. See Section 216.023, Fla. Stat. FDOT's primary statutory responsibility is to coordinate the planning and development of a safe, viable, and balanced state transportation system serving all regions of the state, and to assure the compatibility of all components, including multimodal facilities. The FDOT maintains its headquarters in Tallahassee and the operations of the Department are organized into seven districts, each headed by a district secretary who report to Secretary Ananth Prasad. See Section 20.23(4)(a), Fla. Stat. Compensation of all seven District Secretaries and their office staff is through the FDOT, not the JTA.

The FDOT is the SSOA pursuant to Section 341.061, Fla. Stat., and as required by this Statute and in conjunction with representatives of the affected transit systems, has developed and implemented the Safety and Security Oversight Program Standards (SSO) Manual for Fixed Guideway Transportation Systems, which is incorporated by Rule 14-15.017, Florida Administrative Code, and made a part of the Rules of the Florida Department of Transportation. The SSO manual provides standards, procedures, and technical direction to the Florida Fixed Guideway Transportation Systems (FGTS).

Victor B. Wiley is the FDOT SSOA Program Manager and works within the FDOT Central Office with reporting responsibility up through the Transit Office Manager, Mr. Edward Coven who has reporting authority up through the Assistant Secretary of Intermodal Systems Development to the FDOT Secretary, Mr. Ananth Prasad. District 3 Secretary Evans reports to Secretary Ananth Prasad and decisions and recommendations concerning the SSOA and its operations are through Mr. Coven in the Central Office with a final decision by Secretary Prasad.

RE: FDOT – Conflict of Interest Analysis Demonstrating FDOT Financial and Legal Independence from the Jacksonville Transportation Authority

The JTA is a body politic and corporate, created by Chapter 349 as an agency of the state of Florida, with statutory authority to issue bonds for its public transportation operations. The JTA employs an Executive Director who has the exclusive power to hire staff, and to organize the staff of the Authority into such departments and units as he or she may determine. The Executive Director may also use the title Chief Executive Office and makes the final decision on resolutions adopted by the Board. District 3 Secretary Evans is one of seven voting members of the Board as required by Section 349.03(2), Fla. Stat. District Secretary Evans' responsibilities for SSOA program management and implementation are through District Office staff and do not include decisions on funding sources or amounts earmarked for JTA safety compliance.

Legal Independence

Legal independence ensures freedom from outside control or influence and also fosters autonomy in day-to-day decision making. The FDOT recognizes that legal independence is important because involved persons within the SSOA cannot act independently for safety if there are conflicting accountabilities or responsibilities for the performance, budget or reputation of the FGTS. The SSO manual requires that no individual or entity may provide services to both the FDOT and a FGTS when there is a conflict of interest or an appearance of a conflict.

The SSOA and the FGTS recognize that they may encounter different circumstances that have the potential to pose a conflict of interest involving legal independence of the Parties and have implemented specific measures to ensure legal independence.

The FDOT Central Office has the responsibility for implementation and enforcement of the SSO manual requirements statewide. See Section 341.061(1), Fla. Stat. The FDOT submits certifications, reports and other correspondence as required by the Federal Transit Administration, as well as develops and updates safety and security standards and other guidance materials as required. Some of the many tasks the FDOT Central Office SSOA conducts include: recurring teleconference meetings with FGTS; 3-year safety and security audits; bi-monthly and as needed on-site reviews and technical assistance, ongoing data analysis; review, approval and closeout verifications of all corrective action plans (CAP), incident and hazard investigations; review and approval of any updates to the FGTS's System Safety Program Plan (SSPP) and the Security Program Plan (SPP).

The SSOA and the JTA are separate legal agencies of the State of Florida and have separate reporting requirements as discussed above. Additionally, the SSOA and the JTA do not have shared board members as the SSOA decision making authority is in the FDOT Central Office, but do coordinate with the District Offices for program and safety implementation; while the JTA board members, including District Secretary Evans, vote on resolutions for final consideration of the JTA Executive Director. Agency funding for the FDOT and the JTA are separate and distinct as appropriated by the Florida Legislature.

Thomas Littleton, Associate Administrator for Safety and Oversight
December 19, 2014

Page 4

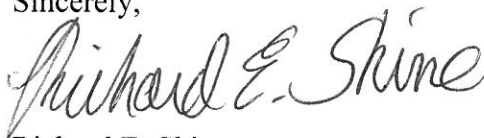
RE: FDOT – Conflict of Interest Analysis Demonstrating FDOT Financial and Legal
Independence from the Jacksonville Transportation Authority

Finally, recognizing the absolute importance of integrity in all matters related to safety and security of public transportation, the FDOT adopted the Safety and Security Oversight Program Fixed Guideway Transportation Systems Public Transit Office Standards Manual 725-030-014. A Conflict of Interest Policy is included therein and provides:

No individual or entity may provide services to both the Department and a FGTS when there is a conflict of interest or an appearance of a conflict. A conflict of interest occurs when an individual or entity performing work for a FGTS or the Department is unable, or potentially unable to render impartial assistance or advice on the development or implementation of the standards and provisions of the SSO Manual, or to objectively perform such work without bias. A third party contractor to the Department or a FGTS may not have an unfair competitive advantage over other contractors. Each contractor is subject to full disclosure on all present and potential conflicts of interest in its activities or relationships prior to being awarded a contract with the Department or a FGTS.

