



Safety and Security Oversight Program Fixed Guideway Transportation Systems

Public Transit Office
Standards Manual
725-030-014



INTRODUCTION

PURPOSE

(Department) State Safety and Security Oversight (SSO) Program described the purpose of this State Safety and Security Oversight Program Standards Manual (SSO Manual) is to provide standards, procedures, and technical direction to Fixed Guideway Transportation Systems (FGTS) in order to implement the Florida Department of Transportation herein.

AUTHORITY

Section 341.061, Florida Statutes (F.S.), requires the establishment of minimum safety standards for all governmentally owned FGTS and privately owned or operated FGTS operating in the State of Florida which are financed wholly or partly by state funds. **Section 341.061, F.S.**, designates the Department as the state oversight agency with the responsibility for implementation and enforcement of the statutory provisions statewide. This SSO Manual establishes the system safety and security criteria for FGTS in the State of Florida to implement the provisions of the SSO program.

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. Part 659** applies to states that have within their boundaries a FGTS not regulated by the Federal Railroad Administration (FRA). On April 29, 2005, the FTA published its revised **Rail Fixed Guideway Systems; State Safety Oversight; Final Rule**. The revised **Final Rule**, included in **Appendix A**, delineates the responsibilities of the state, the oversight agency, the transit agency and the FTA.

Section 341.061, F.S., and **Part 659** establish authority for this SSO Manual and the standards, procedures, and technical direction described herein. The SSO Manual documents FGTS and Department activities to implement **Section 341.061, F.S.**, and **Part 659**, ensure on-going communication between the Department and each affected FGTS regarding safety and security information, and implement policies for Department communication with the FTA, including initial, annual, and periodic submissions.

FIXED GUIDEWAY TRANSPORTATION SYSTEMS (FGTS)

A FGTS means a transit system for the transporting of people by a conveyance, or a series of interconnected conveyances, specifically designed for travel on a stationary rail or other guideway, whether located on, above, or under the ground. FGTS include commuter rail, heavy or rapid rail transit, light rail transit, streetcar, monorail, automated guideway transit, inclined plane, and automated people mover. FGTS do not include guided bus ways, or rubber-wheeled trolley buses that use a catenary system. Any FGTS financed wholly or partly with state funds is subject to the standards, procedures and technical direction outlined in this SSO Manual. Two categories of FGTS are designated:

- (1) Non-Federal Transit Administration (Non-FTA) funded FGTS includes any governmentally owned and privately owned or operated FGTS operating in this state which is financed wholly or partly by state funds and subject to provisions of **Section 341.061 F.S.**, As of July 1, 2005, the following FGTS are subject to this SSO Manual: South Florida Regional Transportation Authority Tri-Rail Commuter Rail, Orlando International Airport Automated People Mover System, and Tampa International Airport Automated People Mover System.
- (2) FTA funded FGTS includes those systems subject to provisions of **Section 341.061 F.S.** and **Part 659**. As of January 1, 2005, the following FGTS are subject to this SSO Manual: Miami-Dade Transit Agency Metro-Rail and Metro-Mover, Jacksonville Transportation Authority Skyway, and Hillsborough Area Regional Transit Authority - TECO Line Streetcar.

Standards, procedures, and technical direction for Non-FTA and FTA funded FGTS differ. The following chapters of this SSO Manual specify which provisions of the SSO program apply to Non-FTA and FTA funded systems.

CONFLICT OF INTEREST

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 this 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.

DISTRIBUTION OF SSO MANUAL

This SSO Manual can be obtained from:

Florida Department of Transportation
Public Transit Office
605 Suwannee Street, M.S. 26
Tallahassee, FL 32399-0450
Telephone 850.414.4500

In addition, electronic copies of this SSO Manual can also be obtained at the following:

State Safety and Security Oversight website: www.dot.state.fl.us/SSOProgram
FDOT Transit website: <http://www.dot.state.fl.us/transit/default.htm>
FDOT Forms and Procedures website: www.dot.state.fl.us/proceduraldocuments

REVISIONS AND UPDATES

Changes to this SSO Manual are made internally and result from internal or external sources, policy changes, statewide meetings, and/or organizational changes. Each comment or suggestion received will be reviewed by the appropriate Public Transit Office staff in a timely

manner. Proposed changes to this SSO Manual will be circulated for review in draft form to the District Office Modal Development Managers and appropriate staff, FGTS, other agencies, Department offices, etc., as appropriate. Following review and comment, draft changes will be approved by the Administrator - Transit Operations and incorporated into the next revision of the SSO Manual.

STATE SAFETY AND SECURITY OVERSIGHT WEB SITE

The Department's SSO web site will be used to assist and facilitate the implementation of the SSO Manual standards and oversight requirements. The web site will be used to access SSO-related documents, notify the Department of incidents and other SSO activities, and transmit required reports, forms, and checklists. The Department intends that each FGTS will use the web site to electronically transmit its System Safety Program Plan (SSPP); internal safety and security review schedule, checklists, and reports; notification of events, periodic reports, and final reports; corrective actions plans, implementation schedules, and status; investigation procedures; and other required forms, checklists, and reports described in this SSO Manual. This SSO Manual, SSO forms and checklists, and reference materials will also be available on the web site to be downloaded and completed on-line. The SSO web site will be a secure web site, with password or other controls to ensure that access to confidential materials is restricted.

DEFINITIONS

Contractor - An individual or entity that performs tasks required on behalf of the Department or FGTS. The FGTS may not be a contractor for the Department.

Corrective Action Plan (CAP) - A plan developed by the FGTS that describes the actions the FGTS will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions.

Fixed Guideway Transportation System (FGTS) - As determined by FTA, any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, or automated guideway that:

- (1) is not regulated by the Federal Railroad Administration; and
- (2) is included in FTA's calculation of fixed guideway route miles to receive funding under FTA's formula program for urbanized areas (49 U.S.C. § 5336); or
- (3) has submitted documentation to FTA indicating its intent to be included in FTA's calculation of fixed guideway route miles to receive funding under FTA's formula program for urbanized areas (49 U.S.C. § 5336).

For purposes of this SSO Manual, a FGTS and a rail transit agency shall mean one and the same.

Fixed Guideway Transportation System Controlled Property - Property that is used by the FGTS and may be owned, leased, or maintained by the FGTS.

Fixed Guideway Transportation System Vehicle - The FGTS's rolling stock, including but not limited to passenger and maintenance vehicles.

Federal Railroad Administration (FRA) - An agency of the U.S. Department of Transportation.

Federal Transit Administration (FTA) - An agency of the U.S. Department of Transportation.

Hazard - 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.

Individual - A passenger, employee, contractor, FGTS facility worker, pedestrian, trespasser, or any person on FGTS controlled property.

Investigation - The process used to determine the causal and contributing factors of an incident or hazard, so that actions can be identified to prevent recurrence.

New Starts Project - Any FGTS or extension to an existing FGTS funded under FTA's **49 U.S.C. 5309** discretionary construction program.

Passenger - A person who is on board, boarding, or alighting from a FGTS vehicle for the purpose of travel.

Passenger Operation - The period of time when any aspect of FGTS operations are initiated with the intent of carrying passengers.

Rail Transit Agency - Any entity that operates a FGTS. For purposes of this SSO Manual, a rail transit agency and a FGTS shall mean the same.

Safety - Freedom from harm resulting from unintentional acts or circumstances.

Safety and Security Certification - The process applied to project development to ensure that all practical steps have been taken to optimize the operational safety and security of the project during engineering, design, and construction before the start of passenger operation.

Security - Freedom from harm resulting from intentional acts or circumstances.

Security Program Plan (SPP) - A document developed and adopted by the FGTS detailing its security policies, objectives, responsibilities, and procedures.

State - A State of the United States, the District of Columbia, Puerto Rico, the Northern Marian Islands, Guam, American Samoa, and the Virgin Islands.

State Safety and Security Oversight (SSO) Agency - The entity, other than the FGTS, designated by the State of Florida to implement 49 CFR 659. The Department's Public Transit Office has been designated as the SSO agency.