In conclusion, The FDOT SSOA and the JTA as a FGTS are subject to MAP-21 and are required by law to be legally and financially independent of each other. The above information is provided in support of FDOT's Certification Work Plan to demonstrate compliance with the statutory requirements specified in Map-21, and in response to follow-up questions from the U.S. Department of Transportation Federal Transit Administration concerning District Secretary Evans' statutory required membership as a JTA Board Member. Thank you for your time and attention to this matter. Please contact me if you have additional questions or require supplemental information after review of the FDOT's response.

Sincerely,

A handwritten signature in black ink that reads "Richard E. Shine". The signature is written in a cursive, flowing style.

Richard E. Shine
Assistant General Counsel



U.S. Department
of Transportation

**Federal Transit
Administration**

Headquarters

1200 New Jersey Avenue, SE
Washington, DC 20590

August 31, 2015

Victor B. Wiley, CPM
Transit Safety Programs Manager
Florida Department of Transportation/Transit
605 Suwannee St., MS 26
Tallahassee, FL 32399
Victor.Wiley@dot.state.fl.us

Subject: Certification Work Plan Status Update

Dear Mr. Wiley:

The Federal Transit Administration (FTA) Office of Transit Safety and Oversight (TSO) would like to thank you for your participation in the July teleconference call held with the Florida Department of Transportation (FDOT), to discuss new training requirements in the State Safety Oversight (SSO) program, and to review FDOT's Certification Work Plan (CWP) implementation progress. We greatly appreciate the opportunity to speak with you and the FDOT team.

Evaluation of FDOT's Legal and Financial Independence

During the teleconference call, FDOT requested FTA's evaluation regarding submittals made to clarify FDOT's approach to ensuring legal and financial independence as required in the Moving Ahead for Progress in the 21st Century Act (MAP-21). FDOT's submittals addressed two specific issues.

First, FDOT provided additional information regarding the requirement, set out in Florida statute, that the District Secretary for FDOT District 2 serve on the Board of the Jacksonville Transportation Authority (JTA). FDOT explained that the District 2 Secretary serves only in an advisory capacity and receives no compensation from JTA for service on the Board (except reimbursement for travel expenses). FDOT further clarified that Board discussions tend to be at a high level, are open to the public, and its recommendations are non-binding, as the JTA Executive Director may accept or reject the resolutions the seven-member governing body.

Second, FDOT's SSO program also examined its organization, since the SSO program sits within the Public Transit Office, organizationally alongside the Grants Administration program, which periodically administers State and Federal grants for the Rail Fixed Guideway Public Transportation Systems (RFGPTS) in FDOT's SSO program. FDOT outlined the separate and distinct areas of responsibility between the FDOT SSO Program Manager and the FDOT Transit

Grants Manager, and also explained how FDOT leadership within the Public Transit Office, and up to the FDOT Secretary, manages decisions regarding these programs. Attachment A included an organization chart of the FDOT Public Transit Office.

Based on our review of these submittals, FTA finds that FDOT has demonstrated the necessary legal and financial independence required by 49 U.S.C. § 5309(e)(4). FTA accepts FDOT's submittals, and certifies that the agency meets the legal and financial independence requirements outlined in Section 1 of the CWP. During future SSO audits, or CWP follow-up activities, FTA may review FDOT's organization to ensure that FDOT's approach, as documented in the submittals to FTA, continues to address 49 U.S.C. § 5309(e)(4) provisions, and provides clear legal and financial independence for the SSO program.

Updated CWP Tracking Matrix

Enclosed please find the following: FDOT's CWP tracking matrix updated to reflect the progress discussed on our recent teleconference call and as a result of FTA's evaluation of your recent submittals, and a copy of your State's SSO Formula Grant Program Milestone and Budget schedule, as submitted to the Transportation Electronic Award and Management (TEAM) system. Through its MAP-21 certification program, FTA will continue to track both FDOT's CWP implementation and the milestone and budget schedule outlined in FDOT's SSO grant.

Related Resources

During the call we discussed several websites and dates of interest, and introduced several FTA contacts as summarized below:

Websites of interest:

For general State Safety Oversight information, TSO organizational information, and Safety Advisories, please visit FTA's TSO website: <http://www.fta.dot.gov/tso.html>.

To create, manage, or update your FTA Safety Training profile, please visit FTA's Safety website: <https://safety.fta.dot.gov/cms/welcome>.

To review available training programs and schedules, and sign up for courses, please visit the United States Department of Transportation's Transportation Safety Institute website: <http://www.rita.dot.gov/tsi/>.

To view, update, and submit your latest contact information, or to perform any annual report functions, please visit the FTA's State Safety Oversight web reporting tool website: <http://ssoreport.com/>.

Upcoming dates:

- **August 31:** Deadline for States to Submit Results of Safety Advisory 15-1: Audit All Rail Fixed Guideway Public Transportation Systems (RFGPTS) with Subway Tunnel Environments to FTA

- **September 4:** Deadline for States to submit Technical Training Plans (TTPs) to FTA
- **September 28-October 2:** SSO Program Managers meeting
- **September 30:** Deadline for obligation of Fiscal Year 2013 SSO Program Formula Grant funds

Contact information:

For questions about TTPs or other training concerns, please contact Dakisha Spratling, Program Analyst, Office of System Safety at Dakisha.Spratling@dot.gov.

For all other SSO concerns, please contact Eric Madison, SSO Program Manager, Office of Safety Review at Eric.Madison@dot.gov, and please courtesy copy Annabelle Boyd, of FTA's SSO contract team, at aboyd@bcgtrans.com. Mr. Madison is the dedicated TSO point-of-contact for FDOT's SSO program.

Again, thank you for the opportunity to review the latest SSO information with your team. We appreciate all that you do for the program.

Sincerely,

Sean Thompson
Director, Office of Safety Review

Enclosure: Updated Certification Work Plan Tracking Matrix

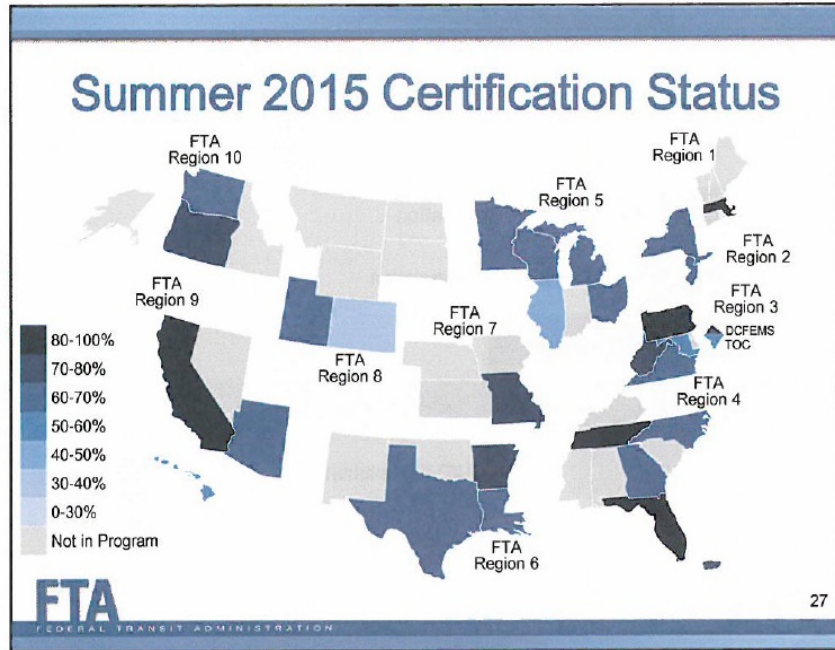
cc: Thomas Littleton, Associate Administrator, TSO
Angela Dluger, Deputy Associate Administrator, TSO
Yvette Taylor, Regional Administrator, FTA Region 4
Dudley Whyte, Deputy Regional Administrator, FTA Region 4
Maria Wright, Lead Analyst, Office of Safety Review, TSO
Eric Madison, SSO Program Manager, TSO

Appendix B

FTA's Map depicting SSOA CWP Implementation Status



2015 State Safety Oversight Program Managers Meeting
Update: State Safety Oversight Certification Program



Appendix C

FTA Email Response to the FDOT Technical Training Plan

From: Rachael Wenger [<mailto:rwenger@bcgtrans.com>]

Sent: Wednesday, November 18, 2015 9:24 AM

To: Wiley, Victor

Cc: kimberly.burtch@dot.gov; maria1.wright@dot.gov; Eric.Madison@dot.gov; Annabelle Boyd; Joshua Brooks

Subject: FDOT Technical Training Plan Update

Dear Mr. Wiley:

Thank you for submitting your State's State Safety Oversight program Technical Training Plan (TTP). As you are aware, the TTP is a required submittal as part of the Moving Ahead for Progress in the 21st Century Act (MAP-21) Safety Certification Training Program, authorized at 49 U.S.C 5329(c)(2), and the Federal Transit Administration (FTA) SSO Certification Process, authorized at 49 U.S.C. 5329(e)(7).

As discussed during the recent SSO Program Managers Meeting in Baltimore, Maryland, the FTA is reviewing your State's TTP submittal for both completeness and to assess how well it supports the further staffing and qualification of the SSO program, in accordance with 49 U.S.C. 5329(e)(3). Based on the FTA's initial review of the completeness of your TTP submittal, FTA finds that all items have been submitted, and that no further action is required at this time.

Based on careful review of all State, Federal and contractor submittals, the FTA is working now to finalize a set of evaluation guidelines for the TTP technical competencies. These guidelines, which will be shared with the States, will set the minimum requirements for each of the 17 technical competencies specified in the Interim Safety Certification Training Program Provisions, 80 Fed. Reg. 10619 (Feb. 27, 2015). These guidelines will also identify how States may address specific TTP requirements for the use of written and/or oral examinations and the demonstration of hands-on capabilities in technical competency areas, and how States may ensure biennial refresher training to maintain skills and abilities, and manage training records to demonstrate the current qualification of all covered personnel.

Using this guidance, FTA will continue to review your TTP and approach to addressing its needed technical competencies to ensure the training and qualification of its SSO program staff and contractors. Based on this review, FTA will issue an official response to each State, tentatively scheduled for the first quarter of 2016.

Moving forward, FTA will utilize the quarterly Certification Work Plan (CWP) teleconference calls to review the State's TTP progress. Additional guidance and requirements for the Safety Certification Training Program may also be issued as part of FTA's rulemaking to implement 49 U.S.C. 5329(c) provisions.

Should you have any questions or concerns, please do not hesitate to contact your designated SSO Program Manager or Ms. Ruth Lyons, Safety Promotion Lead with FTA's Office of System Safety (ruth.lyons@dot.gov).

Thank you for your continued commitment to the FTA SSO program.

Rachael Wenger

bcg.