Safety and Security Oversight Program Standards Manual (SSO Manual) - The document identifying and describing the SSO agency requirements and standards for compliance with **Section 341.061, F.S. and 49 CFR 659**.

System Safety Program Plan (SSPP) - A document developed and adopted by the FGTS detailing its safety policies, objectives, responsibilities, and procedures.

CHAPTER 1

SAFETY STANDARDS AND PROCEDURES

1.1 SYSTEM SAFETY PROGRAM PLAN (SSPP)

1.1.1 Applicable FGTS

Section 1.1 applies to all FTA and Non-FTA funded FGTS.

1.1.2 Minimum Requirements

Each FGTS shall develop, adopt, implement, and maintain a written SSPP that complies with this SSO Manual and FTA's SSO regulations in **49 CFR 659.17** and **49 CFR 659.19**. The adopted SSPP shall include at a minimum:

- (1) A policy statement signed by the Chief Executive of the FGTS that endorses the safety program and describes the authority that establishes the SSPP.
- (2) A clear definition of the goals and objectives for the safety program and stated management responsibilities to ensure that they are achieved.
- (3) An overview of the management structure of the FGTS, including: (i) an organization chart; (ii) a description of how the safety function is integrated into the rest of the FGTS organization; and (iii) clear identification of the lines of authority used by the FGTS to manage safety issues.
- (4) The process used to control changes to the SSPP, including: (i) specifying and documenting an annual assessment of whether the SSPP should be updated; and (ii) required coordination with the Department, and timeframes for submission, revision and approval.
- (5) A description of the specific activities required to implement the system safety program, including: (i) tasks to be performed by FGTS safety function, by position and management accountability, specified in matrices and/or narrative format; and (ii) safety-related tasks to be performed by other FGTS departments, by position and management accountability, specified in matrices and/or narrative format.
- (6) A description of the process used by the FGTS to implement its hazard management program, including activities for: (i) hazard identification; (ii) hazard investigation, evaluation, and analysis; (iii) hazard control and elimination; (iv) hazard tracking; and (v) requirements for on-going reporting to the Department relating to hazard management activities and status.
- (7) A description of the process used by the FGTS to ensure that safety concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have safety impacts.
- (8) A description of the safety certification process required by the FGTS to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for any new starts project and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

Safety and Security Oversight Program Standards Manual

- (9) A description of the process used to collect, maintain, analyze, and distribute safety data, to ensure that the safety function within the FGTS receives the necessary information to support implementation of the system safety program.
- (10) A description of the process used by the FGTS to perform incident notification, investigation and reporting, including: (i) notification thresholds for internal and external organizations; (ii) investigation process and references to procedures; (iii) the process used to develop, implement and track corrective actions that address investigation findings; (iv) reporting to internal and external organizations; and (v) coordination with the Department.
- (11) A description of the process used by the FGTS to develop an approved, coordinated schedule for emergency management program activities, which include: (i) meetings with external agencies; (ii) emergency planning responsibilities and requirements; (iii) process used to evaluate emergency preparedness, such as annual emergency field exercises; (iv) after action reports and implementation of findings; (v) revision and distribution of emergency response procedures; (vi) familiarization training for public safety organizations; and (vii) employee training.
- (12) A description of the process used by the FGTS to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the SSPP, including: (i) identification of departments and functions subject to review; (ii) responsibility for scheduling reviews; (iii) process for conducting reviews, including the development of checklists and procedures and issuing of findings; (iv) review of reporting requirements; (v) tracking the status of implemented recommendations; and (vi) coordination with the Department.
- (13) A description of the process used by the FGTS to develop, maintain, and ensure compliance with rules and procedures having a safety impact, including: (i) identification of operating and maintenance rules and procedures subject to review; (ii) techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing; (iii) techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules; and (iv) process for documenting results and incorporating them into the hazard management program.
- (14) A description of the process used for facilities and equipment safety inspections, including: (i) identification of facilities and equipment subject to regular safety-related inspection and testing; (ii) techniques used to conduct inspections and testing; (iii) inspection schedules and procedures; and (iv) description of how results are entered into the hazard management process.
- (15) A description of the maintenance audits and inspections program including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.
- (16) A description of the training and certification program for employees and contractors, including: (i) categories of safety-related work requiring training and certification; (ii) a description of the training and certification program for employees and contractors in safety-related positions; (iii) process used to maintain and access employee and contractor training records; and (iv) process used to assess compliance with training and certification requirements.

- (17) A description of the configuration management control process, including: (i) the authority to make configuration changes; (ii) process for making changes; and (iii) assurances necessary for formally notifying all involved departments.
- (18) A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including: (i) safety requirements that employees and contractors must follow when working on, or in close proximity to, FGTS controlled property; and (ii) processes for ensuring the employees and contractors know and follow the requirements.
- (19) A description of the hazardous materials program, including the process used to ensure knowledge of and compliance with program requirements.
- (20) A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.
- (21) A description of the measures, controls, and assurances in place to ensure that safety principles, requirements, and representatives are included in the FGTS procurement process.

1.1.3 Review and Approval of SSPP

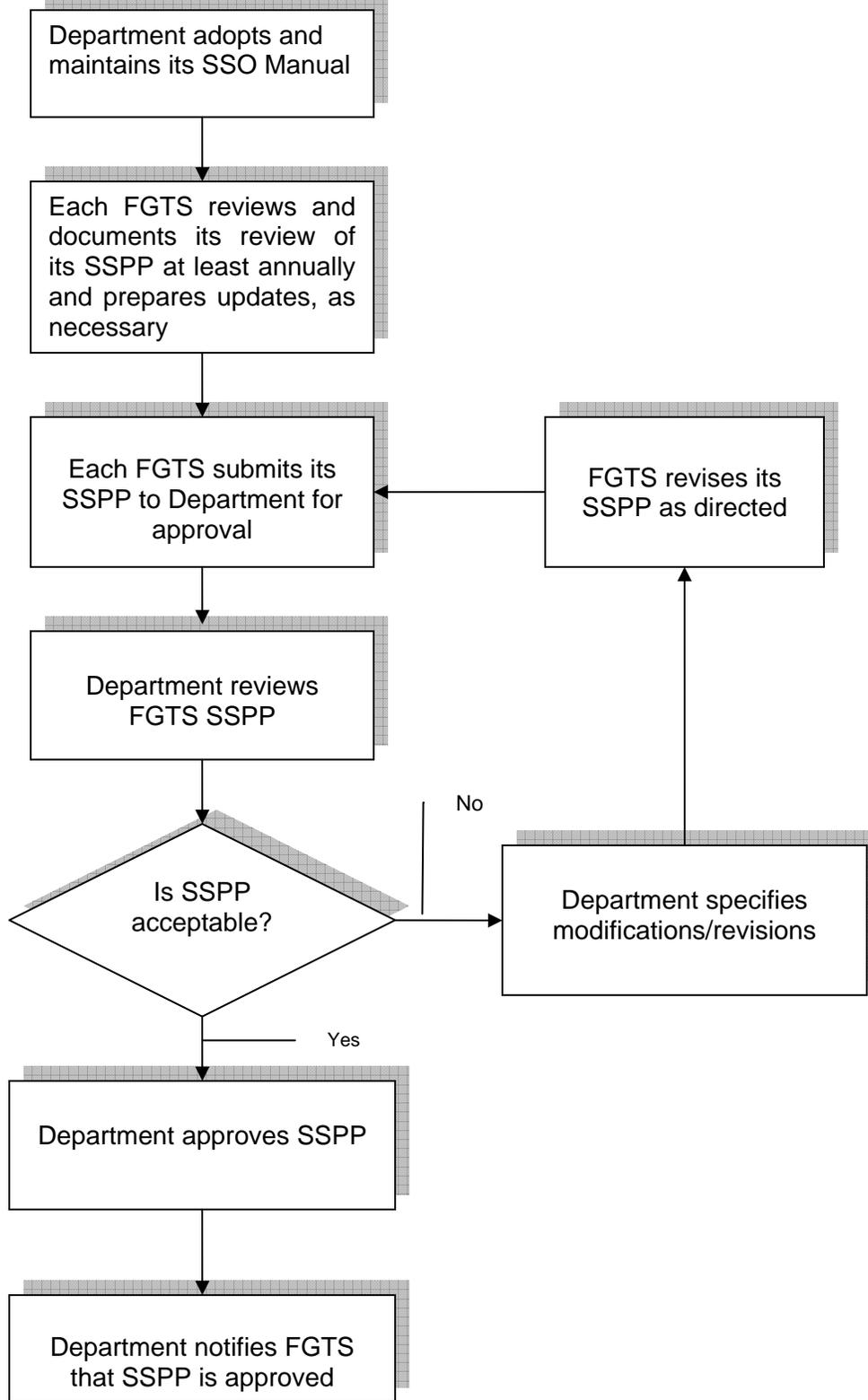
In carrying out its oversight responsibilities under FTA's SSO Program (49 CFR 659.17), the Department will receive, review, and approve in writing each FGTS SSPP. Figure 1 shows the process for review and approval of the FGTS SSPP.