434-260-1219

[Facebook](#) | [Twitter](#) | [Linkedin](#) | [bcgtrans](#)

Appendix D
**2015 Annual Certifications of
Compliance**
Hillsborough Area Transit Authority
TECO Line Streetcar System



Jacksonville Transportation Authority
Skyway System



Miami-Dade Transit
Metromover and Metrorail Systems



Hillsborough Area Regional Transit Authority

www.goHART.org



RAIL FIXED GUIDEWAY TRANSPORTATION SYSTEM
ANNUAL SAFETY AND SECURITY CERTIFICATE

DATE: February 15, 2016

NAME: Hillsborough Area Regional Transit (HART)
TECO Line Streetcar System

ADDRESS: 1201 E. 7th Avenue
Tampa, Fl. 33605

IN ACCORDANCE WITH FLORIDA STATE STATUTE 341.061, THE RAIL FIXED GUIDEWAY SYSTEM NAMED ABOVE HEREBY CERTIFIES TO THE FOLLOWING:

1. The adoption of a System Safety Program Plan (SSPP) and System Security and Emergency Preparedness Plan (SSEPP) pursuant to Florida Department of Transportation Public Transit Office Standards Manual 725-030-014.
2. Compliance with adopted safety standards in the SSPP.
3. Compliance with adopted security standards in the SSEPP.

Signature: _____

Name: Katharine Eagan, AICP
Title: Chief Executive Officer

Name and address of the entity which has performed safety/security inspections:

Name: Hillsborough Area Regional Transit

Address: 1201 E. 7th Ave., Tampa, FL, 33605



Skyway (FGTS) System Annual Safety and Security Certification
Certifying Compliance with 49 CFR 659, Florida Statute 341.061, rule 14-15.017 to the Florida Department of Transportation (FDOT)

Certification Date (Current): March 1, 2016
Certification Year: (Prior Calendar Year): 2015

Name and address of Rail Transit System: **Jacksonville Transportation Authority**
121 W. Forsyth St., Jacksonville FL

The Rail Transit System named above hereby certifies the following:

1. *The Agency has adopted a System Safety Program Plan (SSPP) and a Security Program Plan (SPP) pursuant to the standards set forth in 49 CFR 659, Florida Statute 341.061, rule 14-15.017 of the Fixed Guideway Transportation System (FGTS).*
2. *The Agency is in compliance with its adopted SSPP and SPP.*
3. *The Agency has conducted reviews of SSPP and SPP and the plans are up to date.*

Blue Ink Signature: 
(Individual Responsible for Assurance of Compliance)

Name: Nathaniel P. Ford Sr. Title: Chief Executive Officer

Name and address of entity(ies) which has (have) performed bus safety inspections and security assessments:

Name: Colin Mulloy, Safety and Security Manager
Robert Raymond, Safety and Emergency Officer

Address: JTA – 100 N Myrtle Ave, Jacksonville, FL.

Name of Qualified Mechanic Authorizing Annual Inspections:

Randy Brewer, Senior Manager of Maintenance

SYSTEM SAFETY PROGRAM PLAN

Section 1: Policy Statement & Authority

JACKSONVILLE TRANSPORTATION AUTHORITY

CHIEF EXECUTIVE OFFICER'S POLICY STATEMENT

SYSTEM SAFETY PROGRAM PLAN

Safety is paramount in all our activities. The Jacksonville Transportation Authority is committed to developing, implementing, and improving strategies, management systems and processes to ensure that all our public transportation activities uphold the highest level of safety performance and meet or exceed national and industry standards.

JTA is committed to:

- ☑ Develop, embrace and embed a safety culture in all our multi-modal public transportation activities that recognizes the importance and value of effective safety management and acknowledges that safety is the first priority in everything we do;
- ☑ Clearly define for all staff their accountabilities and responsibilities for the development and delivery of public transportation safety strategy and performance;
- ☑ Minimize the risks associated with our transit system operations to a point that is as low as reasonably practicable/achievable;
- ☑ Ensure that externally supplied equipment, systems and services that impact the safety of our operations meet appropriate safety standards;
- ☑ Actively develop and improve our safety processes to conform to national and industry standards;
- ☑ Comply with and, wherever possible, exceed national and industry requirements and standards;
- ☑ Ensure that all staff are provided with adequate and appropriate safety information and training, are competent in safety matters and are only assigned tasks that fit their skills;
- ☑ Ensure that resources including skilled and trained staff are available to implement our organization's safety strategy and policy;
- ☑ Establish performance metrics and measure our safety performance against realistic targets;
- ☑ Continually improve our safety performance;
- ☑ Conduct safety and management reviews and ensure that relevant corrective actions are taken; and
- ☑ Ensure that the application of effective safety management systems is integral to all our multi-modal public transportation activities, with the objective of achieving the highest levels of safety standards and performance.



Nathaniel P. Ford, Sr.
Chief Executive Officer

Date: 1.25.16



MIAMI-DADE TRANSIT
Office of the Director
701 N.W. 1st Court • 17th Floor
Miami, Florida 33136
Tel: 786-469-5433 Fax: 786-469-5584

February 18, 2016

Mr. L. Carl Filer, Jr., P.E.
District Program Management Administrator & MIC Program Manager
Florida Department of Transportation Program Management Office
Adam Leigh Cann Building
1000 NW 111th Avenue, Room 6114
Miami, Florida 33172

Dear Mr. Filer:

As required by the Florida Department of Transportation (FDOT), I hereby certify that Miami-Dade Transit (MDT) has implemented a system safety and security program that meets the requirements of Florida Administrative Code (FAC) Rule 14-15.017, Safety and Security Oversight Program Standards Manual for Fixed Guideway Transportation, for the period of January 1, 2015 through December 31, 2015. Therefore, the MDT rail fixed guideway system is certified safe for passenger service operations.

We have completed our review of the current MDT Rail Fixed Guideway System Safety Program Plan (SSPP) and the System Security Emergency Preparedness Plan (SSEPP) and find that they are in compliance with FAC Chapter 14-15.017. As per FDOT requirements, we have attached the 2015 MDT Rail Services Safety Internal Audit Report for your review and approval.

Sincerely,

A handwritten signature in black ink, appearing to read "Alice N. Bravo".

Alice N. Bravo, P.E.
Director

Enclosures

cc: E. Muntan, Chief, Office of Safety and Security
S. Feil, Deputy Director, Operations
V. Wiley, Transit Safety Programs Manager, FDOT

January 1, 2015 – December 31, 2015

ANNUAL RAIL FIXED GUIDEWAY SYSTEM SAFETY & SECURITY CERTIFICATION

IN ACCORDANCE WITH FLORIDA STATUTE 341.061, MIAMI-DADE TRANSIT HEREBY CERTIFIES THE FOLLOWING:

1. The adoption of the Rail Fixed Guideway System Safety Program Plan (SSPP) and System Security Emergency Preparedness Plan (SSEPP) pursuant to safety standards set forth in Florida Administrative Code (FAC) Rule Chapter 14-15.017.
2. Compliance with adopted safety and security standards as outlined in the MDT SSPP and SSEPP.

Signature: 

Name: Ms. Alice N. Bravo, P.E.

Title: Director, Miami-Dade Transit

Name and Address of entity which has performed safety inspections:

Name: Miami-Dade Transit

Address: 701 NW 1st Court, 17th Floor, Miami, FL 33136

Appendix E
FDOT 2015
Annual Certification Report
to the FTA



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

JIM BOXOLD
SECRETARY

Certificate of Compliance (Certifying Compliance with 49 CFR Part 659)

March 15, 2016

U. S. Department of Transportation
Federal Transit Administration
Office of Transit Safety and Oversight
1200 New Jersey Avenue, SE
East Building, E43-409
Washington, DC 20590

Attention: Ms. Maria Wright, Lead Program Analyst- FTA Office of Transit Safety and Oversight

I, Ed Coven, State Transit Manager, certify that the State of Florida, Department of Transportation, has implemented a State Safety Oversight Program for the calendar year 2015 that meets the requirements of 49 CFR Part 659.

Additionally, information describing the oversight activities of the Florida Department of Transportation and the Rail Fixed Guideway Transportation Systems under its jurisdiction for calendar year 2015 has been entered into the FTA web-based State Safety Oversight Ongoing Reporting Tool. The information submitted accurately summarizes the Oversight Program administered by the Florida Department of Transportation for the Hillsborough Area Regional Transit TECO Line Streetcar System, the Jacksonville Transportation Authority Automated Skyway Express, and the Miami-Dade Transit Metro-Rail and Metro-Mover Rail Transit Systems.

By:

A handwritten signature in blue ink, appearing to read "Ed Coven", written over a horizontal line.

Ed Coven, State Transit Manager
Freight, Logistics and Passenger Operations
Florida Dept. of Transportation

SSO Annual Report 2015

SOA - Florida Department of Transportation



Agency Information

Florida Department of Transportation

Agency Address

605 Suwannee Street, MS-26
Tallahassee, Florida 32399
(850) 414-4525
(850) 414-4500
Fax: (850) 414-4509

SSOA Program Manager

Mr. Victor Wiley
Transit Safety Programs Manager
victor.wiley@dot.state.fl.us
Office: (850) 414-4525
Mobile: (850) 320-3728

TIER I TRAINING
RII FT00544
TSSec FT00432
NewRSS FT00543
EMTE FT00456
Tier I Certificate

TIER II TRAINING
TISM FT00457

TIER III TRAINING
SAM FT00465
ARII FT00461

Agency Authority

Conduct Unannounced Inspections	Yes
Est. Higher Standards than Part 659	Yes
Conduct Inspections	Yes
Issue Emergency Orders	No
Fine an RFGPTS	No
Shut Down Service	Yes

Agency Contacts

Florida Department of Transportation

SOA Primary Contact

Mr. Victor Wiley
Transit Safety Programs Manager
victor.wiley@dot.state.fl.us
Office: (850) 414-4525
Mobile: (850) 320-3728

TIER I TRAINING
RII FT00544
TSSec FT00432
NewRSS FT00543
EMTE FT00456
Tier I Certificate

TIER II TRAINING
TISM FT00457

TIER III TRAINING
SAM FT00465
ARII FT00461

SOA Secondary Contact

Mr. Robert Westbrook
Operations Administrator
robert.westbrook@dot.state.fl.us
Office: (850) 414-4533

SOA Secondary Contact

Mr. Ed Coven
State Transit Manager
ed.coven@dot.state.fl.us
Office: (850) 414-4522

Program Documents

PROGRAM STANDARD
Uploaded 08-18-2014

ANNUAL CERTIFICATION OF COMPLIANCE
Uploaded 03-11-2016

PROGRAM PROCEDURES
Uploaded 03-14-2016

INCIDENT INVESTIGATION PROCEDURES
Uploaded 03-14-2016

Use of Contractors**THREE-YEAR SAFETY REVIEW**

Contractor (TRA) conducted triennial audit at MDT and monitored triennial audit follow-up activities at all fixed guideway transit systems in 2015 on a monthly basis, through frequent contact and on-site activities. .
1,040 Hours - Increased Budget