Initial Submittals - A FGTS new starts project shall make an initial submittal of a SSPP to the Department at least calendar 180 calendar days before beginning passenger service operations. The initial SSPP will be approved as part of the new starts project safety certification process.

Department Requested Submittals - The Department shall require changes to a SSPP based on revisions to the Department's SSO Manual, **FTA 49 CFR 659**, audit results, on-site reviews, investigations, or changing trends in incident data. Upon receipt of a written notification from the Department for SSPP modifications, the FGTS shall submit a revised SSPP to the Department within 30 calendar days.

FGTS Initiated Updates - In the event the FGTS modifies its SSPP as result of a review, the FGTS shall submit the modified SSPP, and any subsequently modified procedures, to the Department for review and approval within 30 calendar days of the effective date of the change. The FGTS shall document its review of the SSPP and submit its SSPP electronically on the Department's SSO web site.

Figure 1
SSPP Approval Process



1.1.4 Annual Review of SSPP

Each FGTS shall conduct an annual review of its SSPP and update it as necessary to ensure that the SSPP is current at all times. The FGTS shall complete the review for the previous calendar year and submit a revised SSPP by March 1. Each revised SSPP submitted to the Department by a FGTS shall include a text or tabular summary that identifies and explains proposed changes and includes a time frame for completion of the associated activities. Upon approval of modifications, the Department will issue to the FGTS written approval of its SSPP within 30 calendar days. The annual review and approval process will be conducted electronically on the Department's SSO web site.

1.2 INTERNAL SAFETY REVIEWS

1.2.1 Applicable FGTS

Section 1.2 applies to all FTA and Non-FTA funded FGTS, except that Non-FTA funded FGTS are exempt from **Section 1.2.3** regarding the submittal to the Department of internal safety review plans, notifications, status, or an annual safety report.

1.2.2 Minimum Requirements

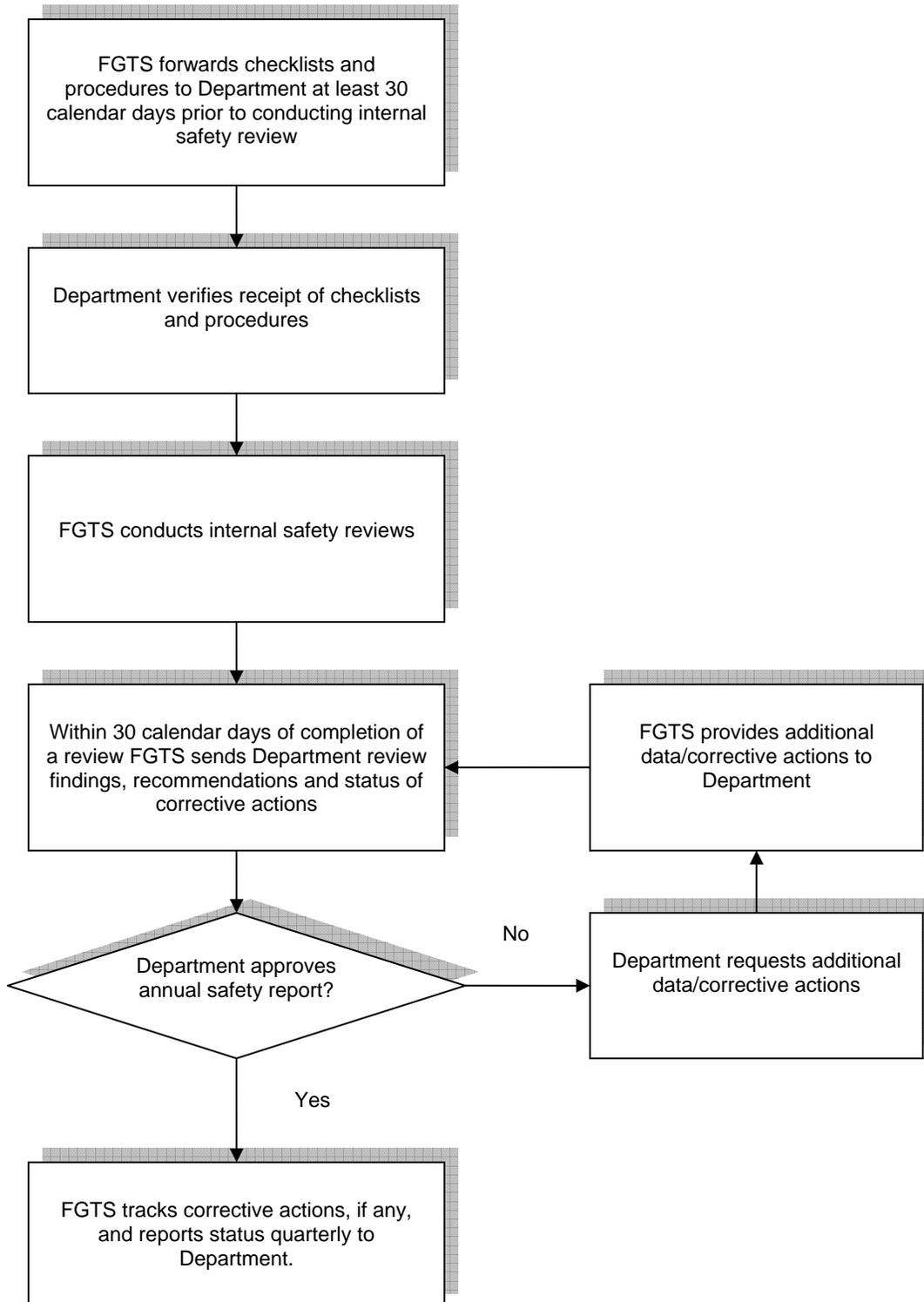
The FGTS shall develop procedures and shall document the process for the performance of on-going internal safety reviews. The internal safety review procedures shall, at a minimum:

- Describe the process used by the FGTS to determine if all identified elements of its SSPP are performing as intended.
- Ensure that all elements of the SSPP are reviewed in an on-going manner and completed over a three-year cycle. The three-year cycle commences on a date designated by the FGTS with the intention of completing at least one-third of the elements each year.

The FGTS shall permit the Department to participate in these reviews at the Department's request. To protect the independent nature of the review, the FGTS unit (e.g., department, division) in charge of the review shall not be the unit in charge of implementing the items being reviewed.

Figure 2 shows the Internal Safety Review process.

Figure 2
Internal Safety Review Process



1.2.3 Notifications

The FGTS must notify the Department at least 30 calendar days before the conduct of scheduled internal safety reviews, and at that time shall submit to the Department any checklists or procedures that the FGTS will use during the safety portion of its review. The FGTS shall notify the Department and transmit any checklists or procedures electronically using the Department's SSO web site.