PROGRAM STANDARD UPDATE AND REVISION

Contractor (TRA) provided ongoing technical assistance to determine program standards and procedures revisions. TRA helped FDOT revise and implement interim requirements at the program standard level, and TRA revised/reviewed existing checklists and data-gathering requirements to ensure all current data needs are met during on-site audits, field reviews, and so on.
80 Hours - Increased Budget

RAIL FIXED GUIDEWAY PUBLIC TRANSIT SYSTEM SSPP REVIEW

Contractor (TRA) provided technical support regarding SSPPs at all fixed guideway transportation systems, including annual review and feedback, annual approval, guidance that must be included in the plans, monitoring compliance, and monitoring/approving/revising SSPP-related CAPs from triennial audits or other sources. TRA completed reviews upon request and developed/revised checklists to meet emerging SSO needs.
235 Hours - Increased Budget

CORRECTIVE ACTION PLAN REVIEW AND TRACKING

Contractor (TRA) incorporates CAPs reviews and tracking activities into all on-site activities and regular teleconferences with the fixed guideway transit systems. TRA provides regular updates to the tracking mechanism and provides technical assistance to each FGTS for CAPs. TRA approves developed CAPs and verifies closure of CAPs. TRA monitors CAPs from all sources, including accident investigation final reports, triennial audits, and internal safety review programs.
180 Hours - Same Budget

INCIDENT INVESTIGATION SUPPORT

Contractor (TRA) provides technical support (both on-site and via telephone and electronic communications to support incident investigations at HART, MDT, and JTA. TRA reviews initial notifications, requests additional information and progress reports, reviews and monitors investigation progress, requests additional information as appropriate, conducts follow-up data-gathering and investigative activities, and reviews final reports. TRA provides feedback or verifies approval of final investigations, and TRA follows-up with agencies to ensure all necessary and appropriate responses are engaged. TRA also provides as-requested support to FDOT.
180 Hours - Increased Budget

OTHER

TRA main contact information: Christopher Wallgren - Project Manager Transportation Resource Associates, Inc. 1608 Walnut St., Ste. 1602 Philadelphia, PA 19123 215-546-9110. TRA also maintains in-state (Florida) staff for immediate deployment, as necessary. NOTE: Hours and budget noted below are project totals for 2015
4,459 Hours - Increased Budget

FIELD OBSERVATIONS AND INVESTIGATIONS

Contractor (TRA) conducts field observations and rules compliance reviews as part of regular on-site activities at fixed guideway transit systems. TRA conducts on-site activities including multi-day, multi-staff site visits, and individual one-day site visits and workshops. TRA also provides on-site field observation and investigation technical support in response to requests from FDOT and/or transit systems. Field observations are scheduled and TRA also conducts unscheduled / unannounced field observations. TRA observations are conducted aboard transit vehicles, at stations, within facilities, and along the right-of-way. TRA provides results and analysis to FDOT and to transit systems. TRA deploys specialized subject matter experts, as necessary to respond to incidents, investigations, and hazards.

694 Hours - Increased Budget

SPECIAL STUDIES

Contractor (TRA) conducts special studies at the direction of FDOT. Studies have been in the form of responses to employee concerns for safety, FTA audits and safety advisories, transit system requests for technical assistance, or by the FDOT SSO Program Manager. As per the needs of the condition at hand, TRA designs the study, assigns appropriate personnel, deploys to the transit system(s), gathers data, conducts interviews, reviews activity, holds meetings or workshops, provides training, compiles information, and generates end products such as findings, written reports, presentations, and/or appropriate forms of communiques.

100 Hours - Increased Budget

OTHER

Contractor (TRA) provides technical support to FDOT regarding all regular responsibilities and special requests from FTA. TRA tracks and monitors FTA audit CAPs and provides technical assistance and review for required actions. TRA manages FTA-required studies and responses to safety advisories, and TRA prepares and provides materials to FDOT. TRA also manages the FTA annual reporting process on behalf of FDOT and TRA responds to feedback and follow-up from FTA regarding annual reports and data.

230 Hours - Increased Budget

OTHER

Contractor (TRA) develops a schedule for, arranges, and coordinates recurring teleconferences with the fixed guideway transit systems and FDOT. Teleconferences occur on a bi-monthly basis. Additional teleconferences are arranged by TRA, as necessary. TRA develops, distributes, and revises all required materials for teleconferences, and TRA monitors follow-up activities, as necessary. TRA includes emerging and ongoing items for each teleconference, such as safety concerns, security concerns, incident investigation updates, hazard log review, CAPs discussions, required technical assistance, and other program activities.

120 Hours - Increased Budget

OTHER

Contractor (TRA) provides technical support for safety certification activities and pre-revenue service reviews, as necessary. TRA receives and reviews documentation from system safety review committees, and TRA provides technical review of documents as they are developed by agencies. TRA activities in support of certification activities also include on-site review of specifications and/or capital improvement projects and meeting with committees, as necessary. TRA prepares technical review response documents for FDOT and monitors safety certification and projects throughout development, implementation, testing, and follow-up phases

120 Hours - Increased Budget

OTHER

Contractor (TRA) provided an in-house consultant to develop annual reports, technical training plan, certified agency work plan, and to fulfill other regulatory compliance requirements and materials. TRA also provided on-call consultant support

1,480 Hours - Increased Budget

SSOA Program Manager Briefed Supervisor
SSOA Program Manager Briefed Executive
Leadership