1.2.4 Annual Safety Report

The FGTS shall annually submit a report documenting internal safety review activities and the status of subsequent findings and corrective actions. The FGTS shall submit its report no later than March 1 of each year for the prior calendar year. The FGTS annual safety report must be accompanied by a formal certification signed by the chief executive of the FGTS, indicating that the FGTS is in compliance with its SSPP. If the FGTS determines that findings from its internal safety reviews indicate that the FGTS is in noncompliance with its SSPP, the chief executive must identify the activities the FGTS will take to achieve compliance. The Department will review and approve the annual safety report. In addition, the Annual Safety Report Template is available on the SSO web site. The FGTS shall submit its annual safety report electronically on the Department's SSO web site.

1.3 3 YEAR SAFETY REVIEW

1.3.1 Applicable FGTS

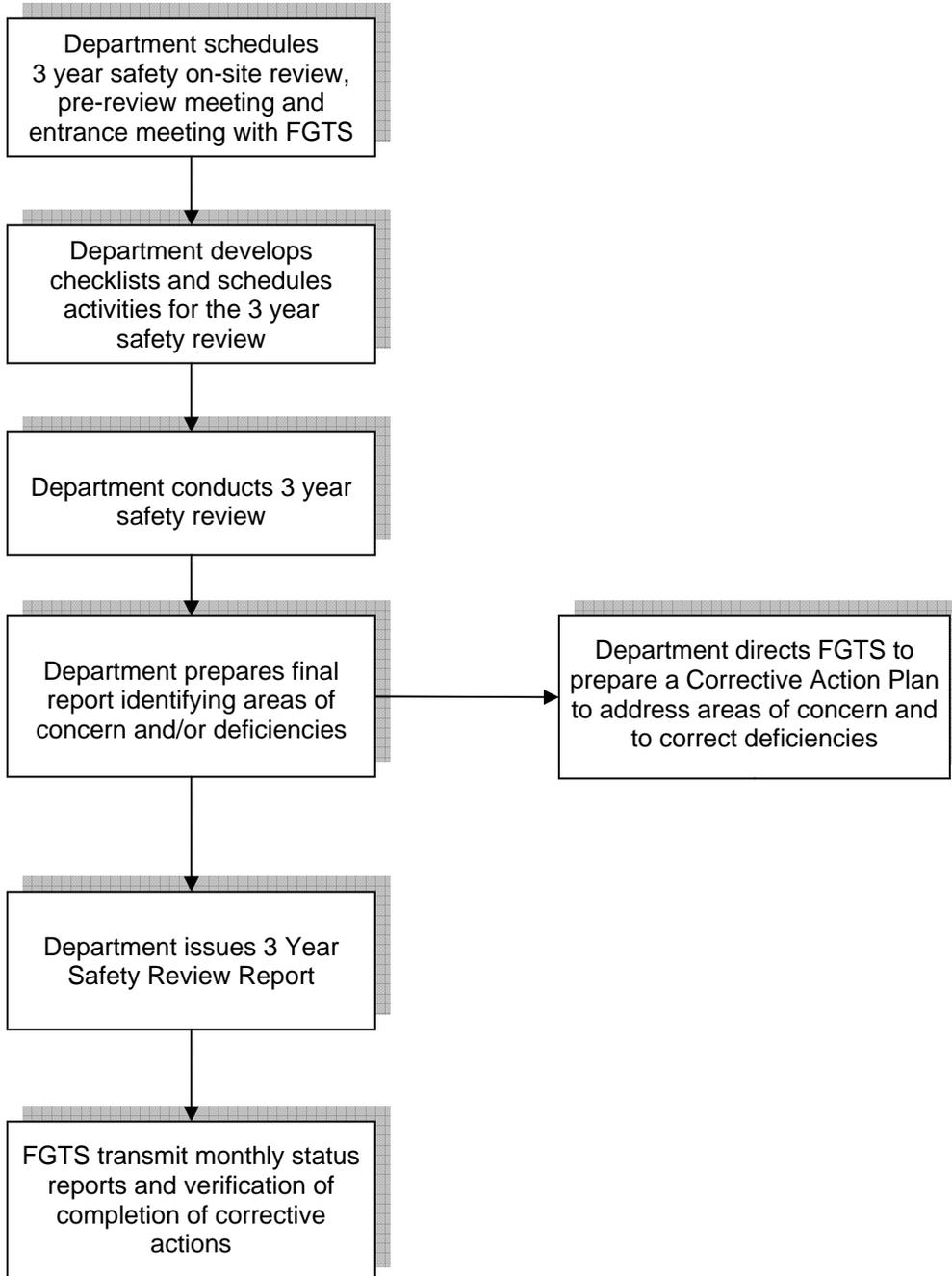
Section 1.3 applies to all FTA funded FGTS. The Department has the authority to apply this section to Non-FTA funded FGTS.

1.3.2 Minimum Requirements

The Department will conduct an on-site safety review of the FGTS implementation of its SSPP at least once every 3 years, beginning with initiation of the FGTS passenger operations. At the conclusion of the on-site review, the Department will prepare and issue a report containing findings and recommendations resulting from that review.

Figure 3 shows the 3 Year Safety Review process.

Figure 3
3 Year Safety Review Process



1.3.3 Objectives

The Department's three year safety review will determine the extent to which the FGTS is meeting its SSPP requirements, the effectiveness of the SSPP, and whether the SSPP should be updated.

1.3.4 Scheduling and Conducting 3 Year Safety Review

The Department will develop and maintain a schedule of 3 year safety reviews of each FGTS. The Department will schedule the 3 year safety review of a FGTS at least 60 calendar days in advance, and will notify the FGTS in writing. The FGTS shall formally acknowledge the notification in writing. The Department will schedule a pre-review meeting with the FGTS for clarification of any questions and concerns, and coordination of daily schedules with the FGTS. In addition, the Department will schedule an entrance meeting with the FGTS to resolve any pre-review issues, if any. The Department will conduct the on-site safety review using checklists developed from the approved SSPP. The Department will transmit these checklists to the FGTS at least 30 calendar days prior to the start date of the review. The Department will transmit 3 year on-site safety review reports to FTA as required.

1.4 SSPP ANNUAL MONITORING PROGRAM

1.4.1 Applicable FGTS

Section 1.4 applies to all FTA and Non-FTA funded FGTS.

1.4.2 Minimum Requirements

All FGTS are subject to an on-site evaluation of each FGTS compliance, with its SSPP and implementing procedures, at least once each year. SSPP annual monitoring program reviews will be conducted on-site and followed up with a written report within 30 calendar days of completing the exercise. Annual monitoring program reviews will be focused on specific implementation or compliance aspects of the SSPP determined by the Department.

1.5 HAZARD MANAGEMENT PROCESS

1.5.1 Applicable FGTS

Section 1.5 applies to all FTA and Non-FTA funded FGTS.

1.5.2 Minimum Requirements

The Department requires each FGTS to develop and document in its SSPP a process to identify and resolve hazards for new starts projects, extensions, or modifications of existing systems, operational or environmental changes, or from hazards discovered during reviews, audits, inspections, and investigations.

The hazard management process must, at a minimum:

- (a) Define the FGTS approach to hazard management and the implementation of an integrated system-wide hazard resolution process;
- (b) Specify the sources of, and the mechanisms to support, the on-going identification of hazards;
- (c) Define the process by which identified hazards will be evaluated and prioritized for elimination and control;
- (d) Identify the mechanism used to track through resolution the identified hazard(s);
- (e) Define the minimum thresholds for the notification and reporting of hazards to the Department; and
- (f) Specify the process by which the FGTS will provide on-going reporting of hazard resolution activities to the Department.

1.5.3 Hazard Identification, Assessment, and Resolution

For each hazard that the FGTS has identified in its hazard management process, the FGTS shall document on a Hazard Worksheet the processes it used to identify, investigate, assess, and resolve the hazard, including:

- How the hazard was recognized and reported.
- A description of the hazard and the immediate corrective action(s) taken.
- Using the risk assessment method documented in the SSPP, a determination the initial risk assessment, based on the probability and severity of the hazard if nothing was done.
- Results of the investigation, including the circumstances, events, and causal factors leading up to the hazard.
- Additional corrective action that was or will be done to reduce the probability and/or severity of the hazard (including schedule and responsibility).
- Using the risk assessment method documented in the SSPP, a final risk assessment, based on the likelihood of the hazard to occur and its likely severity when the proposed corrective action/resolution is in place.

The FGTS shall maintain a file of worksheets and associated documents for all hazards discovered by or reported to the FGTS. The file is intended to facilitate future reviews and trend analysis by the FGTS and the Department.

1.5.4 Notification

In the event the FGTS determines that the final risk assessment of the hazard is “unacceptable” using the criteria and assessment process in its SSPP, the FGTS shall notify the Department within 24 hours or by 5:00 p.m. on the next regular working day following the determination of the unsafe condition as “unacceptable”. The FGTS shall transmit an electronic copy of the Hazard Worksheet via the Department’s SSO web site.

1.5.5 Investigation of Hazards

The FGTS or its contractor shall investigate a hazard reported to the Department as unacceptable in accordance with the provisions in this SSO Manual and the FGTS

Reportable Event Investigation Procedures. The FGTS shall maintain a file of hazards reported to the Department and make these files available to the Department for review and evaluation upon request.

1.5.5.1 Initial Investigation Report

The FGTS shall submit to the Department the initial report of its investigation of a hazard within 7 calendar days of the hazard being reported to the FGTS. The FGTS shall transmit an electronic copy of the **Initial Investigation Report** via the Department's SSO web site.

1.5.5.2 Status Investigation Reports

The FGTS shall submit to the Department status reports of hazard investigation at least monthly until the investigation is completed. The FGTS shall transmit an electronic copy of the status report via the Department's SSO web site.

1.5.5.3 Final Investigation Report

Upon completing the investigation of a hazard, the FGTS shall prepare and submit to the Department for review and approval a final report that includes a description of activities, findings, identified causal factors, hazard analysis, and corrective action plan. The FGTS shall transmit an electronic copy of the final investigation report via the Department's SSO web site. Within 30 calendar days of receiving a report designated as final, the Department will review the report in accordance with the **Checklist for Reviewing FGTS Investigation Reports**. The checklist is available on the Department's SSO web site. Within 30 calendar days of acceptance of the FGTS investigation report, the Department will issue to the FGTS written approval of the report. In the event that the Department does not accept the FGTS report, the Department will communicate in writing the area(s) of disagreement or concern. The report shall not be considered final until all conditions are met and the report is approved.

1.5.5.4 Corrective Action Plans (CAP)

The FGTS shall develop a CAP to correct those elements or activities identified as deficient or unacceptable. In addition, the Department may, during the course of an investigation, identify required hazard analysis and corrective actions to avoid or minimize the reoccurrence of the unsafe condition or address a related, systemic problem. (CAPs are the subject of **Section 1.8** of this SSO Manual.) At any time during an investigation, the Department reserves the right to request a full briefing from the FGTS on the known circumstances of the investigation, including hazard analysis and CAPs.

1.5.6 Department Investigation of Hazards

The Department reserves the right to conduct independent hazard analysis or investigations of identified unacceptable hazards. Any investigation conducted by the Department or its contractor shall be in accordance with the approved FGTS investigation procedures. The Department will inform the FGTS in writing of its intention

to conduct an investigation of a reported hazard no later than 7 calendar days following receipt of the FGTS initial report. The Department will advise the FGTS of the following:

- Investigation processes,
- Identity of individual(s) conducting the investigation, and
- Tentative schedule of investigation elements

The FGTS shall assist the Department investigators by providing required information and resources necessary for conducting the investigation.

The Department or its contractor will complete an investigation report that includes a description of activities, findings, identified causal factors, hazard analysis and a CAP, as applicable. The report will be completed within 30 calendar days after completion of the investigation.

1.6 Notification of Reportable Events

1.6.1 Applicable FGTS

Section 1.6 applies to all FTA and Non-FTA funded FGTS.

1.6.2 Requirements

The FGTS shall notify the Department within 2 hours of any safety or security event involving a rail transit vehicle or taking place on FGTS controlled property where one or more of the following occurs:

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

Each FGTS that shares track with a general railroad system and is subject to the Federal Railroad Administration (FRA) notification requirements shall notify the Department within 2 hours of an incident for which the FGTS must notify the FRA. Each FGTS shall notify the Department within 2 hours of an incident for which the FGTS must notify the National Transportation Safety Board (NTSB).

1.6.3 Initial Notification

The FGTS shall provide initial notification to the Department via the SSO web site. Initial Notification Forms are available on the SSO web site.

1.6.4 Information

The following information shall be provided by the FGTS in the initial notification of the event. If the information is not pertinent to the event, the item should be identified on the Initial Notification Form as “non-applicable” (N/A).

- Name and Job Title of person reporting and name of FGTS
- Event Type (fatality, injuries, property damage, evacuation, derailment or other)
- Location, Time, Date
- Fatalities
- Injuries
- Rail transit vehicle(s) involved (type, number)
- Other vehicle(s) involved (type, number)
- Property damage estimate
- NTSB reportable
- FRA reportable
- FGTS primary person (i.e., Chief Investigator) conducting the investigation (name, title, phone and fax numbers, email address)
- Description of the event
- Implemented and/or planned corrective actions

The FGTS shall provide additional information at the Department’s request. The FGTS shall maintain a current list of contact information for all primary and alternate Department contact personnel, including delivery street addresses, websites, email addresses, and fax, telephone, cell phone, and pager numbers.

1.7 Investigations of Reportable Events

1.7.1 Applicable FGTS

Section 1.7 applies to all FTA and Non-FTA funded FGTS, except that non-FTA funded FGTS are exempt from **Section 1.7.3** regarding the submittal of policies and procedures for investigations of reportable events and hazards and **Section 1.7.4.3** regarding the submittal of CAPs for investigated reportable events and hazards.

1.7.2 Requirements

The FGTS shall investigate any reportable event meeting the criteria described in **Section 1.6.2**.

1.7.3 Approved Investigation Procedures

The FGTS shall use investigation procedures that have been approved by the Department.

- (a) Each FGTS investigation shall be documented in a final report that includes a description of investigation activities, findings, identified causal factors, and a CAP.

- (b) The investigation report shall be submitted to the Department within 30 calendar days following completion of the investigation.
- (c) The Department will review and formally approve each FGTS final investigation report within 30 calendar days following receipt of the report.
- (d) The FGTS shall provide monthly status reports to the Department that document investigation activities and findings.

1.7.4 FGTS Investigation

The FGTS or its contractor shall investigate each event reported to the Department in **Section 1.6.2** above in accordance with the procedures in the approved FGTS Investigation Procedures. The FGTS shall maintain a file of investigated events and shall make these files available to the Department for review and evaluation upon request.

1.7.4.1 Status Investigation Reports

The FGTS shall prepare and submit monthly status investigation reports until the investigation is completed. The status investigation reports at a minimum shall include:

- Minutes of any meeting held by a FGTS ad hoc reportable event investigation committee or contractor,
- Disclosure of any immediate corrective actions the FGTS has planned or completed,
- Principal issues or items currently being evaluated, and
- Overall progress and status of the investigation.

At any time during an investigation, the FGTS shall be prepared to provide a full briefing on the known circumstances of the event, status of the FGTS or NTSB investigation, and investigation activities and status of any planned or completed corrective actions.

1.7.4.2 Final Investigation Report

Upon completing the investigation, FTA and non-FTA FGTS systems shall prepare and submit to the Department a final report that includes a description of activities, findings, identified causal factors, CAP and hazard analysis, as applicable. The FGTS may transmit an electronic copy of the **Final Investigation Report** via the SSO web site.

For FTA systems, the Department will review the report in accordance with the **Checklist for Reviewing FGTS Investigation Reports** within 30 calendar days of receiving a report designated as final. The checklist is available on the SSO web site. Following acceptance of the FGTS **Investigation Report**, the Department shall issue written approval of the report to the FGTS. In the event that the Department does not accept the FGTS report, the Department shall communicate in writing the area(s) of disagreement or concern. The report shall not be considered final until all conditions are met and the report is approved.