Weekly
Semi-Annually

SSO Annual Report 2015

RFGPTS - Hillsborough Area Regional Transit Authority (HART)

Agency Information

Hillsborough Area Regional Transit Authority

Agency Address

4305 E. 21st Avenue
Tampa, Florida 33605
(813) 623-5835

FRA Waivers

FRA-2002-13398
Apr-01-2018

Agency SSOA Participation

How many meetings did SSOA personnel attend?	8
How many other field visits did SSOA personnel conduct?	9
How many times did SSOA personnel meet with RFGPTS executive leadership?	2

Agency Contacts

Hillsborough Area Regional Transit Authority

CEO

Ms. Katharine Eagan
CEO
eagank@gohart.org
Office: (813) 384-6550
Mobile: (813) 384-6600

ADDRESS IF DIFFERENT FROM AGENCY
Hillsborough Area Regional Transit
1201 East 7th Avenue
Tampa, FL 33605
Tampa, Florida 33605

Safety Secondary/Security Secondary

Mr. David Kelsey
Safety & Security Administrator
kelsey@d@gohart.org

Safety Primary/Security Primary

Ms. Dara Chenevert
Interim Chief of Business Enterprise
and Safety Officer
ChenevertD@gohart.org
Office: (813) 384-6396
Mobile: (813) 309-0971

ADDRESS IF DIFFERENT FROM AGENCY
1201 East 7th Avenue
Tampa, FL 33605
Tel: (813) 384-6396
Tampa, Florida 33605

Program Documents

Hillsborough Area Regional Transit Authority

SYSTEM SAFETY PROGRAM PLAN
Uploaded 08-18-2014

SECURITY PLAN CHECKLIST
Uploaded 08-18-2014

ACCIDENT INVESTIGATION PROCEDURES

Uploaded 08-18-2014

INTERNAL SAFETY REVIEW REPORT

Uploaded 03-14-2016

OTHER

Uploaded 03-14-2016

OTHER

Uploaded 03-14-2016

Three-Year Safety Review

Safety Review Frequency

Does your agency conduct safety reviews?

Once every three years

Did your agency conduct a safety review in 2015?

No

When is the next scheduled review?

Apr-11-2016

Review Details & Report

Review Safety Program Plan Revisions

Did findings require revisions to the SSPP?

Yes

Due Date for SSPP Revision

Dec-30-2014

SSO Annual Report 2015

RFGPTS - Miami-Dade Transit (MDT)

Agency Information

Miami-Dade Transit

Agency Address

111 N.W. 1st Street
Miami, Florida 33136
(786) 469-5676

Agency SSOA Participation

How many meetings did SSOA personnel attend?	27
How many other field visits did SSOA personnel conduct?	6
How many times did SSOA personnel meet with RFGPTS executive leadership?	2

Agency Contacts

Miami-Dade Transit

Safety Primary/Security Primary

Mr. Eric Muntan Chief - Office of Safety & Security ejm@miamidade.gov Office: (305) 375-4240	ADDRESS IF DIFFERENT FROM AGENCY Office of Safety and Security Miami-Dade Transit 111 NW 1st Street, 4th floor Miami, FL 33128 Miami, Florida 33136
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Safety Secondary

Mr. Lee Vega Safety Manager lvega@miamidade.gov Office: (305) 375-4240	ADDRESS IF DIFFERENT FROM AGENCY Office of Safety and Security Miami-Dade Transit 111 NW 1st Street, 4th floor Miami, FL 33128 Miami, Florida 33136
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Security Secondary

Mr. Pablo Castillo Manager of Security pcastil@miamidade.gov Office: (305) 375-4240	ADDRESS IF DIFFERENT FROM AGENCY Office of Safety and Security Miami-Dade Transit 111 NW 1st Street, 4th floor Miami, FL 33128 Miami, Florida 33136
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CEO

Ms. Alice Bravo Director alice.bravo@miamidade.gov Office: (786) 469-5406	ADDRESS IF DIFFERENT FROM AGENCY Miami-Dade Transit Office of the Director 701 N. W. 1st Court - 17th Floor Miami, Florida 33136 Miami, Florida 33136
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SYSTEM SAFETY PROGRAM PLAN
 Uploaded 08-18-2014

SECURITY PLAN CHECKLIST
 Uploaded 08-18-2014

ACCIDENT INVESTIGATION PROCEDURES
 Uploaded 08-18-2014

INTERNAL SAFETY REVIEW REPORT
 Uploaded 08-18-2014

OTHER
 Uploaded 03-14-2016

OTHER
 Uploaded 03-14-2016

Three-Year Safety Review

Safety Review Frequency

Does your agency conduct safety reviews?
 Did your agency conduct a safety review in 2015?

Once every three years
Yes

Review Details & Report

Review Safety Program Plan Revisions

Did findings require revisions to the SSPP?
 Due Date for SSPP Revision

Yes
May-01-2016

SSO Annual Report 2015

RFGPTS - Jacksonville Transportation Authority (JTA)

Agency Information

Jacksonville Transportation Authority

Agency Address

121 West Forsyth Street, Suite 200
Jacksonville, Florida 32202
(904) 630-3100

Agency SSOA Participation

How many meetings did SSOA personnel attend?	12
How many other field visits did SSOA personnel conduct?	8
How many times did SSOA personnel meet with RFGPTS executive leadership?	2

Agency Contacts

Jacksonville Transportation Authority

CEO

Mr. Nathaniel Ford	ADDRESS IF DIFFERENT FROM AGENCY
CEO	Jacksonville Transportation Authority
nford@jtafla.com	121 West Forsyth Street, Suite 200
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	Jacksonville, Florida 32202