For non-FTA systems, the Department will verify receipt of the **Investigation Report** within 30 calendar days of receiving a report designated as final.

1.7.4.3 CAP

In addition to the final investigation report, the FGTS shall, during the course of an investigation, identify corrective actions to avoid or minimize the reoccurrence of the investigated event or address a related, systemic problem. To ensure that these identified actions are properly addressed, the FGTS shall develop a formal CAP to correct those elements or activities identified as deficient.

1.7.5 Department Investigations of Reportable Events

All FGTS are subject to the conduct of independent investigations by the Department or Department participation in FGTS investigations for any reported event. Any investigation conducted by the Department or its contractor shall be in accordance with the approved FGTS investigation procedures. The Department will inform the FGTS of its intention to conduct an investigation or participate in a FGTS investigation of a reported event no later than 7 calendar days following receipt of the FGTS initial report. The Department will advise the FGTS of the following:

- Investigation processes,
- Identity of individual(s) conducting the investigation, and
- Tentative schedule of investigation activities.

The FGTS shall assist the Department investigators by providing required information and resources necessary for conducting the investigation. The Department or its authorized contractor will complete a report that includes a description of investigation activities, findings, identified causal factors, and a CAP. The report will be completed within 30 calendar days after completion of the investigation.

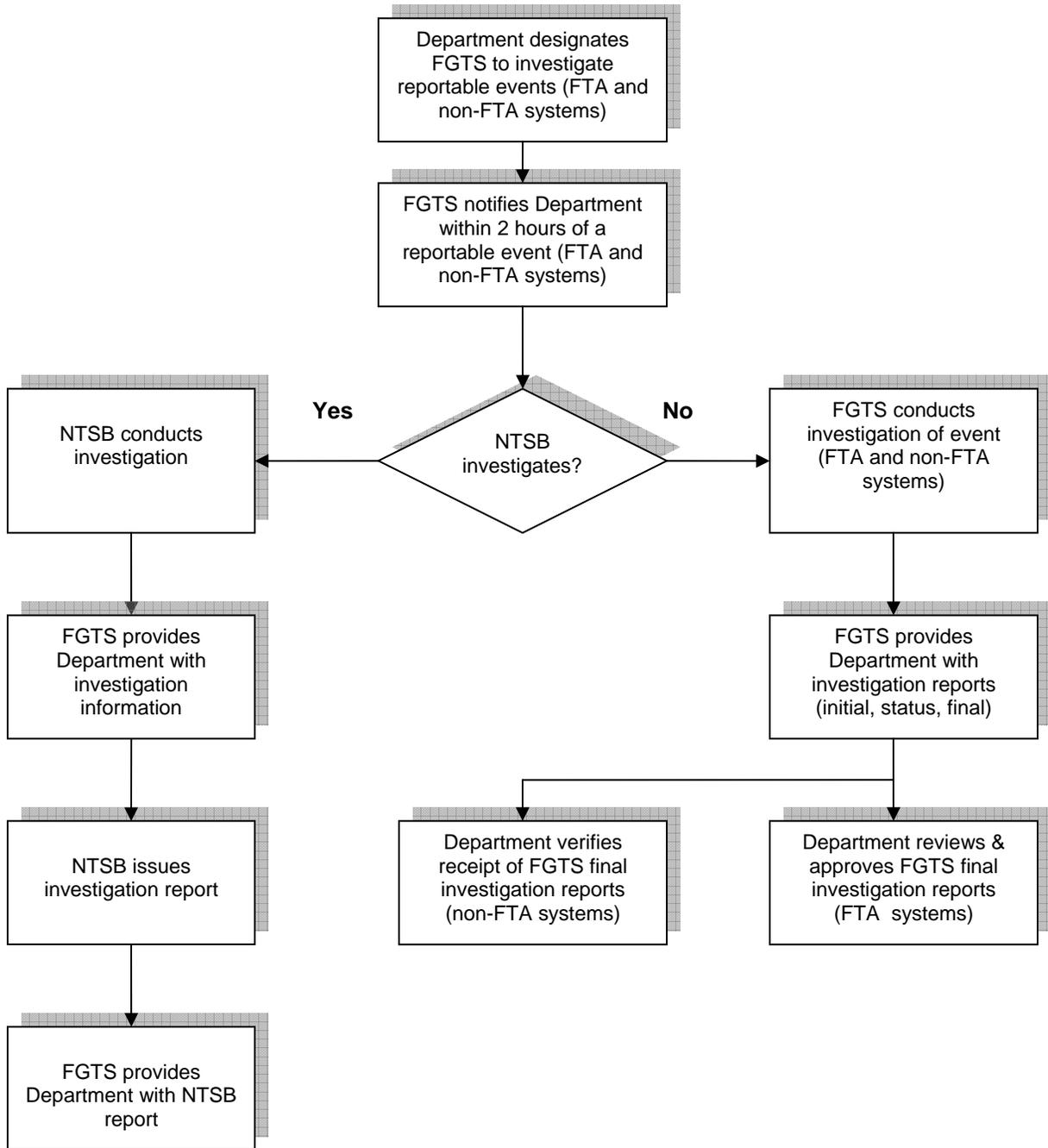
1.7.6 NTSB Investigations

The NTSB may investigate a reportable event to achieve its primary function to promote safety in transportation. In such case, the NTSB is responsible for the investigation; the determination of facts, conditions, and circumstances; the cause or probable cause or causes; and recommendations to reduce the likelihood of recurrence. In the event of an NTSB investigation, the FGTS shall be responsible for timely notifying and providing information to the Department on NTSB activities including meetings, interviews, requests for data, functional testing, examination of equipment, and the results of drug and alcohol tests. The FGTS shall provide the Department with a copy of all written correspondence to the NTSB concerning a reportable event or investigation, and also shall provide the Department a copy of all NTSB reports and any recommendations concerning the event or its investigation, upon receipt by the FGTS. The Department will assist the NTSB by providing information requested about the FGTS critical practices and other matters as appropriate. If the NTSB releases preliminary findings and recommendations, the Department is authorized to participate in any discussions and reviews with the FGTS and NTSB. The Department and the FGTS will review the NTSB findings, draft, and final reports and make a determination of whether or not to adopt the NTSB recommendations. Should the NTSB recommendations be adopted, the FGTS shall implement the findings.

1.7.7 Confidentiality of Investigation Reports

The FGTS shall, in accordance with Section **768.16, F.S.**, withhold an investigation and claim file that may have been prepared by the FGTS and adopted by the Department, from being produced or disclosed pursuant to **Chapter 119, F.S.**, and **Florida Rule of Civil Procedure 1.350, 1.351, and 1.410.**

Figure 4
Reportable Event Notification Process



1.8 CAP Process

1.8.1 Applicable FGTS

Section 1.8 applies to all FTA funded FGTS. Non-FTA funded FGTS will develop CAPs, but are not required to submit CAPs to the Department for review and approval.

1.8.2 Minimum Requirements

The FGTS shall develop a CAP for the following:

- Results from investigations in which identified causal factors are determined by the FGTS or the Department as requiring corrective actions; and
- Hazards or deficiencies identified from external safety and security reviews performed by the FGTS or the Department.

Each CAP shall identify the action to be taken by the FGTS, an implementation schedule, and the individual or department responsible for the implementation. The CAP shall be submitted to the Department for review and approval. In the event that the Department and the FGTS dispute the need, findings, or enforcement of a CAP, the Department will allow the FGTS 30 calendar days to submit its case. The Department will then issue final direction to the FGTS regarding the CAP. In the event that the NTSB conducts an investigation, the FGTS and the Department shall review the NTSB findings and recommendations to determine whether or not a CAP should be developed by the FGTS. If a CAP is required either by the NTSB or the Department, the FGTS shall develop it. The FGTS shall provide the Department the following information regarding the CAP:

- Verification that the corrective action(s) has been implemented as described in the CAP or that a proposed alternative action(s) has been implemented. The FGTS shall inform the Department concerning any alternative actions for implementing a CAP.
- Monthly reports detailing the status of each corrective action(s) not completely implemented as detailed in the CAP.

The FGTS shall specify requirements in its hazard management process for development of corrective action plans to address identified hazards.

1.8.3 Notification

The FGTS shall develop a CAP with the intent of addressing the hazard or deficiency. The FGTS shall submit the CAP to the Department for approval within 30 calendar days, or longer at the Department's discretion, depending on the complexity of the deficiency. Each CAP shall include the following information:

- Identified hazard or deficiency,
- Planned activities or actions to resolve deficiency or hazard,
- FGTS department(s) responsible for implementing corrective actions, and
- Scheduled completion dates for implementation.

1.8.4 CAP Review and Approval

The Department will notify the FGTS of its approval or rejection of a CAP within 15 calendar days of receiving the CAP. In the event the Department rejects a CAP, the Department will state its reasons in writing and recommend revisions. The FGTS shall submit a revised CAP to the Department no later than 15 calendar days following the rejection.

1.8.5 Monitoring and Tracking

The FGTS shall maintain a Corrective Action Monitoring Log and provide the Department with monthly corrective action implementation updates. Updates shall be transmitted to the Department electronically via the SSO web site. The FGTS shall verify to the Department in writing when a corrective action has been fully implemented. The FGTS corrective action is subject to Department verification.

Figure 5 identifies the CAP process.

1.9 Reporting Requirements to FTA

1.9.1 Annual Submission. Before March 15 of each year, the Department shall submit the following to FTA using an electronic reporting system specified by FTA:

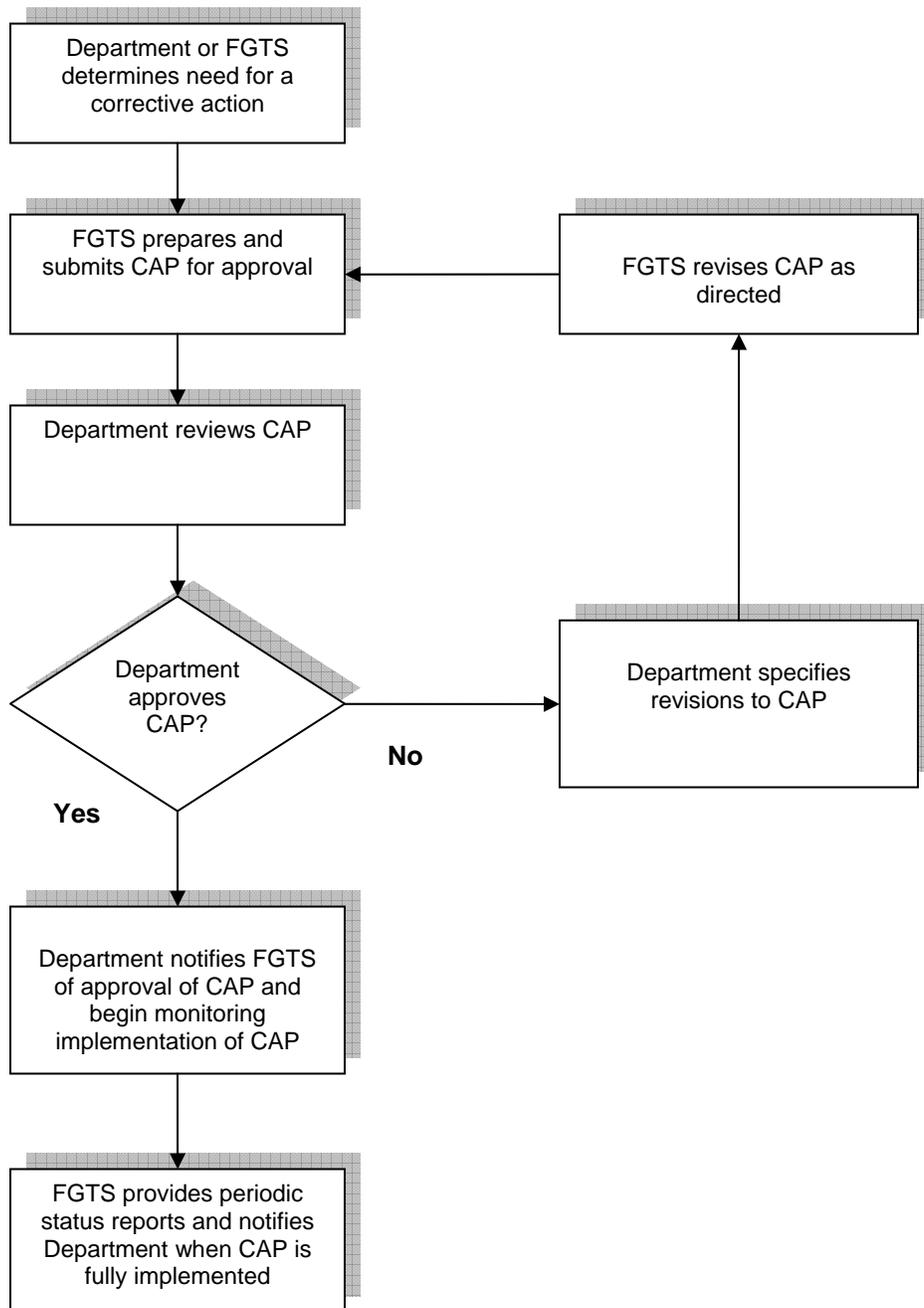
- A publicly available annual report summarizing its oversight activities for the preceding twelve months, including a description of the causal factors of investigated events, status of corrective actions, updates to FGTS program documentation, and the Department's level of effort for program oversight.
- A report documenting and tracking findings from three-year safety reviews activities and whether a three-year safety review has been completed since the last annual report was submitted.
- Program standard and supporting procedures that have changed during the preceding year.
- Certification that any changes to the FGTS SSPP or SPP have been reviewed and approved by the Department.

1.9.2 Annual Certification. The Department shall annually certify to FTA that it has complied with the requirements of 49 CFR Part 659.

- The Department will submit the certification electronically to FTA using a reporting system specified by FTA.
- The Department will maintain a copy of each annual certification to FTA.

1.9.3 Periodic Submissions. The Department will forward to FTA, upon request, status reports of reportable events, hazardous conditions, corrective action plans, and other program information. The information will be submitted electronically using the reporting system specified by FTA.

Figure 5
CAP Process



CHAPTER 2

SECURITY STANDARDS AND PROCEDURES

2.1 Security Program Plans

2.1.1 Applicable FGTS

Chapter 2 applies to all FTA funded FGTS. Non-FTA funded FGTS are exempt from the requirements of this chapter.

2.1.2 Minimum Requirements

Each FGTS shall develop, adopt, implement, and maintain a written **Security Program Plan (SPP)** that complies with this **SSO Manual** and FTA's SSO regulations in **49 CFR 659.21 and 49 CFR 659.23**. The adopted SPP shall include at a minimum:

- (1) A policy statement signed by the Chief Executive of the FGTS that endorses the safety program and describes the authority that establishes the SPP.
- (2) A clear definition of the goals and objectives for the security program and stated management responsibilities to ensure that they are achieved.
- (3) An overview of the management structure of the FGTS, including: (i) an organization chart; (ii) a description of how the security function is integrated into the rest of the FGTS organization; and (iii) clear identification of the lines of authority used by the FGTS to manage security issues.
- (4) The process used to control changes to the SPP, including: (i) specifying and documenting an annual assessment of whether the SPP should be updated; and (ii) required coordination with the Department, and timeframes for submission, revision and approval.
- (5) A description of the specific activities required to implement the system security program, including: (i) tasks to be performed by FGTS security function, by position and management accountability, specified in matrices and/or narrative format; (ii) security-related tasks to be performed by other FGTS departments, by position and management accountability, specified in matrices and/or narrative format; and (iii) security-related tasks to be performed by other law enforcement agencies, if applicable.
- (6) A description of the process used by the FGTS to manage threats and vulnerabilities during operations and for major projects, extensions, new vehicles and equipment, including integration with the safety certification process.
- (7) A description of the process used by the FGTS to ensure that security concerns are addressed in modifications to existing systems, vehicles, and equipment, which do not require formal safety certification but which may have security impacts.
- (8) A description of the safety certification process required by the FGTS to ensure that security concerns are adequately addressed prior to the initiation of passenger operations for any new starts project and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment.