Safety Secondary/Security Secondary

Mr. Colin Mulloy	ADDRESS IF DIFFERENT FROM AGENCY
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Mobile: (904) 477-5017	Jacksonville, Florida 32202

Safety Primary/Security Primary

Ms. Cami Haynes	ADDRESS IF DIFFERENT FROM AGENCY
Assistant Vice President / Safety & Compliance Officer	Jacksonville Transportation Authority
chaynes@jtafla.com	121 West Forsyth Street, Suite 200
Office: (904) 633-8549	Jacksonville, Florida 32202
Mobile: (904) 652-5957	Jacksonville, Florida 32202

Program Documents

Jacksonville Transportation Authority

SYSTEM SAFETY PROGRAM PLAN
Uploaded 08-18-2014

ACCIDENT INVESTIGATION PROCEDURES
Uploaded 08-18-2014

INTERNAL SAFETY REVIEW REPORT
Uploaded 03-10-2016

SECURITY PLAN CHECKLIST

Uploaded 03-10-2016

OTHER

Uploaded 03-14-2016

OTHER

Uploaded 03-14-2016

Three-Year Safety Review

Safety Review Frequency

Does your agency conduct safety reviews?

Once every three years

Did your agency conduct a safety review in 2015?

No

When is the next scheduled review?

Nov-07-2016

Review Details & Report

Review Safety Program Plan Revisions

Did findings require revisions to the SSPP?

Yes

Due Date for SSPP Revision

None

SSO Annual Report 2015

RFGPTS - WAVE STREETCAR PARTNERS (SFRTA & BCT) (WAVE)

Agency Information

WAVE STREETCAR PARTNERS (SFRTA & BCT)

Agency Address

Agency Contacts

WAVE STREETCAR PARTNERS (SFRTA & BCT)

Appendix F

Map-21/FAST Act Safety-Related Rulemakings as of September 7, 2016

FTA Safety-Related Rulemakings

September 7, 2016

Public Transportation Agency Safety Plan (Part 673)

<https://www.regulations.gov/document?D=FTA-2015-0021-0001>

- The Federal Register published the Notice of Proposed Rulemaking on February 5, 2016.
- The FDOT SSOA provided comments on April 5, 2016.
- The rule as proposed requires public transportation systems that receive Federal funding under 49 U.S.C. Chapter 53 to develop and implement Public Transportation Agency Safety Plans based on the Safety Management Systems approach. The plans must include performance targets based on safety performance criteria consistent with the National Public Transportation Safety Plan, and establish a process and timeline for conducting an annual review and update of the plan.
- Agencies would have one year after the adoption of the rule to certify that they have established and implemented a plan.
- Large transit providers (those that receive Section 5307 funds) would develop their plans, have them approved by their board of directors or equivalent, and certify to the FTA that the plans are in place.
- Smaller transit providers (those that receive Section 5310 or Section 5311 funds and others defined in the rule) may have their plans drafted or certified by the State.

National Public Transportation Safety Plan

<https://www.gpo.gov/fdsys/pkg/FR-2016-02-05/pdf/2016-02010.pdf>

- The Federal Register published the proposed plan on February 5, 2016.
- The plan includes safety performance criteria for all modes of public transportation, minimum safety performance standards, defines “state of good repair,” and addresses a safety certification training program.

State Safety Oversight Final Rule (Part 674)

<https://www.gpo.gov/fdsys/pkg/FR-2016-03-16/pdf/2016-05489.pdf>

- The Federal Register published the final rule on March 16, 2016.
- The rule became effective on April 15, 2016, and requires that SSOAs become certified as compliant no later than three years following the effective date of this rule.
- The FTA will rescind Part 659 no later than this date. The SSOAs must comply with Part 659 until FTA certifies them as in compliance with the new regulations.

Public Transportation Safety Program Final Rule (Part 670)

<https://www.federalregister.gov/articles/2016/08/11/2016-18920/public-transportation-safety-program>

- The Federal Register published the final rule on August 11, 2016.
- Part 670 adopts a Safety Management Systems (SMS) approach to safety oversight. SMS is a formal top-down, organization-wide, data-driven approach to managing safety risk and ensuring the effectiveness of safety mitigations. It emphasizes accountability, transit agency-wide reporting and communication, the proactive investigations of hazards, tools to monitor safety performance, effective and efficient assurance activities, and balanced decision-making regarding safety risk within operations and planning. This marks a shift from the historic approach to transit safety, which was more reactive.
- The rule also provides the framework for FTA to monitor, oversee, and enforce transit safety through inspections, audits, reports, directives, subpoenas, depositions, as well as the authority to require the production of documents, prescribe recordkeeping and reporting, investigate accidents and incidents, enter and inspect equipment, rolling stock, operations, and relevant records, and issue regulations.

Transit Asset Management Rule (Parts 625 and 630)

<https://www.gpo.gov/fdsys/pkg/FR-2016-07-26/pdf/2016-16883.pdf>

- The Federal Register published the final rule on July 26, 2016. It becomes effective on October 1, 2016.
- The rule defines “state of good repair,” and establishes minimum requirements for transit asset management for all recipients of Section 53 funds that own, operate, or manage public transportation capital assets.
- The rule requires public transportation providers to develop and implement transit asset management plans that include an asset inventory, condition assessments, and a prioritized list of investments to improve the state of good repair of capital assets, and requires providers to report targets and the condition of capital assets to the National Transit Database.