- (9) A description of the process used to collect, maintain, analyze, and distribute security data, to ensure that the security function within the FGTS receives the necessary information to support implementation of the system security program.
- (10) A description of the process used by the FGTS to perform security event/incident notification, investigation and reporting, including: (i) notification thresholds for internal and external organizations; (ii) investigation process and references to procedures; (iii) the process used to develop, implement and track corrective actions that address investigation findings; (iv) reporting to internal and external organizations; and (v) coordination with the Department.
- (11) A description of the process used by the FGTS to ensure that planned and scheduled internal security reviews are performed to evaluate compliance with the SPP, including: (i) identification of departments and functions subject to review; (ii) responsibility for scheduling reviews; (iii) process for conducting reviews, including the development of checklists and procedures and issuing of findings; (iv) review of reporting requirements; (v) tracking the status of implemented recommendations; and (vi) coordination with the Department.
- (12) A description of the security training and certification program for employees and contractors, including: (i) categories of security-related work requiring training and certification; (ii) a description of the training and certification program for employees and contractors in security-related positions; (iii) process used to maintain and access employee and contractor training records; and (iv) process used to assess compliance with training and certification requirements.
- (13) A description of the controls in place that address the personal security of passengers and employees.
- (14) A description of the FGTS process for making available its system security plan and accompanying procedures to the Department for review and approval.
- (15) A description of the process for periodic audits of security policies and procedures.
- (16) A description of the process for the conduct of biannual tabletop and functional drills and the conduct of annual full scale exercises coordinated with regional emergency response providers.
- (17) A requirement for procedures to control access to security critical systems and facilities.
- (18) A requirement for procedures to control access to security sensitive documents.

The Department will review and approve the SPP in writing and provide to the FGTS the checklist used to conduct the review.

2.2 Annual Review of SPP

2.2.1 Minimum Requirements

The FGTS shall notify the Department of any modifications to its SPP and implementing procedures. The Department will arrange review of the SPP in a method to protect confidentiality. The FGTS shall review its SPP by March 31 each year. The review of the SPP shall be documented and communicated to the Department. The FGTS are prohibited from publicly disclosing its SSP. The Department will approve the SPP in writing.

2.2.2 Annual Security Report

The FGTS shall make available to the Department an **Annual Security Report** documenting compliance with its SPP. The FGTS shall make the report available no later than March 1 of each year. The Department will review and approve in writing the **FGTS Annual Security Report**.

2.3 Internal Security Reviews

2.3.1 Minimum Requirements

The FGTS shall develop procedures and document the process for the performance of on-going internal security reviews. The internal security procedures shall at a minimum:

- Describe the process used by the FGTS to determine if all identified elements of its SPP are performing as intended.
- Ensure that all elements of the SPP are reviewed in an on-going manner and completed over a three-year cycle. The three-year cycle commences on a date designated by the Department with the intention of completing at least one-third of the elements each year.

The FGTS shall permit the Department to participate in these reviews upon request.

2.3.2 Notification

The FGTS must notify the Department at least 30 calendar days before the conduct of scheduled internal security reviews, and at that time shall make available to the Department any checklists or procedures that the FGTS will use during the security review.

2.3.3 Annual Internal Security Review

The FGTS shall make available to the Department annually a report documenting internal security review activities, and status of subsequent findings and recommendations, as specified in its SPP. The FGTS shall make the report available no later than March 1 of each year. The **FGTS Annual Internal Security Review Report** shall be accompanied by a formal certification signed by the FGTS chief executive indicating that the FGTS is in compliance with its SPP. If the FGTS determines that findings from its internal security reviews indicate that the FGTS is not in compliance with its SPP, the chief executive must identify the activities the FGTS will take to achieve compliance. The Department will formally review and approve the **FGTS Annual Internal Security Review Report**.

2.4 3 Year Security Reviews

2.4.1 Minimum Requirements

The Department will conduct an on-site security review of the FGTS implementation of its SPP at least once every 3 years, beginning after initiation of the FGTS passenger

operations. At the conclusion of the on-site review, the Department will prepare and issue a report containing findings and recommendations resulting from that review.

Each FGTS shall develop a CAP if so directed by the Department to address findings from the security review.

2.4.2 Objectives

The Department's 3 year security review will evaluate the extent to which the FGTS is meeting its SPP requirements, the effectiveness of the SPP and whether the SPP should be updated.

2.4.3 Scheduling and Conducting 3 Year Security Review

The Department will develop and maintain a schedule of 3 year security reviews of each FGTS. The Department will schedule the 3 year security review of a FGTS at least 60 calendar days in advance, and will notify the FGTS in writing. The FGTS shall formally acknowledge the notification in writing. The Department will schedule a pre-review meeting with the FGTS for clarification of any questions and concerns, and coordination of daily schedules with the FGTS. In addition, the Department will schedule an entrance meeting with the FGTS to resolve any pre-review issues. The Department will conduct the on-site security review using checklists developed from each FGTS's approved SPP. The Department will transmit these checklists to the FGTS at least 30 calendar days prior to the start date of the review. The Department will transmit the 3 year security review reports to FTA as required.

2.5 Notification of Reportable Security Incidents

2.5.1 Minimum Requirements

The FGTS shall notify the Department within 2 hours of any safety or security event involving a rail transit vehicle or taking place on FGTS controlled property where one or more of the following occurs:

- (a) A fatality at the scene; or where an individual is confirmed dead within 30 calendar days of a transit-related incident,
- (b) Injuries requiring immediate medical attention away from the scene for two or more individuals,
- (c) Property damage to FGTS vehicles, non-FGTS vehicles, other FGTS property or facilities, and non-FGTS property that equals or exceeds \$25,000 or,
- (d) An evacuation due to life safety reasons.

2.5.2 Information

The following information shall be provided by the FGTS in the initial notification of the reportable security incident. If the information is not pertinent to the event, the item should be identified on the **Initial Notification Form** as "non-applicable" (N/A).

- Name and Job Title of person reporting and name of FGTS
- Event Type (fatality, injuries, property damage, evacuation or other)

- Location, Time, Date
- Fatalities
- Injuries
- Rail transit vehicle(s) involved (type, number)
- Rail transit facility involved (e.g., station)
- Property damage estimate
- FGTS primary person conducting the investigation (name, title, phone and fax numbers, email address)
- Description of the event
- Implemented and/or planned corrective actions

The FGTS shall make available additional information at the Department's request. The FGTS shall maintain a current list of contact information for all primary and alternate Department contact personnel, including delivery street addresses, email addresses, and fax, telephone, cell phone, and pager numbers.

2.6 Investigations of Reportable Security Incidents

2.6.1 Requirements

The FGTS shall investigate any reportable event or incident meeting the criteria described in **Section 2.5.1**.

2.6.2 FGTS Investigation

The FGTS, its contractor or an appropriate law enforcement agency shall investigate each security incident reported to the Department in **Section 2.5.2** above in accordance with the procedures adopted by the FGTS or the appropriate law enforcement agency.

2.6.3 Corrective Action Plan

In addition to the final investigation report, the FGTS shall, during the course of an investigation, identify corrective actions to avoid or minimize the reoccurrence of the investigated security event or incident or address a related, systemic problem. To ensure that these identified actions are properly addressed, the FGTS shall develop a formal CAP to correct those elements or activities identified as deficient.

2.6.4 Final Investigation Report

Upon completing the investigation, the FGTS shall maintain and make available to the Department a final report that includes a description of activities, findings, identified causal factors, hazard analysis and CAP, as applicable.

2.6.5 Confidentiality of Investigation Reports

The FGTS shall, in accordance with **Section 768.16, F.S.**, withhold an investigation and claim file that may have been prepared by the FGTS and adopted by the Department, from being produced or disclosed pursuant to **Chapter 119 F.S.**, and **Florida Rule of Civil Procedure 1.350, 1.351, and 1.410**.